

## Global Partnership for Social Accountability (GPSA) Grant Application Form | Word Version

GPSA requires that all grant applications be submitted using an online application form. Applicants may use this Word version to work on the grant proposal offline, and copy and paste its contents into the e-application. Please refer to the GPSA website at [www.worldbank.org/gpsa](http://www.worldbank.org/gpsa) to find the link to the e-application, to download this document and the Application Guidelines. You may contact the GPSA Helpdesk at [gpsa@worldbank.org](mailto:gpsa@worldbank.org) for questions about the grant application process.

### PART 1 OF GPSA APPLICATION

#### SECTION 1: PROJECT BASIC DATA SHEET

<b>1.1 Project Title.</b> Insert name of Project.
<i>Improving social accountability in the water sector through the development of quality standards and citizen participation in monitoring</i>
<b>1.2 Country where the Project will be implemented.</b> Mark all that apply. <i>[List of participating countries will show in e-application]</i>
Tajikistan
<b>1.3 Project Overview</b> <i>[Click on text field in e-application to complete the list of questions below in pop-up window]</i>
➤ <b>Recipient/executing organization name.</b> For mentoring proposals, name of mentor organization.
Oxfam Great Britain
➤ <b>Address of recipient organization.</b> Please make sure address includes the country.
➤ <b>Country in which applicant CSO is a legal entity.</b> Please select from list below. <i>[List of participating countries will show in e-application]</i>
Tajikistan
➤ <b>Mentee(s) organization(s) name(s)</b>
n/a
➤ <b>Project Manager.</b> If manager not appointed yet, indicate name of Project main contact person.
➤ <b>Phone.</b> Include country area code.
➤ <b>Email</b> of main project contact person.
➤ <b>Project implementation period: Start date.</b> Estimated date when the Project would begin receiving GPSA funding; an estimated start date should be anytime after July 1st, 2013. If the Project is already being implemented, please explain so under Part 2: Project Description/Description of Components and Activities
01/07/2013
➤ <b>Project implementation period: End date.</b> Estimated closing date should be between 3 to 5 years after Project start date.
30/06/2017
➤ <b>Project geographic scope:</b> Indicate if project will be implemented at the (a) National level or (b) Sub-national level only. If (b), specify geographic areas covered by the project
National level for policy purposes, and sub-national level for activities implementation in 8 districts: Rudaki,

Muminabad, Kulyab, Vose, Farhor, Vakhsh, Bokhtar, Qumsangir
➤ <b>Requested GPSA Grant amount. Total Project cost.</b> (in US dollars) Requested amount should range from US\$500,000 to US\$1,000,000; requests below US\$500,000 may be considered depending on the Project's duration and characteristics. GPSA financing may cover 100% of total project cost but it should not exceed 50% of the organization's total operating budget.
<b>USD 850,000</b>
➤ <b>Total Project cost. (in US dollars)</b> Overall project cost, including GPSA requested funding.
<b>USD 850,000</b>
➤ <b>Financing sources.</b> Additional financing sources. If yes, please list them and include the budget amount contributed by these sources to the Project.

## SECTION 2: PROJECT OBJECTIVES

### 2.1 Describe the proposal's core objective(s), distinguishing between the higher-level goals that guide it and the specific, strategic objectives that are expected to be achieved during the project's time frame.

**Project objectives** describe outcomes by explaining the intended benefits (physical, financial, institutional, social, or other types) to a specific community/group of people or organizations, and/or institutional changes that are to be realized, through one or more interventions. The intended benefits should be:

- Measurable and
- Specific.

By reading a PO, one should be able to determine which group is being targeted directly by the project and what they will be doing better or differently as a result of the project interventions. The nature of the outcome(s) described in the PO should be based on a realistic (and evidence-based) assessment of what effect can be achieved with the available resources (and inputs provided by the Project) over the relevant time horizon using the approach being pursued. Outcomes described in the PO will have to be defined later on in the Proposal's results framework, through indicators, which are often, but not always, quantifiable and measurable or observable. Some indicators are qualitative. In some settings, desired outcomes may include changes in people, organizational or institutional processes, practices, behaviors and relationships, which may best be tracked through qualitative data.

[MAX 300 WORDS] > 292 words

The project's high level goal is to lead to an increased engagement from the beneficiary populations in Tajikistan in monitoring the performance of the water supply and sanitation subsector (WS&S) – an engagement in terms of participation in feedback mechanism, opportunity to claim for better service management, and better gender mainstreaming in further initiatives.

To reach this goal, the project is articulated around four interlinked strategic objectives.

1. The project will achieve a knowledge and learning outcome - especially in terms of gender mainstreaming needs in the subsector, crucial to furthering initiatives in the field of social accountability, in particular towards women, usually suffering disproportionately from poor quality of water services.
2. The project will achieve a policy outcome, with the development of a new set of service performance indicators, to be endorsed at the national level. A realistic and comprehensive set of monitoring indicators is necessary to measure the achievement of agreed standards and will be used by civil society to strengthen the subsector's regulatory basis.
3. The project will achieve an institutional outcome, through the development of a civil society-based

monitoring mechanism, based on a partnership with the existing structure of the Consumers Union of Tajikistan (CU) and opening the way for citizens' participation. This monitoring framework will be developed and strengthened in key areas, and connected to the national level. Feedback will then be channeled throughout the coordination framework set up by an ongoing Oxfam project at all levels of decision-making in the subsector.

- The project will achieve capacity outcomes in target areas: raising awareness of women and men regarding their consumer's rights, responsibilities and opportunities to participate, through the civil society-based mechanism, in the monitoring of service delivery; and building the capacity of service providers of strategic importance in client-oriented management.

2.2 **Indicate the proposal's focus area.** Please mark all focus areas that apply to this Project.

Social accountability initiative or program	<input checked="" type="checkbox"/>
CSO Institutional strengthening	<input checked="" type="checkbox"/>
Capacity-building and technical assistance	<input checked="" type="checkbox"/>
Mentoring [one or more of the above through mentoring]	<input type="checkbox"/>

2.3 **GPSA Pillars of Governance.** Which GPSA "pillars of governance" are addressed by the proposal? Mark all that apply.

Pillars of Governance	GPSA Expected Outcomes (Program level)	Pillars addressed by the Project
<b>Transparency</b>	➤ People are able to <u>get more information</u> about government activities and are able to <u>use this information</u> effectively	X
<b>Representation and voice</b>	➤ People have a <u>mechanism</u> and/or <u>policies</u> through which they can voice their concerns to the government and influence policy	X
<b>Accountability</b>	➤ Governments are more accountable to beneficiaries in delivery of services and in management and use of public resources	X
<b>Learning for improved results</b>	➤ GPSA beneficiaries have greater knowledge and practice of social accountability, and civil society organizations have greater capacity to implement social accountability initiatives	X (this is a required area for all Grant Applications)

2.4 **Project Goals and CSO's Mission.** Relate your proposal's goals and objectives to your organization's mission, objectives and existing program areas. Explain clearly how the proposal fits within your organization's work. If you wish to attach supporting materials about the Project or your organization's work, you may do so at the end of the application, or you can include a website link in your answer.

[MAX 400 WORDS] > **399 words**

Oxfam's rights based approach to development means that all of our work should strengthen the ability of women and men living in poverty to demand and protect their rights, and ensure that governments and institutions fulfill their obligations to respect and promote the rights of poor people.

Oxfam in Tajikistan has been working to improve access to and quality of drinking water supply and sanitation

services for several years. Currently, Oxfam is implementing the **Tajikistan Water Supply and Sanitation Project** (TajWSS, [www.tajwss.tj](http://www.tajwss.tj)) which presents a sector-wide approach to address many of the challenges facing the subsector in Tajikistan. The main objective is to improve access to water and sanitation services for rural populations, by implementing innovative technologies and improved management practices; by strengthening cooperation through the network of stakeholders; by improving the policy environment through the policy dialogue component and the Inter-Ministerial Coordination Council (IMCC); and by establishing a decentralized and streamlined funding mechanism at the district level.

The strategic objectives of this project will directly complement Oxfam's action, by facilitating a civil society based monitoring mechanism through the CU, the empowerment of civil society and by increasing the participation of consumers in subsector regulation.

Additionally, the project's aim to develop minimum service performance standards will complement existing work. Through the TajWSS Network and under the authority of the Ministry of Health (MoH), water quality and health indicators for Tajikistan are being developed. These, combined with the minimum performance standards will establish a comprehensive set of both product and service quality standards.

Advocacy, awareness raising and capacity development programs are underway through the work of TajWSS. This project aims to build upon this and will increase both the scope and geographic focus. Additional target audiences (and main participants in civil society monitoring), such as consumers, Community Based Organizations (CBOs) and operators will be the focus of awareness raising and information dissemination campaigns, while capacity development for operators and subsector regulators will be scaled-up in new geographic locations.

The project will work at national / policy level, and at local level in 8 districts: Rudaki, then Muminabad, Kulyab, Vose, Farkhor, Vakhsh, Bokhtar, Qumsangir. It will complement Oxfam's work in the water sector in Rudaki and Muminabad, and in economic development in the south districts.

Gender will be a key feature and the project provides the opportunity to develop gender mainstreaming through the collection and dissemination of gender-sensitive knowledge and learning.

**2.5 Project Beneficiaries.** Please identify the project's beneficiaries. *[Click on text field in e-application to complete the two sub-questions*

**2.5.1 Project's main direct beneficiaries.** People benefiting directly from the Project's outcomes. This involves identifying people for whom the project is intended to bring changes, e.g. **population from targeted areas** benefiting from improved access to or use of specific services, and for whom the change in policy or practice will make a difference in their lives. If the project intends **to engage people from poor and vulnerable groups**, please make sure **to explain clearly how are they going to be engaged in the Project, including what is expected in terms of outcomes** that will benefit these specific groups.

[MAX 250 WORDS] ~~111 words~~

The project will be located in Rudaki and in the Khatlon region in the south, where Oxfam is established amongst local communities. Oxfam has supported the establishment of 49 CBOs in the Khatlon region and an additional 64 CBO's are expected through a new project starting in the spring. The project will work through these CBO's to reach out to the beneficiaries.

Expected outcome:

By 2017, least 24 communities, i.e. approx. 84300 people (51% women) will have access to and participate in newly established water service monitoring systems, thus contributing to an improved quality of life.

The 8 targeted districts are:

In capital city Dushanbe's region: Rudaki.

In southern Tajikistan - Khatlon province: Muminabad, Kulyab, Vose, Farhor, Vakhsh, Bokhtar, Qumsangir.

Oxfam's choice of districts is based on several factors:

- Experience, knowledge of the situation and presence in the field: Oxfam has already ongoing activities in these 8 districts and this provides the basis for the selection of the 24 communities, within which Oxfam has been building connections, capacity and leverage for further action. Oxfam's presence in the districts can be summarized as follows:
  - In 2 districts (Rudaki and Muminabad) Oxfam is active in the water supply and sanitation subsector through the TajWSS project. Oxfam has gained a solid knowledge and experience working with WS&S actors in these areas and connecting them to the national level for policy discussions and recommendations on the one hand, and implementation of decisions made at government level on the other hand.
  - In 3 districts (Muminabad, Kulyab, and Vose) Oxfam works for the improvement of sustainable livelihoods practices under Oxfam's Leverage and Resource Scarcity Challenge Fund. Through this project 49 Community Based Organisations CBO's have been established and made operational. This enables Oxfam to rely on a firm basis for all its community mobilization activities in the area.
  - In 7 districts (Kulyab, Vose, Farkhor, Vakhsh, Bokhtar, Jomi, Qumsangir) Oxfam develops activities for agricultural extension services and machinery provision. Through this project, an additional 64 CBO's will be created and a constructive dynamics generated for cooperation with local stakeholders and local authorities. This will further strengthen Oxfam's positioning in the area for community mobilization and cooperation with stakeholders.
- Presence of specific investment issues at stake in the target region: Tajikistan's southern Khatlon province is considered the poorest region of Tajikistan and a lot of efforts have been undertaken for several years to improve standards of living for the local population. In particular, major investments have been made by donors in the water sector, including by the World Bank. Oxfam's TajWSS project has paved the way for significant improvements in terms of policy and sustainability in the WS&S from its work in this area, so that decisions to invest are made on the basis of enhanced understanding, cooperation and management of water needs and opportunities. But further work needs now to be done downstream, to generate feedback on the financially-supported services and in turn use this feedback to improve these services. The project's selection of districts will allow to work on the notion of accountability in service provision specifically in those areas where (World Bank) investments are made, thus improving the efficiency and sustainability of the invested funds.

Also, it is to be noticed that in Kulyab, Vose and Farkhor districts the World Bank has been implementing the Municipal Infrastructure Project whose objective is to support the Government of the Republic of Tajikistan (GoRT) to provide accessible, reliable and good quality basic municipal services to the population. The World Bank is also to launch a Communal Services Trust Fund whose coverage might include the proposed GPSA project's target area.

- Representativeness: the rationale for selecting these 8 districts is also to strike a balance to ensure government's interest and cooperation. First, the 8 districts constitute more than 10% of Tajikistan's districts, making them a highly representative sample of the WS&S subsector in the country - in particular in terms of opportunity for cooperation with local authorities but also in terms of population, as these 8 districts account for more than 18% of the total population. Also, as mentioned one of the key

issues for the subsector lies in the regulator’s lack of capacity. In particular the regulator KMK does not have representation in all of Tajikistan’s districts. The selected districts include areas where there exists such a representation, and others where there is not, so that a balance will be stricken to ensure a comprehensive – and complementary – cooperation with regulatory authorities.

Also, members of the Network will benefit from information sharing and empowerment through policy dialogue.

**2.5.2 Project’s indirect beneficiaries.** Wider community benefiting from potential Project outcomes and impact. For Projects focusing on governance reforms, expected outcomes and impacts may benefit the country as a whole.

[MAX 100 WORDS] **>86 words**

Indirectly, the wider districts population (8 districts, 1,281 608 inhabitants) will benefit from better access to information, improved cooperation with local authorities and water service providers, who will also benefit from clearer standards.

As a result of the policy outcome focused on service delivery in the WS&S sector and in particular women, the total population of Tajikistan will be reached.

Finally, the civil society-based monitoring mechanism will be replicable in its structure in other regions, with potential for scaling-up and thus targeting larger numbers of beneficiaries.

### SECTION 3: PROJECT DESCRIPTION

**3.1 Sectors of Focus.** *[Click on the text field in the e-application to mark your answer(s)]*

Please mark the sector(s) of focus of the proposal		Mark proposal’s scope for the sector(s) indicated		
		National	Regional (in-country)	District/Local
<b>Core public sector focus</b>	Transparency/Access to Information	x	X	x
	Budget Accountability		X	x
	Procurement			
	Anti-corruption			
	<b>Other (please specify)</b>	Monitoring of quality of service delivery generating information for public regulators and decision-makers to improve service		
<b>Sector focus</b>	Education			
	Health and nutrition			
	Social protection			
	Water and Sanitation	X	X	x
	Energy			
	Transport (roads/public transport)			
	Natural resources			
	<b>Other (please specify)</b>			

**3.2 Project Strategy.** The Project must spell out a clear strategy to generate changes and deliver tangible results. The *strategy in this context* refers to the courses of action that will be prioritized and taken by the Project to achieve its expected outcomes. The Project’s strategy is broader than the choice of specific social accountability “tools” or mechanisms, and should also consider other dimensions such as constituency-building (including national and sub-

national level options), alternatives for engaging with the state, communications and outreach, among others.

*[Click on text field in e-application to complete the 5 sub-questions in pop-up window]*

**3.2.1 Summary of Project strategy.** Describe the governance and/or development issues that will be addressed by the project (“What?”) Summarize the project’s strategy to achieve the proposed changes and reforms. (“How?”) If the Project’s focus is institutional strengthening of CSO(s) only, please summarize the Project’s institutional development strategy. In which ways will it link with the implementation of social accountability activities by beneficiary CSO(s)?

[MAX 200 WORDS] > **180 words**

The WS&S subsector in Tajikistan has recently experienced positive changes: in policy, with the appointment of a unique regulator and through an improved coordination mechanism among relevant actors.

With the adoption of the law on “Drinking Water and Water Supply” passed on 29 December 2010, Tajikistan now has a separate law which specifically relates to the drinking water and sanitation sector and that complies with all relevant international standards and principles. The passing of the law has established a rights-based approach to clean drinking water whereby access to drinking water is a legal entitlement. The law introduces the notion of consumers’ rights and responsibilities through Article 22 “The rights and obligations of consumers of drinking water” and Article 23 “Information on drinking water supply issues”. The proposed GPSA project will therefore contribute to the putting into operation of these articles in the new law. The law also broadens the concept of ownership to allow for non-state actors to become system owners, contributing to improved service delivery and long-term sustainability.

The IMCC was officially established on September 13, 2011. The importance of the establishment of the IMCC is that it is a cross-ministerial body with a mandate to coordinate state policy regarding the WS&S subsector in an effective and streamlined way. It is evident that together with the passing of the law on Drinking Water and the establishment of the IMCC, the GoRT sees the WS&S subsector as an important and independent policy area.

On December 31, 2011, by Presidential Decrees, #679 and #680, State Unitary Enterprise Khojagii Manziliyu Komunali (SUE KMK) was appointed as the sole entity responsible for the coordination of the WS&S subsector, for both urban and rural areas of Tajikistan. Subsequently, Decree #247, issued on May 18, 2012, solidified this role as the mandates of SUE KMK and the MoLRWR were clarified and the responsibility over the rural WS&S subsector was transferred to SUE KMK. Although there are some concerns over the roles and responsibilities of SUE KMK, as both an operator and regulator, the work to be undertaken on the social accountability side will be instrumental in addressing this conflict of interest by drawing KMK’s focus to their regulatory role, and the appointment of a single entity responsible for the coordination of sector related activities has a significant impact for the sector. This decision will streamline sector related activities by reducing the number of actors involved in their coordination and reduce some of the redundancy and confusion concerning roles and responsibilities.

However, service performance remains poor; standards do not reflect the levels of service expected by the population and as mentioned a conflict of interest persists at the regulatory level. There is little opportunity for the population to claim for a better service - a fact all the more crucial for population groups underrepresented in decision-making such as women. Poor transparency and accountability of government-run service providers remains the norm, leading to a lack of trust among customers and accordingly unwillingness to pay for services; thus decreasing revenue streams for operators, therefore unable to improve service levels.

Consequently, this project tackles these issues: by improving service standards and by giving a voice to the population to monitor government performance, provide feedback to the government largely through the partnership with and institutional strengthening of one CSO, CU, which is already working on citizens’ rights to accountability, and partnering with community-based organizations in close cooperation with authorities at all

levels.

**3.2.2 Strategy for building multi-stakeholder support.** What is the strategy for building multi-stakeholder support for the project? Which strategic pathways will be used? (e.g. coalition-building, use of networks, targeted outreach to change agents across diverse stakeholder groups, such as private sector, media, others; strategic coordination of local and national civil society monitoring interventions; use of transnational networks and coalitions; use of international standards and independent monitoring mechanisms; among others) If the Project's focus is institutional strengthening of CSO(s) only, please explain how the proposed activities will improve beneficiary CSO(s)' capacities for building multi-stakeholder support for its social accountability work."

[MAX 200 WORDS] > ~~185 words~~

We will build on the good will and interest generated by our work in the drinking water sector which has enabled us to build coalitions for addressing problems in a coordinated manner.

Oxfam is currently the facilitator of the TajWSS Network of Stakeholders, which has become a forum where improved coordination and communication among key sector related stakeholders has been realised, not only in terms of the sharing of best practice, but also as a platform where tangible policy solutions and recommendations have been developed in a collaborative and participatory manner.

The Network of Stakeholders gathers representatives from:

- The government of Tajikistan, through the active participation of 18 ministries and agencies, the main ones being:
  - Presidential Apparatus, Department on Architecture and Construction
  - Ministry of Land Reclamation and Water Resources (MLRWR) and subordinate agency
  - Ministry of Health, Sanitary and Epidemiological Surveillance (SES)
  - Committee on Environmental Protection of GoRT
  - Ministry of Economic Development and Trade (MoEDT)
  - Agency for standardization, metrology, certification and trade inspection of the GoRT (Tajikstandart)
  - State Unitary Enterprise "Khojagii Manziliyu Kommunalii" of GoT (Housing Services)
  - Ministry of Finance of the RT
  - Ministry of Justice of the RT
  - Ministry of Agriculture of the RT
  - etc
- Hukumat from target areas.
- International organizations and donors, such as the World Bank, but also United Nations agencies, the Swiss Cooperation Office, the Asian Development Bank, the European Bank for Reconstruction and Development, the UK Department for International Development, the European Union Delegation, the International Fund for Agriculture Development, the Japan International Cooperation Agency, the United States Agency for International Development etc.
- The media.
- Civil society, with such organizations as the Consumer Union of Tajikistan.
- The private sector.
- Academic circles: Tajik Technical University.

In the framework of this network, thematic WG have been established, including groups on Tariff Policy, Taxation Reform, Inventorisation and Construction Permit Approval in the spear of Drinking Water Infrastructure, to organize and carry out research on specific, identified issues, and to produce



recommendations leading to the preparation of policy papers. Once endorsed by all stakeholders these policy papers are submitted to the IMCC for approval, then implementation, or if the IMCC considers that modifications are needed, thematic WG resume their work and re-submit a policy paper integrating IMCC's comments. In a word, the work of these thematic WG has provided valuable expertise to the development of innovative new ideas and subsector related solutions. So far 13 working groups (WG) have been established (producing so far 8 policy papers, among which 5 were ratified by the GoRT, on issues such as tariff policy, ownership, taxation, etc). Oxfam has also been active in a specific thematic WG on water quality and health indicators under the supervision of the Ministry of Health and has now just been asked for support by the Ministry of Justice to work on the revision of the Water Code.

As an illustration, in 2012 only, two IMCC meetings were conducted, supported by a series of thematic WG meetings in the result of which nine joint initiatives for creating an enabling environment and improving legislation in the WS&S subsector were submitted to the GoRT by the IMCC.

The main issues that have been addressed in the context of the TajWSS Network of Stakeholders include:

- administrative procedures and permits for construction of drinking water supply systems, leading to a simplification under the “Single Window” procedure. The Single Window project is supported by the World Bank and Oxfam has been building on this effort to bring results in 2 pilot districts, Rudaki and Muminabad.
- ownership and operational management rights: clarification of the role of non-state actors in the WS&S subsector and removes the public monopoly on ownership and service delivery.
- tariff policy; including tax reform recommendations.
- institutional framework for the rural drinking WS&S subsector; the policy paper was adopted by the TajWSS national Network. This paper presented a coherent structured framework for the drinking water sector with specific recommendations on regulation, ownership and operation. Its main recommendations are beginning to impact governmental decision-making in the pilot districts.
- methodology for technical inventory of drinking water supply systems: the policy brief was approved by SUE KMK and will contribute to improving the level of available data for the subsector, allowing for more effective sector-wide planning.
- vital systems roster of drinking WS&S systems; and human rights based approach to water governance – strengthening accountability, transparency and citizen participation in drinking WS&S management.
- Water Trust Funds and the requirement for government co-financing have been well accepted, testifying of the GoRT's approval of efforts undertaken through the TajWSS project.

The impacts of these developments stretch far beyond the reach of the project and produce external impacts for all organizations, governmental and non-governmental, UN Agencies, international donors and civil society and private sector actors working in the WS&S subsector. The TajWSS Network of Stakeholders has been well positioned at the national level to make considerable contributions to several multi-lateral and government-led programmes, such as ‘On the Improvement of Clean Water Supply for the Population of the Republic of Tajikistan 2007-2020.’ It has successfully advocated for the passing of national Law On Drinking Water in 2010, revisions or alternate application of tariff policy and improved and innovative approaches to management, operation and service delivery, all central components to the government-led programme.

The recognition and legalization of civil society and private sector organizations as operators and the decentralization and transfer of ownership, central to the policy brief on the Institutional Structure and on the Ownership and Operational Management Rights are providing an improved framework which all stakeholders can replicate. As recognized by the GoRT, community-based Water User Associations (WUAs) are the most effective form of rural WS&S system management and their further adoption and support, combined with

decentralized ownership, as advocated by TajWSS will lead to increased sustainability and improved service provision for rural populations. In addition, the knowledge and information which will result from the inventorisation will allow governmental stakeholders, but also state and non-state service providers to make more informed and effective decisions regarding Drinking Water Supply Systems (DWSS). Also, the work on tariff policy and the development of a unified tariff methodology will help facilitate the realization of full-cost recovery, greatly contributing to strengthened long-term sustainability and improved access to services.

As far as the inventorisation process is concerned, Oxfam has been cooperating with KMK in carrying out a quick assessment in all the country's human settlements of the situation regarding water infrastructure, both in quantity and quality terms. This ID mapping and benchmarking process has paved the way for further collaboration with USAID which has then supported the establishment of an Information Center under KMK's mandate where the population can access information on the availability of infrastructure. UNDP has also joined now in this effort to strengthen data collection and mapping for the country. The Information Center is to become a data incubator, and the proposed GPSA project will contribute to this effort by completing the system - which for now focuses on infrastructure - with information on *service*.

Continuing the work with the Network of Stakeholders will provide extensive opportunities for involving multi-stakeholders in the WG for the development of service performance indicators and to reach consensus on the application of the rules and informal norms for service provision, but also on the progress made and to facilitate activity implementation.

Within the Network, the Consumer Union of Tajikistan (CU) has been particularly active as a civil society organization. The CU has shown excellent human resources capacity and technical expertise and proved to be a very efficient actor in consumer protection. They have been particularly active in the energy sector, and have naturally found a great interest in working in the WS&S subsector. They have developed a solid methodology to mobilize consumers through the deployment of volunteers at local level to monitor service delivery and provide feedback to the central organisation; this feedback is then processed and diffused on a constant basis so that information on service delivery is accurate, up-to-date and available to all through the CU's website and reports. As a result they have become the best available communication line between government bodies and the field for consumer protection matters.

Oxfam has developed a good cooperation with this organization based on constructive synergies, among which: their technical expertise in consumer protection combined to Oxfam's pro-poor orientation; their experience in engaging in dialogue with state bodies and product / service providers combined to Oxfam's community mobilization experience and cooperation with local authorities and other key stakeholders in the target areas; their capacity for rapid, cost-effective mobilization combined to Oxfam's human and technical resources. These synergies have already been tested through the work undertaken under the TajWSS project: the CU has successfully taken the leadership of the thematic WG on ownership and actively participated in almost all other WGs. Also, they have been working with Oxfam on an awareness raising campaign for farmers on consumer rights. On the basis of this cooperation, it seemed a logical and constructive approach to involve them as a key partner of Oxfam's project to develop a civil society based monitoring mechanism for improved accountability in WS&S service delivery.

The rationale at the core of such a partnership is to develop together a comprehensive scheme: such a commonly defined scheme will benefit on the one hand from the CU's orientation in consumer protection and experience in mobilizing volunteers and compile information so that it is usable by government actors and operators, and on the other hand from Oxfam's policies for inclusiveness and improved access to services for all and specific experience in the WS&S subsector in the country. Additionally to this mutually benefiting

experience, such partnership will also ensure sustainability of the mechanism to be established: the framework developed will not rely on any organisation's monopoly for implementation (although remaining, during project implementation, under Oxfam's overall control) and through its flexible and volunteer structure will be able to continue beyond the project's funding. See details in Section 4 – PROJECT IMPLEMENTATION, 4-2. Role of Partners.

Moreover, in the Khatlon region, Oxfam has supported local communities and has built the capacity of 49 CBOs. As mention earlier in section 2.5.1, 64 more are under establishment to support inclusive economic development. These CBOs will play a key role in ensuring the civil society monitoring mechanism's sustainability as main drivers of the initiative at grass root level.

Oxfam will also use its existing partnership with local media institutions for outreach, communication and implementation of the awareness raising strategy. Participatory mechanisms for monitoring and evaluation will also be implemented.

**3.2.3 Strategy of constructive engagement.** What is the proposal's strategy of constructive engagement with the state (executive, legislative, judicial/national, sub-national, local, regional)? What actors are expected to use what type of information related to or generated by the Project, and how these actors will use such information? If the Project's focus is institutional strengthening of CSO(s) only, please explain how the proposed activities will improve beneficiary CSO(s)' capacities for constructive engagement with the state.

[MAX 200 WORDS] > **197words**

At the outset, the project shall secure commitment of national and local government target partners, with the objective to build a partnership in collaborative problem solving.

Oxfam will build on the political will and interest generated by its present work in the drinking water subsector, developing further the constructive cooperation relationship built with 18 ministry and agency members of the network, including the 12 ministry and agency members of the IMCC. Support will in particular come from the Ministry of Land Reclamation and Water Resources (MLRWR) and the Ministry of Health, Sanitary and Epidemiological Surveillance (SES) with whom Oxfam has built fruitful cooperation relationships through TajWSS.

The decision about the right partners will be taken based on the new roles and responsibilities of Government agencies clarified as part of the TajWSS project policy dialogue.

The project will use a pragmatic approach, cooperating with the regulator (SUE KMK) for the definition of the new performance standards; working extensively with the TajWSS network, in particular with the MLRWR as chair of the TajWSS steering committee; working extensively with Local Governments, service providers, CU, CSOs and CBOs in the target districts, building on Oxfam's experience and networks in these areas.

The constructive dialogue engaged with all these key actors will ensure that the project starts on the basis of a common understanding of the opportunities raised by the civil society monitoring mechanism.

Special attention will be put to ensure that this understanding of opportunities will result in the identification of **incentives for active participation** that are clear for all actors.

Mainly, the monitoring mechanism will be a key vector for a step-by-step approach to cooperation with the national regulator KMK, despite above mentioned institutional obstacles. KMK's main incentive for cooperation

lies in the fact that it lacks operational capacity to effectively monitor water service delivery. Already working with other organizations such as the European Bank for Reconstruction and Development and in other geographical areas, KMK will benefit from the information provided to improve its overall supervision work.

Service providers will also have clear incentives to use the monitoring results to improve their performance. The publication of information will entail further visibility for them, visibility towards the population / consumers but also towards regulators and public officials. Such a window will be a clear invitation to improve their work for non-compliant providers, but also an encouragement to continue their efforts and a good publicity for well-performing players.

Government officials, local (subnational) public authorities, and the MLRWR will use the mechanism to see directly in the field the effects of the policies implemented and the opportunities for further work, thus to better inform future policies. The mechanism will constitute for them a logical continuation of the work undertaken under the TajWSS project: after significant efforts put on the policy and service provision and management side, they will have then the opportunity to become informed on the consumer side. This in turn will help them better define strategies responsive to consumer rights but also responsibilities.

**3.2.4 Communications and outreach strategy.** What is the communications and outreach strategy for attracting the attention of different audiences, including the media? If the Project's focus is institutional strengthening of CSO(s) only, please explain how the proposed activities will improve beneficiary CSO(s)' communications and outreach capacities.

[MAX 200 WORDS] > 196 words

The project will be launched with meetings with key stakeholders in order to socialize them to the project's main objectives and build critical momentum for further activities. The initial target audience will include key government officials, national and local sub-sector regulators, strategically important operators in target areas, but also CBOs and women's rights organisations.

The project will then empower and support the CU to engage locally with CBO's using a clustered approach: centrally placed and well organized communities would be selected and networks established between these communities and neighbouring ones to facilitate the flow of information in the cluster.

The project will then conduct a public information campaign to build consumer awareness through key media institutions in order to reach a wide audience with the targeted population groups. These activities will build synergies with other initiatives as Oxfam is already partnering with Khatlon-based media organizations focused on the promotion of citizen's journalism.

The use of ICT tools will then contribute to transparency and communication, for instance through the use of a dedicated web platform at central level.

Throughout these initiatives, special attention will be paid to addressing women's needs and to promote women's inclusion and participation.

**3.2.5 Choice of social accountability mechanisms and tools.** What are the specific social accountability mechanisms or tools implemented or employed in the project? How will they contribute to the proposed outcomes? If the Project's focus is institutional strengthening of CSO(s) only, please explain how the proposed activities will improve beneficiary CSO(s)' capacities to design and implement social accountability mechanisms and tools.

[MAX 400 WORDS] >399 words

The social accountability approach will be developed using the following guidelines:

The launch of the project will include a thorough analysis of the situation / social accountability enabling environment: a Political Economy analysis in general and more specifically of the WS&S subsector, already being undertaken by Oxfam, with strong gender and power analyses.

This analysis will allow to assess stronger entry points, areas of resistance; the power analysis in particular will also identify precise incentives – already outlined in the previous section on constructive engagement – and motivations for blocking or facilitating changes.

On this basis it will become possible to determine with precision but flexibility which mechanisms and tools should be developed, for instance the use of community scorecards, and if external support is needed if internal expertise is lacking on some selected tools.

The analysis will not constitute a stand-alone study, but will be incorporated and updated as part of the Monitoring and Evaluation system: analysis will be ongoing to adjust output and outcome definition and take corrective measures if need be.

It will also serve as a mitigation tool to assess areas of possible risks and potential openings.

On top of specific social accountability tools, the general mechanism will function as follows:

**Feedback** will first be generated in two aspects:

- *Claims:* starting at local level, informed and capacitated beneficiaries in target areas will be enabled (directly or resorting to CU representatives) to submit their claims in case of issues to the service providers who will have been familiarized with and capacitated in consumer protection matters. Should claims be unsuccessful at this first level, beneficiaries will have the possibility to submit their claims to legal instances at subnational level. Any unsolved issue will go up to the national level through the mobilization of the CU, which will be able to use its legal teams and expertise to proceed with dispute resolution mechanisms in the case such issues are not directly solved by KMK. Claims will be recorded for monitoring purposes.
- *Reporting on monitoring of service delivery:* consumers, directly or through volunteers mobilized by the civil society mechanism – whether CU or Oxfam-supported CBOs – will provide regular information on the quality of service delivery according to defined criteria and indicate problems arising in a particular area and on a particular point. They will also check the number / levels of claims. With all this information, they will provide regular reports to government bodies and to the public on the negative but also positive outcomes in service delivery in the target areas, on consumer satisfaction and on the way claims have been solved or not.

Feedback thus generated will then be **used by key players in the subsector to improve services**. These key players will include: water service providers at local level who will have a direct overview of their performance; water regulators at local and national level who will receive a significant amount of useful information which

they cannot always collect by themselves; policy / government level bodies interested in obtaining a clear overview of policy implementation in the field in pilot areas. The reporting mechanism will enable the relevant actors to identify patterns of shortcomings in service delivery and address them in a tailored and more efficient way. Regular reporting will also ensure that actions undertaken by these actors will be monitored, providing a basis for impact assessment, so that corrective measures can be taken if need be. Through reporting key actors at national level will also be able to see where and how service delivery is effective and compliant, and thus will have substantive information to champion successful models elsewhere.

Finally the SAcc mechanisms and tools thus developed will be institutionalized, through the channels of constructive engagement with state bodies and key actors previously defined.

The civil society-based monitoring mechanism will thus improve **transparency and access to information** for citizens on regulation in the subsector. The framework co-created by stakeholders will allow the CU to include its representative offices at local level, to compile consumer, CBOs, SES and other stakeholder reports, grant general access to information.

Access to information will also be facilitated by the development of the new set of indicators. These will compile the necessary information regarding subsector regulation in an understandable format, which will be accessible through: TajWSS national and local networks, other local forums, local and national Rapid Emergency Assessment and Coordination Teams (REACT), CBOs, publicly advertised information and regulation literacy campaigns.

At the opposite end of the information flux, these indicators will also serve as a basis for monitoring: they will be essential to generate feedback for state bodies and operators on achievement of performance in service delivery.

The civil society-based monitoring mechanism will improve **representation / participation and accountability**, offering reporting channels and grievance redress mechanisms for consumers.

The framework will first facilitate monitoring: the partnership created with the CU and selected CBOs will define collaborative channels and tools to encourage and empower the target population groups to monitor and report on service performance.

Claims will then be filed directly or to the CU who will seek a resolution at local level; in cases of disputes the issue will be raised to the national level including legal proceedings if needed.

ICT tools will be used, however with special attention paid to adaptability to target population groups' possibilities. The project will include an online web platform to host the database of indicators, share information and provide tools for monitoring purposes. The Ministries will be able to share documents through this platform.

The project will develop other tools and mechanisms, fully adapted to population groups with limited use of the Internet if any: consumer satisfaction surveys of agreed representing samples, SES regular reports, reporting to CBOs or Jamoat (local powers) to project volunteers, through mobile phones to respond to publicly advertised feedback campaigns.

Monthly reports and comprehensive yearly reports will then be produced by the CU, using information received through the different channels, the consumer satisfaction surveys, regular SES reports... cross-checked with CBOS, Jamoat and local authorities.

Finally the project will promote social accountability through motivation and empowerment mechanisms: for

operators through the use of a rating system; for women’s leadership in the subsector through special awards.

**3.3 Social Accountability Tools.** Please select the social accountability tools and mechanisms that are expected to be used during the Project’s lifetime. Mark all that apply. This information will be used for knowledge and learning across GPSA’s activities. *[Click on text field in e-application to mark your answer(s)]*

Social Accountability Tools and Mechanisms	
<b>Transparency and Access to Information</b>	
Develop policy proposals to advance new, modify or reform existing transparency and access to information legislation or regulations (national, state/provincial, municipal, sector)	X
Develop information and communications materials to make public information accessible to targeted audiences	X
Submission of requests for access to public information	
Develop online database <u>to display</u> public information in accessible, understandable formats	X
Independent budget analysis (national, state/provincial, municipal, sector)	
Use of Supreme Audit Institution reports/other Oversight Agencies’ reports & data	
<b>Other(s) Please specify:</b>	
<b>Voice and Representation</b>	
Develop civic application to display public information <b>and</b> engage citizens or targeted audiences through the use of ICT tools (e.g. crowd-sourcing, SMS)	X
Capacity-building of CSOs, CSO networks and/or targeted citizen groups	X
Setting-up or strengthening state-civil society councils or committees	x
Use of formal public petition process or organization of informal collective petition process (e.g. using web-based petition tools)	
Use of formal citizen participation mechanisms (e.g., public hearings, participatory rulemaking processes, etc)	
<b>Other(s) Please specify:</b>	
<b>Accountability</b>	
Develop online civic application <u>to monitor</u> government’s enforcement of transparency/ATI policies	
Develop web-based civic application to monitor (national, state, municipal, sector) public programs and institutions	X
Independent budget monitoring (including budget expenditures tracking, budget process monitoring)	
Design and implement community scorecards to assess service delivery (availability of inputs, service quality) X ( this is the case of monitoring)	x
Design and implement social audits of public policy/public program implementation, community-based monitoring of public works’ execution	
Independent monitoring of procurement and contracting processes	
Design and implementation of complaints handling or grievance redress mechanism	
Collaboration with accountability institutions (e.g. Ombudsman Office, Supreme Audit Institution) Regulatory body can be considered?	x
Use of international standards and monitoring mechanisms to monitor (national, state/provincial, municipal, sector) country’s compliance, enforcement and implementation of policies and programs	
<b>Other(s) Please specify:</b>	

**3.4 Summary of Project Components.** *[Click on text field in e-application to complete the three sub-questions]*

**3.4.1 Project Summary.** Please provide a general description of the proposal’s main components, including their key objectives, activities, beneficiaries and stakeholders that will be engaged. You will be able to provide detailed information about each component in Part 2: Project Components.

[MAX 500 WORDS] > 485 words

The project will be articulated around **three implementation components** and a **knowledge and learning component**.

Prior to components’ implementation, the **inception phase** will serve to socialize stakeholders and beneficiaries to the project’s objectives, and to conduct a baseline survey of the situation in the subsector. The survey’s findings will serve in all project components, and will be used for project monitoring and evaluation purposes.

The **Knowledge and Learning component** will be key to all activities: integrated in all project components, it will ensure that project tasks are properly informed; foster transparency; provide the basis for further replication / scaling-up beyond the project's scope; and provide a basis for monitoring and evaluation. Above all, the project will be seen as **an excellent opportunity to gain a clear knowledge of issues are at stake and of opportunities to address gender equality and promotion of women's rights** in WS&S initiatives.

Under the **first component** the project team will work on the definition of new performance indicators for service delivery in the subsector.

After an analysis of the existing regulatory situation and meetings at government level to ensure an agreement on the process, technical work on the development of new performance standards will be conducted through working groups gathering representatives from key identified stakeholders. A draft report on performance indicators, compiling the work done through the working groups, and approved in a wrap-up meeting, will serve to draft a policy document, which will be submitted for official endorsement by the government through the IMCC. This final process will be facilitated by Oxfam's experience in working with the IMCC.

Under the **second component**, in parallel to the first component, the project team will support the definition and consolidation of a civil society-based monitoring mechanism with CU TJK.

It will first define the monitoring framework: actors, connections (with Jamoat, district, national levels), reporting channels and frequency etc. The CU's capacity to serve as the main structure for this mechanism will be assessed; and on this basis a capacity development plan will be developed and implemented, involving also local SES (MoH) representatives already cooperating with Oxfam on the issue of water quality and health indicators. This will enable the civil society-based monitoring mechanism to be operational when the new performance standards are adopted, allowing some time for specific training on the new indicators. The project team will then work with the CU to carry out the first steps of the monitoring function as well as launch a competition for service providers to promote best practices.

Mainly following the adoption of the new performance indicators and the setting into motion of the civil society-based monitoring mechanism, the **third component** will raise consumer awareness and build the capacity of selected operators in cooperation with local regulators. This will encompass awareness raising campaigns, community events and partnerships with local media and capacity building actions tailored to the needs of operators of strategic importance in target areas.

**3.4.2 Summary of Lessons Learned.** Summarize what lessons have been learned from previous experiences in the project's sector or area, including projects carried out by your organization or by other actors in your own country, or from other countries. Explain how the project design has taken these lessons into account.

[MAX 250 WORDS] > **186 words**

Through TajWSS, Oxfam developed a theory of change that can be described as 'convening and brokering'. Work is not framed as a project, but rather about building sustainable institutions. Improving the communications between government actors and other stakeholders in the water and sanitation sector has contributed to significantly building a better environment for decision-making.

Using participatory techniques and forming task groups has also allowed Oxfam to bring the voices of poor people to the table of decision-makers.

Main lessons learned can be summarised as follows:



- Oxfam’s role in convening/brokering has managed to bring players together and build trust, leading to an emerging set of initiatives, both in public policy, and partnerships. One of the reasons for this lies in the credibility Oxfam has gained throughout its projects at international level.
- Building on existing legislation (e.g. the shelved Water Law) can often be a faster route than starting from the ground.
- Good research and killer facts (eg on permit procedures) can create conditions for policy change.
- Synergise and build on other projects rather than re duplicating or re-inventing brand new and disconnected projects.

**3.4.3 Alternatives Considered.** What alternative interventions were considered in the design of this project? What were the pros and cons of such alternatives? Please include at least one alternative considered. Explain the reasons why the chosen project design is the most appropriate.

(MAX 250 WORDS) > 212 words

An unsuitable alternative would have been to design a standalone project, without a clear understanding and vision of what the future role of institutions and actors should be in a modernized rural water supply and sanitation subsector.

Such an alternative would be limited to work with CSOs and some interested operators at local level and to file complaints regarding the poor quality of service at the national level.

We believe such an alternative would miss the essential opportunity offered by a complex transition process towards various decision-making levels, including connection with the government institutional framework (regulator and IMCC) which the TajWSS multi stakeholder forum provides.

The regulatory role usually occurs at two different levels. At the national level the regulator sets rules, norms and standards, and verifies what is being implemented comparing information across the country. At the sub-national level the regulator is responsible for service oversight, norms enforcement, dispute resolution between operator and owner and data collection.

While the chosen project design will cover both national and local levels, it will secure this connection between the two levels: co creation of the performance indicators, verifying what is being implemented comparing information across the country, at the local level service oversight, norms enforcement, dispute resolution between operator and consumer and data collection.

## SECTION 4: PROJECT IMPLEMENTATION

**4.1 Capacity-Building:** Please explain and justify how you are planning to address your organization’s – or mentee(s) CSOs - capacity-building throughout the Project’s lifetime. Capacity-building areas may include organizational areas (financial management, ICTs, etc) or core areas related to the achievement of the Project’s objectives (e.g., sector/policy analysis, such as poverty or budget analysis, etc.) Indicate whether your plan to request external support for this purpose; if you have already identified external support please explain.

This question must refer to the recipient’s or mentee’s capacity-building and institutional strengthening activities. Capacity-building activities related to the implementation of social accountability activities, and targeted at the Project’s direct external beneficiaries must be described in Section 3: Project Description, under the appropriate Component. If the Proposal focuses on Institutional Strengthening of beneficiary CSO(s) only, and this issue has already been addressed under a Component, you may skip this question indicating “Question answered in Component X”.

[MAX 400 WORDS] **277 words**

### Capacity building targets

All the stakeholders involved in the civil society-based monitoring mechanism at the core of the project, but also women and men as consumers in target areas through awareness raising initiatives, operators of strategically important water systems in target areas through special capacity development plans, and local regulators, to be familiarized with new performance indicators.

### Activities

The capacity building activities will be designed on the basis of needs assessments. The civil society-based monitoring mechanism will address the following dimensions: organizational capacity (assessing the structure in its organization), technical capacity (assessing the structure's knowledge of the core area targeted by the project), representativeness (and inclusiveness), and connections (to Jamoat/local authorities, CBOs etc).

Specific consultancies and external experts will be hired by the project to design and implement activities central for the achievement of project objectives, such as to conduct institutional analysis and policy development, to design and conduct base-line studies, for designing and implementing monitoring and evaluation systems, assessing and developing capacity and designing capacity development plans. During each of these activities, external experts will be working alongside the relevant staff of the CU and other stakeholders and will ensure that there is a continual transfer of knowledge and skills.

Special attention will be paid to include gender-specific training and awareness-raising activities, and a Gender Advisor will be mobilized to ensure integration of the gender dimension in the various capacity development plans elaborated and implemented during the project.

Project staff and those working in the field will take part in capacity building and training activities to ensure that they will be able to meet project objectives, and enhance the other sectors in which the CU works.

**4.2 Role of Partners.** Describe the Project's proposed implementation arrangements with external actors/partners; and proposed roles and types of contribution to the Project. For Mentoring proposals, clearly describe mentoring and partnership arrangements between mentor organization and mentee(s) CSO(s).

[MAX 400 WORDS] **287 words**

Sound and cooperative partnerships will be crucial to the project's successful implementation. The project will build on Oxfam's solid partnerships in the water sector and at local level, and develop further partnerships with key players such as the CU.

At policy level, the TajWSS Network of stakeholders, of which Oxfam is the facilitator, will provide a solid basis for multi-stakeholder engagement. Key partners in this framework already include the MLRWR and the Ministry of Health – SES. A key partner will also be the Regulatory body, SUE KMK.

CU's role supported by Oxfam, will be to contribute to activities through expertise and experience in the area of consumer's rights protection, providing examples of structures, networks, methodologies for monitoring and reporting on public service delivery, and on awareness raising strategies on consumer's rights.

The CU's specific role will be to :

- Jointly with Oxfam, participate in the design and implementation of capacity building and awareness raising activities to ensure the proper understanding of consumers' rights and responsibilities;
- Jointly with Oxfam, identify, mobilize, train and equip volunteers in target areas to monitor service delivery and act as representatives for consumers, advising on consumer protection / consumers' rights and responsibilities, advising on options for claims at all levels and supporting consumers in their claim process;
- Provide technical expertise in consumer protection in the definition of specific social accountability tools and modes of engagement: access to and use of courts and consumer grievance redress legal mechanisms; consumer charts and satisfaction surveys; etc
- Provide technical expertise in consumer protection in the development of consumer satisfaction questionnaires and other documents;
- Provide technical expertise in consumer mobilization in the organization and implementation of capacity building and awareness raising activities;
- Receive and record information and feedback generated from the field; compile it in reports to be published and submitted to government bodies in a usable format and providing specifically adapted recommendations.

Above all the CU's role will be to ensure, through their presence and integration in the country's grid, experience and outreach capacity, that the civil society monitoring mechanism is legitimate as a locally developed scheme, building on already existing practices albeit at a nascent or informal stage and empowering the local population to participate in their own processes for social accountability.

The partnership with Oxfam will also allow to ensure that the mechanism is representative in its composition and matters of interest, that issues of poverty and inequality are systematically addressed and that the process can benefit from Oxfam's experience in community mobilization at the local level in target areas.

Oxfam will cooperate with and strengthen CBOs and other self-help groups, including women's rights associations in the project target locations.

Media organizations will be engaged in the process as a conduit of information in order to reach a wide array of beneficiaries.

The project will facilitate a strengthened relationship between consumers, CBOs and other self-help groups, and water supply and sanitation system operators (both civil-based and governmental) in the target locations, resulting in improved communication and cooperation towards the achievement of minimum performance standards.

The project will also engage with local level government offices, including the SES (Ministry of Health responsible for monitoring and enforcing water quality standards), the district Hukumats and other relevant subsector regulators and stakeholders. These stakeholders will be engaged by the project, through volunteers and employees, to foster cooperation with the civil society-based monitoring mechanism. For instance SES representatives may be targeted and included in the mechanism as product quality monitoring specialists.

**4.3 Monitoring, Evaluation and Learning. You are suggested to answer the following questions after you have completed the Project's Results Framework (refer to required attachments)**

*[Click on text field in e-application to answer the 3 sub-questions below]*

**4.3.1 Monitoring.** Please describe the Project's monitoring system, including the specific methods and tools that will be used. Justify how the proposed methods and tools are adequate to the problem(s) being addressed by the project. What resources will be needed to rollout and implement the monitoring system? E.g. financial, human, technical, use of ICTs, etc. Will external support be needed? If yes, please explain. Please make sure to address all these questions.

[MAX 500 WORDS] ~~500 words~~

Oxfam will monitor the project based on the indicators defined in the results framework (revised and agreed upon with stakeholders at the beginning of the project) and, in partnership with the CU and the TajWSS Network.

Attention will be paid to the fact that the gender dimension is properly mainstreamed throughout each outcome.

Gender monitoring will first be integrated within the overall monitoring and evaluation framework:

- Specific gender sensitive indicators will be used to monitor inputs, outputs, and intermediate outcomes at component level, and project outcomes. Such indicators will concern the existence / level of services/ tools but also their usage and women's participation in project activities, and will focus, as an example, on the following elements:
  - *At input level:* ratio of women / men in activity implementation; ratio of time spent for gender-specific activities / general activities; etc
  - *At output level:* ratio of women / men participation in the various activities (surveys, assessments, training etc); gender-specific communication materials produced; etc
  - *At intermediate outcome level:* adoption of gender-sensitive policy objectives; representativeness of staff / volunteers involved in the civil society monitoring mechanism; increase in women's awareness; ratio of feedback generated by women / men; increase in service providers and regulators' awareness in gender needs; etc
  - *At project outcome level:* adoption of gender-focused standards in the development of new performance standards, ratio against total number of standards; reporting aiming to redress gender issues in WS&S subsector consumer protection, ratio issues highlighted / acted upon; participation of women in the overall monitoring process; changes in attitudes and behaviours of service providers towards women in terms of pro-actively handling their issues, grievances, etc.
- The Monitoring group will ensure that disaggregated data is available / collected by sex and age, and that proper resources are allocated to monitor gender throughout the project cycle;
- Lessons learnt regarding implementation of specific gender objectives will be discussed and documented.

In addition, stand-alone studies can also be carried out to undertake special assessments / monitor the impact of specific issues on women and men, in order to facilitate learning and the development of corrective measures if need be, in particular on the following:

- the participatory approach to the development of new performance indicators;
- the proposed arrangements for the civil society monitoring mechanism;
- the tailoring of activities for capacity building actions.

Using the various tools indicated below (Knowledge Attitude Practices (KAP) survey, observations, measurements, household visits, and semi-structured interviews), the monitoring process will pay special attention to organise meetings and activities in ways that overcome barriers to participation: for instance holding separate female and male sessions if necessary, setting times that are convenient for women and men, providing information in a gender-sensitive, user-friendly format and accessible to women and marginalised groups (using adequate locations, at adequate times etc).

The project will establish a yearly Monitoring Group, comprised of representatives of the project team (Oxfam), the CU, representatives of the local government, sector regulators and other appropriate stakeholders identified by the project.

Oxfam will perform results-oriented reporting to gather information on project impact, including: the effectiveness of policy reforms, the civil society monitoring framework, capacity building and awareness activities and the overall cooperation and exchange of information between the civil society framework and governmental regulators. Such reporting should take place at project's key milestones (mid-term, end of project), and should cover also such dimensions as the level of engagement from public authorities, the level of representation and participation, and the level of transparency achieved and how they contribute to the high level goal.

Oxfam experts in Monitoring, Evaluation and Learning will provide technical support in establishing and conducting appropriate monitoring and evaluation systems. Monitoring group members will be required to dedicate time and expertise to the process, while local consultants will be identified and contracted according to needs. Both Oxfam experts and local consultants will work in a capacity building role to facilitate an effective transfer of knowledge to monitoring group members, ensuring long-term sustainability for the process.

The participatory and inclusive approach to monitoring, through the establishment of a representative monitoring group, will ensure that all relevant stakeholders are engaged in the process. This will facilitate transparency of results, the sharing of information and ownership of relevant stakeholders over the process.

Specific tools such as baseline studies will be compiled and analysed per project component, including gender-disaggregated data, including a Knowledge Attitude Practices (KAP) survey, observations, measurements, household visits, and semi-structured interviews. Impact assessment will be embedded in all phases of the project cycle and will be based on the initial baseline survey.

As lack of consumer awareness and access to information are key problems which the project aims to address, the KAP survey, targeting consumer groups, will be able to monitor the effectiveness of project interventions towards achievement of intermediate objectives. In addition, interviews with consumers and operators and observations of performance will be used to monitor the effectiveness of service delivery towards agreed minimum standards and the effectiveness of the capacity development plan in contributing to this objective. Interviews of government officials, sector regulators, and consumer representatives, at both the local and national levels, conducted by the monitoring group will assess the effectiveness of the civil society monitoring mechanism and the degree to which the mechanism is able to foster sustainable cooperation with governmental structures.

Oxfam will also facilitate GPSA monitoring missions during project implementation and interactions between the GPSA team and the project manager will take place regularly.

**4.3.2 Evaluation.** Describe the intervention's evaluation methods. Why these are adequate to evaluate the intervention expected intermediate and final outcomes? What resources will be needed to design and implement the proposed evaluation(s) Will external support be needed? If yes, explain. Please make sure to address all these questions.

[MAX 500 WORDS] **249 words**

As per Oxfam policy, all projects at the minimum will be evaluated midway through implementation (formative or mid-term evaluation), and once the programme has been completed (a summative or end-term evaluation). Monitoring, Evaluation and Learning (MEL) advisors in Oxfam are available to discuss evaluation objectives and the most appropriate methodology to use.

The design for the mid-term evaluation will involve capturing data about progress in achieving component objectives, which can come from the monitoring reports/notes. The project management team (PMT) can also identify and agree on evaluation questions based on the results framework, emerging issues or stakeholder needs and interests. Where things are going well or where there are constraints will be researched further to identify factors so that adjustments in plans can still be made and scale-up can also be assessed.

The final evaluation will be led by independent evaluators who are unconnected with the program to ensure objectivity and credibility of result. For this project, the minimum requirement can be based on 1) assessment of the program outcomes or impact; or 2) Oxfam's contribution or 'added value' to the programme; or 3) cost-effectiveness.

The final evaluation will focus on a few carefully identified research questions.

A mixed method approach to evaluation will be used. Survey techniques, for example, to measure competencies acquired. Qualitative data will be collected through focus groups, interviews, and observation. This will help to build a complete understanding of what has been achieved and will feed into the national and GPSA knowledge/ learning processes.

**4.3.3 Knowledge and Learning.** Describe the proposal's approach to knowledge and learning (K&L) including type of learning products (case study, how-to notes, lessons learned report, etc), and who will be responsible for it? Will researchers or academic institutions be involved in any way?

Specify how the information produced through monitoring and evaluation will be used to feed into the proposed intervention, adapting it and improving its likely effectiveness and impact. What resources will be allocated to develop and implement the proposed K&L system? Does the organization have an existing K&L system that will be used to support the project's K&L activities? Will external support be needed? If yes, explain. Please make sure to address all these questions.

[MAX 500 WORDS] **> 495 words**

Knowledge and Learning is an essential component for the project orientation: its main objectives are to properly inform the design of technical tasks; to promote transparency, access to and sharing of information; to develop the potential for replication and scaling-up of components beyond the project's scope; and to provide a basis for monitoring and evaluation.

More fundamentally, and for longer-term purposes: **working on the nascent notion of social accountability in water supply and sanitation in Tajikistan is to be taken as an excellent opportunity to gain a clear knowledge of issues at stake and of opportunities** to further improve the work to be done. In particular **gender equality**

**and promotion of women's rights** will be at the core of Oxfam's effort in that matter: as comprehensive gender-sensitive data is lacking in the subsector the objective will be to ensure that the project provides all the possible means to address this issue, so that further initiatives in the subsector (and cross-sector initiatives) will be solidly informed, thoroughly designed and effectively inclusive in design, implementation and evaluation to become transformational (increasing social accountability towards women, including voice and leadership).

The learning mechanism will first consist in processes *to gather knowledge*, so that project components are tailored to needs and constraints. Learning mechanisms will then consist in processes *to share knowledge*, through capacity building plans, awareness raising activities and the use of specific tools – such as the web platform and associated, non-discriminatory tools, and activities. Finally knowledge and learning will be *capitalized* and used in Monitoring and Evaluation.

These processes will develop the main following learning products:

- baseline survey, including a **gender analysis / study of the WS&S subsector**
- reports on review, analysis and assessments of the situation. In Component 1: in terms of review of the legislation for instance it will include an **evaluation of gaps and opportunities to define policy goals which will support women's rights**; in terms of stakeholder mapping, it will include **identifying potential partnerships with women's rights organizations**. In Component 2: the assessment report on the Consumers Union's capacity will encompass the assessment of the **new monitoring mechanism's need and potential for representativeness, including in terms of women's participation**. In Component 3: assessment reports on consumers' awareness level and service providers' capacity in the project target areas will include **knowledge and awareness on gender-specific issues in the water supply and sanitation subsector**.
- capacity development plans and training materials, campaigning materials, including **advocacy training for gender and water "ambassadors"**.
- evaluation reports after training, lessons learned reports after key tasks, monitoring and evaluation reports including with the use of specific gender mainstreaming indicators.

*Actors involved:* in the field, project team including community liaison and gender officers; a dedicated Gender Advisor; Oxfam's Regional Research Coordination team, who regularly cooperates and co-conducts research with academic institutions; evaluation specialists.

Finally, project implementation will benefit from Oxfam's dedicated Learning and Development policy and corresponding tools and processes, ensuring access to knowledge and opportunity for development.

**4.4 Sustainability.** Please consider the following questions in your answer about the project’s sustainability:

Do you expect that the intervention(s) implemented by the Project will continue beyond the duration of the Project? Is sustaining the intervention beyond the duration of the GPSA funding a condition to sustain any positive outcomes? If yes, how do you plan to ensure the sustainability of the intervention(s)? If the project will be implemented as a pilot, or in a specific geographic area (local or regional level) please explain if it could be replicated or scaled up at a broader level, and how could this be carried out.

[MAX 200 WORDS] **200 words**

Ensuring sustainability is an essential dimension of the project design, so that the project can be replicated, scaled up and incorporated in further initiatives, to continue after the GPSA funding.

Working through existing structures (the TajWSS Network, the IMCC, the CU and its network of volunteers, CBOs and cooperation relationships with local authorities) will first ensure ownership and foster long-term cooperation mechanisms.

At local level, the costs of project implementation will be minimized as much as possible. The monitoring mechanism will develop already existing partnerships, CBOs, recruitment of volunteers – a successful practice already utilized by the CU, etc. Also, the project will use a cluster approach where centralized project locations will be selected to act as examples of positive engagement and connections established between other neighbouring villages and Jamoats.

At national level, it is expected that by year 4, the project will be firmly rooted in the structures and strong cooperation will exist between national regulators and the civil society mechanism. The service and utility of the mechanism will be well recognized and there will be national buy-in to continue its activities.

Through this project, the capacity of stakeholders will be strengthened and ownership ensured, hence fostering longevity of results.

## PART 2: PROJECT COMPONENTS

The proposal may have a maximum of 3 components; in addition, all proposals must include a Knowledge and Learning (K&L) component. Please note that you will be able to provide further information about your K&L plan in question 4.5.1 (Monitoring, Evaluation and Learning). The table below explains the rationale for designing a K&L component and offers some guiding questions for this process:

### Guidance for designing the K&L component

One of GPSA’s key objectives is to contribute to the generation and sharing of knowledge on social accountability, as well as to facilitate knowledge-exchange and learning uptake across CSOs, CSOs’ networks, governments and other stakeholders. *GPSA’s Knowledge Window* will seek to put the best knowledge on social accountability tools, practices, and results in the hands of practitioners and policy-makers in order to enhance the effectiveness of SAcc. Support will cover:

- (1) Development of a global platform for knowledge management, exchange and networking, and
- (2) Other knowledge and learning activities aimed at developing and nurturing practitioner networks and peer learning, especially South-South exchanges, and filling research gaps. The Knowledge Platform will provide support to GPSA Grantees through knowledge and learning throughout the project cycle. The knowledge management platform will generate a site for learning, peer to peer exchanges and networking, providing ongoing support to project implementation. Other knowledge and learning activities, including S-S workshops, specific events and knowledge partnerships, etc., will help grantees perfect SAcc projects and provide them with access to expert and peer knowledge about SAcc lessons learned and good practices to feed into their projects.



Consistent with these objectives, *GPSA requires that grant proposals include a K&L Component, whereby applicants develop a K&L plan that will enable them to approach the proposed interventions as opportunities for improving their knowledge about the strategies and pathways for advancing transparency, accountability and civic engagement. Special emphasis should be made on learning mechanisms, including those available to the recipient and beneficiary CSOs, and also to key external audiences.*

Some key questions to answer in designing the K&L Component are:

- ✓ What are our K&L needs and priorities? What types of K&L resources do we already have? Are they effective in achieving the objectives for which they were developed? Do we need to improve them or generate new resources?
- ✓ Who are the specific audiences or groups that we would like to engage in our K&L plan? What are their specific needs and what are the objectives we seek to accomplish in terms of K&L devised for them?
- ✓ If the proposal includes an operational component for implementing a social accountability intervention, what mechanisms will be developed to generate K&L derived from the intervention? How do we devise K&L opportunities that are realistic within our time and resource limitations, and that may help us to generate useful feedback along an analysis – action – reflection continuum?
- ✓ If the proposal includes capacity-building/training activities designed for specific audiences, what types of K&L products would be useful to develop in order to (i) generate ongoing and dynamic learning opportunities beyond single, one-time capacity-building events; (ii) ensure that such products are utilized by our intended audiences in an effective manner?

**Part 2 of the e-application requires the following information to be completed for each component. If you are working on your application offline, please copy and paste the table below in this document for each component included in the proposal.**

<b>Component 1: [MAX 30 WORDS]</b>
<b>Definition and adoption at national level of a new set of Performance Indicators for service provision in Water Supply &amp; Sanitation (waste water disposal)</b>
<b>Description of Component.</b> The component’s description must summarize its main objectives and activities, beneficiaries and other key stakeholders that will be engaged.
[MAX 350 WORDS] > <b>344 words</b> <p>The first component’s expected intermediary outcome is a new policy adopted at national level on performance indicators for service provision in water supply and sanitation (waste water disposal). Expected final outcome: these minimum performance standards will allow for better monitoring of service quality in the subsector.</p> <p>The component will start with an analysis of the existing regulatory situation, including a review of the legislation and regulations describing existing standards, identification of key stakeholders (decision-makers, advisors, regulators, operators, beneficiary women and men, ...) including possibilities for further engagement of the civil society, and power analysis that will help identify the champion who will lead the process until endorsement.</p> <p>In parallel, one-to-one meetings at government level will be necessary to ensure an agreement on the process and foster commitment and participation. These two tasks will be facilitated by Oxfam’s knowledge and experience in the subsector, working closely with the IMCC for the water sector and other key stakeholders.</p> <p>These tasks will in turn allow to set up a working group (WG), gathering key stakeholders’ representatives (including women’s groups’) which will conduct the technical work on the development of new performance standards: after 1:1 meetings Oxfam will call the WG for the first meeting to agree on the ToR (tasks, agenda, milestones, future meetings’ timeline...). Oxfam will facilitate and coordinate the WG’s action, and ensure that it effectively represent citizens’ views.</p> <p>A draft report on performance indicators compiling the work done will be prepared and circulated for input from WG members and wider stakeholders and audience (TajWSS Network members). It will then be presented for final conclusion and approved in a wrap-up meeting gathering representatives of WG</p>

and TajWSS Network members. This agreed document will serve as a basis to prepare a policy document which will then be submitted together with the report for official endorsement by the government through the IMCC. This final process will again be facilitated by Oxfam's experience in working closely with the IMCC, as Oxfam has been working in a similar process for the adoption of indicators for water quality and health.

**Planned outputs:** insert one or more outputs. You will be required to define indicators for each of these outputs in the Results Framework.

**Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output (a specific good or service) and an outcome is that an output typically is a change in the supply of goods and services (supply side), while an outcome reflects changes in the utilization of goods and services (demand side).

Main outputs will include:

- a review of the existing situation (legislation and regulations showing existing standards and need for improvement including to define policy goals which will support women's rights, identification of stakeholders including potential partnerships with women's rights associations, opportunities for civil society engagement, power analysis)
- official meetings for commitment, participation and approvals
- draft and final report on the new performance indicators (compiled from working documents developed by the working group)
- draft and adopted policy on the new performance indicators.

**Estimated value (in US dollars) of Component:** please note that this value must be consistent with the Component's estimated cost as included in the proposed Budget

**USD 167,938**

**Timeframe of Component:** estimated dates when activities under this component will start and end.

**Start date: 01/07/2013**

**End date: 30/06/2014**

Describe the **main assumptions** that need to work out in order to achieve the expected intermediate outcomes defined for this component.

**Assumptions** are the hypotheses and suppositions that must hold for the Component's activities to be implemented, outputs delivered as planned in the pathway towards the achievement of outcomes. They may refer to *behaviors, attitudes and interests* (e.g.: actors will cooperate towards a common purpose, or will be interested in devoting time to learning about X issue, etc), to *processes and events* that will follow a certain sequence, or to the *management of resources* (the availability or effective handling of which may positively or negatively affect the Project's expected outputs and outcomes), among others. The many *factors that affect each stage of the change process* must be assessed—by reviewing the broader context, prior experiences and research—to identify which underlying assumptions would facilitate and which ones could endanger the success of the proposed intervention.

Along this analytic exercise it is important to be aware that the processes that lead from activities to outputs to outcomes are not linear or always logic, hence the need to work in depth on the connections between the delivery of outputs and how these outputs will contribute toward the achievement of outcomes.

The first assumption is that stakeholders prioritise the establishment of performance indicators and participate in the process. Also there is an assumption that an agreement can be reached and that the indicators will be adopted by stakeholders (government).

See details in results framework.

**Risks:** what are the risks that the assumptions listed above don't hold? Please define each risk, along with how you rate it (indicate "HIGH", "MEDIUM" OR "LOW" RISK after defining it) and the measures you plan to take to mitigate or avoid these risks, or in the case that your assumptions don't hold.

**Risks** are identified in relation to the assumptions: for example, for an assumption stating that a participatory process will be implemented in an inclusive and transparent manner, a possible risk may be that of elite cooptation, which may be high, medium or low, depending on the context (factors outside the Project's control) and on the Project's ability to influence such process so that the assumption holds (factors within the Project's control). It is critical to *identify risks in a realistic manner*, as well as the possible mitigating measures that may be taken (by the Project or others) or be in place to avoid or minimize such risks.

The risk is that participation is not forthcoming and that no agreement can be reached. Ultimately this will lead to the risk that the indicators are not adopted by stakeholders.

There is low risk that minimum performance standards will not be developed and there is medium risk that adoption of these standards is time consuming. The mitigation strategy is other project activities continue based on the existing performance standards and approval is gained at a later stage.

However: the adoption as an expected outcome is in line with Oxfam's assumptions based on a thorough knowledge of the situation, understanding of current trends and experience in working in close cooperation with key decision-makers in the subsector.

The risk that the new standards are not adopted however exists, as it refers to decision-making processes outside the project's scope.

This risk however does not prevent the project to move on with other components: the civil society based monitoring mechanism lies at the core of the project and the capacity development of this mechanism will be initiated on the basis of the existing standards.

See details in results framework.

#### **Component 2: [MAX 30 WORDS]**

#### **Consolidation of a civil society-based monitoring mechanism, based on the partnership with the Consumers Union of Tajikistan's structure, developed in target areas and connected to the community, local, district and national levels**

**Description of Component.** The component's description must summarize its main objectives and activities, beneficiaries and other key stakeholders that will be engaged.

[Max 350 WORDS] > **343 words**

The second component has three expected intermediary outcomes: a framework designed and agreed by stakeholders for the civil society-based monitoring mechanism; this mechanism is made operational; and promotion of best practices among service providers in target areas through the launch of a certification competition. As the final expected outcome, the civil society-based monitoring mechanism will generate information on service delivery in water supply and sanitation from target areas for the national regulatory bodies and decision-makers.

This component will start in parallel to the first component, so that the civil society-based monitoring mechanism is operational when the new performance standards are adopted and enforced.

It will first imply to design the monitoring framework with the Consumers Union of Tajikistan: mainly defining actors, levels of action and connections (with Jamoat, district, national levels), reporting channels and frequency and the methods and tools to be employed.

The project team will then proceed to an analysis of the existing and CU's capacity to develop a structure for this mechanism, covering: organizational structure, technical knowledge, representativeness (including women's participation), and connections to the various authority levels (Jamoat/district/national) and to CBOs. On the basis of identified gaps, a capacity development plan will be developed, and adopted by the CU, CBOs. The capacity development plan will then be implemented

with Oxfam's support, targeting the CU and CBOs but involving also local SES representatives already cooperating with Oxfam on the issue of water quality and health indicators. Participatory monitoring and evaluation will be regularly conducted to make sure that the capacity development plan produces the expected results or is adequately corrected if and when needed. When the new performance standards are adopted at national level, time will be planned for specific training on these new indicators. The project team will then support the CU in carrying out the first steps of its monitoring function in this subsector.

Finally the project team will in partnership with the CU launch a competition for service providers in target areas in order to promote best practices: blue certification will reward performance in water supply, green certification in waste water disposal.

**Planned outputs:** insert one or more outputs. You will be required to define indicators for each of these outputs in the Results Framework.

**Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output (a specific good or service) and an outcome is that an output typically is a change in the supply of goods and services (supply side), while an outcome reflects changes in the utilization of goods and services (demand side).

Main outputs will include:

- the design agreed by stakeholders of the civil society-based monitoring framework, including enhanced women's participation
- capacity needs assessment and capacity development plan, including gender-specific training
- training and capacity building activities
- certification competition for service providers in target areas
- monitoring conducted and results reported

**Estimated value (in US dollars) of Component:** please note that this value must be consistent with the Component's estimated cost as included in the proposed Budget

**USD 378,651**

**Timeframe of Component:** estimated dates when activities under this component will start and end.

**Start date: 01/07/2013**

**End date: 30/06/2017**

Describe the **main assumptions** that need to work out in order to achieve the expected intermediate outcomes defined for this component.

**Assumptions** are the hypotheses and suppositions that must hold for the Component's activities to be implemented, outputs delivered as planned in the pathway towards the achievement of outcomes. They may refer to *behaviors, attitudes and interests* (e.g.: actors will cooperate towards a common purpose, or will be interested in devoting time to learning about X issue, etc), to *processes and events* that will follow a certain sequence, or to the *management of resources* (the availability or effective handling of which may positively or negatively affect the Project's expected outputs and outcomes), among others. The many *factors that affect each stage of the change process* must be assessed—by reviewing the broader context, prior experiences and research—to identify which underlying assumptions would facilitate and which ones could endanger the success of the proposed intervention.

Along this analytic exercise it is important to be aware that the processes that lead from activities to outputs to outcomes are not linear or always logic, hence the need to work in depth on the connections between the delivery of outputs and how these outputs will contribute toward the achievement of outcomes.

An assumption is that cooperation between the civil society-based monitoring mechanism and government (at all levels) will develop.

See details in results framework.

**Risks:** what are the risks that the assumptions listed above don't hold? Please define each risk, along with how you rate it

(indicate “HIGH”, “MEDIUM” OR “LOW” RISK after defining it) and the measures you plan to take to mitigate or avoid these risks, or in the case that your assumptions don’t hold.

**Risks** are identified in relation to the assumptions: for example, for an assumption stating that a participatory process will be implemented in an inclusive and transparent manner, a possible risk may be that of elite cooptation, which may be high, medium or low, depending on the context (factors outside the Project’s control) and on the Project’s ability to influence such process so that the assumption holds (factors within the Project’s control). It is critical to *identify risks in a realistic manner*, as well as the possible mitigating measures that may be taken (by the Project or others) or be in place to avoid or minimize such risks.

The risk is that the government does not accept the mechanism (medium) and is not strongly connected to government. The mitigation strategy is that the civil society based mechanism continues to monitor and that the results feed into the TajWSS Network and are available to all relevant members and stakeholders.

See details in results framework.

### Component 3: [Max 30 WORDS]

#### **Consumers’ awareness raising and capacity building of selected operators and local regulators in target areas**

**Description of Component.** The component’s description must summarize its main objectives and activities, beneficiaries and other key stakeholders that will be engaged.

[Max 350 WORDS] > 350words

The third component will have five expected intermediary outcomes: women and men’s awareness in consumer’s rights is raised on service quality in the subsector (therefore monitoring opportunity is increased in target areas); access to information on performance requirements in service provision in the subsector is improved; client-oriented capacity of service-providers of strategic importance in target areas is developed; local regulators are familiarized with new performance requirements; service providers in target areas compete for best practices. The final expected outcomes are women and men’s participation in monitoring service provision performance in the subsector, and a client-oriented approach to service provision in line with performance requirements in target areas.

The project will work at both ends of the consumer-operator relationship.

It will start with the identification of target consumer audience (women and men) and assessment of the level of awareness regarding performance of service delivery in the subsector. The project will work closely with community representatives, CBOs...in target areas to foster inclusive mobilization and participation. This will be facilitated by Oxfam’s ongoing work with CBOs in these regions.

The project will then include the development of awareness raising and campaign strategy for women and men in these areas. Campaigning materials will be produced and the CU will work with and through CBOs for the organization of community mobilization events in target areas (possibly including “women in water” awards). In this process, the project will involve local media institutions to ensure an effective outreach. On this aspect too, Oxfam’s ongoing partnership with local organizations working on citizen journalism will facilitate the process.

A similar process will be conducted to work with operators and local regulators: operators of strategically important water systems in target areas will be selected using a set of criteria agreed with local stakeholders; their capacity will be assessed and on this basis, capacity building activities (on client-oriented management...) will be designed and implemented including for instance training and in-country learning visits.

Through these capacity building activities technical support will also be provided to service suppliers for participation in the competition launched by the civil society-based monitoring mechanism for best practices.

**Planned outputs:** insert one or more outputs. You will be required to define indicators for each of these outputs in the Results Framework.

**Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output (a specific good or service) and an outcome is that an output typically is a change in the supply of goods and services (supply side), while an outcome reflects changes in the utilization of goods and services (demand side).

Main outputs will include:

- awareness raising strategy for women and men on consumer's rights, based on the findings on the assessment of level of awareness
- campaigning materials
- community events, workshops and other activities of the consumers' awareness raising strategy, including "women in water" awards to encourage women's leadership
- information through local media
- capacity building plan and activities (including training, in-country learning visits etc) for selected service providers and including local regulators, based on the findings of the assessment of capacity
- participation of service providers in certification competition

**Estimated value (in US dollars) of Component:** please note that this value must be consistent with the Component's estimated cost as included in the proposed Budget

**USD 129,183**

**Timeframe of Component:** estimated dates when activities under this component will start and end.

**Start date: 01/07/2014**

**End date: 30/06/2017**

Describe the **main assumptions** that need to work out in order to achieve the expected intermediate outcomes defined for this component.

**Assumptions** are the hypotheses and suppositions that must hold for the Component's activities to be implemented, outputs delivered as planned in the pathway towards the achievement of outcomes. They may refer to *behaviors, attitudes and interests* (e.g.: actors will cooperate towards a common purpose, or will be interested in devoting time to learning about X issue, etc), to *processes and events* that will follow a certain sequence, or to the *management of resources* (the availability or effective handling of which may positively or negatively affect the Project's expected outputs and outcomes), among others. The many *factors that affect each stage of the change process* must be assessed—by reviewing the broader context, prior experiences and research—to identify which underlying assumptions would facilitate and which ones could endanger the success of the proposed intervention.

Along this analytic exercise it is important to be aware that the processes that lead from activities to outputs to outcomes are not linear or always logic, hence the need to work in depth on the connections between the delivery of outputs and how these outputs will contribute toward the achievement of outcomes.

An assumption is that improved access to information and participation in project activities will increase awareness and inform on actions. Also it is assumed that operators and regulators at the local level will actively participate in capacity building measures and these measures will increase capacity.

See details in results framework.

**Risks:** what are the risks that the assumptions listed above don't hold? Please define each risk, along with how you rate it (indicate "HIGH", "MEDIUM" OR "LOW" RISK after defining it) and the measures you plan to take to mitigate or avoid these risks, or in the case that your assumptions don't hold.

**Risks** are identified in relation to the assumptions: for example, for an assumption stating that a participatory process will be implemented in an inclusive and transparent manner, a possible risk may be that of elite cooptation, which may be high, medium or low, depending on the context (factors outside the Project's control) and on the Project's ability to influence such process so that the assumption holds (factors within the Project's control). It is critical to identify risks in a realistic manner, as well as the possible mitigating measures that may be taken (by the Project or others) or be in place to avoid or minimize such risks.

The risk is that consumers, operators and regulators will not actively participate.

**Component 4:**

**Knowledge and Learning Plan**

**Description of Component.** The component’s description must summarize its main objectives and activities, beneficiaries and other key stakeholders that will be engaged.

[Max 350 WORDS] > **305 words**

The K&L component will run through all project components.

As mentioned **the expected outcomes will be crucial to further develop initiatives in the field of social accountability, in particular as it concerns social accountability towards women** who usually suffer disproportionately from poor services in WS&S subsector.

Main activities in terms of knowledge and learning will be integrated in the three project components and consist in survey, reviews, analyses and assessments; capacity building activities, including training, in-country learning visits, awareness raising campaigning etc; monitoring, evaluations and lessons learned reporting.

Regarding the specific gender orientation of the K&L plan, this will entail to work on such notions as: understanding women and men’s domestic and productive water needs and obstacles, which strategic gender equality outcomes for working on WS&S, strategies for women’s leadership and participation in decision-making in the subsector, how to integrate gender indicators in new performance standards, which policy goals to support women’s rights etc.

Other specific learning activities may include visit to/from partners with the global Gender and Water Alliance; visibility events such as “women in water” awards.

To carry out these activities, Oxfam will endeavour to engage civic groups and in particular women’s rights associations, to be identified at the beginning of the project through partner and stakeholder mapping. Oxfam has been working in the project area for several years and has worked in particular in the field of economic development, development of CBOs and gender-led rural development initiatives. Oxfam will therefore builds on the connections created and promote synergies, for instance taking into account intersectoral linkages such as land and water rights and their specific gender aspect.

The use of ICT tools will be developed – with special attention paid, as mentioned, to the existing barriers women and underrepresented groups face to accessing these and what strategies can be best used to overcome them.

**Planned outputs:** insert one or more outputs. You will be required to define indicators for each of these outputs in the Results Framework.

**Outputs** are the direct products of project activities and may include types, levels and targets of services to be delivered by the project. The key distinction between an output (a specific good or service) and an outcome is that an output typically is a change in the supply of goods and services (supply side), while an outcome reflects changes in the utilization of goods and services (demand side).

**See Knowledge and Learning in Section 4 – Project Implementation**

**Estimated value (in US dollars) of Component:** please note that this value must be consistent with the Component’s estimated cost as included in the proposed Budget

**USD 174,228**

**Timeframe of Component:** estimated dates when activities under this component will start and end.

**Start date: 01/07/2013**

**End date: 30/06/2017**

Describe the **main assumptions** that need to work out in order to achieve the expected intermediate outcomes defined for this component.

**Assumptions** are the hypotheses and suppositions that must hold for the Component's activities to be implemented, outputs delivered as planned in the pathway towards the achievement of outcomes. They may refer to *behaviors, attitudes and interests* (e.g.: actors will cooperate towards a common purpose, or will be interested in devoting time to learning about X issue, etc), to *processes and events* that will follow a certain sequence, or to the *management of resources* (the availability or effective handling of which may positively or negatively affect the Project's expected outputs and outcomes), among others. The many *factors that affect each stage of the change process* must be assessed—by reviewing the broader context, prior experiences and research—to identify which underlying assumptions would facilitate and which ones could endanger the success of the proposed intervention.

Along this analytic exercise it is important to be aware that *the processes that lead from activities to outputs to outcomes are not linear or always logic*, hence the need to work in depth on the connections between the delivery of outputs and how these outputs will contribute toward the achievement of outcomes.

**Main assumptions:** availability of information, willingness of participants and stakeholders to support the collect and sharing of information; realistic data; etc.

**Risks:** what are the risks that the assumptions listed above don't hold? Please define each risk, along with how you rate it (indicate "HIGH", "MEDIUM" OR "LOW" RISK after defining it) and the measures you plan to take to mitigate or avoid these risks, or in the case that your assumptions don't hold.

**Risks** are identified in relation to the assumptions: for example, for an assumption stating that a participatory process will be implemented in an inclusive and transparent manner, a possible risk may be that of elite cooptation, which may be high, medium or low, depending on the context (factors outside the Project's control) and on the Project's ability to influence such process so that the assumption holds (factors within the Project's control). It is critical to *identify risks in a realistic manner*, as well as the possible mitigating measures that may be taken (by the Project or others) or be in place to avoid or minimize such risks.

Unavailability of accurate information; unwillingness of key stakeholders to share and use information.



## PART 3 OF GPSA APPLICATION: PRELIMINARY ORGANIZATIONAL ASSESSMENT

This section covers information that is required in order to carry out a preliminary assessment of your organization's management and governance capacities. In the event the proposal is selected for grant funding, please note that the organization will be required to undergo a full due diligence assessment. As part of the latter, the organization may be required to receive training on fiduciary aspects related to the management of the GPSA grant.

**Type of CSO.** Indicate what type of civil society organization is the recipient organization. For purposes of the GPSA CSOs include legal entities that fall outside the public or for profit sector, such as non-government organizations, not-for-profit media organizations, charitable organizations, faith-based organizations, professional organizations, labor unions, workers' organizations, associations of elected local representatives, foundations and policy development and research institutes. Include year of establishment as a legal entity.

International NGO

**Activity Reports.** Does the Organization publish an annual activity report on its website? If so, please attach the file at the bottom of this page or provide the link to the website. If not, indicate "No".

Yes, please see the links below for recent Oxfam GB Annual Report and Accounts documents:

[http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/report\\_accounts10\\_11.ashx](http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/report_accounts10_11.ashx)

<http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/Annual-report-2011-12.ashx>

**Prior WB experience.** Does the Organization have prior experience with a World Bank-financed project or grant implementation? If so, please specify and include project names, funding amounts and years of implementation (e.g. 2005-2009). If not, indicate "No".

Yes, see attached spreadsheet: Oxfam \_WB projects

**Financial Reports.** Does the Organization have financial audit reports? If yes, please attach at the bottom of this page a copy of each of the two most recent audited financial statements and procurement reports. If not, indicate "No".

Yes, please see pages 43-67 of the Annual Report and Accounts 2011/12:

<http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/Annual-report-2011-12.ashx>

**Public Audit Reports.** Are the audit reports public and/or published on the website? If so, please provide the link. If no, please state so in the space below.

Yes, please see the links below for FY 2011/2012 and 2010/2011  
(2012/2013 is not available yet as we are just about to close the fiscal year this March 2013)

2011/2012

[http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/2012-09-04%20ARA\\_2012\\_Lo-rez.ashx](http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/2012-09-04%20ARA_2012_Lo-rez.ashx)

2010/2011

[http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/report\\_accounts10\\_11.ashx](http://www.oxfam.org.uk/~media/Files/OGB/What%20we%20do/About%20us/Plans%20reports%20and%20policies/documents/report_accounts10_11.ashx)

**References.** Provide at least 3 references that can attest to your organization’s management and implementation capacity. Include names of persons, positions, organizations and contact information (telephone and e-mail). References may include people from government, CSOs and donor organizations.

**For proposals that include mentoring arrangements,** if the Mentor Organization is submitting the application only, please attach a letter of support from the Mentee Organization(s) at the end of the application.

**Reference 1. Donor: SDC**

Mr. Peter Mikula, SDC Country Director, peter.mikula@sdc.net, +992372247316

**Reference 2. Ministry of LRWR**

Mr. Rahmat Bobnokalonov, Minister of Land Reclamation and Water Resources, +992372355589

Mr. Sulton Rahimov, First Deputy Minister of Land Reclamation and Water Resources, [sulton30@mail.ru](mailto:sulton30@mail.ru), +992935282222

**Reference 3. Ministry of Health**

Mr. Salimov Nusratullo, Minister of Health, +992372211835

## ATTACHED FILES

Please download the required attachments from the online grant application. Fill out the templates offline and upload them.

- Proposal Budget template
- Project Team template
- Project Results Framework template

If you wish to add supporting materials about the proposal or your organization’s work, you may do so by clicking on “attached files” at the bottom of Part 1 of GPSA Application.