



2017

Safe Water and AIDS Project: 2018 – 2019 STRATEGIC PLAN



SORT AGENCY

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Foreword by Country Director:

I take this opportunity to present to you SWAP's strategic plan for the period 2018- 2019 that was determined when a review of the 2017- 2019 strategy was made with SORT Agency. The objectives of the later were too broad and lacked clarity on goals to be achieved, strategies and measures to achieve the objectives. An updated strategy 2018 – 2019 has been formulated with support from SORT Agency guided by “Kuendelea Kuboresha” literally meaning continuous improvement principles. It is a system thinking approach that involves integration processes, people and problem solving to ensure an ever-increasing value to beneficiaries.

Prior to formulation, an organization assessment was conducted from the entire management team and a sample of other staff. Two Board of Directors were nominated for one on one discussion with the Consultant. This exercise involved an online survey, one on one discussion and a two days meeting. An impressive average score of 80 percent was recorded across the 5 key areas including, work engagement; communication and relationship management; impact finance and safety; organization's culture; and career and professional development.

During the management workshop we reviewed the old mission statement and adopted a new one: “To provide innovative solutions for improved health and economic status of communities”

Over the next two years, SWAP will work on two objectives namely: increase the financial sustainability of the organization and improve health and economic status of the communities.

SWAP will aim to achieve its objectives as it has been demonstrated in the past. Our network will grow and our commitment and obligation to our investors will be guaranteed. The Management team and Staff will continue to dedicate their efforts in the implementation of this strategy with support and guidance from the Board of Directors.

Who we are:

Safe Water and AIDS Project (SWAP) is a non-governmental organization that promotes community health through the implementation of health programs, awareness creation and door to door sale of health and hygiene products. SWAP also undertakes public health research and emergency support and response in Western Kenya.

Founded in 2005 as an NGO under Kenyan Law, SWAP has expanded its work to include a research department that evaluates health and economic impact of health interventions, products and technologies and a water lab currently undergoing accreditation. SWAP has over the years set up microenterprises/jamii centers and continues to support orphans and vulnerable children. In addition, SWAP, provides response to emergencies such as cholera and floods as well as training to communities across Western Kenya.

Vision: A healthy and empowered community where everyone enjoys high quality life

Mission: To provide innovative solutions for improved health and economic status of communities

Core values:

- We progressively look back, and use those experiences to determine our future direction.
- We are resilient, and adapt to positive and negative changes and needs in society.
- We ensure integrity in staff, by having controls, systems, processes in place and practice zero tolerance to corruption.
- We strive for better results & high productivity in products and services, and excellent execution of our duties.
- We believe in maximizing the skills and expertise of our human resource in the delivery of health interventions and research, providing quality, efficient and effective services.
- We strive to provide result oriented health services, minimizing costs and maximizing outputs.
- We are innovative, and change is our constant. We embrace the unknown and are willing to go the extra mile to achieve our goals.
- We embrace diversity among staff, partners, and stakeholders. We always ensure there is a positive spirit which underpins the way we interact with others.
- We always promote honesty, trustworthiness, and transparency in all that we do.

Where we operate:

We currently operate in Western Kenya with field operations in Kisumu, Vihiga, Kakamega, Siaya and Migori Counties. These are important places for us to operate, due to the high burden of disease morbidity and alarming mortality rates. People in these areas are also subject to high poverty index and low service in terms of infrastructure.

Products and services:

- Health Promotion and Sales
- Research
- Water Laboratory services
- Support to Orphans & Vulnerable Children
- Water Sanitation & Hygiene
- Emergency response
- Social Enterprises
- Stool and Urine Laboratory services

SWAP's Achievements:

- SWAP has reached approximately 165,000 beneficiaries across Western Kenya through Community Health Volunteers and Promoters over the last decade.
- From recent organizational assessment, SWAP has a team of very passionate and engaged staff, supported with hands on management team that coaches staff. Our staff and managers enjoy good working relationship and are both driven to deliver our goals.
- SWAP has diversified its funding base from purely donor funding to a mix of donor and self-financing, made possible through engaging in entrepreneurial activities.
- SWAP's governance structure continues to be strengthened by an active board of directors with diversified skills and experience and hands on management team that champions development and growth of the organization.

- Together, as a team SWAP implement policies and procedures that ensures accountability to our stakeholders including our board, beneficiaries, government and NGO coordinating Board.
- For ten years running (2006 -2015), SWAP organized the first and only annual world AIDS Marathon in the world. Over 2000 runners from all walks of life participated in the annual marathons hosted in Kisumu. This included on average 10 disabled participating in the wheel chair race and around 150 vulnerable children participating in the children’s walk each year.
- We have coauthored over 30 publications in international peer reviewed journals including Journal of water and health, journal of American Public Health among others. These have been fundamental in influencing policy, designing of effective programs as well as attaining best practice for program & project documentation that has further improved our service delivery & heightened recognition of SWAP with National and International Research Institutions.
- Our research has diversified to WASH studies, maternal health care and menstrual hygiene as well as market research. The team collects both qualitative and quantitative data and receives technical support from CDC Atlanta.
- The Water Lab has made major improvements and can do both bacteriological and full chemical test and is in the process to be accredited.
- We established partnerships with institutions such as SEAD and Innovations in Health Care, Social Innovations in Health Initiative, HENNET, MOH, WHO, WASH Impact Network, KEWASNET, PSK, PATH, Liverpool School of Tropical Medicine, Tufts University, CDC, P&G that helped us to gain international and national visibility, and allowed us to build capacity and increase the technical support that is available to us.

Awards:

SWAP has been globally recognized for its great efforts in improving welfare of the vulnerable and in providing innovative technologies and solutions to improving the health and economic status of communities we work with. A sample of awards received include:

- Finalist in the Mapia Award 2016
- The Saving Lives at Birth Award 2013-2014,
- [Crystal of Hope 2014](#),
- Finalist in the UN Water for Life Best Practices Award 2014
- Royal Decoration by Dutch Queen to SWAP’s first Country Director – Knight in the order of Orange Nassau.

Reflection of past strategy:

The 2017 – 2019 document plan identified the following objectives for onward implementation:

- Scale down SWAP’s programs’ coverage and human resource
- Focus more on research and WASH programs
- Leverage our extensive knowledge through consulting
- Work to make the water Lab a sustainable venture

While in line with what SWAP was doing, it was determined that the objectives were too broad and lacked clarity on goals to be achieved, strategies and measures to achieve the objectives.

It is upon this basis that an updated strategic plan for 2018- 2019 has been developed.

Formulation of the 2018-2019 Strategic Plan:

The development of this strategic plan was guided by the Kuendelea Kuboresha Principles. Kuendelea Kuboresha or continuous improvement calls for a never ending strive for excellence. It is a system thinking approach that involves integration of processes, people and problem solving to ensure an ever increase value to beneficiaries.

At its core is the coaching of staff and management to continuously develop scientific thinking, where decisions and in this case strategic direction is determined by facts. It entails a focus on few and important actions that really matter to growth and sustainability of the organization. In Kuendelea Kuboresha once strategic goals are development they are aligned with operational activities and regularly tracked. The following Kuendelea Kuboresha principles have been incorporated in developing this strategic plan:

- Start with understanding current state of SWAP: Before you can determine where you want to go, you need to know where you are starting from. This is central to strategic development and deployment. To be able to determine the true direction of SWAP, it is important that SWAP's management team build consensus on what is working well and what is not. This is achieved through consultation with staff, management, board of directors as internal customers, and donors and government stakeholders as external customers. A review of market trends and regulations is also undertaken. The findings ensure SWAP has clarity on what is working well and what the gaps for improvement are. It is upon these that SWAP can truly define what really matters and in turn develop a practical and realistic future direction.
- Focus on fewer objectives and strategic initiatives: It is easy to be excited and identify a long list of objectives and improvement areas. Considering resources: time, money, staff time are limited, the fewer the objectives/ initiatives being implemented the higher the chances for high quality deliverables and success. Management team need to focus on effectiveness of each strategic initiatives in meeting each specified goal and objective and ensure resources are not spread too thin.
- Linking operational measures to strategic goals: What will get us the results we need to achieve our goals? This is a fundamental question that helps frame and determine initiatives to be implemented and tracked. Initiatives implemented, and indicators measured at any given time should provide progress towards organizational goals and objectives. The alignment helps rid organization of 'rogue' projects which may seem great and interesting to undertake in the short term but do not directly translate into achieving set goals and objectives.
- Review strategic goals in the weekly/monthly management meetings. Strategies fail as they are often developed in a 2-3day workshop and may only be reviewed at the next strategic meeting – in two, three or five years depending on the planning cycle. In between progress towards organizational goals remains unchecked. To counter this, this strategic plan is guided by the Plan Do Study Act or PDSA cycle that enables action oriented learning where measures linked to organizational objectives are continuously implemented, with outcome measured informing the next action of the organization. As a result, it conceivable that an activity not prioritized e.g.

development of staff incentives may become a priority once the core goal of reducing the deficit to zero is established sooner than anticipated two-year wait.

Trends in the Health Sector and Development Sector:

In [a 2016 study by the Taskforce for maternal health](#): the Neglected Population: Decreasing Inequalities and Improving Measurements for maternal health, it is estimated that quality of maternal healthcare remains low with only 9% of Kenyan women having access to effective antenatal care and only 17% having access to effective delivery care at county level.

According to the 2014 DHS survey, over 95% of women in Nyanza and Western region received antenatal care from a skilled provider leading to the lowest neonatal mortality of 19 deaths/1000 in the country. While this is encouraging, Nyanza has the highest rates of under-five mortalities of 82/1000 while the Western region recorded 64 deaths/1000 live births. This could be attributed to Lake Victoria being an endemic malaria zone with the highest malaria prevalence rate of 27%¹.

The 2014 – HIV County Profile identifies the Nyanza region as the most affected with Homabay, Migori and Kisumu counties having the highest prevalence of HIV at 25.7%, 23.7% and 19.3% respectively. These are three to four times higher than the national rate at 6%.

While investment into the health sector is expected to increase, inflows into direct development projects in Kenya may see a downward trend following graduation of Kenya into a lower middle-income country in 2014. The funding challenge is compounded as donor funding has become very competitive and restrictive. This calls for innovative ways to meet new donor requirements and at the same time strengthen base for sustainable funding through entrepreneurial income generating activities.

One major challenge in 2017 is the political instability in Kenya following the election process which has left the country deeply divided. Located at the heart of opposition stronghold, SWAP's operations have been adversely affected leading negative revenue flow as staff were unable to perform duties in the field. In addition, a few donors delayed funding/ starting new projects until calm is restored. A risk management framework is needed to help mitigate adverse effects of post-election turmoil that might follow into 2018.

Direction of 2018 – 2019 Strategic Plan: Revised SWAP's mission:

The current SWAP's mission statement was considered ineffectual in conveying the organization's aspiration in a concise and clear way to staff and external stakeholders. A new mission statement was defined and approved during the strategic meeting.

The previously held mission statement: *"To improve the quality of life of the vulnerable in the community by building their capacities and supporting them to develop profitable health oriented microenterprise"*.

Has been replaced by the following mission statement:

¹ <http://www.who.int/features/2017/vector-control-kenya/en/>

“To provide innovative solutions for improved health and economic status of communities”.

Direction of 2018 – 2019 Strategic Plan: Highlights from the organization assessment:

To inform strategic initiatives for the 2018 -2019 period, an organizational assessment was carried out. This involved an online survey and one on one consultation with management and representation from staff. A total of 11 out of 15 staff participated in the survey. One on one consultations were held with 10 managers and 5 staff.

From the survey, an average score of 80% was recorded across the organization. The table below highlights performance across five key areas: Work engagement was highest at 87% followed closely by communication and relationship management at 83%. When combined: Impact, Finance and Safety came in third with 80%. The two lowest performing categories were organization’s culture at 70% and Career and Professional development coming last at 70%.

Figure 1:SWAP's Current State: Organization Performance.

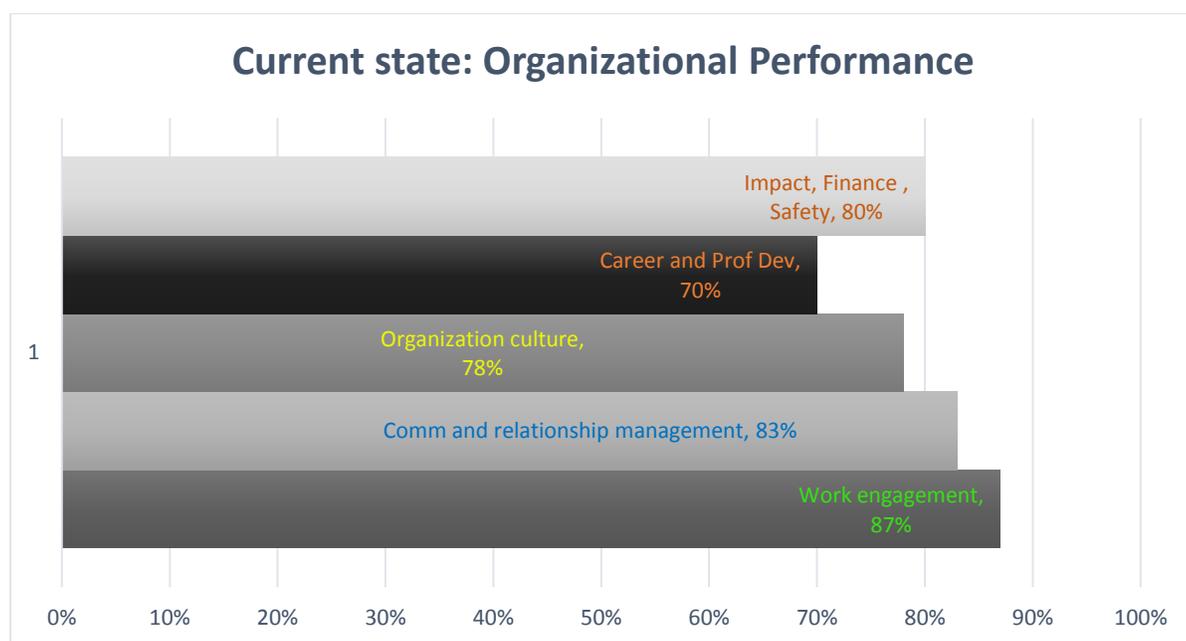


Table 1. below summarizes the top and least performing categories. At 96%, staff scored highest in staff engagement and impact categories. This is a strong indication that staff understand their roles and are equally inspired to achieve goals. Following closely, 93% of staff interviewed understood how their work contributed to achieving organization goal. This is further supported as 91% of staff interviewed have a strong believe that their work positively impacts other people’s lives. Wrapping up the top five, also at 91% is the good relationships enjoyed between staff and their supervisors.

The least performing categories were split in three main categories: organization’s culture, (how work is done), people management (professional and career development) and financial stability of

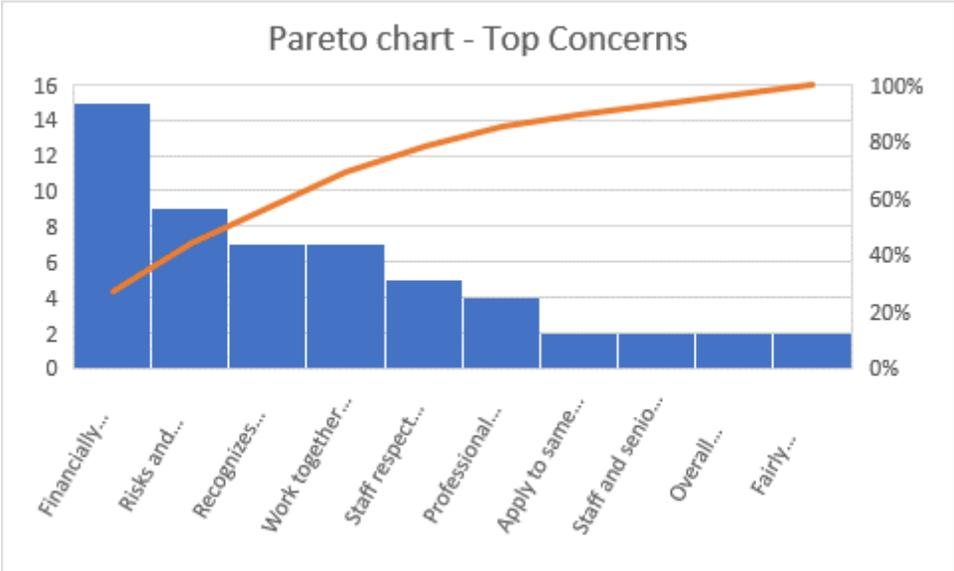
the organization. At the very bottom is that only 62% of staff feels they are fairly compensated based on market rate. Financial stability of the organization was a concern to 36% of staff interviewed. Linked closely to the last two is that only 65% of staff are satisfied with the overall compensation. With regards to career development at 69% - a small majority (31% of staff) would like to see this improved. Capping up the least performing category at 71% is the ability of staff to proactively identify risks and opportunities. Detailed report on findings is available separately.

Table 1: Top and Least Performing Categories:

Inspired to achieve goals	96%
Understand how work impact organizational goal	93%
Good relationship with supervisor	91%
Organization's work positively impacts other people's lives	91%
Employees proactively identifies risks and opportunities	71%
Satisfied with professional development	69%
Satisfied with overall compensation	65%
Organization financially stable	64%
Fairly compensated compared to local market	62%

The findings from the online survey were corroborated with one on one interview with staff and management. As highlighted in Figure 2 below, the two top concerns to staff were the financial status of the organization and the lack of risk management system. Organized into a pareto chart, we see that these two issues make up close to 50% of all the concerns raised by staff.

Figure 2: Key Concerns of Staff and Managers – Interviews:





- in measurable terms. A goal is a number that quantifies the operational and/financial performance of an organization in response to the set objective.
3. **Strategies:** In words, these are the different initiatives/activities that when successfully implemented will result in the identified goal (s) and objectives SWAP seeks in the next two years.
 4. **Measures:** In numbers, these are indicators SWAP will track towards progress in achieving specific strategies.

Figure 3: Component of Strategy

Objective:

Considering findings of the organizational assessment, SWAP management developed two objective statements to set direction and guide its operations over the next two years. The 2018 -2019 objectives are:

- 1. Increase the financial stability of the organization.**
- 2. Improve health and economic status of the Communities.**

Due to lack of baseline data, the goal for the second objective will be determined within the first quarter of the 2018. The following section documents the goal, strategies and measures for the first objective: Increase the financial stability of the organization.

Goal:

To establish the goal toward achieving financial stability, a review of the financial standing of the organization was done. It was determined that the organization was running a financial deficit that if left unchecked will adversely affect operations. Stop gap and short-term strategies such as reduction in staff time were already being implemented but were believed not sustainable. Managers discussed at length and agreed to adopt the following stretch financial stability goal:

Reduce organizational deficit to zero by end of 2019.

Strategies for reducing financial deficit to Zero:

At least 20 strategies were identified to increase the financial stability of SWAP. In view of the principle of focusing on fewer more effective strategies, the team categorized the 21 strategies into four categories: 'Must do', 'Maybe', 'Wait' and 'Don't do' as documented in Table 2 below. Of the 21 strategies, 12 were categorized as Must do, six (6) in the Maybe list and three (3) in the Wait.

Table 2: Must do Matrix

<p><u>Must:</u></p> <ol style="list-style-type: none"> 1. Work and win proposals. 2. Work within the budget. 3. Negotiate with the donor during project design 4. Review targets* 5. Tap into foreign exchange gains 6. Marketing for the lab and guesthouse. 7. Increase publicity (membership and networking) 8. Write more publications. 9. Set limit on use of IGA funds. 10. Develop and use long term cashflow projections 11. Training of staff in financial standards and procedures. 12. Develop robust risk management strategy 	<p><u>Maybe:</u></p> <ol style="list-style-type: none"> 1. Wean out sustainable projects 2. Review personnel responsibilities and costs 3. Review level of effort 4. Have clear picture on staff not on 100% to include in last minute proposals 5. Partnerships with people who offer training opportunities 6. Set out new targets*
<p><u>Wait:</u></p> <ol style="list-style-type: none"> 1. Consultancy Services. 2. Design incentives for staff 3. Automate processes 	<p><u>Don't do</u></p>

*- Review and setting of targets were later merged as one under the must category.

Prioritizing the Must do strategies:

The must do strategies were ranked in terms of scope of control, relevance to the goal, resources requirement, expected results and buy in required. Table 3 below summarizes the results. The top performing strategies: tapping into foreign exchange gains and increasing publicity were considered important and since there was a good system in place to ensure they are implemented, the management selected a total of six strategies to deliberately focus on in 2018 – 2019. The same logic was applied to negotiating with donors. The 2018 -2019 strategies to reduce financial deficit to zero include:

1. Working within the budget
2. Set limit on use of IGA funds
3. Review and set targets
4. Marketing for the lab and guesthouse
5. Training of and management in financial standards and establishing a robust risk management framework to ensure goals are met.
6. Long-term cash flow projection

Table 3: Prioritizing Must do strategies

Strategies	Scope of control	Relevance	Minimal resources	Expected results	Buy in	Total	Rank
Tap into foreign exchange gains	8	9	9	8	9	43	1
Publicity (membership and networking)	8	8	7	8	9	40	2
Working within the budget	7	8	7	8	8	38	3
Set limit on use of IGA funds	7	8	7	8	8	38	3
Review and set targets	7	8	9	7	5	36	5
Marketing for the lab and guesthouse	7	8	6	7	8	36	5
Training of staff and management in financial standards and systems and establishing robust risk management system	8	8	5	7	8	36	5
Program design -Negotiating with the donor	3	7	8	8	9	35	8
Long-term cash flow projection	6	8	5	8	5	32	10
Work and win proposals	3	7	7	5	9	31	11
Publication	3	6	8	2	9	28	12

Measures:

For each of the strategies, the management identified activities to be implemented and indicators to be tracked towards progress on strategy, goal and objectives. The following table is a summary of measures identified.

Strategies	Measures
Working within the budget	Undertake a monthly Variance analysis Ensure all requisition form have an updated amount available considering commitment and cash advanced. (Revise purchase form to include amount available and specific budget line). Revise cash advance form and purchase forms to include balance and advance on each project.

Set limit on use of IGA funds	Develop a budget for IGA
Review and set targets	Develop cost analysis of sales centers
	Review IGA expenditures (Jan to Jul 2017)
	Analysis of sales reports (Jan to Oct 2017)
	Identify fast moving products per center
	Capital requirement for Kisumu center
Marketing for the lab and guest house	Market research to review other suppliers of similar products
	Explore alternative ways of marketing
	Introduce incentives for exceeding targets
Risk Management to ensure goals are achieved and Training of staff and management in financial standards and systems	Final accreditation by KENAS
	Use networking opportunities to present about the water lab
	Post the water lab and Guest house on SWAP website
	Door to door marketing of water lab
	Production of Water lab and Guest house flier
Long term cash flow projection	Capacity building of staff
Long term cash flow projection	Prepare Quarterly cash flow projections
	Review income and revenues and expense analysis
	Management team recommendation and decision making by the Board

Management Framework for 2018 -2019 Strategy:

In line with the first principle, linking measures to strategic goals and the frequent review of strategic goals, the management team came with the following timeframe for implementing the measures and following up on performance.

Strategies	Measures	Direct Responsible Individual	Supported by	Deadline
Working within the budget	Variance analysis	Country Director	Budget holders	24/11/2017

	Purchase Requisition form (amount available, budget line)	HR/Admin Officer	Procurement Officer	24/11/2017
	Revise cash advance form to include balance and advance	Finance Manager		24/11/2017
Set limit on use of IGA funds	Develop a budget for IGA	HR/Admin Officer	Finance Manager, Lab/Research Manager, Program Manager	30/11/2017
	Cost analysis of sales centers	Finance Manager		24/11/2017
	Review IGA expenditures (Jan to Jul 2017)			24/11/2017
Review and set targets	Analysis of sales reports (Jan to Oct 2017)	Data Assistant		24/11/2017
	Identify fast moving products per centre	Procurement Officer	Field Officers and Sales & Marketing Officers	24/11/2017
	Capital requirement for Kisumu centre	Procurement Officer	Support from Field Officers	24/11/2017
	Market research to review other suppliers of similar products	Procurement Officer	Admin Assistant and HR/Admin Officer	30/11/2017
	Explore alternative ways of marketing	Community Support Officer	Procurement Officer, Field Officers and Front office desk	
	Introduce incentives for exceeding targets	Finance Officer	M&E Manager and Programs Manager	20/12/2017
Marketing for the lab and guest house	Final accreditation by KENAS	Lab/Research Manager	Finance Manager and Country Director	20/12/2017 to July 2018
	Use opportunities to present about the water lab	Lab/Research Manager	Country Director, Technical Advisor, Program Manager and Study Coordinator	On going
	Post the water lab and Guest house on SWAP website	M&E Manager	Data Manager	20/12/2017

	Door to door marketing of water lab	Lab/Research Manager	Lab Staff	On going
	Production of Water lab and Guest house flier	Lab/Research Manager	Country Director, Procurement Officer, HR/Admin Officer	30/11/2017
Risk Management to ensure goals are achieved and Training of staff and management in financial standards and systems	Capacity building of staff	Country Director	Country Director	Jan-18
Long-term cash flow projection	Quarterly cash flow projections	Country Director	Budget holders	20/12/2017
	Review income and revenues and expense analysis	Finance Manager	Finance Manager with support from budget holders	On going
	Management team recommendation and decision making by the Board	Country Director	Country Director and Technical Advisor	On going