Safe Water and AIDS Project (SWAP)

Strategic Plan

Period: 2012 - 2014

Safe Water and AIDS Project (SWAP)
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Contents

Contents.................................................................................................................................................... 2
Acknowledgement .................................................................................................................................... 3
Abbreviations ............................................................................................................................................ 4
History of SWAP ........................................................................................................................................ 5
Introduction .............................................................................................................................................. 6
Strategic Framework ................................................................................................................................... 7
Strategic Drivers and Goals ........................................................................................................................... 8
Approaches and Methods ............................................................................................................................. 9
Strategy Map .......................................................................................................................................... 10
Objectives Narrative .................................................................................................................................. 11
Balanced Scorecard ................................................................................................................................... 13
Strategy Implications .................................................................................................................................. 16
Organizational Structure ............................................................................................................................... Error! Bookmark not defined.
Acknowledgement

This is the fourth strategic plan for SWAP since its inception in 2005. The development of this plan was made possible by team work and commitment of SWAP’s staff and was facilitated by Jasper Morara, a consultant from Poverty Eradication Network in Nairobi. It has been an interactive process whereby all departments were involved and were able to give their contributions. The initial planning started in November 2011 and finalized in January 2011.

Through this process SWAP has we revised our vision, mission and goals. This is in line with our desire to make SWAP a more sustainable organization through generation of own income from health oriented micro enterprises.

SWAP is grateful to United States Agency for International Development (USAID) for financially supporting this process under the HCM / PSI sub-award. This document will be shared with donors and other partners and will be a very useful working tool for SWAP’s operations in the coming years.

We thank all those who contributed to the success of this process and look forward to continued collaboration in our service to community.

Alie Eleveld
Program Director SWAP
Abbreviations

BSC: Balanced Score Card
CBO: Community Based Organization
CDC: Centers for Disease Control and Prevention
ETL: Education through Listening
FBO: Faith Based Organizations
HCM: Health Communication and Marketing
IGA: Income Generating Activities
KEPH: Kenya Essential Package for Health
NGO: Non Governmental Organizations
PSI: Population Services International
SWAP: Safe Water & AIDS Project
USAID: United States Agency for International Development
VSL: Village Savings and Loaning
History of SWAP

Safe Water and AIDS Project (SWAP) a registered non-governmental organization based in Western Kenya and engages a network of over 900 HIV support and community self-help groups promoting and selling water treatment and other health products as an income generating activity that also benefits the wider community. Western Kenya region (Nyanza and Western Provinces) have a high burden of disease and the highest infant and child mortality rates in the Country.

SWAP has been in operation since 2005. SWAP has its headquarters in Kisumu and operates 9 Satellite offices in Nyanza and Western Region. Currently SWAP draws its operational capacity on a strong human resource base comprising of 45 employees, including administrative, research, technical and field staff. The team is led by a Program Director who also serves as, the CEO and Secretary of the board. SWAP Board comprises of 7 individuals representing the beneficiaries and other stakeholders in the Health sector. In implementing its programs SWAP makes use of the existing community structures in a process that is consultative and collaborative. SWAP’s strategy is in line with the Kenya Essential Package for Health (KEPH) Community Strategy, a mechanism through which communities take an active role in health and related development issues.
Introduction

This document presents a three (3) year strategic plan (2012-2014) SWAP. This plan provides the readers with both an overall strategic framework (vision, mission, core values and goals) and also summarizes the objectives that SWAP aims to achieve in the next five years.

This strategic plan was designed through a participatory process involving representatives of the SWAP Board, management and staff. A thorough analysis of the external and internal environments, stakeholders and beneficiaries formed the basis of design of this strategy.

Design of the strategy is based on the balanced scorecard (BSC) approach. The BSC approach takes a holistic and balanced view of the organization, set clear performance targets and identifies what to do to achieve the targets. Balanced scorecard will make it easier for SWAP to implement this strategy by:

- Increasing focus on the strategy and results as opposed to tasks
- Breaking down communication silos within the organization
- Prioritizing the needs of the community.
- Improving organizational performance by measuring what matters (at several different levels)
- Helping management make better decisions in time and resources allocation
- Helping staff to align and prioritize the work they do
- Making it easy to communicate the strategy to variety of audiences

The strategy is organized into the following key components:

- **Strategic framework** that describes the vision, mission, and core values
- **Strategic drivers and goals** that provide a general overview of the strategic focus for the period.
- **Approaches** and methods that summarize the methods SWAP will use in implementing this strategic plan.
- **Strategy map** that summarizes the strategy into a 1-page schematic presentation
- **Balanced Scorecard** matrix that details the strategic objectives, indicators and interventions.
- **Strategy implications** that is an analysis of implications and risks of this strategy and outlines how SWAP plans to respond and mitigate effects of the risks.
- **Organizational structure** that provides an overview of the management structure to be put in place to implement the strategic plan.
Strategic Framework

Vision

A healthy and empowered community where everyone enjoys high quality life

Mission

To improve the quality of life of the vulnerable in community by building their capacities and supporting them to develop profitable health-oriented micro-enterprises

Core Values

• Compassion: SWAP has remained sympathetic to the plight and suffering of others and compassion will remain a driving force for action.

• Partnerships: SWAP appreciates that it cannot alone address the challenges the local people face. Therefore, SWAP will continue to strengthen and foster partnerships with local, national and international organizations such as donors, NGOs, FBOs, CBOs and relevant government departments and Ministries. It will also endeavour to promote effective collaboration and networking with all stakeholders in addressing these challenges.

• Integrity and discipline: SWAP will continue to ensure that accountability and transparency prevails in all its undertakings. Thus SWAP’s overriding interest will be to ensure that resources at its disposal are used to further the targeted community agenda. It will pursue innovation and continue to be honest and remain committed to ethical and professional standards of the highest order.

• Teamwork: The Organization will strive and continue to cultivate virtues of teamwork by creating a climate of trust, discipline and respect among its employees and partners, and these will remain the cornerstone and foundations for collective responsibility and the achievement of SWAP's objectives.

• Responsiveness: As it always has, SWAP will endeavour to remain sensitive and flexible to the changing needs of its diverse target groups and stakeholders and will adjust itself to facilitate achieving its objectives within mutually acceptable frameworks.
**Strategic Drivers and Goals**

### Thematic area 1: HIV AIDS and other public health concerns

<table>
<thead>
<tr>
<th>Strategic Driver</th>
<th>Goal</th>
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<tbody>
<tr>
<td>The health status of communities in Nyanza and Western is generally low. There is a generally high HIV AIDS prevalence rate and frequent outbreaks communicable diseases. Women, children and other vulnerable groups in the community are the groups most affected by this situation.</td>
<td>To improve the health status of vulnerable cases in the community by engaging them to adopt healthier behaviors, building capacities and facilitating access to alternative health enhancing technologies.</td>
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### Thematic area 2: Economic Empowerment

<table>
<thead>
<tr>
<th>Strategic Driver</th>
<th>Goal</th>
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<tbody>
<tr>
<td>Communities in Nyanza and Western Kenya generally have very limited sources for generating steady income to support livelihoods. In many localities community members have come together to form self-help groups with business objectives. However, in many cases, the businesses that these groups manage to establish do not generate sufficient income and/or have enormous negative effects on the environment and their health.</td>
<td>To increase household level income by supporting the development of health oriented and environment friendly microfinance enterprises.</td>
</tr>
</tbody>
</table>

### Target beneficiaries

SWAP targets vulnerable individuals and groups in the community. These include:
- Orphans and Vulnerable Children
- Widows and widowers
- Those infected and affected by HIV AIDS
- Desperate cases during emergencies (floods and disease outbreaks)
Approaches and Methods

SWAP will use a combination of the following approaches in implementing programs and serving the community:

- **Capacity building:** SWAP targets already existing community structures (HIV support groups, CBOs and community self-help groups) for capacity building. It targets these groups in raising awareness and building both business and organizational skills and competencies. Capacity building is also conducted through Education through Listening (ETL) approach. ETL is an innovative behavior change methodology based on motivational interviewing and stages of change and social learning theory. ETL is community engagement technique that is a person-centered way of communicating and giving feedback to promote behavior change. This technique is based on a participatory dialogue for increasing a person's inner motivation to change by exploring and helping them to resolve any mixed feelings, ambivalence, or suffering they may have about adopting a new positive behavior. This approach integrates a number of techniques including training, modeling, mentoring, peer-to-peer learning, and technical support.

- **Micro-enterprise development:** Enhancing community self-sustainability is one of SWAP’s key objectives. SWAP supports target groups to identify appropriate health-oriented micro-enterprises, develop their business management skills and link them up to both the suppliers of products (merchandise) and micro-finance institutions for loan facilities. Currently, there are a number of opportunities for community groups to engage in the sale of health and hygiene products.

- **Developing networks and partnerships:** SWAP believes that current developmental challenges cannot be effectively addressed singularly by any organization or institution. It seeks to develop strategic partnerships with other non-profit organizations, government agencies, local communities, research institutions and corporations in crafting solutions for problems facing communities.

- **Research:** SWAP undertakes extensive research to inform its interventions in health, hygiene and environment. The research is in most cases done collaboratively with other institutions and with technical support from CDC Atlanta Research findings and recommendations are shared in various fora so that the information is widely available for use by other actors.

- **Technology integration:** SWAP scouts for appropriate and affordable technologies that would enhance health and introduces them to communities that it serves.
**Vision**
A healthy and empowered community where everyone enjoys high quality life

**Mission**
To improve the quality of life of the vulnerable in community by building their capacities and supporting them to develop profitable health-oriented micro-enterprises

**Goals**
- Increased income from health oriented micro-enterprises
- Improved health status of vulnerable communities
- Improved capacity to establish and manage profitable health-oriented micro-enterprises
- Increased access to safe water systems interventions
- Reduced incidences of HIV AIDS and prevalence of communicable diseases
- Conduct research that informs interventions

**Community**
- Design and implement quality projects
- Integrate alternative healthy enhancing technologies
- Conduct research that informs interventions
- Build effective governance and management systems

**Internal Processes**
- Integrate alternative healthy enhancing technologies
- Conduct research that informs interventions
- Build effective governance and management systems

**Learning & Growth**
- Build an effective organizational structure
- Improve staff competencies and performance
- Ensure staff are adequately motivated
- Develop effective governance and management systems

**Financial Resources**
- Increase and diversify funding sources
- Increase level of unrestricted income
- Improve the public image and profile of SWAP

**Values**
Compassion, Integrity, Partnerships, Teamwork, Responsiveness
Objectives Narrative

<table>
<thead>
<tr>
<th>The Community: What must SWAP achieve for the community?</th>
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<tbody>
<tr>
<td><strong>Objective</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>Increased access to safe drinking water</td>
<td>Access to safe drinking water and storage is one of the greatest hindrances to healthy living for rural communities in Nyanza and Western. The traditional methods for water purification are neither effective nor consistently used. Contamination of water in the household is common due to poor handling of water and limited hand washing practices,</td>
</tr>
<tr>
<td>Improved capacity to establish and manage profitable health-oriented micro-enterprises</td>
<td>Most self help groups targeted by SWAP have limited business and group management skills and lack knowledge on how to access loans and products for business start up and expansion.</td>
</tr>
<tr>
<td>Reduced incidences of HIV AIDS and occurrence of communicable diseases</td>
<td>HIV AIDS and communicable diseases are intertwined and continue to be the greatest health and social challenges that communities in Western Kenya face</td>
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<thead>
<tr>
<th>Internal Processes: What must SWAP excel at to deliver for the community?</th>
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</thead>
<tbody>
<tr>
<td><strong>Objective</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>Design and implement quality project</td>
<td>SWAP will ensure adequate involvement of the community and other stakeholders in the development and delivery of its projects. These will ensure we are able to address the most relevant and critical needs of the communities that we serve.</td>
</tr>
<tr>
<td>Integrate alternative healthy enhancing technologies</td>
<td>Most of the health enhancing technologies technology available in the market are expensive and are not accessible to most communities. SWAP aspires to serve as bridge and facilitator of community access to the alternative and affordable locally available, user-friendly and health enhancing technologies</td>
</tr>
<tr>
<td>Build effective network and partnerships</td>
<td>SWAP recognizes the central role that other actors (NGOs, government, private sector and media) play in serving the community. SWAP will identify and develop strategic partnerships with these stakeholders as part of our service delivery strategy.</td>
</tr>
<tr>
<td>Conduct research that informs interventions</td>
<td>SWAP recognizes the role that research plays in development. SWAP will ensure a continued link between the research it carries out and improvement of the health and socio-economic status of communities.</td>
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<table>
<thead>
<tr>
<th>Learning and growth: What must SWAP invest in to excel?</th>
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<tbody>
<tr>
<td><strong>Objective</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>Build an effective organizational structure.</td>
<td>SWAP is at a transitional phase from an administrative to a policy governance board. This has created some challenges in the structure re the respective roles of the board and management in the day-to-day management.</td>
</tr>
<tr>
<td>Improve staff competencies</td>
<td>The type of services SWAP would like to offer require highly skilled and</td>
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</table>
and performance. professionally qualified staff. SWAP will achieve this by ensuring competent staff are hired, appraised from time to time, and their skills updated through an integrated system of training and mentoring.

**Ensure staff are adequately motivated**

Staff motivation is key to excellence in operations and implementation of projects. In addition to good remuneration SWAP will identify and develop other initiatives aimed at motivating staff and increasing teamwork.

**Develop effective management systems**

Effective management systems are critical in ensuring effective and efficient delivery of services. Board policies, financial, human resources, transport, administration, warehousing and communication have been identified as critical management systems that SWAP needs to improve.

**Resources: How will SWAP ensure it has adequate resources?**

<table>
<thead>
<tr>
<th><strong>Objective</strong></th>
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<tbody>
<tr>
<td>Increase and diversify funding from donors</td>
<td>The current funding level and donor base for SWAP is low. This has severely affected operations and services and compromised sustainability. SWAP will continue to apply for grants and generate more income from sales and other income generating activities.</td>
</tr>
<tr>
<td>Increase level of unrestricted income</td>
<td>SWAP uses a business model that serves the dual purpose of addressing community needs and generating its own unrestricted income. SWAP will continue improving this model by diversifying its products base, increasing coverage, and improving capacities of the target groups. Providing consultancy services is also a potential source of unrestricted income.</td>
</tr>
<tr>
<td>Improve the public image and profile of SWAP</td>
<td>A good public image and profile will enhance the recognition of SWAP’s good work locally and internationally which will lead to more opportunities for networks and funds.</td>
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## Balanced Scorecard

### The Community

<table>
<thead>
<tr>
<th>Objective</th>
<th>Performance Indicators</th>
<th>Initiatives / Interventions</th>
</tr>
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<tbody>
<tr>
<td>Increased access to safe water systems interventions</td>
<td>- Number of households (or community groups) to which SWAP introduces Safe Water Systems&lt;br&gt;- Rate of adoption and sustained use of Safe Water Systems</td>
<td>- Safe Water Systems interventions</td>
</tr>
<tr>
<td>Improved capacity to establish and manage profitable health-oriented micro-enterprises</td>
<td>- Number of community based groups to which SWAP provides capacity building support&lt;br&gt;- Number of profitable health oriented businesses established</td>
<td>- Capacity building in micro-enterprise development&lt;br&gt;- Pampers baby and family care model and expansion</td>
</tr>
<tr>
<td>Reduced incidences of HIV AIDS and occurrence communicable diseases</td>
<td>- Number of initiatives that SWAP undertakes with an aim reducing the prevalence of HIV AIDS and occurrence of communicable diseases&lt;br&gt;- Level of community awareness on how to prevent HIV AIDS and communicable diseases</td>
<td>- HIV AIDS awareness and prevention interventions&lt;br&gt;- Public health interventions&lt;br&gt;- Response to cholera outbreaks</td>
</tr>
</tbody>
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### Internal Processes

<table>
<thead>
<tr>
<th>Objective</th>
<th>Performance Indicators</th>
<th>Initiatives / Interventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design and implement quality project</td>
<td>- Proportion of projects designed and implemented in accordance with the project management cycle model&lt;br&gt;- Number of projects that meet specified objectives</td>
<td>- Staff capacity building in project design and implementation&lt;br&gt;- Developing and implementing project M&amp;E plans</td>
</tr>
<tr>
<td>Integrate alternative healthy enhancing</td>
<td>- Number of households (community groups) to which</td>
<td>- Introduction of alternative health and hygiene technologies</td>
</tr>
</tbody>
</table>
| Technologies | SWAP introduces alternative health and hygiene technologies  
- Rate of uptake and sustained use of alternative health and hygiene technologies |
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<tbody>
<tr>
<td>Build effective network and partnerships</td>
<td></td>
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</tbody>
</table>
- Number of business partnerships that SWAP establishes and sustains  
- Number of Networks of which SWAP is an active members |
| Conduct research that informs interventions |  
- Number of health oriented research that SWAP completes and shares information on with other stakeholders  
- Number of partners that report use of SWAP’s research findings to inform design and implementation of community projects |
| Learning and Growth | |
| **Objective** | **Performance Indicators** | **Initiatives / Interventions** |
| Build an effective organizational structure |  
- Staff and Board members’ feedback on the effectiveness of the organizational structure  
- External audit rating of SWAP’s organizational structure |  
- Revise the organizational structure  
- Monitor the effectiveness of the structure over a period of time |
| Improve staff competencies and performance |  
- Percentage of positions that are filled by suitably qualified staff  
- Percentage of staff meeting set performance targets |  
- Develop job descriptions for positions identified in the revised structure  
- Staff recruitment and redeployment  
- Revise the staff performance management system |
| Ensure staff are adequately motivated |  
- Rate of staff turnover  
- Level of staff satisfaction with SWAP’s motivation scheme |  
- Revise the staff motivation scheme  
- Staff satisfaction surveys  
- Institutionalize exit interviews |
| Develop effective management systems |  
- Staff and Board feedback on the effectiveness of management systems  
- Number of systems meeting professional/industry standards |  
- Staff survey on effectiveness of the system  
- Periodic external audit of the management systems |
## Resources

<table>
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<tr>
<th>Objective</th>
<th>Performance Indicators</th>
<th>Initiatives / Interventions</th>
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</table>
| Increase and diversify funding from donors | • Number of donors funding for at least 3-years  
• Amount of money received per donor type | • Develop a resource mobilization and fundraising strategy |
| Increase level of unrestricted income | • Income raised from SWAP businesses  
• Ratio of restricted vs. unrestricted income | • Develop and implement business plans for potential IGAs |
| Improve the public image and profile of SWAP | • Level of community and partners awareness about SWAP and its projects | • Develop and implement an external communications strategy |
Strategy Implications

This strategy has several implications. Following are the key ones identified at the workshop and suggested strategies to mitigate them:

**Beneficiaries**
SWAP will continue to target the most vulnerable in the community including OVCs, widows and widowers, those infected and affected by HIV AIDS and those affected during emergency outbreaks of communicable diseases. SWAP will limit its operations to Western Kenya, but expand its services to meet the demand by the ever increasing number of vulnerable cases.

**Development approach**
Under this Strategic Plan SWAP's approach to development does not change much from how it has worked previously. Integration and coordination among these approaches has been SWAP’s challenge previously. SWAP will therefore work towards a more integrated approach that combines capacity building, micro-enterprise development, research, networking, and partnerships development in achieving the desired results among its beneficiaries.

**Sectors**
Traditionally SWAP has worked in the health sector and will continue to do so. SWAP will however integrate health interventions with interventions aimed at supporting household level income generation. The environment also becomes a key concern for SWAP given some of the health systems and products in promotes might have some negative effects on the environment.

**Staff competencies**
This new strategy challenges SWAP to take a more keen interest in building staff competencies in capacity building community based organizations and the technical areas of health, micro-enterprise development and research.

**Monitoring, Evaluation and Reporting (MER) system**
Implementation of this strategic plan will require an effective ME&R system. SWAP has an immediate task of ensuring it has requisite skills (either through training or hiring) and developing effective ME&R systems.

**Effective management systems**
SWAP has identified weaknesses in its current management systems including human resources, finances, procurement and administration. In order to improve efficiency SWAP will have to improve its management systems.

**Marketing and public profiling**
SWAP shall have to develop a strategy for marketing itself and raising its profile not only with local stakeholders but also at the national and international levels.
Financial resources
Implementation of this strategy has huge financial implications. SWAP will develop a resource mobilization strategy aimed at increasing and diversifying its income base. There will also be continued improvement in efficient utilization of resources. SWAP has an opportunity of generating some substantial income from the health systems and products it promotes among the community.
SWAP Organizational Structure