



Aid Program Performance Report 2012–13 Sub-Saharan Africa

Key messages

This aid program performance report summarises the progress of the Australian aid program in 2012–13 under the Sub-Saharan Africa Program (map at Annex A). It provides an assessment of performance of the program to improve its effectiveness and communicates key achievements over the reporting period from January 2012 to 30 June 2013.

Over 2012–13, the Sub-Saharan Africa Program became more focused: a number of smaller activities ended and larger, multi-year programs started to be developed. Efforts were also made to better align pan-African mechanisms with sectoral program objectives. More consolidation is required to improve the value of Australia's aid.

Future programming will be informed by a revised program strategy that will be developed in 2013. A baseline to measure further consolidation and focus is provided at Annex B. In 2013–14, the Sub-Saharan Africa Program will develop the related public strategy and outline performance measures to inform future assessments.

This report assesses performance separately for the East and Horn, Southern and West African sub-regions:

- > in East and Horn of Africa, Australia is delivering results as expected in maternal, neonatal and child health, Mining for Development, governance and humanitarian sectors. Results for food security investments were less than expected
- > in Southern Africa, results in water, sanitation and hygiene, Mining for Development and governance sectors were varied, although the program is achieving good results in food security in the region
- > in West Africa, while achievements were as expected for humanitarian assistance, this was not the case in the food security and Mining for Development sectors which achieved less than anticipated.

While a number of actions to improve program effectiveness have been identified, weaknesses in monitoring and evaluation systems have been highlighted as an issue across the Sub-Saharan Africa Program. The aim is to address this as a priority in 2013–14, including through the development of a Sub-Saharan Africa Strategy and performance assessment framework, and by building staff capacity.

Context

Sub-Saharan Africa

Africa¹ is on track to meet some Millennium Development Goals (MDGs) but is off-track to eradicate extreme poverty and hunger. Africa is expected to meet MDGs in primary education, gender equality and environmental sustainability by 2015. However, despite a fall in poverty from 56.5 per cent to 48.5 per cent between 1990 and 2010, Sub-Saharan Africa is off-track to meet MDG 1—the eradication of extreme poverty and hunger. Other MDGs related to maternal, neonatal and child health and HIV/AIDS are slowly improving, but not at the rate required to meet targets by 2015.² Strong economic growth (between 5.1 per cent and 5.4 per cent in 2012 and 2013³) has, on the whole, not resulted in a proportionate rise in living standards for poor Africans, with large disparities in wealth between rural and urban areas, and between men and women. This inequality is undermining efforts to reduce poverty and achieve sustainable, inclusive development.⁴

Sub-Saharan Africa receives more aid than any other region (USD49.7 billion). Australia provides a fraction of this—0.6 per cent or USD297.1 million⁵ (see Figure 1) and our achievements in contributing to MDGs should be considered in this context. However, foreign direct investment and other flows of capital other than donor aid continue to be the largest financial source for Sub-Saharan Africa (see figure 1⁶). These sources have the greatest potential to address the significant costs associated with the extensive development issues experienced. As the 24th largest donor to Sub-Saharan Africa, our contribution is relatively minor; Australia needs to ensure aid is strategically targeted at areas with the most capacity to make a difference.

¹ Throughout this report, 'Sub-Saharan Africa' is used to refer to all African countries except Egypt, Libya, Algeria, Tunisia and Morocco. The report uses 'Africa' to refer to the entire continent and all 54 countries. The 'Sub-Saharan Africa Program' is used to refer to aid activities delivered by Australia in Sub-Saharan Africa.

² United Nations Development Programme, *The MDG report 2012—assessing progress in Africa toward the Millennium Development Goals*, New York, 2013.

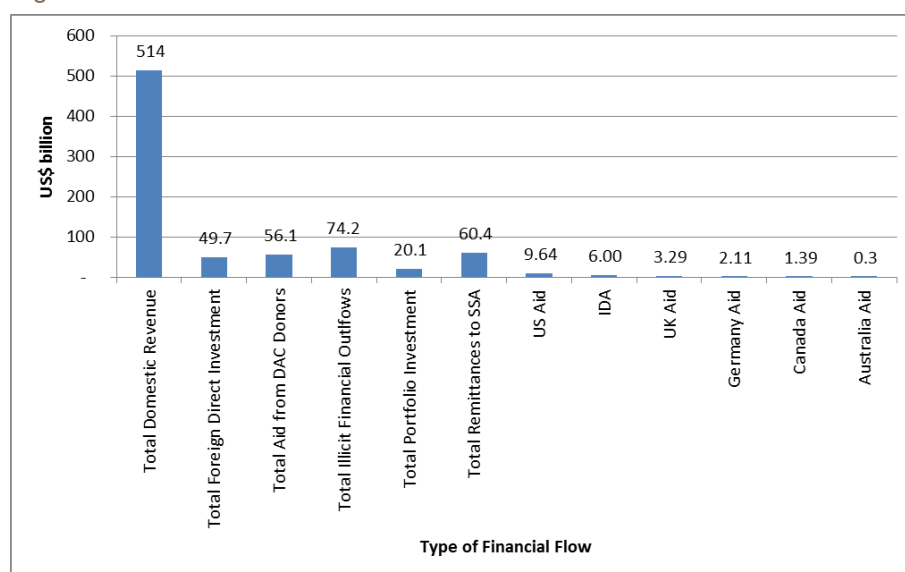
³ International Monetary Fund World Economic and Financial Surveys. *Regional economic outlook – Sub-Saharan Africa: building momentum in a multi-speed world*, Washington, 2013.

⁴ United Nations Development Programme, *The MDG report 2012—assessing progress in Africa toward the Millennium Development Goals*, New York, 2013.

⁵ This is based on the latest available figures (2011) for all aid donors.

⁶ Information for 2012 used where possible. *Africa economic outlook 2013*, Africa Development Bank, Global Financial Integrity 2013 and OECD Development Assistance Committee.

Figure 1: Aid to Sub-Saharan Africa in 2011



Australia's approach to aid in Sub-Saharan Africa

As a small donor, Australia differentiates itself by making strategic investments where we have the capacity to make a difference. Australia provides aid where Australian expertise matches African government priorities and commitments to reform, including agricultural research, mining governance and water management. Australia also provides aid where MDG progress is most off-track but where a strong commitment to reform exists. For example Australia's support for water, sanitation and hygiene focuses on Southern Africa where improvement against sanitation MDG targets is especially poor, and on maternal, neonatal and child health in East and Horn of Africa, which has some of the worst indicators for these in the world. In both regions, Australia provides support where we can build on past investments and governments are committed to addressing the issue, such as in Malawi and Mozambique for water, sanitation and hygiene, and Ethiopia for maternal, neonatal and child health.

With a small number of aid program staff located in five countries,⁷ **DFAT works in partnership with long-established development agencies in Africa to maximise impact and efficiency.** The department⁸ provides 75 per cent of its aid through partners using a range of delivery mechanisms including delegated cooperation, multilateral grants, non-government organisation grants, and through other Australian Government agencies. Delegated cooperation with bilateral donors and multilateral partnerships extend our reach and leverage the partner's expertise, logistics and relationships, particularly in countries where we don't have a presence. Working with civil society is focused on reaching the most marginalised—including people with disability—promoting political governance and accountability, and providing the Australian Government with an important source of community-level experience and perspectives that can be incorporated into our policy dialogue. The department

⁷ As of date of publication, Australia has 36.45 full-time equivalent staff in Canberra and 58 (Australian and overseas-based) staff in Ethiopia (six), Ghana (seven), Kenya (19), South Africa (19) and Zimbabwe (seven).

⁸ In November 2013 AusAID was integrated into the Department of Foreign Affairs and Trade (DFAT). In this report, 'the department' is used to refer to DFAT.

is also increasing its engagement with the private sector to develop innovative and sustainable projects that benefit the poor. The Sub-Saharan Africa Program's delivery mechanisms and partners are outlined in Annex C.

The Australian aid program is maximising partnership benefits through expanded dialogue. The department has many investments through the same partners (see Annex C) which provide the opportunity to share learning, leverage successes across programs and advocate with a shared voice in donor forums or with partner governments. In 2012–13, these opportunities began to be realised. For example, in Southern Africa, the department established a regional reference group with in-country partners delivering our water, sanitation and hygiene programs, which resulted in shared pro-poor innovations to urban water and sanitation provision between the United Nations Children's Fund in Mozambique, and the German aid agency GIZ in Zambia. In East and Horn of Africa, the Australian aid program drew on lessons from our support to common humanitarian funds in different countries and fed this back to the Office for the Coordination of Humanitarian Affairs, which contributed to improved timeliness, effectiveness and coordination of these mechanisms in South Sudan and Somalia.

Strengthened partnerships and expanded dialogue will help inform Australia's engagement on the United Nations Security Council. In 2012, Australia became a non-permanent member of the United Nations Security Council, which has not only increased our responsibilities, but opportunities to influence the international community on issues of relevance to Africa. Sub-Saharan African issues dominate the agenda, accounting for approximately 70 per cent of council meetings, with the situations in Mali, Somalia, the Central African Republic, Sudan and South Sudan dominating the agenda. Our increased engagement in Somalia, South Sudan and Mali positions Australia well to contribute to these high-level policy debates.

More can be done to connect global contributions to program priorities and measure effectiveness. It is estimated over \$200 million is provided annually⁹ to Africa through Australia's core funding to multilateral organisations. Yet, linkages between the department's Sub-Saharan Africa Program¹⁰ and the department's multilateral core funding decisions—which occur in a different parts of the department—and reporting on core funding outcomes, could both be strengthened to maximise opportunities to complement or support Sub-Saharan Africa Program priorities. Similarly, the Australian NGO Cooperation Program (ANCP)¹¹ delivered 242 activities in 23 countries, totalling \$29.45 million in 2012–13,¹² not all of which align with the Sub-Saharan Africa Program. The program supports flexibility in the programs and alignment of non-government organisations, however more can be done to work collaboratively with the ANCP to strengthen engagement between it, non-government organisations in Africa and the Sub-Saharan Africa Program.

⁹ Based on 2011 figures.

¹⁰ This includes all Sub-Saharan Africa Program activities, volunteers and scholarships programs in Africa and all humanitarian funding to Africa.

¹¹ The ANCP supports accredited Australian non-government organisations to implement development programs that complement Australia's aid program and directly and tangibly alleviate poverty, often by targeting the most vulnerable and marginalised communities.

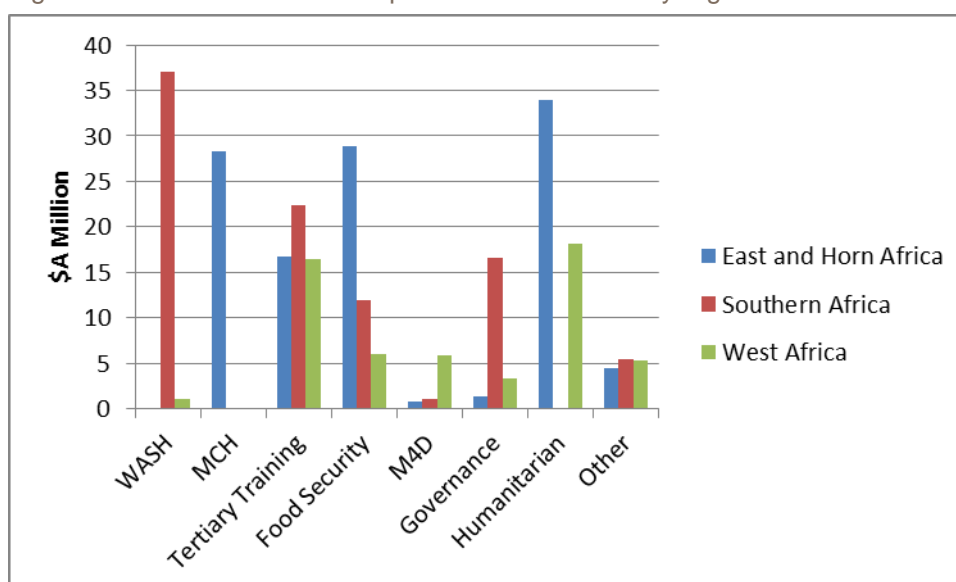
¹² This report covers the period 1 January 2012 to 30 June 2013. Unless otherwise stated, references in the report to 2012–13 refer to this 18 month period, not Australia's financial year.

This report is focused on activities managed through the Sub-Saharan Africa Program. Results from funding delivered through core contributions to multilateral organisations, other agency programs such as the ANCP, and other Australian Government agencies and departments are not included in this report. During 2012–13, the department delivered over \$88 million in aid through other agency programs and an estimated \$27 million in official development assistance through other Australian Government departments. Details are provided in Annex D and E.

Expenditure

This report covers the period 1 January 2012 to 30 June 2013. Financial expenditure against objectives is reported at the beginning of each sub-regional section and in two periods: January to June 2012, and 1 July 2012 to 30 June 2013 (the Australian 2012–13 financial year). In 2012–13, 43 per cent of funds were spent in East and Horn of Africa, 36 per cent in Southern Africa and 21 per cent in West Africa. The figure below shows a percentage of expenditure by objective for the whole of the Sub-Saharan Africa Program.

Figure 2. Sub-Saharan Africa expenditure in 2012–13 by region and sector



Progress against objectives

Since 2008 the focus of the Sub-Saharan Africa Program has been to expand the breadth and depth of Australian aid while building relationships with a broad range of partners, particularly African governments and regional organisations. Guided by *Looking West: Australia's strategic approach to aid in Africa 2011–2015*, the objectives have been to:

- > help selected African countries progress MDGs in areas where Australia has particular strengths, where progress is seriously off track and where strong frameworks exist for achieving effective results

- > help African countries manage development through humanitarian action, peace building, natural resource management and climate change.

Australia's total official development assistance¹³ to Sub-Saharan Africa decreased in 2012–13 but direct assistance continued to grow. Australia's official development assistance decreased from \$444 million in 2011–12 to an estimated \$385 million in 2012–13. The high 2011–12 expenditure reflects additional funding provided for the Horn of Africa humanitarian crisis in 2011 (see 2011 annual program performance report¹⁴). Meanwhile, Sub-Saharan Africa Program¹⁵ increased from over \$200 million in 2011–12 to an estimated \$214 million in 2012–13 and is projected to grow to \$224 million in 2013–14. In line with government commitments to broaden and deepen Australia's engagement with Africa,¹⁶ the program remains widely dispersed with activities in 48 countries.¹⁷

The department has begun a transition to a more focused aid program. The Independent Review of Aid Effectiveness found the Sub-Saharan Africa Program was fragmented in its geographic spread and delivery mechanisms. In response to this, a commitment was made in 2011–12's annual program performance report to better focus the program.¹⁸ In 2012–13:

- > a number of smaller activities have been completed
- > larger, multi-year programs have been developed
- > some progress has been made towards better aligning pan-African mechanisms, such as Australia Awards and the Australia–Africa Partnerships Facility, with sectoral program objectives.

Examples of these are provided throughout this report and a baseline for tracking consolidation is at Annex B. A key achievement has been agreement with the department's executive and other government agencies on our priorities for the future of aid in the region which will help inform the new Sub-Saharan Africa Program strategy to be developed in 2013–14, which replaces *Looking West*.

Despite this progress, the Sub-Saharan Africa Program still has not defined what it expects to achieve by the end of a strategy. Without this, we cannot measure progress. Australia's existing public strategy for aid in Africa, *Looking West*, only provides broad strategic parameters, not specific outcomes by which to measure performance. Therefore this report, as in last year's annual program performance report, will assess program results against a set of broad development objectives. While these objectives are relevant to Australian aid activities in Africa, they do not capture their inter-relationship. This is particularly relevant for the aid program in the East and Horn of Africa which focuses on recovery from crisis and community resilience—an objective which cuts across our support for improved governance, maternal, neonatal and child health, food security and humanitarian assistance. These inter-relationships are further justification to continue to focus the Sub-

¹³ Official development assistance includes funding provided by all Australian Government Departments. This includes funding provided through the department's Sub-Saharan Africa Program and other programs.

¹⁴ Prior to 2012–13 Aid Program Performance Reports were called Annual Program Performance Reports

¹⁵ Excluding humanitarian assistance.

¹⁶ As first outlined in Australia then Minister for Foreign Affairs, Stephen Smith's [Africa Day speech](#) as on 26 May 2008, and subsequently in numerous other foreign minister speeches, including [Foreign Minister Bob Carr's speech at Africa Down Under](#).

¹⁷ There are 49 countries in Sub-Saharan Africa. Australia did not provide aid to Guinea-Bissau in 2012–13.

¹⁸ The [Sub-Saharan Africa Annual Program Performance Report 2011](#) committed the Sub-Saharan Africa Program to focus its strategic approach by developing a revised regional strategy for Australian aid in Africa, p. 35.

Saharan Africa Program and strengthen linkages between programs. The department's approach to gender equality is also not sufficiently captured by *Looking West* and will be primarily reported as a cross-cutting outcome in this report.

An additional challenge is to adequately assess the Sub-Saharan Africa Program's relevance and contribution to development in a region comprised of 49 diverse countries. Therefore this report shifts to assessing progress in three sub-regions:

- > the East and Horn of Africa¹⁹
- > Southern Africa²⁰
- > West and Central Africa.²¹

Programs which deliver aid in more than one sub-region, such as the Australia Awards and the Australia–Africa Partnerships Facility, will primarily be reported at a pan-Africa level. Program outcomes which directly contribute to sub-regional objectives (for example, in food security) will be reported at the sub-regional level. Progress ratings are assigned against objectives according to a traffic light system:

- > green represents a program where progress is as expected for this point in time and it is likely that the objective will be achieved
- > amber suggests that progress is less than expected for this point in time and restorative action will be necessary if the objectives are to be achieved
- > red represents a program where progress is significantly less than expected and the objective is not likely to be met given available resources and priorities.

As the 2011 annual program performance report only assessed progress at the pan-African level, ratings between 2011 and 2012–13 are not directly comparable in all cases. See Annex F for a summary of sector ratings against 2011 and 2012–13 objectives.

It should also be noted that, unless stated otherwise, quantitative results are attributed to Australian funding on a pro-rata basis—that is, where Australia is the sole donor to an activity, 100 per cent of results are claimed. Similarly, if Australia provides 10 per cent of funding, 10 per cent of the results are claimed.

¹⁹ Comprising Burundi, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, Somalia, South Sudan, Sudan, Uganda and Tanzania.

²⁰ Comprising Angola, Botswana, Comoros, Lesotho, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Zambia and Zimbabwe.

²¹ Comprising Benin, Burkina Faso, Cameroon, Cape Verde, Central Africa Republic, Chad, Cote-d'Ivoire, Equatorial Guinea, The Gambia, Ghana, Gabon, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Sao Tome and Principe, Senegal, Sierra Leone, Republic of the Congo and Togo.

Objective	East and Horn of Africa		Southern Africa		West Africa	
	2012–13	2011	2012–13	2011	2012–13	2011
1 Improving public health by increasing access to safe water and sanitation	N/A	N/A	Amber	Amber	N/A	N/A
2 Greater access to quality maternal and child health services	Green	Amber	N/A	N/A	N/A	N/A
3 Tertiary training to deliver skills for development~	N/A	N/A	N/A	N/A	N/A	N/A
4 Improving food security	Amber	Amber*	Green	Amber*	Amber	Amber*
5. Improving incomes, employment and enterprise opportunities through mining	Green	Amber*	Amber	Amber*	Amber	Amber*
6. Improving governance to deliver better services, improve security and enhance justice and human rights	Green	Green*	Amber	Amber*	N/A	N/A
7. More effective preparedness and responses to disasters and crises	Green	Green*	N/A	N/A	Green	Green*

*This 2011 rating is a pan-Africa rating and therefore is not directly comparable to the 2012–13 rating, which is a rating for the sub-region.

~This is assessed at a pan-Africa level: 2012–13 rating is green; 2011 rating was green.

Africa-wide investments

This section focuses on the program's pan-African investments, in particular the Australia Awards, the Australia–Africa Partnerships Facility, the Australia–Africa Community Grants Scheme, volunteers and support to pan-African institutions including the African Union. In line with Australian Government commitments, pan-Africa investments were used to deliver on the objectives of expanding assistance across the continent, strengthening government-to-government relationships and providing relevant skills for development. This section assesses performance against both objectives.

Objective	Rating in	Rating in
	2012–13	2011
3. Tertiary training to deliver skills for development	Green	Green

In 2012 the Australia Awards program was significantly expanded providing 1026 Australia Awards to African nationals from 50 countries²² including 336 long-term PhD or Masters awards. This represents an increase from 465 Australia Awards (including 235 long-term awards) to people from 36 countries in 2011 and more than met Australia's target of providing 1000 awards by 2013—a significant achievement recognised by the Independent Progress Review conducted in October 2012. In response to requests from African leaders for

²² The Sub-Saharan Africa Program manages Australia Awards for the whole of Africa, including North Africa, and this section reflects this.

short courses to meet critical capacity constraints, significantly boosted our provision of short-courses, awarding 688 in 2012 or an increase of 300 per cent from 2011.

In 2013, the program is on track to deliver Australia Awards to 1038 recipients (including 424 long-term PhD or Master Awards) from 51 countries. See Annex G for a country and sector breakdown of Australia Awards provided in Africa in 2013.

Alumni are contributing to development upon return to their home countries and building positive relationships in Africa. The Australia Awards in Africa Independent Progress Review²³ and a 2012 managing contractor outcomes assessment provide a number of examples²⁴ of alumni supporting the development and implementation of government policies and programs,²⁵ including extending the benefits of their improved knowledge and skills beyond the workplace and into the community. The 2012 outcome evaluation of the In-Africa Australian Development Scholarships Management Program²⁶ and the independent progress review²⁷ also found African governments appreciated the value of Australia Awards in meeting their capacity building needs, with the review noting short courses in particular have become highly valued as a form of capacity building. The Australian-managed African Women in Leadership Network, launched by President Sirleaf in Liberia in March 2013, brings together women across sub-regions and encourages women alumni to provide leadership for gender equality and development in their respective countries. Since the launch in March, 139 Australia Awards Alumni from 29 African countries (of 1567 contactable women Alumni) have joined the network.

The Australia Awards program would benefit from stronger alignment with major sectoral programs in food security, maternal, neonatal and child health, and water, sanitation and hygiene. Steps have already been taken in this direction (examples of which are provided in the sub-regional sections) and more work is planned.

The Australia–Africa Partnerships Facility is a flexible and responsive mechanism allowing Australia to engage with a wide range of new partners and trial new activities. In 2012, Australia trained over 1000 African public servants, providing capacity building assistance to 45 countries and six regional organisations.²⁸ Early findings from a recent independent progress review²⁹ found that the facility met or partially met expectations in terms of:

²³ The final report of the Australia Awards independent progress review was not complete at the time of writing this aid program performance report. The content in this section draws on a draft report.

²⁴ As Australia Awards is a flexible mechanism contributing in many cases to sector-specific outcomes, examples of outcomes are provided in the sub-regional sections of the report against specific sector objectives.

²⁵ The review acknowledged that at this early stage in the Australia Awards program, outcomes data is still limited as many awardees are still completing their studies, or have not yet been back in the workplace long enough to measure development outcomes.

²⁶ Note this was an ex-post evaluation of the previous iteration of the Australia Awards in Africa (based on the same model but targeting only 12 countries). This evaluation was reported on in the 2011 Sub-Saharan Africa Annual Program Performance Report.

²⁷ The final report of the Australian Awards independent progress review was not complete at the time of writing this aid program performance report. The content in this section draws on a draft report.

²⁸ African Union, East Africa Community, Economic Community of West African States, Alliance for Commodity Trade in Eastern and Southern Africa, Intergovernmental Authority on Development, United Nations Economic Commission to Africa.

²⁹ The Australia–Africa Partnerships Facility independent progress review commenced in October 2012 and the final report was not complete at the time of writing this aid program performance report. The content in this section draws on a draft report.

- > enabling a quick and positive response to partner government requests with Australia's speed of deployment and expertise identified as a competitive edge over other donors in Africa
- > initiating relationships with 23 countries where Australia had little or no prior relationship, and deepening relationships in seven countries and the African Union³⁰
- > building people-to-people links, in particular through study tours³¹
- > incubating new ideas, such as facilitating development of Africa-owned and driven ideas, including the African Mining Development Centre.



Participants of the Australia-Africa Partnerships Facility Mining Infrastructure Development Study Tour to Australia at the Central Queensland TAFE in Mackay, Queensland.

Photo: Australia-Africa Partnerships Facility

Evidence demonstrates Australia–Africa Partnerships Facility activities are mostly effective at delivering skills for development. The Australia–Africa Partnerships Facility independent progress review found participants highly regarded study tours and short-term training, which in some cases acted as a catalyst for institutional or policy change, usually where participants were drawn from high levels of management. The review also found three quarters of the activities sampled³² had been implemented effectively. Two interventions in particular—the legal support institutional strengthening activity in Mozambique and fiscal decentralisation support in Kenya—were found to be highly effective because technical

³⁰ Monitoring information also suggests the Australia–Africa Partnerships Facility helped build relationships with regional organisations, including the Common Market for Eastern and Southern Africa, East Africa Community, Economic Community of West African States and the Intergovernmental Authority on Development.

³¹ Other studies also support this. A 2012 census survey of alumni from eight mining governance study tours found that 87 per cent continued to engage with fellow study tour alumni, and 49 per cent had followed-up with Australian institutions met during a study tour.

³² Noting it was a limited sample of 15 out of 131 activities.

assistance was provided quickly during a critical time of reform and in sectors where Australia could make a unique contribution.

Nevertheless, the draft Australia–Africa Partnerships Facility independent progress review also states that some activities are not performing and coherence could be strengthened. Of the 15 activities examined during the 2012 independent progress review, three were found to lack clear objectives, and two of these were assessed as having low levels of effectiveness. One institutional partnership appeared to lack substance, and one activity had a lengthy inception affecting Australia’s responsiveness to the partner government.

The draft review also found that the facility was not a catalyst for longer term, larger initiatives or increased links between sectors, which suggests that activities³³ have been discrete rather than developed in the context of a broader program or strategy. The department’s view is however that the facility has already moved in this direction. This applies particularly in the Mining for Development sector, where the facility pilots a number of activities and approaches at a small scale with a view to increasing these once lessons are learned, genuine demand is confirmed and partnerships initiated. DFAT will develop and publish a review management response once the report has been accepted.

The Australia Awards and Australia–Africa Partnerships Facility achieved good participation from women and people with disability. Women comprised 27 per cent of participants in facility-funded training activities in 2011–12—higher than the target of 25 per cent. These women often hold high-level positions and were active participants. The review did however note concern about the lack of a gender policy³⁴ and the limited use of gender expertise.³⁵ In the Australia Awards program, 42.8 per cent of awards went to women in 2012, up from 38 per cent in 2011, but still below the target of gender parity. A gender study was carried out in October 2012 to improve understanding of the factors that support or prevent equal participation by women and this has informed more focused Australia Awards promotion, including by using women’s organisations to disseminate information about the awards. The proportion of Australia Awards provided to people with disability was 3.8 per cent, up from 2.2 per cent in 2011, and meeting the target of between two and five per cent. However, the Australia Awards Disability Access and Equity Fund³⁶ was under-used. A disability inclusion officer was hired in 2012 and has established focal points at Post, started to strengthen links with disability organisations and is using feedback mechanisms to ensure awardees are having a positive and successful experience. The Australia Awards will more proactively promote award opportunities and training activities for women and people with disability, and will develop strategies to better use the Disability Access and Equity Fund.

The Australia–Africa Partnerships Facility is also strengthening relationships with African regional organisations, including the African Union. Responding to a request from the union’s chair, Australia provided \$2 million³⁷ to its Institutional Capacity Building Program which aims to improve the union’s organisational and administrative structures,

³³ During the period of the review 2009–2012.

³⁴ Acknowledging that the facility for the most part integrates gender equality and women’s empowerment considerations.

³⁵ Note, in response to the review, the Australia–Africa Partnerships Facility managing contractor has since increased its in-house gender expertise.

³⁶ The Access and Equity Fund provides support for women and awardees with disability during the application, selection, pre-departure and alumni stages of the Australia Awards program to help remove barriers to accessing benefits of the scholarship.

³⁷ Placing us as the third largest contributor to this multi-donor fund for 2012.

policies, systems, processes and work cultures. In 2012–13, the following tangible achievements included:³⁸

- > improved financial management, through the adoption of an integrated budget, financial and human resource management system
- > better communications, including satellites established in 27 regional offices to ensure reliable and secure internet and telecommunications
- > greater strategic planning, including through results-based budgeting and a unified performance management framework and monitoring and evaluation tool.

Australia has also strengthened the capacity of the African Union to contribute to debate on development issues at the United Nations and the United Nations Security Council through support³⁹ for a high level position in the African Union's Permanent Observer Mission to the United Nations.

Australia has led the donor community in supporting the African Union-led African Mining Vision and the African Mining Development Centre. Although well-endowed with mineral resources, African states have yet to reap the development benefits from these, in part due to the weak integration of the mining sector into national social and economic activities. The African Union has taken steps to address this issue by adopting the African Mining Vision and Action Plan. This plan provides a home-grown framework to integrate the mining sector into broader social and economic development processes to address persistent poverty and lack of development. The cornerstone of the action plan was establishing the African Mining Development Centre.

This centre is a new institution responsible for implementing the African Mining Vision. It is owned and driven by the African Union in partnership with the [United Nations Economic Commission for Africa](#), and aims to increase the social and economic development returns from the continent's rapidly growing extractives industry.⁴⁰ The African Mining Development Centre is being implemented as an African Union flagship project jointly supported by and reporting to the African Union Commission, the United Nations Economic Commission for Africa and the African Development Bank. The centre will coordinate previously fragmented technical support from multiple multilateral and bilateral organisations.

Australia has led the donor community in supporting the African Mining Vision and the African Mining Development Centre. Our funding for a communication campaign in late 2011 helped galvanise support for, and eventual endorsement of, the African Mining Vision Action Plan by African Union member countries. In 2012–13, Australia provided \$800 000 to fund technical expertise and support for consultation forums to help establish the African Mining Development Centre, and in August 2012, a further commitment of \$5 million over two years was announced. Since then, Canada has committed \$15 million, the United Nations Development Programme has committed \$15 million, and Germany has committed €1.5

³⁸ As documented by the African Union Commission Financial Management Assessment Report (March 2012) and the African Union Institutional Assessment commissioned by the European Union.

³⁹ Australia has committed to provide \$600 000 from 2012–2014 in support of the position.

⁴⁰ Current total annual revenue flows from extractives in Africa is estimated at \$350 billion and growing rapidly, compared with total annual official development assistance to Africa of around \$50 billion.

million. Other donors working on extractives in Africa have also followed our lead by orienting their programs to support the centre's objectives.⁴¹

A pan-Africa Mining for Development engagement plan will be finalised in 2013–14. The plan will build upon successes to date and adopt a strengthened gender equality approach. In 2012 a part-time gender adviser was engaged to help mainstream gender equality and develop specific activities targeting women. For example, a Women in Mining community of practice has been established as part of alumni activities. In October 2012, 30 women from 12 African countries attended a Women in Mining forum in South Africa, followed by a Women in Mining study tour to Australia to explore concepts and principles of women's direct employment or engagement in mining and related services.

The Australian Government uses its growing volunteer program to build relationships and to complement its assistance to Sub-Saharan Africa. Australian volunteers play a vital role in reducing poverty by using and transferring a wide range of skills and experiences that address local development needs to African organisations. During 2012–13, 210 volunteers, including 73 Australian Youth Ambassadors, were on assignment in Sub-Saharan Africa—an increase from 141 volunteers in 2011–12. These volunteers worked in 11 countries across the continent (see Annex G) mostly in Kenya, Ghana and South Africa.

In 2013–14, the Sub-Saharan Africa Program will undertake the following actions at the pan-Africa level:⁴²

- > develop a program strategy that will:
 - set out end of strategy program outcomes, reflecting the relationships between different sector programs where appropriate
 - clarify how to reduce fragmentation and strengthen coherence, including using flexible mechanisms such as the Australia Awards and Australia–Africa Partnerships Facility to deliver on program objectives
 - recognise that food security activities contribute to increased incomes and enterprise opportunities as well as food availability and nutrition
 - clarify how to better connect Australia's multilateral core contributions and ANCP Program funding to Sub-Saharan Africa Program priorities
 - clarify the Sub-Saharan Africa Program's approach to addressing gender equality
 - include a performance assessment framework that contains gender-disaggregated and disability-inclusive indicators
- > develop a Mining for Development engagement plan
- > strengthen Australia's influence with partners including identifying and establishing a regular dialogue with priority multilateral and bilateral partners to share lessons, leverage successes and strengthen advocacy on common issues.

⁴¹ The Canadian Government announced CAD\$15 million, five-year support to the African Mining Development Centre in January 2013. The United Kingdom's Department for International Development, the German aid agency GIZ, and the United Nations Development Programme have committed to support the centre's objectives.

East and Horn Africa region

East Africa has had impressive economic growth over the past decade⁴³ but the number of East Africans living in poverty has grown from 44 to 53 million over the same period.⁴⁴ This is in part because of high population growth⁴⁵ and low poverty responsiveness to growth (poverty elasticity),⁴⁶ the latter of which highlights inequality and weak links between the growth sectors and where the poor work and live. Drivers of inequality and weak elasticity include non-diversified economy, poor access to credit and insurance, low human and physical capital and weak systems of social protection, many of which the program is contributing to. Compared to other African sub-regions, East Africa has a more gender-balanced distribution of poverty. Other contributing factors include corruption and poor governance.

Development progress is severely hampered by fragility with high proportions of the population dependent on natural resources-based livelihoods and vulnerable to climatic, economic and conflict-related shocks. Natural disasters are a significant economic stress and can exacerbate violent conflict and fragility. Persistent and varied violent conflicts cross borders and cause significant displacement.

In 2012–13, a number of countries in the region peacefully transitioned to a new government. In Somalia, a new parliament, president and government took office in August 2012, marking the end of the transitional federal government and leading to cautious optimism for recovery. Following the death of Meles Zenawi—Ethiopia’s leader of 21 years—the ruling coalition elected Prime Minister Hailemariam Desalegn in September 2012, marking the first peaceful transition in the history of modern Ethiopia. In March 2013, Kenya held largely peaceful presidential elections, an important milestone after electoral violence in 2007–08 caused over 1 100 deaths.

In South Sudan, the draft [New Deal Fragility Assessment](#)⁴⁷ states the world’s newest nation has progressed from crisis state to early stage of transformation. However, the shutdown of all its oil fields in January 2012⁴⁸ crippled its economy,⁴⁹ forcing the government to adopt severe

⁴² The actions related to partner influence, monitoring and evaluation, and gender are relevant to many programs across the sub-regions. Where noted in the report, there are issues in these areas, and programs are accountable for implementing these actions as relevant.

⁴³ East Africa has been one of the fastest growing regional economic blocs in the world with an average 5.8 per cent a year (2001–2009), Salim, A. (2012); *East and Central Africa: The next 20-50 years: Key trends and challenges*; Regional Universities Forum for Capacity Building in Agriculture, Entebbe, Uganda.

⁴⁴ Based on 2010 figures. Uganda is the anomaly having lifted 2.3 million of its citizens above the poverty line over an 18 year period. See Society for International Development, State of East Africa report 2012: *Deepening integration, intensifying challenges*, Nairobi, 2012.

⁴⁵ United Nations Population Fund projects East Africa’s fertility to average 4.74 children per women from 2010-2015, compared to a 2.57 average for less developed regions, 4.10 average for least developed countries and 1.69 in Western Europe. United Nations Population Fund, State of the world population 2012: *By choice, not by chance: family planning, human rights and development*, New York, 2012.

⁴⁶ East Africa, as a region, has the second lowest poverty responsiveness to growth in the world (after Southern Africa) and is less than half that of the Caribbean. See: United Nations Development Programme, *The MDG report 2012 – assessing progress in Africa toward the Millennium Development Goals*, New York, 2012.

⁴⁷ As part of its pilot of the New Deal for Engagement in Fragile states, agreed in Busan in 2011, South Sudan undertook its first fragility assessment in August 2012.

⁴⁸ South Sudan shut down all its oil fields, which provide 98 per cent of its revenue, as part of its dispute with Sudan over a range of post-secession issues, including oil transit fees.

⁴⁹ It is estimated gross domestic product per capita will be reduced from USD1858 in 2011 to USD785 in 2012, *World Bank South Sudan overview*.

austerity measures. While the government agreed to resume production in March 2013, the country is carrying a significant budget deficit and it may take up to a year to reach pre-shutdown outputs. Donors have pledged up to \$300 million in new support⁵⁰ and there are increasing moves towards the Government of South Sudan outlining its vision for long-term sustainable development through the New Deal compact, including improving public financial management, reducing corruption and facilitating investment and growth.

Table 1: Estimated Expenditure Outcome in East and Horn of Africa 1 January 2012 to 30 June 2013

Objective	January to June 2012		July 2012 to June 2013	
	\$ million	% of program	\$ million	% of program
2. Greater access to quality maternal and child health services	20	21.6	28.3	24.7
3. Tertiary training to deliver skills for development ⁵¹	2.2	2.3	16.8	14.7
4. Improving food security	19.1	20.6	28.8	25.1
5. Improving incomes, employment and enterprise opportunities through mining	4.6	4.9	0.8	0.7
6. Improving governance to deliver better services, improve security and enhance justice and human rights	5	5.4	1.4	1.2
7. More effective preparedness and responses to disasters and crises	39.6	42.7	34	29.7
8. Other cross-cutting issues*	2.3	2.5	4.4	3.9
TOTAL	92.8	100	114.5	100

Source: Aidworks aid management system data and information provided directly from programs.

*While Australia provides a small amount of funding towards this objective, it is not a major focus for the Sub-Saharan Africa Program and as such has not been reported on in this aid program performance report.

East and Horn progress against objectives

Objective 2.	Rating in 2012–13	Rating in 2011
Greater access to quality maternal and child health services	Green	Amber

Australia's contribution to saving the lives of poor women and children through greater access to quality maternal, neonatal and child health services during 2012–13 is rated green. The two major programs are on track with progress as expected for this point in time and no restorative action necessary to achieve the objectives. Also, significant progress has been made in shifting support from smaller, disaggregated foundation activities established in 2009 and 2010 towards larger, longer-term sustainable investments and a more strategic and coherent program.

⁵⁰ At the Economic Partners Forum held in Washington in April 2013.

⁵¹ Progress against this objective is reported in the Africa-wide investments section. Only expenditure and sector-specific outcomes from Australia Awards and the Australia–Africa Partnerships Facility are reported at the sub-regional level.

During the reporting period the department consolidated its support to fewer, higher-value, longer-term investments with a focus on health systems strengthening, while maintaining support for non-government organisations where appropriate, to ensure equity of access in remote and rural locations. Support was mobilised for two major sector-wide programs in Ethiopia and South Sudan while at the same time support was completed for five smaller activities, with one more to be completed at the end of 2013.⁵² For example, we have completed three small activities in Tanzania, valued at \$5 million, \$2 million and \$1 million respectively,⁵³ and finalised support to the United Nations Population Fund (\$2 million)⁵⁴ in South Sudan as we move to a larger, sector-wide approach in-country. Many of these small activities were foundational, aimed at building relationships, understanding the sectoral context and delivering early results and will not be continued as Australia focuses its program in Ethiopia and South Sudan. The sixth activity, programmatic support to Hamlin Fistula Ethiopia,⁵⁵ was terminated following advice from the organisation that no further funds would be accessed through an agreement with the Australian Government. DFAT is jointly reviewing, with USAID, the effectiveness of Australian and United States government support to Hamlin operations over the past 10 years.

Effective government leadership and the lack of government funding provide Australia with an opportunity to contribute to sustainable maternal and child health outcomes in Ethiopia. Ethiopia's owned and driven [Health Sector Development Program](#) has achieved significant results from 2005 to 2010, including reducing by 28 per cent the number of children under five dying between 2005–2011.⁵⁶ Yet despite increases in health spending,⁵⁷ individual out of pocket payments represent 37 per cent of health financing and the Government of Ethiopia estimates per capita health spending needs to be doubled to achieve health MDG targets⁵⁸ including MDG5 which is Ethiopia is off-track to achieve.⁵⁹

In 2012–13 Australia provided \$20 million⁶⁰ to the Health Sector Development Program IV (2011–2015) primarily through the Health MDG Performance Fund—a multi-donor pooled fund⁶¹ managed by the Federal Ministry of Health. The Health Sector Development Program IV has a sound sector strategy and is acknowledged as one of Africa's strongest performing central government health programs. In 2011–12,⁶² nearly 85 965 children were vaccinated

⁵² Support to the Africa Medical Research Foundation (\$2 million) to reduce malaria, pneumonia and diarrhoea in targeted districts in Tanzania and Uganda.

⁵³ The three activities provided support to USAID (\$5.17 million) for stopgap contraception shortages and to undertake supplementary measles immunisations, the World Bank and the Swiss Development Cooperation (\$2 million) to procure emergency obstetric equipment, and the Global Health Alliance Western Australia (\$1 million) to strengthen health training institutions.

⁵⁴ For midwifery training, improving basic obstetric and newborn care and expanding access to family planning.

⁵⁵ Support to Hamlin Fistula Ethiopia (\$10 million) to address prevention and treatment of fistula.

⁵⁶ Ethiopia reduced the number of children dying by 28 per cent from 123 to 88 deaths per 1000 live births from 2005 to 2010, below the African average of 106 deaths per 1000. World Health Organization, Under-five mortality, 2013.

⁵⁷ The Government of Ethiopia increased its per capita health spend from about USD2.5 in 2010–11 to USD3.7 in 2011–12, and donor contributions more than tripled from 2009–10 to 2011–12.

⁵⁸ Donor and non-government organisation contributions amount to 40 per cent of the health budget and the Government of Ethiopia contribution is estimated at 21 per cent. See Ethiopia Health Sector Development Program IV Annual Performance Report 2004 (Australian year 2011–12).

⁵⁹ MDG5: improve maternal health. With around 20 000 women dying in pregnancy or childbirth every year, Ethiopia is one of six countries globally that account for 50 per cent of all maternal deaths. Measure DHS, *Ethiopia Demographic and Health Survey, 2011*.

⁶⁰ From January 2012 to June 2013 and as part of an Australian \$45 million program of support from 2012–2015.

⁶¹ Australia is the second largest contributor after United Kingdom's Department for International Development, providing over seven per cent of total funding in 2011–12 (latest available total figures).

⁶² Latest available data.

and 21 740 additional births were attended by a skilled attendant as a result of support from this program. Early findings from a recent mid-term review⁶³ found:

- > significant progress had been made in improving equitable access to health services largely due to an increased number of health extension workers and the current increase in the Health Development Army linking service delivery to communities
- > more critical interventions were being undertaken, including the successful roll out of community-based treatment of childhood pneumonia (a main cause of death of children under five)
- > a significant increase in the availability of family planning commodities, drugs and supplies
- > reforms had been initiated to ensure sustainable health system funding and equitable access, including social and community based insurance schemes.

While the progress above is significant and the Ethiopian health strategy is progressive, the review also noted a number of challenges. In particular, after such rapid expansion of services, there is now a need to focus on the quality of service delivery, strengthening



A Government of Ethiopia Health Extension Worker checks for malnutrition by measuring the Middle Upper Arm Circumference of a child at a health centre in Tigray, Northern Ethiopia.

second-line referrals to hospital services, and facility readiness, including reliable access to water and electricity. On the demand side there are persistent issues around cultural barriers and the lack of women friendly services. Finally, while still a disputed finding by the Ministry of Health, the review found the health management information system—the routine source of

⁶³ The mid-term review was conducted by a team of independent international consultants with national government team members.

health data—is weak and making it difficult to reliably assess the effectiveness and quality of implementation.

In 2013–14, Australia's Sub-Saharan Africa Program will engage with the Government of Ethiopia and other donors to address challenges noted in the review, including identifying and implementing strategies to improve quality of data collection systems.

An Australia Africa Community Engagement Scheme-funded non-government organisation activity complements Health Sector Development Program IV by strengthening linkages between local government and the Afar community—one of the poorest and most remote regions of Ethiopia. Outcomes include:

- > developing a maternity waiting centre for mothers who have travelled to the only regional maternity hospital, which is now being used as a model by government in other regions
- > implementing a registration card system for all pregnant women, which is recording over 640 antenatal and postnatal checks, to improve the reporting of deliveries
- > helping 4280 women and girls negotiate out of harmful traditional practices, such as female genital mutilation and early marriage
- > treating nearly 45 000 people (including 20 275 females) for measles, malaria, pneumonia, diarrhoea and severe malnutrition, and providing over 105 000 with information on prevention.

While South Sudan has the highest rate of maternal mortality in the world at 2054 per 100 000 live births, infant mortality decreased from 102 to 75 per 1000 live births and under-five mortality decreased from 135 to 105 per 1000 live births from 2006 to 2010.⁶⁴ The health sector is highly dependent on donor support, with donors funding 75 per cent of health provision before the oil shutdown in January 2012. Australia provided \$18 million in 2012–13⁶⁵ to South Sudan's Health Pooled Fund to improve health outcomes, particularly for women and children, in six of the 10 states. In line with Australia's [Framework for Engaging in Fragile States](#), the Health Pooled Fund aims to facilitate the transition from humanitarian responses to more government-aligned service provision that ensures universal coverage of a minimum package of services.⁶⁶

The Health Pooled Fund has only been operational since November 2012 so it is too early to report on outcomes. However, despite delays to start-up,⁶⁷ there was an uninterrupted provision of services during the transition from previous funding mechanisms to the fund. This has ensured progress is on-track and is significant not only because of the complexity of taking on a wide-variety of non-government organisation activities in a conflict-affected environment, but also because providing ongoing services contributes to communities' peace

⁶⁴ 2006 and 2010 South Sudan Household Survey. Note maternal mortality was only reported on in 2006 survey.

⁶⁵ From the period January 2012 to June 2013, and as part of an Australian \$35 million program of support from 2012–2014. This contribution is 18.4 per cent of the total and positions Australia as the third-ranking contributor to the Health Pooled Fund, after the UK and European Union.

⁶⁶ USAID and the World Bank will deliver a similar program in two other states each. Non-government organisations are contracted to deliver services at country level, ensuring ongoing service delivery, even if there is instability in other areas. Capacity building assistance is also provided to strengthen the health system and eventually transfer responsibility from non-government organisations to government. Later, the Health Pooled Fund will strengthen public financial management.

⁶⁷ Due to uncertainties caused by South Sudan's oil shut-down and subsequent lack of revenue, other Health Pooled Fund donors delayed making their contributions which in turn caused the fund to delay mobilisation by several months.

dividend post-independence. Furthermore, the Health Pooled Fund has the potential to become a model instrument in delivering on the New Deal recommendations and is the government's preferred mechanism for donor support to primary health care delivery.

In addition to the two major programs in South Sudan and Ethiopia, Australia continued support through non-government organisations to improve maternal, neonatal and child health in targeted remote and marginalised communities. In 2012–13, key outcomes included:

- > vaccinating over 30 000 children against diphtheria, pertussis and tetanus, and enabling 6270⁶⁸ additional births to be supervised by a skilled attendant in targeted communities in Ethiopia, Kenya, Rwanda, Somalia, Tanzania and Uganda
- > strengthening local government health facilities in a Ugandan remote community with midwives in all six health facilities and government commitment to pay salaries in three years
- > establishing community development committees—comprised of men, women and people with disability—in targeted communities in Kenya. These are addressing social determinants of health, including gender equity. Achievements include establishing a pastoralist community garden that is providing for 300 families, and having leaders acknowledge that traditional practices, such as genital mutilation and early marriage, are harmful, and advocate within their communities for change
- > providing over 37 000 families with family planning services in Kenya and Tanzania, and over 133 000 people, including 4586 people with disability, with sexual reproductive health information.

Australia provided funding to the African Union Commission to provide a communication and a monitoring and evaluation specialist to support the African Union's campaign on accelerated reduction of maternal mortality in Africa. As these specialists only started in January 2013, there are no outcomes to report so far.

Objective 4:	Rating in 2012–13	Rating in 2011 ⁶⁹
Improving food security	Amber	Amber

Australia's contribution to improving food security in East and Horn of Africa is rated amber. Performance is rated against four investments established enough to assess progress against outcomes,⁷⁰ with others only commencing in 2012–13 or in design. Of the four, investment in social protection in Kenya is achieving its primary objectives. Good progress is being made in linking humanitarian, early recovery and community resilience approaches, as well as on the Australia Africa Community Engagement Scheme's non-government organisations food

⁶⁸ Includes 1952 displaced women attended by a skilled birth attendant in Somalia through support to the United Nations Children's Fund.

⁶⁹ The 2011 amber rating was a composite rating of performance for all food security activities across Africa, whereas the 2012–13 rating is only for East and Horn of Africa.

⁷⁰ Hunger Safety Net Programme, Index-Based Livestock Insurance and the Commonwealth Scientific and Industrial Research Organisation (CSIRO) partnership with Biosciences East and Central Africa.

security activities which are focused on the most vulnerable. The third investment, in agricultural research, is delivering innovative outputs, however the development impact was not sufficiently identified and work is required to clarify program logic and end-of-aid outcomes. A whole-of-government⁷¹ theory of change was developed in 2012 to define program-level agricultural productivity outcomes, and this is being incorporated into the design of the next phase. The fourth activity, which is an innovative approach in its foundation stage, is delivering fewer outputs than expected. While all activities are achieving development outcomes for women, program documentation doesn't explicitly outline gender-sensitive goals or approaches. Finally, building on the initial success in social protection and non-government organisation activities, more work is required to build coherence across the humanitarian, social protection and agricultural productivity activities in country programs.

Food insecurity in the East and Horn region is driven by multiple factors. In Somalia and South Sudan, conflict and recurring famines have caused displacement, destroyed coping mechanisms, crippled food production, and halted basic service delivery. In the arid and semi-arid lands in northern Kenya, chronic food insecurity is driven by historical marginalisation and underdevelopment, and exacerbated by climate change, causing more frequent and severe droughts and fuelling tribal and resource-based conflict. Other causes include outbreaks of human, livestock and crop diseases, fluctuating market prices, a weak private sector, poor governance and distortionary policies, poor access to markets and services, and long-term underinvestment in agricultural research and extension which has contributed to low farm productivity. Women are particularly affected, often having very limited access to land, livestock and capital despite comprising the majority of farm labour.

African governments and regional economic communities⁷² are responding to these challenges through the Comprehensive Africa Agriculture Development Programme—the Africa Union's blue-print to restore agricultural growth, develop rural economies and enhance food security. In response to the Horn of Africa crisis, where for example, mortality in Somalia peaked at about 30 000 excess deaths a month between May and August 2011,⁷³ national governments, regional economic communities and development partners also agreed that humanitarian assistance is not sufficient to address chronic vulnerability and more sustainable⁷⁴ solutions need to be found.

In the East and Horn of Africa, Australia is working to build the resilience of communities to adapt, cope and withstand shocks. While the department continues to respond to humanitarian crises, we are increasingly focusing on linking humanitarian assistance with longer-term efforts to support livelihood recovery and increase food security in Kenya, South Sudan and Somalia. Support includes social protection programs that provide cash and food transfers to increase household income and assets, smooth consumption and improve nutrition. These are combined with market-based livelihood approaches which link poor producers to markets, increase incomes in rural areas and improve access to food.

⁷¹ DFAT, CSIRO, the Australian Centre for International Agricultural Research and the Australian International Food Security Centre.

⁷² In all sub-regions, not just East and Horn of Africa.

⁷³ London School of Hygiene and Tropical Medicine and the Johns Hopkins University Bloomberg School of Public Health. Mortality among populations of southern and central Somalia affected by severe food insecurity and famine during 2010–2012, a study commissioned by the Food and Agriculture Organization/Food Security and Nutrition Analysis Unit and Famine Early Warning Systems Network, Rome, Washington, May 2013.

⁷⁴ In 2011 and early 2012 the Horn of Africa, comprising Djibouti, Ethiopia, Kenya and Somalia, faced its worst drought in 60 years forcing an estimated 13 million people to seek humanitarian assistance.

In Kenya, Australia invested \$14 million⁷⁵ in the United Kingdom's Department for International Development-led Hunger Safety Net Programme pilot. By the end of 2012, Australian support for the program resulted in over 14 000 female-headed households and nearly 7000 male-headed households receiving regular unconditional cash transfers (approximately 151 000 people) in the four poorest counties in the arid and semi-arid lands, exceeding the target of 18 000. The 2012 Hunger Safety Net Programme annual review found the program had helped households from sliding into deeper poverty or crisis. For example:

- > poverty did not increase during the 2011–12 Horn of Africa crisis with beneficiaries reporting they were able to avoid distress sales of livestock to maintain consumption
- > 87 per cent of households reported eating more, with greater diversity, which improved the health of children and the elderly
- > with effective targeting, Hunger Safety Net Programme support was provided to some of the most marginalised community members, including pastoralists, women and orphans.

The program's innovative approaches to targeting, cash delivery,⁷⁶ grievances and monitoring will be adopted by other social protection programs under the Government of Kenya's National Safety Net Program, which is currently being developed. The government's first Arid and Semi-Arid Land Policy, the National Social Protection Policy and Ending Drought Emergencies Strategy, all released in 2012, reference the Hunger Safety Net Programme as key to building resilience. Through advocacy from the Ministry for Northern Kenya and other Arid Lands and the United Kingdom's Department for International Development (supported by Australia), the government has allocated budget for the Hunger Safety Net Programme for the first time in 2013–14. Strong government engagement to date reflects national ownership and demonstrates sound potential for the program's longer-term sustainability.

While the Hunger Safety Net Programme is delivering on its primary objective of addressing chronic poverty in northern Kenya in a more predictable, flexible and appropriate way than emergency food aid systems, the annual review noted its impact on development at this stage is minimal. Livestock assets and school enrolments are not increasing as forecast, although class progression is improving, and it is not yet possible to assess the changes to the percentage of children who are underweight for their height as the Kenya's national household survey has not been updated. These results must however be considered against the backdrop of prolonged drought and food insecurity which peaked during the 2011–12 Horn of Africa crisis.

Complementing the Hunger Safety Net Programme, Australia also invested \$2.75 million in Phase 2 of the United Kingdom's Department for International Development-led Index-Based Livestock Insurance⁷⁷ (2011–2015) to provide affordable livestock insurance to vulnerable pastoralists and agro-pastoralist households in the arid and semi-arid lands. Implemented by the [International Livestock Research Institute](#), Index-Based Livestock Insurance is a public-

⁷⁵ From January 2012 to June 2013. Total Australian investment in the Hunger Safety Net Programme is \$22 million from 2011–2013 which in 2012–13 comprised 30.6 per cent of the total contribution.

⁷⁶ For example, with Equity Bank, the Hunger Safety Net Programme has developed an innovative payment platform using solar-powered, biometric point-of-sale smartcard machines, providing the first extension of financial services to the extremely poor arid and semi-arid lands region.

⁷⁷ The Index-Based Livestock Insurance Phase 2 scale-up is jointly funded by Australia, the European Union and United Kingdom's Department for International Development. Of a total of £3.935 (check figures) million, Australia is providing \$2.75 million (approximately 42 per cent), DFID is providing £1.37 million (approximately 36 per cent) and the European Union is providing €1 million (approximately 22 per cent).

private partnership comprising private sector insurance providers, government agencies and non-government organisations. It is the first insurance offering of its kind in Africa and is therefore testing approaches. During the reporting period, fewer pastoralists than expected bought insurance policies, due in part to disruptions during the election period. As a result, the International Livestock Research Institute will work to strengthen pastoralists' understanding of the risk mitigation benefits of the insurance.

The Delegated Cooperation Agreement with the United Kingdom's Department for International Development, including the Hunger Safety Net Programme and Index-Based Livestock Insurance, continues to be a highly efficient approach. Australia has benefited from the United Kingdom's Department for International Development's greater capacity and experience in the region and has been able to leverage its existing relationships with government to establish Australia's profile on food security and resilience-building in Kenya. The UK has proven an effective partner, fulfilling a strong strategic and operational planning role. The partnership has provided important lessons that require upfront consideration in delegated cooperation, including Australia's role in policy inputs, government engagement and program oversight and inputs.

Building on these lessons, DFAT is developing longer-term investments to support livelihood recovery and community resilience in Somalia and South Sudan, the latter with the United Kingdom's Department for International Development. While both countries remain extremely fragile, there is optimism in the donor community that there is now a real opportunity to support positive development trajectories in Somalia and South Sudan. Building on humanitarian support in-country, lessons learned in Kenya and in line with DFAT's Framework for Working in Fragile and Conflict-Affected States, in 2012 the department began planning for food security related investments in Somalia and South Sudan to assist people to recover from crisis and reduce their susceptibility to shocks such as drought. Work included commissioned research on approaches to strengthen resilience within the Horn of Africa region.

The focus on building resilience is complemented by agricultural research to increase productivity and sustainability of agricultural systems in response to African aspirations under the Comprehensive Africa Agriculture Development Programme. Through the Commonwealth Scientific and Industrial Research Organisation (CSIRO), the Australian Government provided \$7.6 million in 2012–13 to [Biosciences East and Central Africa](#) to work with national research institutions and other partners to undertake demand-driven research that will improve food security, with a special emphasis on their positive impacts on women and children. In 2012–13, the CSIRO–Biosciences East and Central Africa partnership significantly advanced its research on animal health, food safety and human nutrition, including developing:

- > a world-first vaccine for peste des petits ruminants—a contagious goat and sheep disease—that can be used in the field for extended periods without cold storage
- > a region-first nutritional research platform that identifies and controls a maize fungus (aflatoxin) seriously affecting the health of millions of Africans
- > community-level management of African swine fever on the Kenya-Uganda border.

Several research activities seek to improve the livelihoods and nutrition of women and children. However, more detailed analysis of these issues would strengthen both research design and adoption. The next phase of projects will be required to more explicitly address gender issues and capacity building will be provided for partners as needed.



Addressing pig health and African Swine Fever in Western Kenya - one of the projects under the CSIRO - Beca Partnership.

Through the Africa Biosciences Challenge Fund, the partnership also strengthens the skills of African scientists through training, mentoring and increased collaboration with relevant Australian scientists. The CSIRO–Biosciences East and Central Africa partnership mid-term review found that the fund’s capacity building model, including on the job transfer of skills, has high potential for sustainable impact, the success of which has attracted new donors, including the Bill and Melinda Gates Foundation, the Swedish development agency and Syngenta. Almost 40 per cent of the 153 research fellows and participants in training workshops provided under Africa Biosciences Challenge Fund were women. This is complemented by Australia’s scholarship program, which in 2012 awarded four agriculture PhDs to researchers who are contributing to Biosciences East and Central Africa projects.

The mid-term review found that the partnership was highly valued by research partners and was undertaking cutting-edge science, complemented by strong capacity building. However, the review also found there was a greater need to link the research to development impact, recommending more focus on adoption of the research outcomes, including through socio-economic analysis and stronger engagement with stakeholders such as policy-makers, non-government organisations and the private sector. It also found that the partnership design lacked a clear theory of change, including weak definition of outputs and outcomes to be achieved. These lessons have been incorporated into the design of the next phase of the CSIRO–Biosciences East and Central Africa partnership, which will commence in 2014.

Support for Australian non-government organisations and their African counterparts through the department’s Australia Africa Community Engagement Scheme resulted in:

- > over 16 000 poor and marginalised smallholder farmers (including 10 750 women) in Ethiopia, Kenya, Tanzania and Uganda being provided with access to inputs and extension services
- > women farmers being supported to adopt climate change adaptation measures
- > agricultural production increasing by USD34 000 in Ethiopia and Tanzania, helping chronically food insecure women
- > early warning systems and climate change modelling improving through government installed weather stations in Uganda.

Australian funding contributes to the development of regional strategies and encourages private sector investment. Through the Australia Africa Community Engagement Scheme, Australia provided technical assistance to the East Africa Community and the Common Market for Eastern and Southern Africa to contribute to regional agriculture strategies and plans in line with the Comprehensive Africa Agriculture Development Programme. Australia also provided \$3 million in 2012–13 to the African Enterprise Challenge Fund for a new competitive round of the Research into Business window (\$10 million⁷⁸ 2011–2015). The window provides grants to innovative business projects that will take agricultural research outputs to poor farmers, increase productivity and income, and create jobs. In February 2013, eight projects in seven countries⁷⁹ were selected from 198 applicants. Projects cover a wide range of agricultural improvements, including establishing diagnostic services for indexing viruses in bananas and providing virus-free plant materials to smallholders in Kenya, production and promotion of essential oils as an alternative livelihood in Burundi, and sustainable commercial aquaculture in Uganda. Implementation had not commenced at the time of reporting.

As well as common actions that relate to all of the Sub-Saharan Africa Program on partner influence, monitoring and evaluation, and gender, in 2013–14 the East and Horn of Africa food security program will:

- > **develop a more coherent approach to building resilience**, including aligning the humanitarian, social protection and agricultural productivity activities in Kenya, Somalia and South Sudan programs
- > **strengthen focus on agricultural research adoption** to ensure research innovations benefit poor farmers and communities
- > **recruit an agricultural productivity and markets specialist**, to be based in the Nairobi office.

Objective 5	Rating in 2012–13	Rating in 2011
Improving income, employment and enterprise opportunities through mining	Green	Amber

The Australian Government's contribution to improving mining governance in East and Horn of Africa is rated green due to the results in South Sudan—our key focus country for natural resource management in the East and Horn of Africa to date. Support to South Sudan is surpassing expectations, delivering significant results for what is a relatively small contribution. In other countries, small but targeted technical assistance, training and study tours are meeting partner government needs to address governance and skills gaps in the

⁷⁸ Australia is the sole donor to Round 2 of the African Enterprise Challenge Fund Research into Business Window. The United Kingdom's Department for International Development was the donor for Round 1.

⁷⁹ The African Enterprise Challenge Fund projects take place across Africa, including four in the East and Horn of Africa, three in Southern Africa and one in West Africa.

resource sector. Participation in the Women in Mining Study tour has increased attention on gender equality in the mining legislative, legal and policy frameworks, especially for Uganda and South Sudan whose mining laws and policies have been under review and formulation respectively.

Sustainably-managed exploitation of natural resources is one of the most important sources of revenue for many countries in the region, as well as providing important associated side-stream and down-stream activities including employment and skills opportunities. Following the impact of the oil shutdown in 2011–12, the potential from the mining sector in South Sudan represents an important opportunity to diversify government revenue streams away from oil which currently provides 98 per cent of government's revenue. Recent discoveries in Kenya of oil, natural gas and minerals in commercial quantities emphasises the emerging importance of the extractives sector in the Kenyan economy. Tanzania and Uganda have substantial untapped mineral deposits and energy reserves and mining in Rwanda is the country's biggest source of export revenues.

Australia has played a central role in strengthening mining governance in South Sudan. Under the Australian Mining for Development initiative, an Australian-funded adviser played a pivotal facilitative role in the passage of the Mining Bill into law. Consistent with international standards, the Act is a key step in strengthening mining governance and regulatory frameworks in South Sudan. Capacity building support to implement the new law and study tours on infrastructure and financial management also occurred and the work plan is being reviewed to address gender in the capacity building plan, institutional restructuring plan, investor promotion material, and a review of mining licenses. Our assistance has helped develop a strong relationship with the minister and his ministry. South Sudan has announced its intention to progress its accession to the Extractive Industries Transparency Initiative.

In 2013–14, Australia, in recognition of growing donor interest in South Sudan's mining sector,⁸⁰ will convene a donor coordination forum to help coordinate international support for improved governance in the sector.

In Kenya, the extractives sector is growing but the governance frameworks are out dated⁸¹ and management is uncoordinated across a number of ministries. Australia is supporting the following activities to help address this:

- > the International Monetary Fund's Managing Natural Resource Wealth Topical Trust Fund (to which Australia is the leading donor) helps improve fiscal transparency to facilitate mining and petroleum development and ensure Kenya benefits. The initiative started in early 2013, so outcomes will be reported in 2013–14
- > 10 Kenyan senior-officials participated in mining-governance study tours on knowledge sharing, procurement and supplier development and public financial management. Eight participants attended international conferences and workshops on geology, sustainable mining and extractive industry impact assessments.

⁸⁰ The United States and Norway have a long-standing engagement with the petroleum side of the ministry but are interested in expanding that support to the mining sector. The United Kingdom and Canada have also expressed an early interest.

⁸¹ The existing mining legislation is from 1940.

Australia also trained 59 officials from Ethiopia, Rwanda, Sudan, Tanzania and Uganda on local procurement, regional planning and infrastructure, environment, mining communities, mining administration and regulations, uranium, hazardous waste, and public financial management through peer-to-peer vocational learning and study tours. Australia also provided 33 mining Australia Awards in the East and Horn of Africa and supported a World Bank assessment of mineral tax administration in Uganda as well as an assessment of Rwanda's mining industry's skills gaps and opportunities.

Objective 6	Rating in 2012–13	Rating in 2011
Improving governance to deliver better services, improve security and enhance justice and human rights	Green	Green

Australia's contribution to improving governance in East and Horn of Africa is rated green. Our most significant program—support for fiscal decentralisation in Kenya—was timely, flexible and relevant, resulting in significant changes. Our broader non-government organisation program and election support in Kenya has strengthened the voice of marginalised communities.

Many states in the region are fragile and have weak governance. South Sudan, Somalia, Kenya and Ethiopia—all of which have experienced intra or interstate conflict—are considered fragile by the Organisation for Economic Co-operation and Development's (OECD) Development Assistance Committee (DAC). State fragility and conflict have exacerbated governance challenges and entrenched inequality, and have curtailed the state's ability to be responsive to the needs of citizens. Corruption and weak transparency are common throughout the region.

Much of Australia's assistance to improve governance and security is undertaken through sectoral programs, including support for the New Deal in South Sudan, building community resilience, strengthening health systems for better service delivery, and improving mining governance. However, Australia also undertakes small targeted activities to strengthen the capacity of communities to hold governments to account, as well as complement core programs, respond to emerging opportunities and address time-specific needs such as elections support.

A key component of better governance and more effective functioning states involves public awareness of rights, strong civil society institutions, the primacy of transparency in public decision-making, and legitimacy of holding decision-makers to account. Several of the activities under the Australia Africa Community Engagement Scheme advance this agenda. For example, food security programs are building strong advocacy platforms for smallholder farmers which have already resulted in farmers collectively bargaining and gaining greater access to government decision makers. Water, sanitation and hygiene programs have helped communities demand water rights including in Malawi where community water priorities were included in government district development plans. Some of our bilateral investments also include a rights component. For example, the Hunger Safety Net Programme in northern

Kenya has established rights committees that have increasingly taken on a broader rights role beyond the specific issues of the program.

Timely and flexible support made a unique contribution to support decentralised governance in Kenya. At the Kenyan Government's request, Australia provided funding and technical expertise to the World Bank's Fiscal Decentralisation Knowledge Program, which aims to ensure county governments have equitable, efficient and transparent public finance management systems to deliver services at the local level. A recent review⁸² concluded Australia's input resulted in significant changes, including influencing the development of a number of new policies⁸³ and the regulations/standards for county level organisations and intergovernmental coordination arrangements. Based on government and World Bank feedback, the review concluded the input was influential because the support was mobilised quickly, providing real time advice when the decentralisation process was first being developed and the Australian expert had highly relevant experience. Now that the devolution process is underway, a number of large donors⁸⁴ are developing programs of support but it may be up to two years before start up. This highlights the flexible and responsive nature of Australia's assistance, and an effective way to engage with a multilateral while still maintaining Australian branding.

Australia supported peaceful Kenyan elections and promoted the participation of marginalised groups. Our support (\$373 000) to the Institute of Education in Democracy strengthened the capacity of community-based organisations in five counties who historically had low turnout numbers during elections to conduct civic and voter education and promote electoral participation. While completion reports weren't available at the time of publication, anecdotal evidence suggests much higher numbers of people in the targeted marginalised areas voted. Complementing this, four Kenyan officials were trained in electoral management under a joint Africa Union/International Institute for Democracy and Electoral Assistance program funded through the Australia–Africa Partnerships Facility.

The Australia–Africa Partnerships Facility was also used to respond to requests from Burundi, Djibouti, Ethiopia, Kenya, South Sudan, Tanzania and Uganda for support in electoral management, regional diplomacy, international trade and law, counter-piracy, and legislative leadership. During the reporting period, 93 officials were trained and one individual from Tanzania was sponsored to undertake an International Trade and Investment Law Masters in South Africa.

Objective 7:	Rating in 2012–13	Rating in 2011
More effective preparedness and responses to disasters and crises	Green	Green

⁸² This activity was funded under the Australia–Africa Partnerships Facility and reviewed under the facility's 2012 independent progress review. See page 10 of this report for more information.

⁸³ For example, the County Government Act, the Public Financial Management Act and the Transition Bills.

⁸⁴ United States Agency for International Development, United Kingdom Department for International Development and European Union.

Australia's contribution to more effective preparedness and responses to disasters and crises in East and Horn of Africa is rated green. In 2012–13, the department not only continued to provide timely and flexible funding assistance that meets the needs of the affected population⁸⁵ but also improved strategic management. An annual humanitarian expenditure plan was developed for the first time. This focused Australia's life-saving assistance to achieve the greatest impact through stronger engagement in priority countries and policy areas. The plan also assisted in significantly reducing the number of partners we funded in 2012–13.⁸⁶

The department has continued to strengthen policy engagement in building linkages between humanitarian and development programming to contribute to increased resilience and food security.⁸⁷ This has included trialling different aid responses to protracted crises and assessing the efficacy of different modalities and programming approaches. We have also been advocating for partners to work along the full spectrum of the humanitarian and development continuum to best respond to specific need. In line with the department's Humanitarian Action Policy, Australia will continue to promote inclusive humanitarian action.

Australia provided timely and flexible humanitarian funding through partners⁸⁸ that can reach affected populations. In 2012–13, Australia provided \$21 million through the Office for the Coordination of Humanitarian Affairs Core Humanitarian Funds in the Democratic Republic of Congo, Somalia, South Sudan and Sudan (see Table 2). These funds play an important role in coordinating humanitarian aid in-country and as the funds are not ear-marked, they are able to be used to fill critical gaps where needs are not being met or are greatest. Australia also funds partners with policies and structures to protect vulnerable populations such as the International Committee of the Red Cross, the United Nations High Commissioner for Refugees and United Nations Children's Fund. Another major partner, the World Food Programme, is recognised as the United Nations' frontline agency in implementing humanitarian food assistance and shares Australia's focus on building resilience in vulnerable populations.

In addition to responding to humanitarian needs, a large focus of Australia's policy engagement is on improving the humanitarian system, including tracking delivery and quality of partners' assistance as well as system wide performance. We do this by engaging in donor coordination forums—both in country and from headquarters—contributing to joint donor messaging, engaging on policy issues at meetings, and through discussions in the United Nations Security Council. As chair of the Somalia informal

⁸⁵ The Principles and Good Practice of Humanitarian Donorship, endorsed by Australia in Stockholm on 17 June 2003, include a commitment to timely and well-coordinated support, with a particular focus on predictable and flexible needs-based funding.

⁸⁶ Partners were chosen based on their ability (capacity, access, timeliness) to respond to the most urgent needs, Australia's multilateral performance assessment, agency performance information gathered at Post, Australia's strategic partnership agreements (World Food Programme, Office for the Coordination of Humanitarian Affairs, United Nations High Commissioner for Refugees, United Nations Children's Fund, International Committee of the Red Cross), Australia's Humanitarian Action Plan, and intervention linkages to longer-term programming.

⁸⁷ An example of this is the Somalia investment focused on early recovery discussed in the East and Horn of Africa food security section.

⁸⁸ Partners were chosen based on their ability (capacity, access, timeliness) to respond to the most urgent needs, Australia's multilateral performance assessment, agency performance information gathered at Post, Australia's strategic partnership agreements (World Food Programme, Office for the Coordination of Humanitarian Affairs, United Nations High Commissioner for Refugees, United Nations Children's Fund, International Committee of the Red Cross), Australia's Humanitarian Action Plan, and intervention linkages to longer-term programming. The content of the document does not necessarily reflect the view of mentioned humanitarian organisations.

humanitarian donor group during this period, Australia successfully lobbied for donor representation on the Humanitarian Country Team in line with the 2012 Inter Agency Standing Committee evaluation recommendations.⁸⁹ This will enable donors to participate in strategic discussions on the humanitarian response in Somalia and ensure greater accountability. In future, Australia will continue to advocate, along with other likeminded donors, for strong and continuous United Nations humanitarian leadership within the Humanitarian Country Team⁹⁰ in areas we provide assistance. Australia will also continue to advocate for best practice humanitarian assistance through donor fora and maintain pressure on our partners to focus on effective delivery of life saving assistance and high-quality and useful reporting.

Table 2: Humanitarian assistance to East and Horn of Africa from 1 January 2012 to 30 June 2013⁹¹

Country	Partner	Contribution	Amount (\$million)
Congo, Democratic Republic	Office for the Coordination of Humanitarian Affairs pooled fund, International Committee of the Red Cross, United Nations High Commissioner for Refugees, World Food Programme	Priority humanitarian needs, support for internally displaced people, protection, food aid, logistics and infrastructure	16.37
Ethiopia	United Nations Children's Fund, World Food Programme	Food and nutrition for children, food aid for refugees, capacity building and management	4.1
Kenya	Cooperazione Internazionale, Kenya Red Cross, World Food Programme	Pastoralist livelihood assets preservation, prepositioned supplies and contingency planning for elections, food aid for refugees	8
Somalia	Office for the Coordination of Humanitarian Affairs Common Humanitarian Fund, Food and Agriculture Organization, International Committee of the Red Cross, United Nations Department of Safety and Security, United Nations Children's Fund	Priority humanitarian needs, food security and livelihoods support following 2011 famine and drought, security services for delivery and coordination of aid, maternal and child health support	22.4
South Sudan	Australian non-government organisations, Office for the Coordination of Humanitarian Affairs Common Humanitarian Fund, United Nations High Commissioner for Refugees, World Food Programme	Priority humanitarian needs, community-led early recovery, refugee support, food aid, logistical and operational support, food aid	38.07
Sudan	Office for the Coordination of Humanitarian Affairs Common Humanitarian Fund, International Committee of the Red Cross	Priority humanitarian needs to address gaps in accessible areas, such as Darfur	11

⁸⁹ Darcy, J., Bonard, P. and Shukria, D., Inter Agency Standing Committee *real time evaluation of the humanitarian response to the Horn of Africa drought crisis Somalia 2011–12*, May 2012.

⁹⁰ The effectiveness of the humanitarian response in a number of contexts was negatively affected by the long lag in replacing departing humanitarian coordinators. This was particularly concerning with respect to leadership of the Common Humanitarian Funds, and also, at times, impacted on the relationship with government.

⁹¹ Note these figures may change by the end of the financial year.

Country	Partner	Contribution	Amount (\$million)
Uganda	United Nations Mine Action Service	Mine clearance	0.5
Regional	World Vision Australia	Strengthening small-holder farming systems in Kenya, Rwanda, Tanzania and Uganda	1.5
		Total	102.48

The humanitarian situation in the Horn of Africa⁹² has improved but remains precarious. Good rains, near normal harvests, and the continued provision of humanitarian assistance halved the number of people requiring humanitarian assistance in Somalia and helped the region to begin recovering from the depths of famine in 2011–12. Despite these improvements, the humanitarian situation remains highly precarious. Over one million Somalis remain displaced throughout the region, with Ethiopia and Kenya carrying the greatest burden, and 3.8 million people in Somalia are in need of life-saving assistance.⁹³ During 2012–13, the Australian Government provided \$35 million in humanitarian assistance to the Horn of Africa⁹⁴ (see Table 2). Key results⁹⁵ to which Australia contributed included:

- > the International Committee of the Red Cross provided over 1.7 million people with food and helped over 86 600 rural households⁹⁶ boost agricultural production in Somalia⁹⁷
- > the Somalia Common Humanitarian Fund provided 4.6 million people with assistance, including lifesaving health services to 1.7 million and shelter to 410 000
- > Australian non-government organisations,⁹⁸ through the Dollar for Dollar initiative, provided over 1 458 000⁹⁹ people with life-saving assistance, including clean water, food, sanitation and vaccinations
- > the United Nations Food and Agriculture Organization in Somalia provided one million people with agricultural inputs designed to restore their productive capacity
- > the World Food Programme provided lifesaving assistance to 1.2 million Somali, Eritrean, and Sudanese refugees in Ethiopia and Kenya.

In South Sudan and Sudan, the number of people requiring humanitarian support increased significantly but access to affected populations was difficult. Some 4.7 million people in South Sudan—over half the population—were food insecure in 2012 due to erratic

⁹² The Horn of Africa comprises Djibouti, Ethiopia, Kenya, and Somalia.

⁹³ Figures accurate at 31 May 2013.

⁹⁴ During the period January 2012 to June 2013, Australia provided \$18.4 million to Somalia, \$5.5 million to Kenya and \$4.1 million to Ethiopia.

⁹⁵ The results are based on total assistance provided by all donor agencies to the respective humanitarian partner.

⁹⁶ Estimated at 519 600 people.

⁹⁷ These results are based on total assistance provided by donors to International Committee of the Red Cross. Donor contributions weren't available at the time of reporting to calculate Australia's relative contribution. Australia's funding contribution to International Committee of the Red Cross is provided at Table 2.

⁹⁸ Anglicord, Anglican Board of Mission, Adventist Development and Relief Agency, Uniting Church/World, Anglican Aid, Baptist, Plan, Tear, ChildFund, Red Cross, Lutheran Australian Lutheran World Service, Caritas, Oxfam, Save the Children, National Council of Churches, Christian Blind Mission, United Nations Children's Fund, United Nations High Commissioner for Refugees, World Vision.

⁹⁹ 272 359 people in Ethiopia, 1 006 164 in Kenya. and 180 317 in Somalia. Total includes 57 062 people with disability.

rains and spiralling food and fuel prices.¹⁰⁰ In Sudan, ongoing fighting in the states of Southern Kordofan and Blue Nile displaced or severely affected an estimated 700 000 people. The already stretched humanitarian operation in South Sudan subsequently faced the additional challenge of responding to a major refugee influx from Sudan, just as the rainy season began in June. This made the response logistically difficult and extremely expensive because supplies mostly had to be flown in. Flash floods and seasonal inter-communal violence compounded the situation. At the same time, need in Darfur remained high with those in internally displaced persons camps requiring regular assistance.

Reflecting this, Australia provided \$38.07 million in humanitarian assistance to South Sudan (see Table 2) and \$11 million to Sudan.¹⁰¹ Key results¹⁰² in 2012 to which Australia contributed included:

- > in Sudan, the International Committee of the Red Cross provided over 708 200 people with emergency aid, seeds, tools, and livestock care; over 486 000 people with clean water; and, despite security constraints, supported seven primary health centres in Darfur
- > in South Sudan, the World Food Programme provided lifesaving assistance to 225 000 refugees, 16 000 internally displaced people, and 143 000 returnees. A total of 365 000 children from six months to the age of five received supplementary feeding to treat and prevent acute malnutrition (230 000 administered for prevention and 135 000 treated). A total of 114 000 pregnant or lactating women also benefited from a supplementary maternal feeding program
- > Australian non-government organisations that focused on community-led early recovery, helped 30 500 people access safe water and 5200 people access agricultural inputs. Over 1500 have increased incomes and over 1200 increased their access to financial services.

Early findings from a review of Australian non-government organisation support indicates that the innovative and flexible program design enabled non-government organisations to effectively provide lifesaving basic services, and support the early recovery of community assets and livelihoods in an extremely complex and evolving operating environment. It further highlighted the integrated programming approach to reducing community-led armed violence and promoting reconciliation to facilitate recovery and development. For example the CARE project was most explicit in this, with cross ethnic saving groups, and cattle drinking troughs placed on the boundaries of competing grazing areas, in consultation with the competing communities.

While the bulk of Australia's support went to food operations, our targeted support to the World Food Programme telecommunications benefited the whole humanitarian mission in South Sudan through satellite real-time reporting, allowing for better partner coordination. Similarly, our World Food Programme logistical support enabled pre-positioning of supplies, allowing for better responsiveness.

From early 2012 violence escalated within the Democratic Republic of Congo, leading to an increase in humanitarian needs in all eastern parts of the country. More than 2.6 million people are internally displaced, including over one million who were displaced in 2012 alone. There are 6.4 million people in acute food insecurity and livelihood crisis, and 70

¹⁰⁰ Caused by the ongoing border closure with Sudan.

¹⁰¹ From January 2012 to June 2013.

¹⁰² The results are based on total assistance provided by all donor agencies to the respective humanitarian partner.

per cent of the rural population are without access to safe drinking water. Protection of civilians remains a primary concern with armed groups continuing to commit violence, looting, rape, abductions and forced recruitment of children. Australia provided \$12.4 million to the Democratic Republic of Congo in 2012–13, including over \$1 million in specific funding to the International Committee of the Red Cross to support to victims of abuse, with a special focus on sexual violence. Key results¹⁰³ to which Australia contributed included:

- > the International Committee of the Red Cross provided 3800 detainees a month¹⁰⁴ with daily food rations, helped¹⁰⁵ 44 500 returnee households (an estimated 222 000 people) with food rations and in most cases essential household items, and facilitated access to medical treatment, counselling centres and trained community counsellors for 5000 victims of sexual violence
- > the World Food Programme provided lifesaving assistance to 1.1 million internally displaced people, school meals to 1.2 million children (including 590 000 girls), and supplementary feeding to 433 000 children aged six months to the age of five. In addition, 101 000 women and 65 000 men received cash and voucher assistance.

Southern Africa Region¹⁰⁶

Growth in Southern Africa has been strong over the past decade¹⁰⁷ and the region continues to be the largest, most diversified and most important market in Africa. Despite this, high levels of poverty¹⁰⁸ and inequality¹⁰⁹ and low levels of human development remain,¹¹⁰ suggesting the benefits of economic growth are not being equally distributed. Gender inequality is also high in Southern Africa¹¹¹ despite better performance in political representation and basic education¹¹² than any other African region, and generally positive cultural perceptions of female participation in public life.¹¹³ The rapid pace of urbanisation is encouraging the expansion of informal settlements and housing in areas along growth corridors which is placing increasing pressure on government service delivery and town planning. Future growth and poverty reduction in Southern Africa is vulnerable to factors such

¹⁰³ The results are based on total assistance provided by all donor agencies to the respective humanitarian partner.

¹⁰⁴ On average.

¹⁰⁵ In partnership with the Democratic Republic of Congo Red Crescent National Society.

¹⁰⁶ Southern Africa includes Angola, Botswana, Comoros, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, the Seychelles, South Africa, Swaziland, Zambia and Zimbabwe.

¹⁰⁷ At USD2674 (African Development Bank, Southern Africa Regional Integration Strategy Paper 2011–2015), the average per capita income in the Southern African Development Community region is the highest among all sub-Saharan regions.

¹⁰⁸ Over 45 per cent of the population remains below the USD1.25 per day poverty line. World Bank data.

¹⁰⁹ As measured by the growth elasticity of poverty. United Nations Development Programme, *The MDG Report 2013: United Nations Development Programme, assessing progress in Africa toward Millennium Development Goals 2013. Towards the Millennium Development Goals*, 2012, p. 13.

¹¹⁰ Twelve out of the 14 countries are classed as having medium to low human development (the United Nations Human Development Report, 2013, pp. 144–147) and four out of the nine countries (with data available) have more than 30 per cent of the population in severe poverty. United Nations Development Programme, Human Development Report 2013, New York, 2013 (United Nations Human Development Report, 2013, pp. 160–161).

¹¹¹ Twelve out of 14 countries are ranked as having medium to low gender equality. The United Nations Human Development Programme, Human Development Report, New York, 2013, pp.156–159.

¹¹² Overall, five countries have achieved parity in primary education, and six have reached a minimum of 50 per cent female enrolment in secondary schools and universities.

¹¹³ As measured by the Global Gender Gap Index. The index examines the gap between men and women in four critical areas of empowerment: economic participation and opportunity, educational attainment, health and survival, and political empowerment. World Economic Forum, The Global Gender Gap Report, Switzerland, 2011.

as the effect of climate change on agricultural yields, which are predicted to decline,¹¹⁴ and access to regional water sources for economic and population growth.

In 2012–13, the extractive resources industry continued to drive economic growth. The mining sector has made a significant contribution to the economic turnaround in Zimbabwe since 2009, though Zimbabwe's unstable political environment continues to undermine the potential for even greater growth. The March 2013 referendum which endorsed a new constitution, and national elections expected in late 2013, may prove to be significant steps towards political and economic stability for Zimbabwe.

Southern Africa has made modest progress towards the MDGs¹¹⁵ but substantial disparities in development indicators remain both between and within countries. Australia has major programs in Malawi, Zimbabwe, Mozambique and Zambia. Of these, Malawi is progressing well towards achieving MDGs in poverty and education, and has surpassed targets for hunger, gender, child mortality and water and sanitation.¹¹⁶ However, Malawi's development gains are threatened by a severe economic crisis and continuing fragility. Zimbabwe, Mozambique and Zambia are struggling to achieve MDGs across the board.

Zimbabwe is a fragile state. Political polarisation and a deep economic crisis between 1998 and 2008 resulted in declines on every index of human development, political freedoms, institutional function and economic growth.

Expenditure

Table 3: Estimated Expenditure Outcome in Southern Africa, 1 January 2012 – 30 June 2013

Objective	Jan–Jun 2012		Jul 2012–Jun 2013	
	\$ million	% of program	\$ million	% of program
1. Improving public health by increasing access to safe water and sanitation	33.3	63.1	37	39.1
3. Tertiary training to deliver skills for development ¹¹⁷	2.8	5.2	22.4	23.6
4. Improving food security	7.8	14.8	12	12.8
5. Improving incomes, employment and enterprise opportunities through mining	2.4	4.5	1.1	1.2
6. Improving governance to deliver better services, improve security and enhance justice and human rights	4.6	8.8	16.6	17.5
8. Other cross-cutting issues*	1.9	3.6	5.5	5.8
TOTAL	52.8	100	94.6	100

¹¹⁴ United Nations Development Programme, *Africa Human Development Report – towards a food secure future*, New York, 2012, pp. 60.

¹¹⁵ Southern Africa has delivered higher rates of access to safe water and sanitation than any other region in Africa.

¹¹⁶ Centre for Global Development.

¹¹⁷ Progress against this objective is reported in the Africa-wide investments section. Only expenditure and sector-specific outcomes from Australia Awards and the Australia–Africa Partnerships Facility are reported at the sub-regional level.

Source: Aidworks aid management system data and program provided information.

* While Australia provides a small amount of funding towards this objective, it is not a major focus for the Sub-Saharan Africa Program and as such has not been reported on in this aid program performance report.

Progress against objectives

Objective 1:	Rating in 2012–13	Rating in 2011
Improving public health by increasing access to safe water and sanitation	Amber	Amber

While good progress has been made, this progress has taken longer than expected and is predominantly outputs based. There have been some key achievements such as opening space for policy reform, modest progress towards increasing access to safe water and sanitation, and improved hygiene practices through better government capacity to deliver regional and local services. However, as a result of implementation delays in Mozambique, Zimbabwe and Malawi, progress has not been to the level expected at this time. It is for this reason, performance of the water, sanitation and hygiene sector in Southern Africa has been rated as amber.

Some countries are progressing well to meet their water, sanitation and hygiene targets while others are not.¹¹⁸ For example, the MDG target for improved water and sanitation has already been met in Malawi, whereas progress has not been satisfactory in Zambia and Mozambique, and is uneven in Zimbabwe. In countries that are on-track, there are still disparities in access between urban and rural areas, and sanitation issues receive less attention than water. The two-fold effect of the region's rapid urbanisation—placing stress on existing water and sanitation infrastructure and increasing the demand for such services—puts the gains made to date at risk.

Australia's water, sanitation and hygiene program focuses on long-term, equitable delivery of services by governments to improve public health and to ensure sustainable water, sanitation and hygiene services.¹¹⁹ In line with the draft water, sanitation and hygiene delivery strategy,¹²⁰ Australia will support increased access to improve shared water resources and service delivery in small and medium sized towns. Security of supply, policy dialogue, sustainability of services, quality of service delivery and increasing sanitation service delivery will be a key focus.

The Australian Government's water, sanitation and hygiene program supports several partner-led initiatives that help improve the way water is governed and managed across Southern Africa. The management of water resources is critical, given regional water shortages and the conflict that arises from sharing regional water sources, as well as to cater for the growing extractive industry.

¹¹⁸ Nationally, safe water coverage has increased from 37.3 per cent in 1997 to 56 per cent in 2009. Over the same period sanitation rates increased from 29 per cent to 43 per cent. The sanitation MDG target was met in 2009. United Nations Development Programme, *The United Nations Development Programme MDG Report 2013: Assessing Progress in Africa Toward Millennium Development Goals*, 2013.

¹¹⁹ Note that the focus in Zimbabwe has, until recently, been on short-term and medium-term responses to address health issues. New programs are taking a long-term approach.

¹²⁰ Sustainable Water and Sanitation Services for Africa.

Australia has contributed \$17.5 million over five years to the German-led Transboundary Water Resource Management in Southern African Development Community Program.¹²¹ This has:

- > helped improve management of water resources by supporting the development of key agreements and plans¹²²
- > helped to give women a greater role in decision-making. Thirty-eight per cent of advisory and steering committee members in supported projects are women. While the Transboundary Water Resource Management in Southern African Development Community Program is still in early stages, this level of gender mainstreaming is promising
- > improved the capacity of the program to manage regional water resources by training 30 of the program's water division, and river based organisation staff in negotiation and conflict management
- > promoted strong private sector cooperation in managing regional water resources. The development partnership between the Emfuleni Municipality and Sasol New Energy Ltd has provided 79 120 people with more reliable access to water and increased their knowledge on water conservation. This has improved the reliability of water supply, and improved Sasol's business efficiency and profits.

Australia facilitated collaboration between the Murray Darling Basin Authority and the Limpopo Watercourse Commission under this program. A study tour to Australia by commission staff in 2012 has led to further collaboration and information sharing between the two organisations.

Australia continued its support for the World Bank's water and sanitation program which improves the ability of governments to increase water, sanitation and hygiene programs aimed at the poor. In Mozambique, the water and sanitation program helped facilitate policy reform and regional dialogue through a Nampula sanitation and water planning workshop and the provision of technical support to the key implementing authority. Progress on policy has been harder to achieve in other countries where government commitment is less clear and the donor environment is polarised.

Australia also provided \$3.4 million in 2012 to the African Development Bank's African Water Facility for water infrastructure development across the region. In 2012, the facility was able to leverage 8.3 million Euros for five projects in Africa. One of these is in Zambia and involves the development of small community dams to improve water security in semi-arid areas of the country.

In 2010, only four per cent of those living in towns in Mozambique had access to safe water and 11 per cent had access to adequate sanitation.¹²³ This situation will continue given the significant gap in donor funding for water, sanitation and hygiene services in Mozambique's rapidly growing urban settlements. Australia's water, sanitation and hygiene program supports the government's agenda, including through the delegated management

¹²¹ The initiative is co-funded by the United Kingdom's Department for International Development (49 per cent), the German aid agency GIZ (16 per cent) and Australia (35 per cent).

¹²² Agreement for technical support for Southern African Development Community management agreements for Angola and Namibia river basins, Limpopo Integrated Water Resources Management Plan (includes gender and climate change issues).

¹²³ Final Review Report African Institute for Agrarian Support proposal, 8 March 2013.

framework¹²⁴ to decentralise water, sanitation and hygiene services to local institutions and private operators to ensure sustainable delivery. Addressing sanitation is also a key priority of the aid program in Mozambique, given the lack of donor attention to the issue.

Australia provided a \$2 million grant over two years to the United Nations Children's Fund for the first phase of the Water Supply, Sanitation and Hygiene in Nampula Province program to address water, sanitation and hygiene provision to five growing towns along the Nacala corridor in Northern Mozambique. In 2012–13, Australian government funding helped:

- > increase the provision of safe water supply for 430 women, 375 men and 10 168 school children
- > increase the provision of basic sanitation for 11 798 school children in the Nampula province
- > provide access to water supply and sanitation for 11 additional schools.

Other initiatives in this sector that Australia provided funding for in 2011–12, are currently being implemented. These include the Water Services and Institutional Support Project and Water and Sanitation for the Urban Poor.

The Australian Government's partnership with Water and Sanitation for the Urban Poor has supported policy dialogue across the sector and helped strengthen relationships with key partners and institutions in the water, sanitation and hygiene sector such as the Maputo City Council, AdeM (the city's water utility), the national Water Supply Regulatory Council and African Institute for Agrarian Studies, Mozambique's primary asset management authority. Thanks to this solid institutional engagement, by 2012 Water and Sanitation for the Urban Poor was able to secure the commitment of the Maputo City Council to contribute to sanitation capital costs, an early indication of institutional behaviour change. In addition to these institutional achievements, in its first year of funding, the project ensured:

- > 28 190 more women and 27 047 more men had improved access to water services
- > 3254 more women and 3089 more men had improved sanitation
- > 13 589 more women and 13 178 more men had better hygiene knowledge.

In steering a programmatic approach to sanitation in Mozambique, achievements in 2012 were:

- > sanitation master plans for three out of the five targeted towns under the Water Supply, Sanitation and Hygiene in Nampula Province program are being developed and there was participation by all levels of government in discussions when these plans were presented
- > strategic sanitation plans were commissioned for Ilhia de Mocambique and Mocimboa de Praia through the Water Services and Institutional Support program.

Gender targets and indicators have been included in the draft water, sanitation and hygiene delivery strategy and are routinely being considered in all initiatives with service provision components. Female beneficiaries, albeit small numbers at this stage, are beginning to gain increased access to water, sanitation and hygiene services. In the next few years, this should translate to qualitative development outcomes for female beneficiaries.

¹²⁴ The Delegated Management Framework is the Mozambican Government's model for decentralising water and sanitation services to the district and municipal level.

the Water Services and Institutional Support program, construction to date has provided significant employment and income opportunities, with women constituting 21 per cent and 18 per cent of the construction workforce in Ilha de Mozambique and Mocimboa da Praia respectively. Given the cultural traditions of the area that have historically prohibited women from engaging in formal employment, let alone construction work, this is a significant achievement. In the Water Supply, Sanitation and Hygiene in Nampula Province program, gender analysis in the 2012 baseline study found that only 50 per cent of targeted schools had separate sanitation facilities for girls and as a result the program has ensured that all new school facilities being constructed have separate areas for girls. There is still room for more improvement, such as in promoting greater leadership roles for women in water management committees.

The Australian Government is supporting greater consideration of disability in water, sanitation and hygiene programming in Mozambique.¹²⁵ Surveys and studies on disability in 2012 have helped identify necessary programming changes through the way our partners supply and design services and infrastructure, to ensure universal access to infrastructure. For example, the World Bank's social engagement in Ilha de Mozambique discovered that communal standpipes are not easily accessible for people with disability and that in-house connections can increase access but are often unaffordable. As a result the World Bank and Africa Institute of Agrarian Studies are exploring ways to increase the income of households that have people with disability through the resale of water to help cover the cost of in-house connections. In the Water Supply, Sanitation and Hygiene in Nampula Province program, sanitation block toilets built in schools have accessible designs to ensure universal access. Nevertheless, both the Water Supply, Sanitation and Hygiene in Nampula Province and Water Services and Institutional Support programs have had implementation constraints. In Water Supply, Sanitation and Hygiene in Nampula Province, the lack of existing water supply in small towns has limited sanitation promotion activities for influencing behaviour change.

¹²⁵ Australia's newly launched *Accessibility design guide: universal design principles for Australia's aid program* will help inform future programming delivery for people with disability.



Safe and clean water flowing from a hand-pump in a school in Monapo town, Mozambique.
Photo by Marcus Howard.

Furthermore, the lack of plans available in some of the selected towns has constrained the ability to plan sanitation infrastructure that can help towns prepare for rapid growth. In the Water Services and Institutional Support project, delays in implementation will result in the completion of infrastructure construction being very close to the completion date of the project. This leaves limited time to develop and nurture the institutional dimensions necessary for sustaining water at the local level, and poses a potential constraint on long-term management of services.

Australia will strengthen monitoring and evaluation of the Water Supply, Sanitation and Hygiene in Nampula Province and Water Services and Institutional Support initiatives to ensure these are on track to deliver outcomes as expected and advocate for remedial action where required.

Access to safe water and sanitation in Zambia is low. Less than 40 per cent of the urban population has access to safe sanitation and less than three quarters have access to safe water.¹²⁶ The situation is worse in rural Zambia, where around one third of people don't have access to safe sanitation and half have no access to safe water.¹²⁷ The department's assistance focuses on rapidly growing towns and peri-urban areas in response to Zambia's population growth and to support sustainable service delivery in areas largely neglected by other donors.

The department aims to increase policy dialogue with government to encourage implementation of water, sanitation and hygiene sector reforms and build government

¹²⁶ World Bank, *Zambian Sixth National Development Plan 2011–2016*, Republic of Zambia, 2011.

¹²⁷ World Bank, *Zambian Sixth National Development Plan 2011–2016*, Republic of Zambia, 2011.

capacity—particularly on models for service delivery financing and sanitation—¹²⁸which will be complemented by other reform on managing revenues from natural resources to ensure effective service delivery (see strategic objective 3.2).

Australia is helping the Zambian Government to improve access to safe water and sanitation by providing \$4 million to the sector through delegated cooperation with Germany.¹²⁹ This included a \$3 million contribution to the Zambian Government's Devolution Trust Fund¹³⁰ which has provided 36 310 more people in peri-urban areas with increased access to safe water, 22 000 more people with increased access to improved sanitation, health and hygiene promotion for 22 000 people, and training for 75 local government workers.

Australia is funding technical assistance to support Zambian Government institutions. To date, there has been limited engagement by government at ministry level beyond subsidiary authorities. This is mainly due to a change of government in 2011 and consequent delays in decision-making and staffing changes, but also because of an overlap in the mandate of relevant ministries. Australia's funding for the Devolution Trust Fund included support for a sanitation adviser, who helped set up mechanisms for programmatic sanitation delivery. From the remaining \$1 million provided for additional technical assistance, German aid agency GIZ, among other things, placed a financial adviser in the Ministry of Local Government and Housing to help the government implement a basket fund for the urban water, sanitation and hygiene sector.

Other gains have also been seen across the sector under this program:

- > broader sanitation agenda setting has been facilitated through a Zambian Water Forum side event with the participation of 50 representatives from different sector institutions
- > improvements in revenue collection have been achieved through the legislated use of pre-paid meters for government institutions. This is a result of an Australian-funded study, and improvements to energy supply to commercial utilities and consumers should assist the sustainable delivery of services
- > the Australian Government requested in 2011 that the Devolution Trust Fund give more attention to reporting on gender, and since then the project has improved gender mainstreaming. In 2012, women were operating all of the nine water kiosks constructed through Devolution Trust Fund projects. Further, a study of four completed schemes under the fund indicated that the program had helped increase in the number of girls attending school.

Zimbabwe's water, sanitation and hygiene infrastructure is in a serious state of disrepair due to decades of underinvestment, political conflict and the loss of skilled personnel. As a result, the sector needs significant rehabilitation of dilapidated infrastructure to restore the supply of safe and adequate services to meet basic requirements and prevent a recurrence of the 2008 and 2009 epidemics of water-borne diseases. Available statistics offer different scenarios: the 2008 World Health Organization/United Nations Children's Fund Joint Monitoring Programme suggests that 82 per cent of Zimbabweans had access to improved

¹²⁸ Sanitation has not been a focus for the Government of Zambia or for other donors in the sector.

¹²⁹ Australia provided approximately 35 per cent of funding.

¹³⁰ The Devolution Trust Fund is an innovative basket-funding instrument to extend water and sanitation services to low-income urban areas.

drinking water and 68 per cent to an improved toilet, but relevant sectoral agencies estimate that statistics were 46 per cent and 30 per cent respectively. The delivery of water, sanitation and hygiene services is constrained by the lack of adequate resources to fund such services, due to the struggling economy and uncertain political situation.

Although Australia will continue to provide support to rehabilitate water, sanitation and hygiene infrastructure, it will increasingly focus on addressing long-term capacity requirements to implement national sector reform, develop effective revenue management and planning systems at local government level, and strengthen the citizen-local government links. Program logic indicates that improving service delivery will result in increased willingness to pay for services, leading in turn to higher revenues for reinvestment in sustainable water, sanitation and hygiene services. Australia will focus on building institutional capacity to deliver services, mainly in small and medium sized towns as well as Bulawayo and Harare.

In 2012–13, Australian funding (\$15.8 million) supported the much needed rehabilitation of deteriorating water, sanitation and hygiene infrastructure. The provision of safe water supplies reduces the risk of cholera. In 2009–10 Zimbabwe's worst cholera epidemic affected over 96 000 people and resulted in over 5000 deaths. Cases have been declining with only isolated incidents since 2011. There were no reported cases in 2012–13.

The United Nations Children's Fund continued to help coordinate stakeholders across the sector¹³¹ to encourage the prioritisation, targeting and implementation of water, sanitation and hygiene interventions aimed at achieving longer term development outcomes. This has increased policy dialogue and national reform, which resulted in a water policy being developed and launched in 2012. The Ministry for Water Resource and Development Management was identified as the lead agency and is helping to clarify responsibility for water, sanitation and hygiene service delivery between other government ministries. As a result of improved communication, partners are now sharing and implementing better models and approaches. Analysis on long-term sector requirements in 2012, undertaken by the World Bank-led Analytical Multi-Donor Trust Fund (to which Australia contributes),¹³² will inform long-term investment planning.

Australian funding through the United Nations Children's Fund and GIZ¹³³ has continued to improve the capacity of key institutions to:

- > deliver water, sanitation and hygiene services in Zimbabwe. There have been increases in water production in 20 towns ranging from 14.7 and 150 per cent, as well as a 50 per cent increase in water, refuse and sewage collection in six towns
- > provide access to sewage and water systems for 450 000 Bulawayo residents, and improve the quality of tap water in four towns. Timely repairs are being made to reported sewage blockages and water leakages in six towns, and cholera cases have been eliminated in 20 small towns
- > manage water, sanitation and hygiene services. Through better financial management, including financial audits and improved billing systems, six councils are now able to pay for their own water treatment chemicals despite having huge debts. They have improved

¹³¹ Including between the large number of non-government organisations and other donors with the government.

¹³² Australia's contribution is \$20 million. Total initiative value is \$120 million.

¹³³ Australia co-funded the initiative (USD26 million) with GIZ (USD13 million).

organisational management by developing medium-term investment plans and re-establishing procedures. They have reported increased responsiveness to customer requests and complaints, and better relationships with residents. Another three councils reported increased revenues despite being significantly challenged by the inability of many consumers to pay for services. Bulawayo Council staff have also reported improved financial sustainability and customer service capacity.

The United Nations Children's Fund has proven effective in working with Australia. It has been responsive to our requirements and has demonstrated the use of innovation to deliver results.¹³⁴

Non-government organisations, with funding provided by Australia, continued to strengthen the capacity across the sector by establishing and training 123 water management committees, training 200 latrine builders, 76 village pump minders and 101 village health workers, and providing over 310 participatory health and hygiene education sessions. Vulnerable groups reportedly gained increased influence over decision-making through consultation with women and disability groups on the location of latrines and water sources, membership on water management committees and greater earning power through agricultural activities. In addition, funding through the Australian-financed Australia Africa Community Engagement Scheme and Australia-Africa Community Grants Scheme resulted in increased access to safe water for 52 954 and 10 400 people (including 28 358 women) respectively; increased access to basic sanitation for 30 482 and 10 400 additional people (including 15 790 women) respectively; and increased knowledge of hygiene practices for 17 665 and 10 400 people (including 5014 women).

On top of the uncertain political environment, there are still a number of challenges to improving access to water, sanitation and hygiene services for Zimbabweans. The harmonisation of roles and responsibilities of government and other active donors in the sector is proving difficult. Although the Ministry of Water has been given lead responsibility for water, sanitation and hygiene services, its limited human resources make it difficult to build its capacity to deliver. Australian support for the Zimbabwean Government-led water, sanitation and hygiene reform, through the Analytical Multi-Donor Trust Fund, has experienced significant delays in project implementation due to funding delays, and costing, procurement and project management issues. Similarly, significant project delays have been experienced in the African Development Bank-led ZimFund initiative, resulting in implementation only beginning in early 2013. Despite this slow start, the African Development Bank plays a key role in the sector and recent adjustments to processes and systems in response to donor concerns should more rapidly progress implementation.

Although steps have already been taken by the African Development Bank to improve project delivery, this has prompted DFAT staff to take on the role of co-chair of the Policy Oversight Committee to encourage more effective project implementation.

There is still a need for improved water supply, sanitation facilities in market centres and complementary hygiene education in Malawi. Malawi has one of the highest urbanisation rates in the world (six per cent a year) but, with an urban population of 20 per cent, is the least urbanised in Africa. This poses a strong challenge to achieving urban

¹³⁴ For example, a pilot undertaken by the United Nations Children's Fund in close collaboration with the government has since been adopted by the United Kingdom's Department for International Development.

development and inclusive growth with sustainable services for poor communities. Even though access to water supply increased to 83 per cent of Malawi's 13 million people in 2010, urban supply is generally unreliable, constraining economic growth. Further, access to improved sanitation remains low, at only 51 per cent in 2010.¹³⁵

Australia's commitment of USD14 million to the National Water Development Programme, which is co-funded with the African Development Bank, is to help develop sustainable water supply, sanitation and hygiene, and service delivery in market centres, thereby supporting the Government of Malawi in its promotion of sustainable economic development.

Largely because of initial project management shortcomings, and also as a result of a severe economic crisis,¹³⁶ implementation of Australia's assistance was considerably delayed from 2011 till late 2012. As a result, the department made further funding conditional on completion of 112 sanitation facilities for which funding had already been provided. This approach, combined with increased monitoring and engagement, proved successful, and the facilities were completed by February 2013, resulting in increased access to sanitation services for 89 150 Malawians. Construction of piped water supply schemes in seven market centres is also underway, and likely to be completed by the time Australian support ends in December 2013.

While improvements in reporting on gender issues are needed, there is some evidence of gender mainstreaming. The Australian-funded sanitation component has improved the lives of 44 684 women and girls, half the total number benefiting from the facilities. There are three women among the 17 sanitation masons trained by the program—a notable achievement given that Malawian women traditionally do not undertake work of that kind. In the water user associations formed in the seven market centres, 103 of 201 general assembly members are women, and 35 of the 73 board of trust members elected by the assemblies are women.

Despite the recent substantial improvement in implementation, the cumulative delays have limited the time left for further sanitation and hygiene promotion, as well as post-construction mentoring for water user associations. This poses potential risks for sustainability. The department is maintaining its scrutiny of project management and engagement with the African Development Bank and the Government of Malawi to help ensure positive long-term outcomes from Australia's investment.

The department will pay close attention to performance and project delivery of the water, sanitation and hygiene program in Malawi, including deploying an Australian Civilian Corps specialist in 2013–14 to provide assistance.

¹³⁵ African Development Bank Group, Malawi Country Strategy Paper 2013–2017, Malawi, 2013.

¹³⁶ Tightened lending, higher input costs and tighter cash flows.

Objective 4:	Rating in 2012–13	Rating in 2011
Improving food security	Green	Amber

Australia's food security program in Southern Africa, which focuses on Zimbabwe, contributes to the long-term goal of more resilient and food-secure communities with improved living standards and economic opportunities. It is achieving promising results through voucher-based systems and the engagement of the private sector to stimulate agricultural markets. It has been rated green.

Food insecurity is not a major issue across the region, except for Zimbabwe¹³⁷ as a result of severely destabilised market systems and agricultural value chains (including the reforms to agricultural land) and poor climatic conditions. Current poverty levels in Zimbabwe are estimated at 70 per cent, with over 55 per cent of Zimbabweans living below the food poverty line.

Zimbabwe's political and economic environment has improved but still poses a significant challenge. The recovery from disruptions to agricultural markets as a result of the government's land reform in 2002 onwards and macro-economic meltdown in the 2000s, as well as intermittent droughts, remain a challenge. Farmers and businesses continue to face difficulties in accessing agricultural inputs due to inflated agricultural costs, and accessing finance due to a tight lending environment. However, minor improvements in the liquidity of agricultural assets and a relatively more stable currency has led to the stabilisation of prices and therefore more purchasing power for farmers and businesses to improve food production and stimulate agricultural markets.

The department aims to continue to focus assistance on further stabilisation of food security in Zimbabwe. Through the United Nations Food and Agriculture Organization, Australia aims to build on past successes by continuing the use of voucher-based assistance to increase farmer yields and incomes, and to stimulate trade in agricultural markets. Australia also aims to enhance markets, particularly for the rural poor, by further encouraging private sector investment in agriculture through grants and loans. This marks a shift from the early response of basic direct agricultural inputs for farmers to meet immediate food shortages, to a more sustainable approach that builds the lasting functionality of local agricultural markets. The Food and Agriculture Organization's experience in the provision of technical assistance and policy support is an advantage, although the organisation is still learning and evolving in its new implementation role.

Australia is building on past successes of voucher-based assistance. The Protracted Relief Program—led by the United Kingdom's Department for International Development—ended in September 2012. Post-harvest surveys have demonstrated that households receiving agricultural inputs, as part of donor-funded programs, plant a larger area, use more fertiliser and produce a higher yield, which has allowed smallholders to sell surplus yields for additional household incomes. Evidence also suggests that 10 per cent of smallholder households continue to use climate resilient practices even after the Protracted Relief Program has ended. Through the Food and Agriculture Organization, the department aims to extend the

¹³⁷ Food shortages may increase, with agricultural yields projected to decline.

success of this approach through a new initiative, the Livelihoods and Food Security Program, which is scheduled to begin in December 2013.

The relationship between the Food and Agriculture Organization and the government has not only helped initiate discussions regarding the project but has also initiated broader policy dialogue that has previously been a major barrier for donors. Through the Food and Agriculture Organization and the World Bank, the department will continue to engage with government to ensure alignment with its policy.

The transition from the Protracted Relief Program to the Livelihoods and Food Security Program presented a gap in agricultural support to farmers which threatened the improvements made to date in food production, household incomes and markets. In 2012–13, Australia provided vouchers to 20 750 smallholders to continue stimulation of local food production and markets (Australia's portion was \$8 million). As of March 2013, farmers had spent approximately \$6.5 million and \$7.5 million on livestock and crop inputs respectively. The vouchers will help women benefiting from the initiative¹³⁸ to improve their economic livelihood and independence, particularly as the vouchers focus on small livestock which has usually been assigned to women for cultural reasons.

The use of vouchers has helped sustain the network of local agro dealers, strengthened links between suppliers and small agro dealers, and encouraged local information and communication technology companies to increase coverage and services.

The willingness and ability of farmers, many of who are poor, to co-contribute to the vouchers¹³⁹ is an early indication of successes in increasing food production and household incomes.

Australia is helping stimulate private sector investment in agricultural markets, further contributing to the improvements in livelihoods gained as a result of the voucher system. We continued to play a lead role in the multi-donor Africa Enterprise Challenge Fund Zimbabwe Window¹⁴⁰ and a third round of applications was reviewed in March 2013. Twelve new companies were successful in round three and it is too early to assess the success of these businesses. Since late 2009, the challenge fund has provided 31 companies with grants to expand markets and services to the poor, with benefits to an estimated 664 600 households. Although grant funding was discontinued for one unsuccessful venture, initial assessments indicate that the program has already reached its target of 35 per cent of businesses supported realising profits. Moreover, a round one grantee has realised such significant profits that they have repaid their loan without using their full grant, within two years of receiving their first funding.

The contribution of approximately \$73 million by businesses, in addition to donor support through the Africa Enterprise Challenge Fund Zimbabwe Window, indicates increased private sector investment and the sustainable development of markets.

Australia also provided approximately \$4.9 million to non-government organisations to improve food security, resulting in 22 278 people (including 14 362 women) gaining access

¹³⁸ Approximately 30 per cent of households receiving vouchers are female headed, and 61 per cent of the famers and 70 per cent of the labourers are women.

¹³⁹ Farmers contributed \$32 towards the \$160 voucher under the transitional program.

¹⁴⁰ Australia co-funded 83.26 per cent the initiative with the United Kingdom's Department for International Development, which contributed 16.74 per cent.

to, and using, agricultural technologies to improve their livelihoods. Further to this, Australia provided \$1 million to the World Food Programme for food relief in response to humanitarian needs.

Kaites, a recipient of an Africa Enterprise Challenge Fund Zimbabwe Window grant, aims to target 5500 smallholder households for the production of certified, organic essential oils and herbs for export, but was struggling in 2011. The business, now in its second year of implementation, has recovered and is now exceeding expectations, with 2811 households benefiting around \$110 per household (total benefit of \$309 210).

The department will explore ways to further support farmers including expanding the range of agricultural inputs accessible through the vouchers, as well as improving electronic vouchers, particularly in rural areas where access to technology is a challenge.

Objective 5	Rating in 2012–13	Rating 2011
Improving income, employment and enterprise opportunities through mining	Amber	Amber

Through relationships built with key players, Australia's Mining for Development program has identified key areas for short-term investments that are scalable over the longer-term program. Although broad objectives have been identified, and early technical assistance trialled, the program has now matured to a point where a more detailed and refined strategy and implementation plan can be developed so that targeted assistance maximises development outcomes. Until Australia further refines its strategy and determines specific program-level outcomes, or its contribution to improving income, employment and enterprise opportunities, it is rated amber.

Mining revenues and the opportunities that flow from the sector offer resource-rich countries unique opportunities to reduce poverty, improve physical infrastructure and basic service delivery, and promote inclusive development. In Zambia and Mozambique, the mining sector is the major contributor to economic growth.¹⁴¹ Despite its development potential however, when poorly managed, mining can harm development prospects and exacerbate inequalities. Inadequate mining waste disposal can result in the pollution of waterways, which affects sanitation, health and livelihood opportunities for local communities. Poorly negotiated mining contracts, inadequate regulation and poor transparency can also result in millions of lost public revenue. Australia is engaged in Mining

¹⁴¹ In Zambia, mining revenue represents 9.1 per cent of gross domestic product, 70.3 per cent of foreign exchange earnings, and 8.5 per cent of formal employment levels. World Bank, *Zambian Sixth National Development Plan*, Republic of Zambia, 2011. In Mozambique, the extractives sector currently accounts for five per cent of gross domestic product and more than 15 000 direct jobs.

for Development in Southern Africa because of both the potential for mining to generate sustainable economic development and poverty reduction, and the potential risk of harm. With more than 150 years of experience in the minerals sector, Australia has substantial expertise to share.

Australia aims to help Southern African countries leverage their mineral wealth for transformative, equitable and inclusive development. Given the limited resources in Mining for Development, Australia's approach has been to start small, and to learn and refine as we go. The focus of first year programming in Southern Africa has been on gaining a better understanding of key Mining for Development challenges and building the requisite relationships with key partners (government, other donors and industry) to carry the program forward. Scoping missions undertaken in 2012 have informed programming by highlighting common issues and gaps, particularly in areas where Australia can use its experience to make a difference. Skills development (both at tertiary and vocational level), negotiations capacity, and integrated planning are common priority areas of need, raising the prospect of future support to build the capacity of governments and communities in these areas. Issues such as legislative and regulatory reform, the management of extractive revenues, and addressing social and environmental impacts, have also been raised.

In terms of delivery, the department is focusing on providing early assistance through short-term capacity building and technical support, and education and training activities, with a view to building on this to develop and provide longer-term, larger-scale assistance in following years. All Sub-Saharan countries are able to access education and training assistance such as study tours and Australia Awards.¹⁴² We are also looking to work with other development and industry partners on longer-term activities where this makes sense, particularly where there is an opportunity to improve coordination and leverage sectoral knowledge and resources. The department has undertaken initial scoping studies in Mozambique and Zambia, reflecting a commitment to reform mining governance in these countries and high a level of Australian mining interests. Through research projects, the department is looking at how mining intersects with water and sanitation and agriculture, to help inform alignment between mining and other sectoral programs in coming years. Research into legal, legislative and regulatory frameworks for leveraging better development impact from mining infrastructure; mine closure practices; cumulative impact of mining projects; and human rights dimensions of mining is also being supported. Lessons learned through this approach will help inform a coherent mining program in Africa.

The department has begun implementing a range of short-term activities that respond to priority areas of need, are scalable, and draw on Australian expertise. We have provided \$2.3 million of development assistance over the past two years to support the Government of Mozambique's development goals. Funding to date has provided capacity building support to the Ministry of Mineral Resources, including on contract negotiations, legislative review and revenue management. In collaboration with the United Kingdom's Department for International Development, we are assisting the government to develop a coal master plan to maximise the development benefits from the sector while minimising negative social and environmental impacts. The Australian government supported the placement of two

¹⁴² Countries are able to access assistance through the International Mining for Development Centre, scholarships, study tours and the multilateral organisations that Australia contributes to such as the Extractive Industries Transparency Initiative, the International Monetary Fund Topical Trust Fund on Managing Natural Resource Wealth and the Extractive Industries Technical Advisory Facility.

Mozambican officials with the Central Highlands Regional Council in Queensland to work on regional planning issues. The department has also designed mining technical and vocational education training and higher education support packages and begun early implementation through study tours. These three work areas—integrated and collaborative planning, mining higher education, and mining vocational education—have been captured as priority areas for cooperation under the memorandum of understanding with Mozambique on Mining for Development, which was signed on 14 March 2013 and formalised our cooperation in this area.

In Zambia, early assistance has been proposed on organisational development of the Ministry of Mines, Energy and Water Development, assistance with legislative review, and support for mining technical and vocational education training, which is consistent with the emerging areas of focus for Mining for Development programming across Africa. This assistance is currently being negotiated with the Government of Zambia. We have also supported the government to scope potential research on mining sector development and job creation, which has helped strengthen relationships with government counterparts.

Through these efforts, the department has developed a greater understanding of Mining for Development issues in Southern Africa and has built good relationships with key ministries and government departments including through our responsive assistance.

Australia has provided access to vocational training and higher education opportunities across the region. Through the 18-month pilot infrastructure planning training activity,¹⁴³ five South Africans, four Namibians, and three Zambians from public service agencies have received on-the-job training to better prepare and manage mining-related infrastructure projects. The activity demonstrates the importance of effective cooperation between the public and private sectors in these areas. Other Southern African countries where our Mining for Development assistance is more limited have continued to benefit from study tours and Australia Mining Awards.

The Australia Mining Awards are contributing to building skills and capacity in Africa.¹⁴⁴ Last year 38 awardees from Southern Africa were awarded Australia Awards to study a range of mining related subjects. Benefits are already being seen, with feedback that some participants are transferring knowledge and skills gained through study tours to their own workplaces.¹⁴⁵

The department is now at a point where it is able to begin to leverage its knowledge gained through activities to date and build on its early technical assistance to scale up assistance in priority areas. Australia's lack of presence outside of South Africa and Zimbabwe though remains a challenge. This is demonstrated by the difficulties experienced in securing government approval for proposed support in Zambia, facilitating effective consultation within government and with other development partners on the Mozambique Coal Master Plan, and progressing our regional planning support in Mozambique.

Increasing the Australian Government's engagement with the Zambian Government and Government of Mozambique would greatly assist the implementation of, and policy dialogue

¹⁴³ The activity is being delivered in partnership with the civil engineering firm Bigen Africa and Skills DMC, Australia's skills council for the resources sector.

¹⁴⁴ These include both Masters level studies and short professional courses.

¹⁴⁵ According to a Mining Award alumni, most Malawian participants of the Uranium Mining, Processing and Handling Study Tour in August 2012 were involved in the revision of Malawi's mines and minerals policy.

on, our water and sanitation and Mining for Development work in those countries. Given resource constraints though, this will require innovative approaches, such as the collocation of specialists with donors who are in-country to pool resources and improve coordination in an increasingly complex and crowded area of work, or the deployment of Australian Civilian Corps officers in the region. We are exploring such possibilities with GIZ and the United Kingdom's Department for International Development. Australia needs to continue to develop a stronger understanding of the sector including how mining and other sectoral programs can deliver complementary and coordinated assistance.¹⁴⁶

The department will engage a Mining for Development specialist within the Pretoria Embassy aid team to provide the relevant experience and expertise to inform a deeper understanding of how to translate mining into development outcomes. Research, commissioned through the department's Development Research Awards Scheme, will be used to further identify the links between mining and other sectors.

Objective 6:	Rating in 2012–13	Rating in 2011
Improving governance to deliver better services, improve security and enhance justice and human rights	Amber	Amber

Australia's discrete governance activities in Zimbabwe are producing good outputs. However, a challenging political and operating environment is hindering higher level development outcomes. For this reason, it is rated Amber.

Governance¹⁴⁷ varies across and within countries in the Southern African region, with some countries showing signs of improvement in some areas whereas others showing signs of increased tension and poor transparency. The Government of Zimbabwe is undertaking key reforms to improve service delivery and transparency.¹⁴⁸ Upcoming elections are producing signs of increased tension and conflict in Mozambique,¹⁴⁹ and there continues to be political uncertainty due to upcoming elections in 2013, a lack of transparency,¹⁵⁰ regular reports of political and human rights violations, and limitations in the ability of the government to deliver services.

¹⁴⁶ The International Mining for Development Centre-delivered short course on large volume waste management in Zambia and the training needs analysis for occupational health and safety training for the Zambia Mines Safety Department will help inform the Mining for Development program, particularly where there is potential to align sectors in fast-growing mining regions.

¹⁴⁷ Effective governance incorporates a range of factors, from political environments to the capacity of governments to deliver services to law and justice.

¹⁴⁸ The Zambian Government is implementing its sixth national development plan, which promotes better service delivery, transparency and accountability. It has also introduced ward village councils for local service delivery and is drafting a new constitution which outlines key human rights such as access to safe and clean drinking water and sanitation.

¹⁴⁹ The unanimous election of the president for a third consecutive term—which is in contravention of the constitution that sets a maximum two-term limit—as well as an isolated outbreak of violence by supporters, suggests underlying tensions between the two governing parties in the lead up to the municipal and general elections in 2013 and 2014 respectively.

¹⁵⁰ Zimbabwe ranks 163 out of 174 countries on corruption, with a corruption score of 20 (highly corrupt). Transparency International, Corruption Perceptions Index 2012.

Australia's aid program in Sub-Saharan Africa does not engage on governance as a standalone sector. Instead, we focus on engaging on the way resources and services are governed, and on building the capacity of government within key sectors. Capacity building is a key theme across all Australian programs in Sub-Saharan Africa and achievements in this are discussed throughout other sections in the report. However, it is recognised that sound governance, particularly in fragile and conflict-affected states, is a prerequisite for achieving all other program objectives and that achieving progress in these contexts takes more time than usual.

It is for these reasons that Australia provides support specifically for Zimbabwe, a country Australia has historically supported, and where there has been a history of significant political instability and turmoil. Support has been provided for three main areas: to improve political processes, to build a healthy state-society compact, and to build the Zimbabwean Government's ability to manage resources to improve the stifled economy. It is recognised that the state of fragility and instability in Zimbabwe has added to the disadvantages already faced by the most vulnerable groups in the community, including women. Although Australia's governance investments in Zimbabwe do not cater for specific women-focused programs, working in these areas provides an opportunity for promoting gender equality at structural levels.

The majority of Australia's investments in Zimbabwe are due for completion in 2013–14, at which point reconsideration of assistance for governance in Zimbabwe, depending on the outcomes of the election, available resources and performance information, will be made.

The Constitutional Select Parliamentary Committee,¹⁵¹ with \$2 million in Australian government funding to the United Nations Development Programme Multi-donor Trust Fund, supported the constitution development process by collating information from the public outreach process, helping develop a first draft for consultation, holding the Second All Stakeholders conference and keeping the public reasonably well informed about the issues being debated. This is a significant milestone considering the constitution has previously been contested and delayed and it is a considerable improvement from the current constitution.¹⁵² While the United Nations Development Programme has experienced difficulties in balancing the reporting requirements of the various donors and getting engagement from the government, it performs administrative tasks well and is working on sensitive issues in a politically challenging environment.¹⁵³

This initiative improved gender equality by raising awareness of and promoting gender issues in civic education campaigns, and targeting increased participation of women and other marginalised groups. The constitution has a number of positive provisions for women, including stating gender equality as one of the country's founding values, and better alignment with several of the key international and regional gender equality and women's rights instruments that Zimbabwe has signed and ratified.¹⁵⁴

¹⁵¹ The select committee is made up of 25 members from the three political parties represented in parliament: the Zimbabwe Africa National Union – Patriotic Front, Movement for Democratic Change – Tsvangirai, and Movement for Democratic Change appointed to manage the consultation, drafting and reporting on the constitution making process.

¹⁵² International Crisis Group, Zimbabwe: Election Scenarios, Africa Report N°202, Brussels, 6 May 2013.

¹⁵³ The United Nations Development Programme's mandate is in relation to political support and as such appropriately plays the lead role.

¹⁵⁴ These include the Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa – and the Southern African Development Community Gender and Development Protocol – among others. *UN Women, Zimbabweans say yes to new Constitution strong on gender equality and women's rights*, 19 April 2013.

Australian funding also supported the United Nations Population Fund to undertake the 2012 Zimbabwe National Population census in a range of areas such as field work materials, training and data processing equipment and technical expertise. With large population movements over the last decade, the data will allow the government to plan and target services where they are required.

In addition to supporting the government to strengthen democratic reform processes, the department works with civil society organisations in Zimbabwe to monitor and report on these. This includes monitoring politically motivated violence, promoting community based peace-building and providing services for victims of human rights abuses. In 2011–12, Australia supported non-state justice providers to provide counselling, health, legal and other services to victims of political violence, as well as psychosocial support to victims of sexual violence (predominantly women and girls). Local governance public dialogue meetings by civil society have also helped promote civic voice in political processes including the constitution making process and service delivery issues. Civil society organisations direct their citizen education and engagement activities primarily at disadvantaged and marginalised groups, including people with disability and young people. However, there remain limitations on the ability of civil society to operate freely and influence government, and this is likely to remain the situation in the lead-up to elections in 2013.

Australia also hopes to contribute to the government's capacity to deliver basic services to its people through capacity building and strengthening systems to better manage public resources. Australian Government support (\$2.1 million in 2012) for building the capacity of the Zimbabwe Revenue Authority to collect revenue will help build citizen confidence in the government's ability to deliver services. This support has improved the technical skills of staff, enhanced their ability to mobilise revenue and improved revenue collection practices for existing and new economic activities.¹⁵⁵

In 2012–13, the provision of technical support for bank audits has attracted additional tax revenue. Australia's support also enabled 576 staff (261 female¹⁵⁶ and 315 male) to be trained in key areas identified by the Zimbabwe Revenue Authority.¹⁵⁷ Support for the authority to increase collaboration with South African and Australian taxation and customs organisations and training institutions has exposed the authority to international best practice, and opportunities for technical and professional exchange. A compulsory gender and taxation training course was also introduced to create gender awareness across the department.

West Africa region¹⁵⁸

West Africa is marked by poverty, fragility and food insecurity but has potential for economic growth. The West Africa region continues to experience extremely high rates of poverty and low human development, with 14 out of 17 countries ranking in the lowest category of human development.¹⁵⁹ Despite this poverty, West African countries such as

¹⁵⁵ Reporting by Zimbabwe Revenue Authority managers and officers in 2012 internal monitoring exercise.

¹⁵⁶ The Zimbabwe Revenue Authority has a low percentage of female staff, yet represents approximately 45 per cent of the total training participants.

¹⁵⁷ Includes international taxation, value added taxation, excise taxation and tax treaties, advance revenue forecasting.

¹⁵⁸ For the purposes of this report, West Africa includes Benin, Burkina Faso, Cameroon, Cape Verde, Central Africa Republic, Chad, Cote- d'Ivoire, Equatorial Guinea, The Gambia, Ghana, Gabon, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Sao Tome and Principe, Senegal, Sierra Leone, and Togo.

¹⁵⁹ United Nations Development Programme Human Development Report 2013, New York, 2013.

Niger (which ranks the lowest of all countries, at 186 on the health development index) are proactive in reducing poverty by addressing development and encouraging partner engagement.

Conflict remains a significant issue for security, stability and governance in the region. A number of countries are still recovering from conflicts in the recent past and remain fragile. New conflict has arisen in Mali which is impacting on neighbouring countries (such as fuelling conflict in Niger). Skirmishes across the borders of Cote d'Ivoire and Liberia continue to erupt.

The Sahel region of West Africa¹⁶⁰ continues to suffer food insecurity as a result of low agricultural production and poor access to agricultural products, driven by drought, environmental degradation, pests, high food prices and limited access to markets.

A small number of countries such as Ghana, Nigeria and Cote d'Ivoire are experiencing high economic growth and have aspirations to achieve middle income status. The exploitation of minerals in Ghana, Liberia and Nigeria has the potential to drive further economic growth but this is dependent on the willingness of their governments to set up and safeguard an effective enabling environment for investment in the sector. West African governments are keen to ensure that they receive a fair share of revenues from mineral and natural resource exploitation. They recognise the need for effective budget management and good governance (including public sector reform) to ensure revenues collected through the extractive industry are used for the delivery of basic services. This will further regional economic development outcomes for the poor and the vulnerable.

Expenditure

Table 4: Estimated Expenditure Outcome in West Africa, 1 January 2012 – 30 June 2013

Objective	Jan – Jun 2012		Jul 2012 – Jun 2013	
	\$ million	% of program	\$ million	% of program
1 Improving public health by increasing access to safe water and sanitation*	0.2	0.3	1	1.7
3 Tertiary training to deliver skills for development ¹⁶¹	2.5	5.2	16.4	29.2
4 Improving food security	6.3	13	6	10.7
5 Improving incomes, employment and enterprise opportunities through mining	3.8	7.9	5.9	10.5
6 Improving governance to deliver better services, improve security and enhance justice and human rights*	3.8	7.7	3.3	6
7 More effective preparedness and responses to disasters and crises	30.5	62.5	18.2	32.4
8. Other cross-cutting issues*	1.7	3.4	5.3	9.5
Total	48.8	100	56.1	100

¹⁶⁰ Senegal, Mauritania, Mali, Niger and Chad.

¹⁶¹ Progress against this objective is reported in the Africa-wide investments section. Only expenditure and sector-specific outcomes from Awards and the Australia–Africa Partnerships Facility are reported at the sub-regional level.

Source: sAidworks aid management system data and program provided information.

*While Australia provides a small funding amount of funding towards this objective, it is not a major focus for the Sub-Saharan Africa Program and as such has not been reported on in this aid program performance report.

Objective 4:	Rating in 2012–13	Rating in 2011
Improving food security	Amber	Amber

The department's food security program is in varying stages of implementation (including some activities that have recently commenced). While outputs have been achieved, it is too early to obtain strong evidence that activities are contributing towards development outcomes. Sector level objectives and indicators have been developed and refined during the reporting period and these will provide the basis for assessment for next year. Until Australia's contribution to the sector can be measured, the rating remains amber.

Agriculture is a significant economic and employment driver in the West Africa region. It provides 35 per cent of West Africa's gross domestic product and up to 60 per cent of employment and income generation. Successive droughts, high grain prices, locust infestation, population displacement and environmental degradation, coupled with chronic poverty and vulnerability, have led to the recent food and nutrition crises in the semi-arid Sahel region. Despite good harvests in 2012, food insecurity persists in the region. Vulnerable households still require assistance to build resilience against the increasing frequency of external natural and man-made shocks.

Official development assistance and African government investment in agriculture has declined markedly over recent decades. This has contributed to a paucity of suitably trained professionals, constraints across value chains and poor uptake of agricultural improvements by farmers. Under the Comprehensive Africa Agriculture Development Programme developed by the Africa Union in 2003, African leaders committed to increasing the share of national budgets allocated to agriculture to 10 per cent by 2015, and to achieving six per cent annual agricultural productivity growth. Currently, 10 countries across the continent have exceeded the productivity target and 19 are between three and six per cent.

Australia aspires to improve food security through the widespread adoption of best practice. The department's food security program in West Africa aims to increase agricultural productivity and livelihood options for smallholder farmers, through research into improved farming practices and technologies and enabling their adoption by farmers. This includes building capacity among the relevant West African institutions to better carry out research, development and dissemination of improved farming practices and technologies. The program is based on an Australian Government-funded partnership between CSIRO and the sub-regional organisation West and Central African Council for Agricultural Research and Development (CORAF/WECARD).¹⁶² Through this partnership, six multi-country projects were implemented.

Research takes time to demonstrate development outcomes. As the department's approach to date has been to fund mid to long-term scientific research to realise long-term food security

¹⁶² CORAF/WECARD is the Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles/West and Central African Council for Agricultural Research and Development.

benefits for smallholder farmers, evidence of higher level development outcomes takes some time. However, a number of important achievements have been made towards the development of new knowledge and new technologies.¹⁶³ A number of baseline studies and surveys have been carried out and entered into a consolidated database of key commodities, farm information, farming practices and household data from over 6000 households. The database has helped define new field trials and interventions and is a unique and valuable data source for researchers and policy makers. Also, steady progress has been made in strengthening the capacity of country partners to deliver research and extension services.

However, the program's monitoring and evaluation system was inadequate, with weakly defined end of program outcomes. This undermines Australia's ability to articulate achievements including capacity built in the research and development system. In response, the department led the development of a whole-of-government¹⁶⁴ theory of change to define program-level agricultural productivity outcomes that will guide and measure future aid investments.

Participatory approaches are helping collaboration and dialogue between key players in the sector. A number of the projects have made significant progress toward involving a wide range of actors, from research organisations and non-government organisations, to farmers and market players. For example, the DFAT–CSIRO–CORAF Seed Systems Project uses participatory approaches to allow stakeholders across the production chain to explore issues of characteristics and availability of quality seeds. This has provided vital information about differences in seed preferences between men and women farmers (for example, women prefer legumes while men prefer cereals; women generally have access to small, relatively infertile parcels of land compared to men).¹⁶⁵

The involvement of all stakeholders and beneficiaries along the agricultural production chain is ensuring that local actors are identifying and resolving issues, and are driving interventions and their development outcomes. This is enhancing the adoption of new knowledge and technologies. However, this is a relatively new approach for research organisations and research and development actors need time to adjust to the change in approach. Specifically, while female views are taken into consideration as part of the normal consultative process and gender-specific data is informing research, more work is needed to mainstream gender in CORAF and the National Agricultural Research System, and will be progressed by the CORAF gender specialist in 2013–14.

There are now positive reports that participatory approaches (in particular for the seed systems, livestock and caviary projects) have provided a catalyst for discussion between those facing similar challenges along a production chain. Participatory approaches are also expected to provide greater sustainability outcomes.

The varied capacities of national research institutions to design agricultural research experiments and manage and analyse data required greater than expected effort to build capacity and has somewhat slowed progress. The additional effort is likely to enhance the legacy of the program.

¹⁶³ For example, improvements in soil information, information about efficient tick control and analysis on access to seeds and implications for women.

¹⁶⁴ DFAT, CSIRO, the Australian Centre for International Agricultural Research and the Australian International Food Security Centre.

¹⁶⁵ CORAF/WECARD-CSIRO Partnership annual report: progress and achievements to May 2012.

The department will emphasise adoption, impact and scale-out of agricultural research results and improve monitoring and evaluation in the next phase of the food security program (2014–2017) which is currently in development.

The Australian Government is strategically targeting its assistance provided through regional and pan-African programs. The provision of support under regional and pan-African programs, such as the Australia–Africa Community Grants Scheme and Australia–Africa Partnerships Facility, complements the work Australia is doing to improve food security in West Africa and helps leverage better development outcomes.



Boxes of Shea Butter organised by a women's collective in northern Ghana - a business opportunity which was assisted by an Australian Youth Ambassador for Development volunteer.

In 2012–13, the department offered 96 agriculture-related short and long course awards, provided grant funding under the Australia–Africa Community Grants Scheme for four food security related programs, provided funding under the Australia–Africa Partnerships Facility for programs in natural resource management and agricultural extension, and awarded two Australian Development Research Awards Scheme research grants in the West Africa region to increase the economic benefits to smallholder farmers. The Australia–Africa Partnerships Facility has provided a valuable mechanism for developing and testing capacity and extension approaches outside the existing DFAT–CSIRO–CORAF partnership, and has helped create new networks and a degree of flexibility and complementarity to the program. Volunteer placements in Ghana are aligned with sectoral investments where possible. In 2012–13, six volunteers were placed in agriculture-related organisations. These are producing cross benefits for the program.

An **Australia–Africa Community Grants Scheme** grant to the World Food Programme in Ghana to train and equip Ghanaian Government extension staff helped launch the 2012 Comprehensive Food Security and Vulnerability Assessment. The initiative surveyed more than 8000 households and is a valuable reference document for understanding the spread, diversity and causes of food insecurity and vulnerability in Ghana. This information is particularly useful for agencies tasked with developing programs and priorities for enhancing food security and resilience.

The West African Water project, with funding through the **Australia–Africa Partnerships Facility**, is promoting the adoption of best practice techniques for agricultural water harvesting and conservation in rain-fed farming systems across Burkina Faso, Mali, Senegal and Niger.

Placement of Australian Youth Ambassador for Development volunteer into Concern Universal has led to the award of a 20 tonne contract for high grade Shea butter to a women's collective in northern Ghana (pictured on previous page). This has helped increase the livelihood of the community and in turn improve its resilience to shocks and ability to afford food.

Objective 5	Rating in 2012–13	Rating in 2011
Improving income, employment and enterprise opportunities through mining	Amber	Amber

The West Africa Australian mining program has delivered a range of study tours, training programs and other small activities, and completed the groundwork for implementing larger, multi-year investments in 2013–14. While there have been some results to date, they should have been on a greater scale, so program performance is rated amber. Results are expected to increase by 2013–14 however.

Strong economic growth, underpinned by the extractive industries is providing many countries with the opportunity to boost development. However, ensuring equitable distribution of benefits derived from the industry is a major challenge. West Africa has the highest economic growth rate (6.2 per cent in 2010) and largest share of inward foreign direct investment flows (increasing by 36 per cent in 2011 to USD16.1 billion) of any Sub-Saharan African region.¹⁶⁶

However, West Africa faces a number of challenges in managing its mining industry, including a lack of transparency, high incidence of corruption and fraud, gaps in capacity and skills in key agencies tasked with monitoring extractive processes and environmental effects,¹⁶⁷ and undeveloped regulations and policies for sustainable and equitable management of revenues.

Artisanal and small scale mining is also a serious issue for many resource rich countries in West Africa due to occupational health and safety, HIV, conflict, environmental degradation,

¹⁶⁶ United Nations Conference on Trade and Development, World Investment Report 2012, New York and Geneva, 2012.

¹⁶⁷ For example, offices in the Ministry of Mines in Liberia have been unable to fund office supplies to produce licence applications and the Environment Protection Authority in resource-rich Ghana is operating with very limited staff.

poor sanitation, child labour and taxation issues. Poor resource management, including limited engagement with mining-affected communities, has been a driver of a number of the conflicts that have touched West Africa including for example in Liberia and Sierra Leone.

Increasing exploration and exploitation of mineral resources provides many West African countries with the opportunity to significantly boost economic growth, create the fiscal space to tackle key infrastructure and services deficits, and create employment and other livelihood opportunities. Most countries, now wary of the 'resource curse', are working to improve governance of the resource sector.

The challenges facing minerals sector governance in West Africa require actions that address strategic, legislative and institutional issues as well as the organisational/functional framework of the various agencies involved in mining sector governance. Providing relevant and innovative technical advice and implementation strategies can leverage economic, social and environmental benefits many times larger than the aid investment. Professional development training, education and targeted technical assistance in a range of mining governance areas is emerging as a critical need for most countries.

The department aims to ensure the benefits from rapid mining growth in West Africa are used for development outcomes. Australia is relatively new to the Mining for Development sector including in West Africa.¹⁶⁸ To date, work has focused on providing practical skills and knowledge, given Australia's strong expertise in the area. The initiation of linkages with Africa governments and institutions to inform the aid programming has been a key focus.

The Australian Government is committed to supporting governments in their efforts to manage and govern the booming mining sector and as such supports the African-developed African Mining Vision,¹⁶⁹ particularly in mining governance. The Australian aid program has provided early support to establish the African Mining Development Centre (as a regional, African-led institution), which will implement initiatives under the African Mining Vision, including in West Africa. Australia is also committed to providing opportunities to women, including through a new initiative, the Liberian Building Markets program, which plans to expand women-owned or managed mining and agriculture businesses.

Small activities under the Australia Awards and other training programs are achieving big benefits. Since January 2012, the department has delivered 104 mining-related Australia Awards for study at Australian universities, 18 of which were for long-term study. Ninety-two officials from selected West African countries were also trained on mining governance, safety, infrastructure, environmental impacts, and community relations by arranging and hosting mining study tours in Australia. The tours are discrete activities that have resulted in significant initial steps towards improving government mining policy and establishing a foundation for the mining program in Sub-Saharan Africa.

Participation of Ghanaian and Liberian officials in Australian study tours on mining governance has contributed to the initiation of support to the Ghana Revenue Authority and the Liberian Revenue Department. Through the provision of technical assistance, the department aims to build Ghana Revenue Authority and Liberian Revenue Department capacity to better manage natural resource taxes in the minerals sector. For example, technical

¹⁶⁸ Australia began working in the sector in January 2012.

¹⁶⁹ The African Mining Vision is an initiative of the African Union to improve the development and social impact of mining.

advice is being provided to the newly established Natural Resources Tax Unit within the Liberian Revenue Department. This will help build the skills of Liberian Government staff to effectively manage compliance issues arising from Liberia's natural resource taxation regime, and thereby increase natural resource revenue.

Drawing upon the strategies acquired during his studies of managing mining revenue flows in Australia, a finance ministry official has effectively lifted his government's revenue by tens of millions of dollars by addressing transfer pricing anomalies and improving audit skills of his government.

Knowledge of the sector and relationships built to date has helped to identify the most appropriate areas for Australian support in West Africa, and planning for a number of initiatives is currently underway. There is need to continue to manage expectations—both in terms of available resources and our ability to lead coordination and policy dialogue—given Australia's limited presence in West Africa and human resource constraints.

There is considerable potential for the Mining for Development program to align with, and contribute to, Australian objectives in other sectors and attempts to align investments where possible will be made. For instance, the Liberian Building Market program hopes to increase local content in the mining industry. This can also have impact on our food security objectives by way of improving opportunities for farmers to link in with supplying mining ventures. Similarly, better alignment of individual Australia Awards will improve the linkages between the department and participating institutions, which can have great value for both the individual and organisation.

Objective 7:	Rating in 2012–13	Rating in 2011
More effective preparedness and responses to disasters and crises	Green	Green

The rating is based on the program's performance in delivering on Australia's commitment to international standards of good humanitarian donorship, including ensuring life-saving support is timely and well-coordinated, with a particular focus on predictable and flexible needs-based funding. In the annual program performance report for 2011–12 it was noted that Australia needed to do further work on ensuring that we can fulfil all the Good Humanitarian Donorship principles.¹⁷⁰ Evidence suggests that Australia has on the whole fulfilled its commitment, although there is further work required in 2013–14, particularly on how to better integrate life-saving assistance with early recovery and resilience building, and how to consolidate our humanitarian partners. Over the reporting period, a humanitarian expenditure

¹⁷⁰ Good Humanitarian Donorship principles are aimed at achieving efficient and principled humanitarian assistance and were endorsed by participating governments in Stockholm on 17 June 2003. The principles and standards provide both a framework to guide official humanitarian aid and a mechanism for encouraging greater donor accountability.

plan was developed that identified linking crisis support with resilience building in the Sahel region, and this is being pursued.

A ‘triple crisis’ is affecting the Sahel. There is continued humanitarian impact of the acute food and nutrition crisis of 2012, and there is an underlying chronic nature of food insecurity, malnutrition and the erosion of resilience in the region. The current Mali conflict crisis has resulted in significant numbers of internally displaced persons and an ongoing exodus of refugees to neighbouring countries.¹⁷¹

An estimated 10.3 million people are food insecure in the Sahel region of West Africa.¹⁷² There are more than one million children suffering severe acute malnutrition across nine countries.¹⁷³ Humanitarian needs have been compounded by the Mali crisis, which has resulted in significant numbers of internally displaced persons within the country and an ongoing exodus of refugees to the neighbouring countries of Niger, Burkina Faso and Mauritania. Violence in northern Mali, which escalated in early 2013, has led to almost 450 000 people being displaced, including over 280 000 internally and over 170 000 as refugees to neighbouring countries.¹⁷⁴

A number of other West African countries are still recovering from recent conflicts including Sierra Leone, Liberia, and Guinea. Border skirmishes still occur between Cote d’Ivoire and Liberia, and the security, stability and governance of these countries remain fragile. Peace-building initiatives—including the generation of livelihoods and employment for large percentages of young people across West Africa—peace and reconciliation activities, and improvements in security and justice sectors remain key priorities of post-conflict governments. Economic development is also seen as a driver for employment and government consolidation, and post conflict governments are keen to generate employment and attract investors, especially in natural resource and mineral exploitation.

The Australian humanitarian program in West Africa aims to address humanitarian crises, including by providing humanitarian assistance to save lives and alleviate suffering for vulnerable populations across the Sahel countries (including for the crisis in Mali), and to provide peace-building support for countries recovering from conflict, including through employment promotion and economic development.

Australia is a good humanitarian donor. Australia’s reputation with United Nations and other multilateral partners in West Africa¹⁷⁵ is as a good humanitarian donor and reflects our commitment to fulfilling the donorship principles outlined in Australia’s Humanitarian Action Policy 2011.¹⁷⁶ This has helped ensure partners are responsive to Australian requests. In addition, Australia’s holistic approach to food security, which enables us to more easily

¹⁷¹ Food and Agriculture Organization, *Food and Agriculture Organization situation update; the Sahel Crisis, Italy and Senegal*.

¹⁷² United Nations Office of the Coordination of Humanitarian Affairs, *Sahel: Millions need long-term support*, 2013.

¹⁷³ United Nations Office of the Coordination of Humanitarian Affairs, *Sahel: \$1.6 billion appeal to address widespread humanitarian crisis*, 2013.

¹⁷⁴ United Nations Office of the Coordination of Humanitarian Affairs, Situation Report No. 19, 2013.

¹⁷⁵ OECD DAC review, OECD Development Cooperation Peer Review – Australia (2013) and comments from overseas Australian government staff on interactions with the World Food Programme and the United Nations Children’s Fund in Sahel (predominantly in Niger and Mali).

¹⁷⁶ This includes the provision of flexible and timely funding, coordination with partners, and ensuring assistance is owned by the recipient government.

support and meaningfully engage in policy dialogue on resilience, is being increasingly recognised¹⁷⁷ despite our modest size as a donor.

The Australian Government has provided \$44 million in 2012 and \$10.5 million so far in 2013 for the Sahel humanitarian crisis.¹⁷⁸ The following highlights some key achievements¹⁷⁹ to which Australia's assistance has contributed:

- > the World Food Programme assisted 317 000 people displaced by the crisis in Mali (in Niger, Mauritania, Mali, and Burkina Faso) by providing food assistance, and supplementary feeding for children and pregnant or lactating women¹⁸⁰
- > in Chad, the United Nations Children's Fund helped vaccinate 3 000 000 children under five against polio, 2 270 772 children against measles, and 8 686 026 people against meningitis¹⁸¹
- > in Niger in 2012, the World Food Programme provided food assistance to 2.8 million people, and 1.5 million people benefited from cash and voucher transfers. A total of 1 800 000 children aged between six months and the age of five were given food under supplementary feeding for prevention and treatment of malnutrition.¹⁸²

In Niger in 2012, Australian humanitarian assistance of \$5.5 million to the United Nations Children's Fund provided water and sanitation, protection, education and nutrition assistance to refugees and internally displaced children and families. This included more than 43 000 children aged from six months to the age of five affected with severe acute malnutrition who received treatment, the provision of medical supplies for children being treated as inpatients, and the provision of 40 000 long-lasting insecticide treated nets.¹⁸³

Australia has also provided almost \$2 million to support the Economic Community of West African States to improve disaster risk reduction in the West Africa region and reduce vulnerability to emerging and evolving threats related to both natural hazards and conflict. The funding strengthened the organisational capacity of the community to provide strategic leadership, innovation and early warning for vulnerable communities.

A number of projects have been funded in Liberia to promote peace-building efforts.

Australia provided \$1 million to implement the United Nations Development Programme-administered Justice and Security Trust Fund to aid reconstruction and development of Liberia's justice and security institutions. Australia's assistance helped build and equip new circuit court facilities in Buchanan in Grand Bassa County to deliver effective and timely justice services, provide staff, awareness and monitoring support to Liberia's Sexual Gender-Based Violence and Crimes Unit, and assisted the Justice Ministry's juvenile diversion

¹⁷⁷ Based on feedback from overseas-based Embassy staff, from participation in the West African Regional Inter-Agency Standing Committee on the Sahelian food and nutrition crisis, and the Global Alliance for Resilience Initiative-Sahel, Australia is being seen as a strong proponent of the resilience agenda.

¹⁷⁸ This report draws on results from calendar years reflecting partner reporting; accordingly Australia's funding is shown for 2012 and 2013. The financial year funding for 2012–13 in the Sahel region was almost \$19 million.

¹⁷⁹ The results are based on total assistance provided by all donor agencies to the respective humanitarian partner.

¹⁸⁰ From World Food Programme EMOP200438 Annual Report 2012, noting Australia's contribution was over \$1.2 million in 2012.

¹⁸¹ From the United Nations Children's Fund, *Chad 2012 consolidated emergency report January – December 2012*. Australia's contribution was \$2.5 million to Chad in 2012.

¹⁸² From World Food Programme EMOP200398 and PRRO200051 Annual Report 2012. Australia's contribution to PRRO 200051 was over \$6.6 million in 2012 and \$4.6 million to EMOP 200398 in 2012.

¹⁸³ From United Nations Children's Fund progress reports specifically for Australia's contribution 2012, noting Australia provided \$5.5 million for Niger in 2012.

program. In 2012–13, \$800 000 was also provided to the United Nations Children’s Fund in Liberia for an extension of the National Youth Service Program to support youth-led reconciliation and development. In particular, funding supports the establishment of youth centres (further to the 10 already in place across the country) where training, counselling and guidance are offered. This enhances social cohesion and builds capacity.

Australia will continue to use multilateral partners to deliver responsive assistance.

Delivering humanitarian assistance through multilateral partners allows Australia to quickly disburse funds through appeals processes to the United Nations and the International Committee of the Red Cross. This helps Australia provide responsive assistance to the quick onset of humanitarian disasters. For example, in Mali in 2012, the United Nations Children’s Fund quickly established frameworks to protect children and support education in the north, and for displaced populations.¹⁸⁴ However, the systems and processes of our partners need to best meet both the underlying and sudden onset emergency needs of the region—the protracted nature of the food and nutrition issues in the Sahel cannot be solved on a year by year funding basis. If our partners have the right systems and processes (such as multi-year consolidated appeal processes), it helps us provide responsive assistance to both protracted and rapidly escalating needs, and ensure there are stronger links between the humanitarian early recovery and resilience efforts by humanitarian and development actors.

Through in-country donor forums and global humanitarian relationships, the department will explore opportunities to advocate for multi-year appeals across the Sahel region to facilitate greater funding for early recovery activities, stimulate earlier programming of recovery activities essential to link humanitarian interventions with more sustainable development, and provide partners with greater funding certainty and the ability to program over longer time frames.

The Australian Government will continue to maximise the potential for other sectoral programs to advance humanitarian and peace-building needs. Australia’s humanitarian assistance has targeted needs related to food security, nutrition and protection, consistent with Australian priorities in West Africa. The program’s peace building activities have also been closely aligned with Australia’s mining governance initiatives in West Africa and the funding of non-government projects in mining affected communities in post-conflict states such as Sierra Leone and Liberia. These linkages will be improved in the future to contribute to greater government stability and legitimacy, and transparency around allocation of resource revenue.

Quality at Implementation ratings

Quality at Implementation (QAI) assessment and reporting is a key component of the department’s monitoring system. Through the QAI process, managers annually review how well initiatives are performing against aid quality criteria¹⁸⁵ including providing a rating, on a scale of one to six. The 2012 Sub-Saharan Africa Program QAI reports (Annex H) indicate 12 of 25 Sub-Saharan Africa Program initiatives over \$3 million are good or very high quality,

¹⁸⁴ Based on feedback from overseas-based Embassy staff in 2012.

¹⁸⁵ Relevance, effectiveness, efficiency, monitoring and evaluation, sustainability and gender equality

10 are adequate, and three are less than adequate quality¹⁸⁶ and require work to improve in core areas. The program also had one underperforming initiative as defined by the department.¹⁸⁷ This initiative has since been finalised. Analysis of the distribution of ratings for 2012 (see below) indicates that monitoring and evaluation, and sustainability¹⁸⁸ are common areas for improvement within the Sub-Saharan Africa Program. The department will focus on improving monitoring and evaluation in 2013–14, including by improving staff capacity and monitoring and evaluation skills, and paying greater attention to strengthening monitoring and evaluation at program design. A table of the Sub-Saharan Africa Program's QAI ratings for 2011 and 2012 is at Annex H.

Table 5: 2012 distribution of QAI ratings

Criteria	Rating 1	Rating 2	Rating 3	Rating 4	Rating 5	Rating 6
Relevance	0	0	0	8	9	8
Effectiveness	0	0	3	10	9	3
Efficiency	0	0	3	14	6	2
Monitoring and evaluation	0	0	6	13	5	1
Sustainability	0	0	5	10	10	0
Gender equality	0	0	3	10	12	0

The decrease in ratings should be considered in context. In 2012, there was increased rigour during QAI moderations with thematic group or performance quality officer attendance at almost all. In addition, new agency moderation guidance helped standardise assessments and ratings. Sub-Saharan Africa Program analysis shows that decreases in ratings are occurring across most initiatives. This either suggests decreased performance in all of these, which is unlikely, or strengthened consistency in rating, recognising this also means the Sub-Saharan Africa Program was likely overrating performance in previous years. Further analysis of QAI ratings, to be undertaken in early 2013–14, should help identify the reasons behind these trends.

Management consequences

Management consequences for 2013–14 have been outlined throughout the report. The emphasis in the coming year will be to continue to narrow the focus of the program, reduce fragmentation and strengthen coherence. To assist this, the Sub-Saharan Africa Program will

¹⁸⁶ Less than adequate initiatives are: Prevention and Treatment of Fistula in Ethiopia, Sustainable Water and Sanitation Services for Africa, and the Malawi and Zimbabwe Multi-donor Trust Fund. Both Prevention and Treatment of Fistula in Ethiopia and Zimbabwe's Multi-Donor Trust Fund have ended. Steps are being taken to address performance of Sustainable Water and Sanitation Services for Africa Malawi and are detailed in the Southern Africa region section of this report.

¹⁸⁷ The department defines underperforming initiatives (termed 'Initiatives Requiring Improvement' or IRI) as initiatives that score a three or lower on the QAI effectiveness criterion, for more than two consecutive years. IRIs undergo either performance management or cancellation.

¹⁸⁸ QAI reports assess sustainability of the initiative over its lifetime, which is usually three to four years. However, the department recognises that sustainable development is much harder in fragile and conflict-affected states, of which there are many in Sub-Saharan Africa – they are more volatile, aid delivery is more complex and change takes much longer than the life of an individual initiative.

develop a strategy and performance assessment framework and strengthen monitoring and evaluation systems to ensure quality information is informing decisions. A summary of 2012–13 management consequences is provided in Annex I.

The Sub-Saharan Africa Program's response to 2011 annual program performance report commitments is outlined at Annex J. Many of these are in relation to developing a new strategy. While work has started, the program strategy has not been completed in time and is therefore rated red. Many other commitments are related or dependent on the development of a new strategy¹⁸⁹ and as such have also been rated red. This includes how the program can better address key cross-cutting issues such as gender equality and disability-inclusive development.

The Sub-Saharan Africa Program has begun implementing, and will continue to refine, a management action tracking system to improve accountability and ensure commitments¹⁹⁰ are delivered in an appropriate timeframe. Key risks associated with the delivery of the program will also continue to be managed (see below).

Table 6: Risks associated with the program and management actions

Most significant risks	2013–14 management response
<p>Program fragmentation and proliferation leads to:</p> <ul style="list-style-type: none"> > the program becoming overly resource-intensive to effectively manage > the delivery of initiatives that are outside the scope of agreed resources. 	<p>The Sub-Saharan Africa Program Assistant Director-General and Minister Counsellor will:</p> <ul style="list-style-type: none"> > define priorities and narrow program focus through the Sub-Saharan Africa Program strategy > continue to reduce fragmentation, where possible.
<p>Risks associated with working through implementing partners, rather than bilaterally:</p> <ul style="list-style-type: none"> > no presence in-country to manage and monitor initiatives and context > institutional blockages delaying or interfering with aid delivery > lack of, or inability to, engage or influence implementing partners, including on key items necessary for good performance management such as monitoring and evaluation. 	<p>The Sub-Saharan Africa Program Assistant Director-General and Minister Counsellor will:</p> <ul style="list-style-type: none"> > seek to place Australian Government resources in partner offices to reduce administrative costs and leverage resources > resource contextual analysis and strengthen performance systems to anticipate and inform how to address blockages > increase monitoring capacity as well as liaising with other like-minded donors.
<p>Efforts to strengthen program monitoring and evaluation systems are not prioritised or resourced appropriately, or staff does not have the necessary skills.</p>	<p>The Sub-Saharan Africa Program performance and quality team will:</p> <ul style="list-style-type: none"> > continue to refine the management action tracking system to improve accountability > develop a staff capacity building and support program for monitoring and evaluation.

¹⁸⁹ Such as the development of underlying delivery strategies or establishment of strategy reference groups.

¹⁹⁰ Including management actions as identified in in evaluations and QAI assessments.

Annex A: Map of Sub-Saharan Africa regions



Annex B: Baseline for tracking consolidation

2012–13 Pan-Africa mechanisms			
Program	Number of activities	Number of countries	Mechanisms
Australia–Africa Community Grants Scheme ¹⁹¹	41	21	Community grants through non-government organisations
Australia–Africa Partnerships Facility ¹⁹²	38	44	Capacity building including training and technical assistance
Australia Africa Community Engagement Scheme	10 ¹⁹³	11	Grants through Australia non-government organisations
Australia Awards	1038 ¹⁹⁴	51 ¹⁹⁵	Scholarships
Volunteers	210	11	Volunteers
Total	1338	–	–

¹⁹¹ Includes one international activity and two multi-country activities.

¹⁹² Includes stand-alone funding to regional organisations (such as the African Union, East African Community, Economic Community of West African States, Alliance for Commodity Trade in Eastern and Southern Africa, Inter-Governmental Authority on Development, United Nations Economic Commission for Africa) as one activity per organisation.

¹⁹³ Number of Australian non-government organisations provided with grants.

¹⁹⁴ Number of Australia Awards scholarships granted.

¹⁹⁵ Includes Australia Awards granted to recipients in Northern Africa.

2012–13 sector programs ¹⁹⁶				
Sector	Number partners	Number of activities	Number of countries	Mechanism/s
Humanitarian	8	22	17	Non-government organisations and multilaterals through Common Humanitarian Funds and consolidated appeals processes
Maternal, neonatal and child health	4 ¹⁹⁷	4	4	Multi-donor pooled funds
Water, sanitation and hygiene	6	7	4	Multilaterals, multi-donor trust funds, African regional organisations
Food security	6	50	28	Agricultural research and development partnerships, private sector challenge funds, social transfers
Total	-	83	-	-

¹⁹⁶ Governance and Mining for Development initiatives are predominantly funded under the Australia–Africa Partnerships Facility and non-government organisations, which are listed under the 2012–13 Pan-Africa Mechanism table.

¹⁹⁷ Pooled Fund mechanisms have been counted as one partner.

Annex C: Sub-Saharan Africa Program's delivery mechanisms and partners

Delivery mechanism	Primary partner	Sector/program	Number of activities	Number of countries	Total funding through partner (\$ million) ¹⁹⁸
Delegated cooperation	United Kingdom Department for International Development	Food security	2	2	52.1
	GIZ	Maternal, neonatal and child health	1	1	35
		Water, sanitation and hygiene	3	12	46.5
Direct grant to multilateral organisation	African Development Bank	Water, sanitation and hygiene	1	1	14
	World Bank	Water, sanitation and hygiene	1	1	19.9
	United Nations Children's Fund	Water, sanitation and hygiene	3	2	64.2
		Maternal, neonatal and child health	1	1	0.5
Early recovery and emergency response, predominantly through common humanitarian funds and consolidated appeal processes ¹⁹⁹	Common Humanitarian Fund Office for the Coordination of Humanitarian Affairs	Humanitarian	3	3	21
	Italy's non-government humanitarian organisation, COOPI		1	1	0.5
	International Committee of the Red Cross		3	3	15

¹⁹⁸ Funding is the total commitment made to partner for the life of the agreement.

¹⁹⁹ Doesn't include agency global contributions to multilateral organisations (core funding) and only includes funding in 2012–13 as humanitarian allocations are predominantly made annually.

Delivery mechanism	Primary partner	Sector/program	Number of activities	Number of countries	Total funding through partner (\$ million) ¹⁹⁸
Multi-donor pooled funds and facilities	Kenya Red Cross		1	1	1
	United Nations Development Programme		1	1	1
	United Nations High Commissioner for Refugees		2	3	9
	United Nations Children's Fund		2	2	3
	World Food Programme		9	7	13
	African Development Bank	Water, sanitation and hygiene	2	53	28.4
	Government of Ethiopia	Maternal, neonatal and child health	1	1	43
	Government of Zimbabwe/United Nations Population Fund	Governance	1	1	2
	United Nations Development Programme	Governance	1	1	2
	United Nations Children's Fund	Maternal, neonatal and child health	1	1	2

Delivery mechanism	Primary partner	Sector/program	Number of activities	Number of countries	Total funding through partner (\$ million) ¹⁹⁸
	World Bank	Water, sanitation and hygiene	1	19	9.8
Non-government organisations grant	Various Australian and international non-government organisations	Australia Africa Community Engagement Scheme Australia–Africa Community Grants Scheme Maternal, neonatal and child health Water, sanitation and hygiene Governance	73 ²⁰⁰	34	122.7
Challenge Funds (grants to private sector)	African Enterprise Challenge Fund	Food security	33	8	45.3
Whole-of-government partnership	CSIRO	Food security	14	25	51.6

²⁰⁰ Australia-Africa Community Grants Scheme activities are for 2012–13 only as the number of activities change year to year.

Annex D: Other Australian aid program funding to Africa

	January–June 2012 (\$ million) Assumed 50% of financial year 2011–12	July 2012–June 2013 (\$ '000)
Activity		
Anti-corruption	0.75	1.41
Australian NGO Cooperation Program	9.37	20.78
Australian Scholarships	3.16	7.1
Better governance and leadership	2.16	0
Climate change – bilateral partnerships	0.43	0.39
Climate change – multilateral partnerships	3.35	12.98
Crisis prevention, stabilisation and recovery	0.40	0.47
DAP	1.75	2
Deployable civilian capacity	0	1.33
Disability taskforce	0.07	1.82
Human Rights Fund	0.65	0.97
International Forest Carbon Initiative	0.25	12.33
Mine action	0.50	0
Mining and natural resources	0	10.81
Other Humanitarian	28.36	23
Volunteer Sending Agencies	5.2	7.2
TOTAL	56.4	102.59

Annex E: Other government department official development assistance to Africa

Department	Countries	Activity	January–June 2012 (\$ million) Assumed 50% of financial year 2011-12	July 12–June 13 (\$ million)
Attorney-General's Department	Pan-Africa	AUSTRAC, International Crime Cooperation Division and Australian Federal Police	1.29	2.8
Australian Federal Police	South Sudan, Sudan	UN Missions and increasing Australia's Law enforcement presence	0.98	1.65
Australian Centre for International Agricultural Research	Botswana, Burundi, Ethiopia, Kenya, Malawi, Mozambique, Rwanda, South Africa, Sudan, Tanzania, Uganda, Zambia, Zimbabwe	Various, including research and sustainable intensification of maize-legume cropping systems and pathways	5.78	9.45
Foreign Affairs and Trade	Pan-Africa	Development Assistance Programme	0.04	0.04
Immigration and Citizenship	Kenya	International Cooperation Branch	0.17	0
Industry, Innovation, Climate Change, Science, Research and Tertiary Education	South Africa and Mauritius	CSIRO	0	0.23
States and Territories	Somalia, South Africa Tanzania	Various, including support to international assistance projects, United Nations Children's Fund for East Africa appeal and Global Health Alliance	0.15	0.44
		TOTAL	8.4	14.6

Annex F: Comparison of sector ratings against 2011 and 2012–13 objectives

Objective	East & Horn Africa		Southern Africa		West Africa	
	2012–13	2011	2012–13	2011	2012–13	2011
1. Improving public health by increasing access to safe water and sanitation	N/A	N/A	Amber	Amber	N/A	N/A
2. Greater access to quality maternal and child health services	Green	Amber	N/A	N/A	N/A	N/A
3. Tertiary training to deliver skills for development~	N/A	N/A	N/A	N/A	N/A	N/A
4. Improving food security	Amber	Amber*	Green	Amber*	Amber	Amber*
5. Improving incomes, employment and enterprise opportunities through mining	Green	Amber*	Amber	Amber*	Amber	Amber*
6. Improving governance to deliver better services, improve security and enhance justice and human rights	Green	Green*	Amber	Amber*	N/A	N/A
7. More effective preparedness and responses to disasters and crises	Green	Green*	N/A	N/A	Green	Green*

*This 2011 rating is a pan-Africa rating and therefore is not directly comparable to the 2012–13 rating, which is for the sub-region.

~This is assessed at a pan-Africa level: 2012–13 rating is green; 2011 rating was green.

Annex G: Volunteers by country (2012–13), Australia Awards by country and sector (2013)

COUNTRY	TOTAL VOLUNTEERS	TOTAL AWARDS	TOTAL AUSTRALIA AWARDS BY SECTOR							
			<i>Agriculture</i>	<i>Mining</i>	<i>Health</i>	<i>Education</i>	<i>Environment</i>	<i>Governance</i>	<i>Water & sanitation</i>	<i>Other</i>
Algeria		8	4	0	0	0	0	3	0	1
Angola		4	0	1	1	0	0	1	1	0
Benin		5	1	2	0	2	0	0	0	0
Botswana	9	29	7	1	6	0	4	9	2	0
Burkina Faso		8	3	1	0	4	0	0	0	0
Burundi		15	2	1	1	2	0	6	0	3
Cameroon		25	9	5	6	0	3	2	0	0
Cape Verde		7	1	0	0	3	0	3	0	0
Central African Republic		5	1	4	0	0	0	0	0	0
Chad		1	0	1	0	0	0	0	0	0
Comoros		2	0	0	0	2	0	0	0	0
Democratic Republic of the Congo		7	0	1	0	2	0	1	3	0
Djibouti		3	0	2	0	1	0	0	0	0
Egypt		14	3	0	0	0	0	9	2	0
Ethiopia	6	79	18	12	17	22	4	2	3	1
Equatorial Guinea		0	0	0	0	0	0	0	0	0
Gabon		1	0	0	0	1	0	0	0	0
Gambia		19	1	1	7	0	1	9	0	0
Ghana	29	40	22	3	5	4	1	5	0	0
Ivory Coast		5	0	2	0	3	0	0	0	0

COUNTRY	TOTAL VOLUNTEERS	TOTAL AWARDS	TOTAL AUSTRALIA AWARDS BY SECTOR							
			<i>Agriculture</i>	<i>Mining</i>	<i>Health</i>	<i>Education</i>	<i>Environment</i>	<i>Governance</i>	<i>Water & sanitation</i>	<i>Other</i>
Kenya	50	88	27	3	16	4	1	30	5	2
Lesotho	6	18	3	1	2	0	1	11	0	0
Liberia		21	0	8	3	0	2	8	0	0
Libya		0	0	0	0	0	0	0	0	0
Madagascar		18	2	16	0	0	0	0	0	0
Malawi	12	61	10	1	12	11	3	13	5	6
Mali		5	2	1	0	2	0	0	0	0
Mauritania		3	0	1	0	2	0	0	0	0
Mauritius		33	7	0	0	8	0	18	0	0
Morocco		4	1	0	0	0	0	3	0	0
Mozambique		24	7	6	0	5	2	3	1	0
Namibia	8	16	0	1	1	7	3	1	3	0
Niger		8	1	7	0	0	0	0	0	0
Nigeria		55	11	5	16	5	0	16	1	1
Republic of the Congo		2	2	0	0	0	0	0	0	0
Republic of Guinea		3	0	2	0	1	0	0	0	0
Rwanda		19	4	2	8	0	1	3	1	0
Sao Tome & Principe		4	0	0	0	2	0	2	0	0
Seychelles		13	1	0	4	2	2	3	0	1
Senegal		8	3	3	0	2	0	0	0	0
Sierra Leone		18	3	4	4	0	0	3	4	0
South Africa	17	16	3	3	4	1	0	5	0	0
South Sudan		20	4	7	9	0	0	0	0	0

COUNTRY	TOTAL VOLUNTEERS	TOTAL AWARDS	TOTAL AUSTRALIA AWARDS BY SECTOR							
			<i>Agriculture</i>	<i>Mining</i>	<i>Health</i>	<i>Education</i>	<i>Environment</i>	<i>Governance</i>	<i>Water & sanitation</i>	<i>Other</i>
Sudan		24	21	0	3	0	0	0	0	0
Swaziland	15	16	2	0	7	2	0	5	0	0
Tanzania	5	113	20	9	42	7	14	14	7	0
Togo		8	1	2	0	5	0	0	0	0
Tunisia		6	4	0	0	2	0	0	0	0
Uganda	8	61	11	4	11	5	7	20	2	1
Zambia		48	10	0	11	5	5	13	3	1
Zimbabwe		28	0	9	0	0	0	15	4	0
Total	165	1038	232	132	196	124	54	236	47	17

Annex H: Quality at Implementation ratings, 2011 and 2012

Initiative name									
	Approved budget and duration	Qal year	Relevance	Effectiveness	Efficiency	Monitoring and evaluation	Sustainability	Gender equality	Risk management
Australia Africa Community Engagement Scheme	\$84 292 634	2012	5	5	4	6	5	5	I
	10/5/10 to 30/6/16	2011	5	5	4	5	5	6	M
Australia–Africa Community Grants Scheme	\$15 000 000	2012	4	5	5	4	5	5	I
	1/7/10 to 30/6/15	2011	5	5	4	2	4	4	I
Zimbabwe civil society support	\$11 600 000	2012	6	5	5	4	5	4	I
	01/06/10 to 30/6/14	2011	5	5	6	4	6	5	I
Australian Awards in Sub-Saharan Africa Program	\$141 927 217	2012	5	4	4	4	4	5	M
	15/10/09 to 31/12/13	2011	5	4	4	4	4	3	I
Australia–Africa Partnerships Facility	\$125 000 000	2012	5	4	4	4	3	4	M
	01/12/09 to 30/06/14	2011	5	5	5	4	4	4	M
Zimbabwe capacity building	\$7 018 426	2012	6	6	5	5	5	5	I
	20/05/10 to 31/12/13	2011	6	5	5	4	5	4	B
Zimbabwe food security – African Enterprise Challenge Fund Zimbabwe Window	\$35 282 527	2012	5	5	4	3	4	4	M
	10/08/09 to 30/06/16	2011	6	4	5	4	5	4	I
Zimbabwe food security – agricultural recovery	\$60 690 803	2012	5	5	4	4	3	5	M
	17/09/09 to 30/12/14	2011	5	5	5	6	5	5	B
Improving Agricultural Productivity in Africa (P1)	\$51 555 574	2012	4	4	4	3	3	4	M
	23/03/10 to 30/06/15	2011	5	5	5	4	4	4	I
Prevention and Treatment of Fistula in Ethiopia	\$8 358 720	2012	4	3	3	3	4	5	B
	23/02/01 to 30/06/14	2011	5	4	5	4	4	5	I
Africa Maternal and Child Health	\$1 667 752	2012	n/a	n/a	n/a	n/a	n/a	n/a	
	24/12/10 to 30/06/15	2011	4	3	3	2	3	4	I
Tanzania Maternal and Child Health	\$9 228 981	2012	4	4	4	3	4	3	I
	20/05/11 to 31/08/13	2011	5	5	5	5	4	5	I

Initiative name									
	Approved budget and duration	Qal year	Relevance	Effectiveness	Efficiency	Monitoring and evaluation	Sustainability	Gender equality	Risk management
Africa–Australia Civil Society Wash Fund	\$10 000 000	2012	n/a	n/a	n/a	n/a	n/a	n/a	
	01/04/10 to 30/06/12	2011	5	5	3	6	4	4	M
Zimbabwe Water & Sanitation Rehabilitation	\$29 198 319	2012	6	6	6	5	5	5	B
	14/12/09 to 31/12/13	2011	5	5	5	4	5	4	I
Sustainable Water and Sanitation Services for Africa: Regional Water and Sanitation – African Water Facility and Water and Sanitation Program	\$18 150 000	2012	4	4	5	4	4	4	I
	12/06/09 to 30/06/2015	2011	5	4	4	3	4	3	I
Mozambique Water Services and Institutional Support Project	\$19 850 000	2012	6	4	4	5	5	5	I
	01/04/10 to 30/09/14	2011	6	4	4	4	4	3	
Sustainable Water and Sanitation Services for Africa: Malawi	\$14 100 000	2012	4	3	3	3	3	3	B
	01/11/10 to 30/06/13	2011	6	4	4	3	3	3	I
Regional Water and Sanitation – United Nations Children's Fund & Water Supply and Sanitation Collaborative Council	\$5 500 000	2012	n/a	n/a	n/a	n/a	n/a	n/a	
	12/06/09 to 30/06/11	2011	6	5	4	5	5	4	
Sustainable Water and Sanitation Services for Africa: Zambia (GIZ Water Sector Reform)	\$4 000 000	2012	4	4	4	3	4	5	M
	31/03/11 to 30/06/13	2011	6	5	5	5	4	4	I
Sudan Humanitarian Assistance	\$22 365 006	2012	n/a	n/a	n/a	n/a	n/a	n/a	
	24/12/10 to 30/06/12	2011	4	4	4	4	3	4	I
Kenya Food Security Community Resilience	\$24 750 000	2012	6	5	5	4	4	5	I
	01/07/11 to 30/06/13	2011	5	4	5	4	4	4	I
Support to Ethiopia Health Sector Development Program IV	\$45 000 000	2012	6	4	5	4	5	4	M
	28/04/11 to 30/06/15	2011	n/a	n/a	n/a	n/a	n/a	n/a	
South Sudan Maternal and Child Health	\$35 000 000	2012	5	5	4	4	5	4	I
	01/05/12 to 30/06/15	2011	n/a	n/a	n/a	n/a	n/a	n/a	

Initiative name									
	Approved budget and duration	Qal year	Relevance	Effectiveness	Efficiency	Monitoring and evaluation	Sustainability	Gender equality	Risk management
Zimbabwe Food and Water Initiative	\$5 000 000	2012	5	5	4	4	4	4	I
	10/03/10 to 19/12/12	2011	5	4	4	3	4	3	
Sustainable Water and Sanitation Services for Africa, Regional: GIZ SADC Transboundary Water Management	\$17 500 000	2012	4	4	4	4	4	4	M
	04/10/10 to 31/12/15	2011	n/a	n/a	n/a	n/a	n/a	n/a	
Sustainable Water and Sanitation Services for Africa: Mozambique	\$10 686 040	2012	6	4	4	5	5	5	I
	13/12/10 to 30/06/15	2011	n/a	n/a	n/a	n/a	n/a	n/a	
Support for Democratic Reform in Zimbabwe	\$4 080 000	2012	5	5	4	4	3	5	M
	01/03/10 to 31/05/14	2011	n/a	n/a	n/a	n/a	n/a	n/a	
Zimbabwe Multi-Donor Trust Fund	\$20 000 000	2012	5	3	3	4	4	3	I
	11/10/10 to 30/06/13	2011	6	5	4	5	5	4	I
Zimbabwe Water, Sanitation and Hygiene Program	\$25 000 000	2012	6	6	6	5	5	4	I
	02/09/11 to 30/06/15	2011	n/a	n/a	n/a	n/a	n/a	n/a	

Definitions of rating scale:

Satisfactory (4, 5 and 6)

■ = 6 = Very high quality

■ = 5 = Good quality

■ = 4 = Adequate quality, needs some work

Less than satisfactory (1, 2 and 3)

■ = 3 = Less than adequate quality; needs significant work

■ = 2 = Poor quality; needs major work to improve

■ = 1 = Very poor quality; needs major overhaul

Risk Management scale:

■ Mature (M). Indicates the initiative manager conducts risk discussions on at least a monthly basis with all stakeholders and updates the risk registry quarterly.

■ Intermediate (I). Indicates the initiative manager conducts ad-hoc risk discussion and updates the risk register occasionally.

■ Basic (B). Indicates there are limited or few risk discussions and the risk register has not been updated in the past 12 months.

Annex I: 2012–13 Management consequences

Management consequences identified in 2012–13 aid program performance report

Pan-Africa

In 2013–14, the department will:

1. develop a program strategy that will:
 - a. set out end-of-strategy program outcomes, reflecting the relationships between different sector programs where appropriate
 - b. clarify how to reduce fragmentation and strengthen coherence, including using flexible mechanisms such as the Australia Awards and the Australia–Africa Partnerships Facility to deliver on program objectives
 - c. recognise food security activities contribute to increased incomes and enterprise opportunities as well as food availability and nutrition
 - d. clarify how to better connect Australia’s multilateral core contributions to Sub-Saharan Africa Program priorities and work more collaboratively with the Australian NGO Cooperation Program on how to strengthen engagement with non-government organisations in Africa
 - e. clarify the Sub-Saharan Africa Program’s approach to addressing gender equality
 - f. include a performance assessment framework that contains sex-disaggregated and disability-inclusive indicators
2. develop a Mining for Development engagement plan
3. strengthen Australia’s influence with partners including by identifying and establishing a regular dialogue with priority multilateral and bilateral partners to share lessons, leverage successes, and strengthen advocacy on common issues
4. strengthen monitoring and evaluation systems, including by undertaking a monitoring and evaluation stocktake and pilot, and a monitoring and evaluation capacity building and support program.

East and Horn of Africa

In 2013–14, the department will:

1. engage with the Government of Ethiopia and other donors to address challenges noted in the Health Sector Development Program IV mid-term review, including identifying and implementing strategies to improve quality of data collection systems
2. develop a more coherent approach to building resilience, including aligning the humanitarian, social protection and agricultural productivity activities in the Kenya, Somalia and South Sudan programs
3. strengthen focus on agricultural adoption to ensure research innovations benefit poor farmers and communities, and recruit an agricultural productivity and markets specialist, based in the Nairobi office
4. in recognition of growing donor interest in South Sudan’s mining sector, convene a donor coordination forum to help coordinate international support for improved governance in the sector

Southern Africa

In 2013–14, the department will:

1. strengthen monitoring and evaluation of the Water Supply, Sanitation and Hygiene in Nampula Province and Water Services and Institutional Support initiatives to ensure they are on track to deliver outcomes as expected and advocate for remedial action where required
 2. pay close attention to the performance and project delivery of the water, sanitation and hygiene program in Malawi, including deploying an Australian Civilian Corps specialist in 2013–14 to assist where possible
 3. explore ways to further support farmers including expanding the range of agricultural inputs accessible through the vouchers, as well as improvements in electronic vouchers, particularly in rural areas where access to technology is a challenge
 4. subject to budget availability, engage a Mining for Development specialist within the Southern Africa aid team to provide the relevant experience and expertise to inform a deeper understanding of how to translate mining into development outcomes. Research, commissioned through the Australia’s Development Research Awards Scheme will be used to further identify the links between mining and the other sectors.
-

Management consequences identified in 2012–13 aid program performance report***West Africa***

In 2013–14, the department will:

1. emphasise adoption, impact and scale-out of agricultural research results and improve monitoring and evaluation in the next phase of the food security program (2014–2017), which is currently in development
 2. through in-country donor forums and global humanitarian relationships, explore opportunities to advocate for multi-year appeals across the Sahel region to:
 - a. facilitate greater funding for early recovery activities
 - b. stimulate earlier programming of recovery activities essential to link humanitarian interventions with more sustainable development
 - c. provide partners with greater funding certainty and the ability to program over longer time frames.
-

Annex J: Progress in addressing 2011 management consequences

Management consequences identified in 2011 annual program performance report	Rating	Progress made in 2012–13
<i>Strategic approach and sector delivery strategies</i>		
A revised regional strategy developed for Australian aid in Africa by mid-2013.	Red	A situation analysis has been completed and was considered by the Development Effectiveness Steering Committee in June 2013. Consultations are beginning on the required strategic architecture ²⁰¹ and the new Sub-Saharan Africa Program strategy, and are to be completed by the end of 2013. It will be supported by a series of delivery strategies and policy documents that will more explicitly define expected outcomes and risks.
Delivery strategies developed for the mining, food security and maternal and child health sectors.	Red	Development of sector delivery strategies is now being considered as part of the development of the new Sub-Saharan Africa Program strategy. Delivery strategies will be developed based on need and purpose.
<i>Monitoring and evaluation</i>		
A stocktake of Sub-Saharan Africa Program monitoring and evaluation systems.	n/a	The stocktake has been superseded by a program to build staff capacity in monitoring and evaluation. This is due to commence in late 2013.
Performance assessment frameworks developed for each major sector program.	Red	Performance assessment frameworks assess progress against the program strategy and underlying delivery strategies. A performance assessment framework will be developed once the new strategies have been finalised.

²⁰¹ The framework of formal and informal policy and strategic documents, including program strategy and delivery strategies.

Management consequences identified in 2011 annual program performance report	Rating	Progress made in 2012–13
Undertake reviews of the following activities: <ul style="list-style-type: none"> > Australia Africa Community Engagement Scheme > Australia Awards > DFAT–CSIRO partnerships > Australia–Africa Partnerships Facility > Hamlin Fistula Ethiopia > South Sudan NGO program > Zimbabwe Food and Water Initiative. 	Green	Reviews for Australia Awards, DFAT–CSIRO, Australia Africa Partnerships Facility, South Sudan NGO Program and the Zimbabwe Food and Water Initiative have been completed and are either published on the website or in the process of being published.
Develop a tracking system for management actions in annual initiative and program level reports and plans.	Green	The review for Hamlin Fistula Ethiopia is due to be completed in 2013–14. The review for the Australia Africa Community Engagement Scheme is scheduled to commence in 2013–14.
Linkages between programs and partners		
Clarification of the links between different regional and bilateral programs for each sector program.	Amber	This will be explored in the development of the new Sub-Saharan Africa Program strategy.
Formation of strategy reference groups.	Green	External consultations on the new Sub-Saharan Africa Program strategy are now beginning. Initial consultations were held with non-government organisations in January 2013 and further consultations are planned for the second half of 2013. Engagement with business will commence in July 2013.
Formation of implementation reference groups for each sector strategy.	Amber	An implementation reference group for the water, sanitation and hygiene sector strategy has been formed and meets annually. The theory of change for food security has been completed in consultation with the department and whole-of-government stakeholders.
Communication of strategic priorities to key stakeholders.	Amber	Whole-of-government partners were consulted on the priorities for the future of our aid program and will be further consulted in the development of the new Sub-Saharan Africa Program strategy.
Prioritisation of resources		
Development of resource plans based on sector delivery strategies.	Red	Sector delivery strategies are being considered in the development of the new Sub-Saharan Africa Program strategy, and so resource plans have not been completed.
Assessment of staff capability in line with the department's workforce plan.	Amber	A staff individual capability and knowledge requirements assessment tool and staff profile template have been developed and will be rolled out in July 2013.
Mini health check.	Red	Not completed due to competing work demands.

Management consequences identified in 2011 annual program performance report	Rating	Progress made in 2012–13
Gender		
Integration of gender equality into the Africa regional strategy and sector delivery strategies.	Amber	A high-level paper on gender in Sub-Saharan Africa was completed for the regional situation analysis. Further gender analysis, including on detailed sub-regional gender issues and barriers, will be incorporated into the development of the new Sub-Saharan Africa Program strategy.
Gender targets and indicators in performance assessment frameworks.	Red	Gender targets and indicators have been included in the draft delivery strategies for water, sanitation and hygiene, and Zimbabwe. Gender targets and indicators will be incorporated into future development of delivery strategies, as determined by the new Sub-Saharan Africa Program strategy, where possible.
Analysis of gender equality in the monitoring and evaluation stocktake mentioned under monitoring and evaluation.	Red	The stocktake has been superseded by a program to build staff capacity in monitoring and evaluation. This is due to commence in 2013–14, and will incorporate gender specific considerations, where possible.
Gender analysis, specifically: <ul style="list-style-type: none"> > input from a gender advisor for the Australia Awards > dialogue with the department's thematic group > development of a gender strategy for the Australia–Africa Partnerships Facility. 	Green	A gender advisor has been appointed by the managing contractor for Australia Awards. The Africa Branch engages with the Gender Thematic Team, through the branch's gender focal point, to provide briefing and develop a stronger understanding of programs in Africa funded by the thematic area. The department's gender specialist will develop a guideline to implement the aid program's policy on gender in the Australia–Africa Partnerships Facility by December 2013.
Assessment of how gender equality is addressed in the Australia Awards program and Australia–Africa Partnerships Facility.	Green	Completed.
Disability		
Analysis of disability in the monitoring and evaluation stocktake mentioned under monitoring and evaluation.	n/a	The stocktake has been superseded by a program to build staff capacity in monitoring and evaluation. This is due to commence in 2013–14 and will incorporate disability specific considerations where possible.
Inclusion of disability inclusive development in sector performance assessment frameworks where relevant.	Amber	Disability inclusive targets and indicators have been included in the draft delivery strategies for water, sanitation and hygiene, and Zimbabwe. Disability inclusive targets and indicators will be incorporated into future development of delivery strategies, as determined by the new Sub-Saharan Africa Program strategy, where possible.

Management consequences identified in 2011 annual program performance report	Rating	Progress made in 2012–13
Work with the department's Disability Policy Section to build Sub-Saharan Africa Program staff capacity in integrating disability inclusive development into programming.	Green	A Sub-Saharan Africa disability focal point has recently been appointed and has begun discussions with the Disability Policy Section to build staff capacity into planning. A DFAT course on disability-inclusive development is also being prepared.

- Note:
- Green. Progress is as expected for this point in time and it is likely that the objective will be achieved. Standard program management practices are sufficient.
 - Amber. Progress is somewhat less than expected for this point in time and restorative action will be necessary if the objective is to be achieved. Close performance monitoring is recommended.
 - Red. Progress is significantly less than expected for this point in time and the objective is not likely to be met given available resources and priorities. Recasting the objective may be required.

Annex K: Evaluation and review pipeline planning

List of evaluations completed²⁰² in 2012–13

Name of initiative	Aidworks number	Type of evaluation ²⁰³	Date evaluation report received	Date evaluation report uploaded into Aidworks	Date management response uploaded into Aidworks	Published on website
Australian Scholarships for Sub-Saharan Africa Program	INF725	Completion report	June 2012	November 2012	Still to be finalised	No
Australia–Africa Community Grants Scheme	INJ344	Review	October 2012	January 2013	Still to be finalised	No
Improving Agricultural Productivity in Africa (P1)	INJ211	Progress review	January 2013	February 2013	Still to be finalised	No
Australian Scholarships for Sub-Saharan Africa Program 2010–2013	INI978	Review	April 2013	Still to be finalised	Still to be finalised	No

²⁰² ‘Completed’ means the final version of the report has been received.

²⁰³ E.g. mid-term review, completion report, partner-led evaluation, joint evaluation.

List of evaluations planned in the next 12 months (2013–2014)

Name of initiative	Aidworks number	Type of evaluation	Purpose of evaluation ²⁰⁴	Expected completion date
Australia Africa Community Engagement Scheme	INJ318	Mid-term review	To improve existing program	May 2014
Prevention and Treatment of Fistula in Ethiopia	INF039	Review	To verify program outcomes	September 2013
Australia–Africa Partnerships Facility	INJ018	Mid-term review	To improve existing program	To be confirmed.
Sustainable Water and Sanitation Services for Africa: Mozambique – Water Supply, Sanitation and Hygiene in Nampula Province	INK348/11B331	Review	To improve existing program	November 2013
Sustainable Water and Sanitation Services for Africa: Mozambique – Water and Sanitation for the Urban Poor	INK348/12A327	Review	To improve existing program	November 2013
Sudan Humanitarian Assistance	INJ734/11A458	Evaluation	To verify program outcomes	July 2013

²⁰⁴ E.g. to inform a future phase of program, to improve existing program; to verify program outcomes.