Human Resource Assessment and Gap Analysis of the Zambian Social Welfare Workforce

Zambia OVC Systems Strengthening Project (ZOVSS)

Revised Protocol Version 1.0

November 2013

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Assessment Team

Background and Introduction

Background

In 2013, Zambia finds itself well positioned to begin making substantive strides in its national response to meeting the needs of Orphans and Vulnerable Children (OVC) as a part of its larger strategy in working effectively to mitigate the AIDS epidemic. With continued economic growth, as well as significant work in policy and legislation to protect Zambia's children, tremendous gains have been made in the OVC response; however, more can be done to scale up coverage through sustainable systems building. It is Zambia Orphans and Vulnerable Children Systems Strengthening project's (ZOVSS) belief that a concerted OVC system strengthening effort can provide the stimulus needed to bring about necessary changes.

Despite an increase in economic stability and growth over the last several years, Zambia continues to be profoundly and adversely impacted by multiple and serious challenges, such as chronic food insecurity, abject poverty, negative health outcomes, and a high prevalence of HIV and AIDS. Zambia has an HIV prevalence rate of 14% among adults aged 15 to 49[1] with 16% of women infected compared to 12% of men.[2] There are 95,000[3] children living with HIV, and over 611,000 OVC[4] due to HIV. Despite significant gains in treatment access, HIV testing, and PMTCT, AIDS will continue to take its toll on children in the aftermath of continued loss of parents, and mothers in particular. Children lack full access to healthcare, proper nutrition, basic protection, and education. High unemployment rates among youth (68% of the population) threaten the country's stability. Due to a high population growth rate and unequal distribution of wealth, economically stressed households and communities fall further into poverty. Children, as always, are the most impacted.

On a positive note, in the fight against AIDS, Zambia has made significant strides in scaling up access to related services and has seen an increase in the numbers of vulnerable children reached with critical services through large scale service delivery programs funded by USG and other donors. The 6th National Development Plan (2011-2015) highlights the critical need for social protection for Zambia's most vulnerable population. The Ministry of Community Development-Mother and Child Health (MCD-MCH) has taken steps to address this critical issue. Zambia participated in the Social Welfare Workforce (SWW) Conference held in Johannesburg (2010), exhibiting its commitment to strengthening this critical workforce. The Government of Zambia (GRZ) in recent years has created structures and policies to provide a more enabling environment for children and OVC. It has ratified the Convention on the Rights of the Child and the African Charter on the Rights and the Welfare of Children; developed a *National Child Policy (2006), a draft National Plan of Action for Children (NPA) (2008-2015),*

1Zambia Operational Plan Report FY 2011, PEPFAR, page 2.
2 Zambia Operational Plan Report FY 2011, PEPFAR, page 2.
3 Zambia Research Situation Analysis on Orphans and Other Vulnerable Children Country Brief, Boston University Center for Global Health and Development *in collaboration with* University of Zambia Institute of Economic and Social Research, August 2009, page 1.
4 Zambia Research Situation Analysis on Orphans and Other Vulnerable Children Country Brief, Boston University Center for Global Health and Development *in collaboration with* University of Zambia Institute of Economic and Social Research, August 2009, page 1

and *OVC Draft Minimum Standards of Care.* The current government has recently re-organized child-related ministerial portfolios; however, significant capacity challenges related to policy implementation remain. Civil society efforts currently complement service delivery gaps through USG and other donor funded programs, but in order to sustain these efforts, GRZ must create an enabling policy and regulatory environment that supports a strengthened SWW, engages private sector and clearly defines the roles and responsibilities of key stakeholders. Attention to strengthened government structures, human resources (HR) and monitoring and evaluation (M&E) systems, as well as organizational capacity development (OD) will support the GRZ's goal of a "nation free from the threat of HIV and AIDS."

A number of ministries have a mandate for serving children including Ministry of Child Development-Maternal and Child Health (MCD-MCH); Ministry of Gender and Child Development (MGCD); Ministry of Local Government, Housing, Early Education and Environmental Protection; Ministry of Health; and Ministry of Education, Vocational training and Early Childhood. Each of these has a critical role to play in the implementation of the project in order to achieve a harmonized and coordinated response. There is a clear need for clarification of policy and programmatic mandates and roles and responsibilities of these ministries to minimize duplication. The SWW, a critical missing piece of Zambia's social welfare system, must be strengthened.

Rationale

Save the Children Federation Inc (SC) was recently awarded a five-year Zambia Orphans and Vulnerable Children System Strengthening (ZOVSS) Project funded by USAID through PEPFAR. This project will support GRZ to develop the SWW cadre of workers through a comprehensive HR assessment and capacity development roadmap across ministries and through the provision of specialized technical assistance to strengthen this cadre to better support children and families.

ZOVSS consortium member, *Training Resources Group Inc., (TRG)* will conduct an HR assessment and situational and gap analysis of Zambia's SWW and will subsequently catalogue existing HR for OVC essential services. This assessment or situational analysis and subsequent cataloguing will support the GRZ to further understand the current composition of Zambia's SWW system as well as gaps in the key ministries where the social work function is critical and will support the GRZ to systematically plan and deploy social work cadres within line ministries at national and subnational levels as part of a larger strategy to develop Zambia's SWW.

This undertaking will not involve any systematic collection/analysis of data and the results are not aimed at making any generalizations to the population.

This information will be gathered through a desk review as well as discussions and interviews with the relevant ministries and stakeholders and used as basis to support the development of an HR information system (HRIS). Based on these analyses, *ZOVSS* will second a HR & OD expert to MCD-MCH to develop a capacity plan including 1) skills development of the SWW; 2)

clear job descriptions and plans for task shifting; and 3) a resource allocation plan to incorporate critical functions within relevant ministries at central and subnational levels. Once the process has been completed at national/provincial level, *ZOVSS* will provide TA to DOSS to conduct similar exercises at district level with local government structures including the District Development Coordination Committees (DDCC). Support to DOSS also will explore the efficient use of para-social workers to address critical tasks in care coordination and linkages for OVC.

Goal

Given this context, the overarching goal of this initial phase of the ZOVSS project would be to implement an assessment and situational analysis of the formal Social Welfare Workforce employed by the GRZ and to conduct a gap analysis from findings that will help key stakeholders strategically plan the development and capacitation of that workforce.

Objectives

To achieve this overarching goal, the following objectives will need to be met:

- To document the human resource needs of the Social Welfare Workforce for relevant GRZ ministries involved in OVC care.

- Using data identified in the HR Needs Assessment document, provide support and guidance to OVC-related Ministries in Zambia at the national level for improved Social Welfare Workforce planning.

- Using data identified in the HR Needs Assessment document, provide support and guidance to OVC-related Ministries in Zambia at the district level for improved Social Welfare Workforce planning.

- Using data identified in the HR Needs Assessment document, offer recommendations for the improvement of a human resource information system (HRIS) in consultation with a diverse set of key workforce leaders and stakeholders.

1. Literature Review

Zambia's National Policy on Social Welfare (NPSW) (2006) states that "social welfare is the well-being of an individual, family or community. This is a cross-cutting discipline that boarders on the provision of goods and services relating to health, education, nutrition, employment, housing and legal matters, especially to vulnerable people of a society."[5]

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[5] National Policy on Social Welfare, 2007, pg. 3

The literature review surfaced Zambia's long-standing commitment to social welfare protection for the most vulnerable in its population. The vision on Social Welfare for the country is "Reduced vulnerability and destitution of individuals, families and communities by 2020."[6] The NPSW also aligns to measures for social welfare that will be informed by this proposed survey including "build capacities of officers, families, child protection committees, institutions and other stakeholders involved in child welfare" and "crate and maintain a Management Information System for service providers, children in need of care and child offenders."[7]

Zambia's commitment to social welfare is evidenced by the numerous agencies involved in social welfare. Along with the Ministry of Community Development-Mother and Child Health (MCD-MCH) and the Ministry of Gender and Child Development (MGCD), the following ministries, just to name a few, play key roles.

Ministry of Local Government, Housing, Early Education and Environmental Protection	Ministry of Health	Ministry of Education, Vocational training and Early Childhood	Ministry of Foreign Affairs
Ministry of Labour and Social Security	Ministry of Justice	Ministry of Home Affairs	Ministry of Local Government and Housing
	Ministry Sport Youth and Child Development	Ministry of Finance and National Planning	

However, there are long-standing challenges to implementing the desired social protections. For instance, the social Protection Strategy of 2005 underscored that "the success of social protection may be hampered by deficits in essential services and other sectoral interventions."[8] In addition, UNICEF's Zambia Situation Analysis of Children and Women 2008, highlighted that there is a need to address the problems associate with the retention of qualified and appropriate staff in rural areas (including female staff for maternity facilities). An in-depth

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[6] National Policy on Social Welfare, 2007, pg. 10

[7] National Policy on Social Welfare, 2007, pgs. 14-15

[8] Social Protection Sector Advisory Group, Ministry of Community Development & Social Services Planning Department, Social Protection Strategy, 2005, pg 3.

study to find synergies in meeting cross-sectoral needs may be useful, and the provisions of retention schemes for essential workers should be common to all sectors"[9].

Supporting these findings, the National Plan of Action for children in Zambia (2008-2015) as well as the National Child Policy (2006) Ministry of Sport, Youth and Child Development indicate that promoting and strengthening "coping capacities of duty bearers and communities to reduce children's vulnerability to poverty and hunger"[10] is of high-priority to the Government of Zambia. There is also recognition that "For the objectives and their associate strategies to be carried out successfully, certain conditions must be in place. These include:

- Effective leadership;
- Adequate and effective organisation structure;
- Committed staff, positive work attitude and culture
- Availability of qualified and experience human resources; and
- Acceptance of the Strategic Plan by all key stakeholders"[11]

In summary, Zambia's Sixth National Development Plan 2011-2015 recognizes "increased scarcity of skilled manpower and limited access to higher and tertiary education. Additionally, without appropriate and effective linkages in place, the existing supply of skills did not adequately meet the demand in the labour market."[12]

This study will provide the information needed to structure a workforce in support of the aligned visions, principles, priorities, findings and/or objectives outlined in the following additional documents which served as contextual references for this assessment: PWAS Guidelines, Ministry of Community Development and Social Services (2008); National Plan of Action for Children in Zambia 2008-2015 (2007); and Ministry of Sport, Youth and Child Development Strategic Plan 2010-2014.

2. Methodology

ZOVSS consortium member, TRG, will draw upon experience and lessons learned from similar assessments in analogous contexts to craft a process aimed at participatory inclusion of key stakeholders within the formal and informal SWW.

Design of HR Assessment and Gap Analysis

The design for producing a high quality deliverable that represents a fairly comprehensive snapshot of GRZ's SWW follows an analogous process used successfully in Kenya, Malawi and Nigeria.   This process will allow stakeholders and partners to strengthen the work force by identifying gaps and strategically redeploying resources and shifting work streams.

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[9] UNICEF Zambia Situation Analysis of Children and Women 2008, pg. 60
(http://www.unicef.org/sitan/files/UNICEF_GRZ_Situation_Analysis_2008.pdf)
[10] National Child Policy Ministry of Sport, Youth and Child Development, 2006, pg. 25
[11] National Child Policy Ministry of Sport, Youth and Child Development, 2006, pg. 29
[12] Sixth National Development Plan 2011-2015, 2011, pg. 7

The design process follows a sequential series of activities, with each inviting the input and engagement of the project advisory committee (PAC), comprised by ZOVSS, to ensure both country ownership and sustainability.

Likewise, the methodology used will have both a qualitative and quantitative foci. We will gather specific data on how the GRZ is currently strategically planning for, deploying and resourcing the SWW by procuring documentation on posting (both projected and actual), budgets, Schemes-of-Service and resource mobilization. Concurrently, we will be collecting stories of frontline providers and local government partners by which we can assess the efficacy of strategic plans and identify gaps in geographic coverage, training, and resource allocation.

I. *Desk review:* A thorough review of key documents pertaining to the SWW in Zambia will serve for the Assessment Team to ground themselves in the policy and political landscape of GRZ's SWW.

II. *Initial data-gathering visit*: TRG will send two members of the assessment to conduct initial interviews with a cadres in the formal SWW – for a illustrative list of participants please see *Appendix A*. As this is an assessment primarily of the formal SWW; therefore, the team will be seeking perspectives and information from the stakeholders within the GRZ as well those frontline providers of services to OVC as well as training institutions charged with capacitating the SWW and SW professional associations within Zambia. This will include key Ministerial counterparts; representative samples of the various SWW cadres; and providers of SW training within Zambia.

The team also will do an electronic survey of Implementing Partners (IPs) with broad programmatic reach, in order to offer a representative snapshot of the informal SWW.

III. *Report of first round of findings*: Upon completion of their initial visit, the Assessment Team would draft a report capturing their findings. Gaps would be identified where further data must be gathered and where hard data has been promised but is yet to be procured. This report will be shared with the PAC for reaction and input, and to inform the second and final data-gathering trip.

IV. *Data-gathering on the ground*: Between field visits of the Assessment Team, an identified ZOVSS project colleague will continue to follow up with key stakeholders who have promised to provide data to the study. Typically, this can mean procuring Schemes-of-Service; annual reports; annual budgets; evaluations; strategic reports or more. Obtaining these documents is critical to specifically identifying gaps in service provision and as documentation is secured, it will be forwarded to the Assessment Team for inclusion in the overall assessment report.

V. *Second data-gathering visit:* The Assessment Team will return for a second round of data gathering, targeted at filling the gaps surfaced initially. This may include further focus

group discussions with frontline service providers; interviews with new stakeholders identified by partners or the donor after the initial visit; and conversations with other SWW initiatives to ensure findings are complementary (for example, UNICEF's emerging work with the SWW atprovincial, district and community level which has as objective to inform a national training curriculum and a training plan.)

VI.   ***Final report:*** The Assessment Team will draft a final report for review by the PAC; it will highlight findings, gaps identified, and emerging recommendations for consideration. With final input and amendments from PAC and key stakeholders, the HR Assessment and Gap Analysis will be finalized.

The final report for the HR Assessment and Gap Analysis might include the following sections:

A. Purpose of the HR Assessment and Gap Analysis of Zambia's SWW
B. Methodology for Data Gathering
C. Findings – Including:
   a. Organization of Zambia's SWW
   b. Ministry Profiles of the SWW
   c. Training and Education of the SWW
   d. The Informal SWW – A Snapshot of Key NGO's Providing SW Services
   e. The Political Landscape
D. Observations
   a. Overarching Findings
   b. Related Findings
E. Gap Analysis
F. Initial Recommendations
   a. Planning for the SWW
   b. Developing the SWW
   c. Supporting the SWW
   d. Taskshifting and task-sharing
   e. HRIS

The report will be distributed by ZOVSS and disseminated to all the key program stakeholders, including the various USG and in-country program leaders and collaborators. Likewise, the findings from the report will form the basis of the Stakeholder Forum to create a roadmap for strengthening Zambia's SWW.

VII. ***Stakeholder forum to create a SWW strengthening roadmap:*** The findings from the Final Report will be shared at a stakeholder meeting and used to co-create a roadmap forward to further strengthening Zambia's SWW. This could include various line ministries realigning their Schemes-of-Service/job descriptions; task shifting; resource mobilization and redeployment and more, wholly depending on the findings of the assessment.

Methods for Gathering Data

The HR assessment and gap analysis is a descriptive effort to capture the current state of the formal SWW in Zambia. Primarily qualitative in nature, the analysis will involve the following data collection activities and tools:

I. Desk review of key documents, including:

- The National Plan of Action for Children in Zambia (2008-2015)
- The National Child Policy (2006)
- OVC Draft Minimum Standards of Care
- The National Policy on Social Welfare
- UNICEF's Situational Analysis of Children and Women in Zambia (2008)
- The Public Welfare Assistance Scheme (PWAS) Guidelines for Zambia
- The Ministry of Community Development and Social Services Planning Department (MCDSS) Social Protection Strategy

II. Key stakeholder semi-structured discussions in-person:

Specific questions will be crafted to interview key country stakeholders (e.g., ministerial counterparts, representatives from schools of social work, leaders from Zambian professional associations for SW) as well as conduct focus group discussions with a sampling of frontline service providers.

Interview Guides Plan for Data Gathering

1. **INDIVIDUAL INTERVIEWS**: The team will conduct individual interviews using semi-structured interview guides that will employ both closed- and open-ended questions as appropriate. Depending on their specific institutional context, key informants will be asked about their knowledge of the Social Welfare Workforce germane to their institution; strategic plans outlining deployment of that workforce; budgets to resource the posting of that workforce; training and credentialing required to field that workforce; and outstanding needs to improve the quality and scope of targeted delivery of SWW services to OVC. The sessions will last about 45 to 60 minutes and will be transcribed by the interviewer(s).

2. **FOCUS GROUP DISCUSSIONS**: The team will conduct focus group discussions using semi-structured discussion guides that will employ both closed- and open-ended questions as appropriate. Focus groups will be comprised of key SWW cadres delivering services to OVC at the district level, as well as coordinating actors at the district level possibly from CSOs, FBOs, NGO's and local government. Groups will be asked about how they provide services vis-à-vis their Schemes-of-Service; how they are resourced and trained; where they identify gaps that prove

challenging in delivering services to OVC; and recommendations they would offer to strengthen the quality provision of OVC service delivery by their particular cadre. The sessions will last 60 – 90 minutes and will be transcribed by the interviewer(s).

Proposed specific interview guides are appended to this protocol under *Appendix D*.

III. *Web-based survey:*
In order to capture a representative sample of current SWW services in the informal sector, we propose to send a web-based survey to prominent Implementing Partners identified as having broad programmatic reach in Zambia, fielding a large portion of the informal SWW.

Web-based Survey Plan for Data Gathering
ZOVSS' donor and other key partners such as MOG-CD and UNICEF will be asked to identify the largest implementing partners fielding a trained volunteer cadre to deliver services to OVC. A web-based survey will be developed inviting the identified IPs to share the kinds of services they are delivering; the numbers of volunteers they are training and fielding; how they train these volunteers; if there are linkages to local government and if their training extends to local SWW counterparts; how volunteers are compensated; if any IP volunteers are also functioning as part of the formal SWW, and to share training materials and any strategic plans for future volunteer deployment. This survey will be uploaded using Survey Tracker and will be administered by Training Resources Group, Inc.(TRG) in Washington, DC. Implementing Partners will be given a defined period by which to respond to the electronic survey and submit any attendant documentation. TRG will remind IP participants at least once during the survey period to finish submitting their surveys. After the response deadline, all survey responses will be downloaded and aggregated for analysis by the ZOVSS team and all submitted documentation will be catalogued and appended to the overarching HR Assessment and Gap Analysis as illustrative examples of training offered in the informal SWW.

Proposed questions for this survey are appended to this application under *Appendix D.*

IV. *Stakeholder Meeting:*
The information gleaned from both the assessment and gap analysis will be disseminated at a stakeholder meeting, inviting key government, academic, professional association, and workforce partners whose buy-in is critical in ensuring plans for workforce strengthening are both resourced and enabled. The deliverable from this stakeholder meeting will be an emerging road map that looks at how gaps can be filled; how resources can be deployed; and strengths can be leveraged to ensure strengthening the SWW.

Plans for Data Collection and Analysis

The Assessment Team will not be transcribing any of the data collection in these discussion groups; there will be a designated note taker from the team in each group or interview who will note the key topics and responses to each of the interview guide questions. These will then be sorted into content categories, noting if the item came up rarely, occasionally or frequently. Data collection will be conducted in English.

The responses to open-ended questions provided by participants will be analyzed by identifying themes, organizing the data into meaningful (emergent) categories, identifying relative importance by the frequency at which particular themes arise.

At the end of a set of group discussions or interviews, the team members will separately do this analysis, then share what they have developed and come to agreement. At the conclusion of all interviews and discussion groups, the analyses will be aggregated and macro-themes will be identified. These will then be juxtaposed against projected needs surfaced in the literature and desk review to inform the overarching gap analysis.

The documentation of this process will be done in Microsoft Word. The staff who will be engaged in these discussions have extensive programmatic experience in the SWW strengthening area and have conducted situational analyses in various countries. They have competencies in interviews, doing focus groups, asking probing questions, and taking extensive notes and analyzing data.

Confidentiality Protection

At the beginning of each interview or meeting, participants will be informed about the nature of this HR Assessment (especially that it is the system that is being analyzed and not individual performance or service delivery, and that any information they provide will be confidential). Furthermore, they will be informed that the interview and meeting results will be analyzed to discover significant themes and lessons learned, and that any quotations to support these themes will be anonymous in nature.

For SWW service provider stakeholder meetings, confidentiality will be protected by ensuring that the names of those who participate in the semi-structured discussions are not reported anywhere in the report or in the notes. Further responses and comments will not be linked to names in any way in the report or in the notes. The introductory brief to the group interview includes an explanation of these points and also clearly explains that when discussing information as a group it is not possible to guarantee protection of confidentiality by other group members. Program participants will be advised not to make statements that they do not feel comfortable with sharing with others within or outside the group. Sampling lists and attendance rosters will not be taken. Interviews will be labeled with a number and not a name, as names will not be recorded.

All interviews will be entirely voluntary and participants will be allowed to withdraw at any time. A pre-interview consent form will provide informed consent for all participants. This will be made available in English and co-signed by a project interviewer.

For a draft of this consent form, please consult **Appendix C.**

The data from this project will be stored without identifying information in a password protected computer file accessible only to the project interviewers. Any hard copy of material will also have no identifying information will be kept in locked files and destroyed after the project report is completed.

Other Potential Concerns

Participants will describe their work related activities, some of which may include emotional strain. However, the likelihood of emotional distress is less than or equal to the day-to-day activities of these participants within their organizations. In cases where the participants may become distressed, they will have the opportunity to take a break and resume the interview later or stop the interview altogether. Referral to partnership staff who are qualified social workers will be available who can refer to qualified resources to assist if this unlikely event occurs.

Projected Sample Size

We plan to gather data in two representative districts, to be chosen using criteria identified by key ZOVSS partners, stakeholders and our donor.   In past assessments in similar contexts, we have chosen a district within an urban area, usually the national capital, and a more rural district adhering to the identified criteria.

At the district level, we will interview focus groups of key SWW cadres; coordinating bodies within local government; and district officials representing frontline ministries fielding SW workers.

Based on a similar study undertaken in Kenya, our data gathering sample size could be up to:
- 40 – 45 Individual interviews with key GRZ counterparts; OVC/Child protection stakeholders; academicians; and private sector partners concerned with supporting the SWW, both at the national and district levels.
- Focus Discussion groups comprised of 10 – 15 members each, including district area coordinating bodies; frontline providers of services to OVC in a range of different SWW cadres; in Kenya, we held 8 separate Focus Group Discussions comprised of 96 people. Therefore, we can estimate we will have a similar number of groups, made up of 90 – 100 participants.
- In total, our sample size should be approximately 140 – 150 people taking part in individual interviews, Focus Group Discussions, and follow-up conversation.
- Our web-based survey will be sent to NGOs identified by our donor who offer OVC services by capacitating a broad cadre of volunteer workers. Both in Nigeria and Kenya when we implemented a similar survey we received a response rate from 29% (Kenya) - 35% (Nigeria). We would project a similar response rate in Zambia.

3. Budget

N/A

4. Projected Time Frame:

Activity	Aug 2013	Sep 2013t	Oct 2013	Nov 2013	Dec 2013	Jan 2014	Feb 2014	March 2014	April 2014	May 2014
Desk Review and identify key gaps in literature	X	X	X							
Develop technical proposal with assessment tools		X								
Submission of protocol for ethical review and approval			X	X						
Setting up interviews				X						
Key informant interviews					X	X				
Semi-structured interviews					X	X				
Focus group discussions						X				
Draft Analysis of Findings							X			
Draft report to PAC							X			
Identify gaps in data Develop additional questions								X		
Second data gathering trip									X	
Data analysis										X
Report writing and sharing final report with PAC										X
Consultative meeting										X
Finalizing RoadMap										X

5. References

Zambia Operational Plan Report FY 2011, U.S President's Emergency Plan for AIDS Relief (PEPFAR).

Zambia Research Situation Analysis on Orphans and Other Vulnerable Children Country Brief, Boston University Center for Global Health and Development *in collaboration with* University of Zambia Institute of Economic and Social Research, August 2009.

Appendix A: Descriptions and List of Potential Interviewees

1. Key informant semi-structured interviews in-person:
    i. Key country stakeholders include
        i. Representatives of academic and training institutions, as well as professional associations aimed at capacitating the Zambian SWW, including, but not limited to:
            i. University of Zambia (UNZA) School of Social Work
            ii. The Social Work Association of Zambia (SWAZ)
            iii. The Zambian Association of Child Care Workers (ZACCW)
        ii. GRZ stakeholders with an OVC mandate :
            i. The Ministry of Community Development-Mother and Child Health (MCD-MCH)
            ii. Ministry of Gender and Child Development (MGCD)
            iii. Ministry of Local Government and Housing
            iv. Ministry of Health
            v. Ministry of Education
            vi. Ministry of Justice
            vii. Ministry of Sports, Youth and Child Development
            viii. Others as identified by key partners and stakeholders
        iii. Coordinating counterparts at USAID
        iv. Other multilateral and bilateral organizations that have a OVC mandate
        v. Others as identified by ZOVSS colleagues, USAID and other partners

2. Stakeholder Group Discussions
    Questions will be used that will mainly address how service providers are equipped to deliver SW services to OVC and if their responsibilities align with their training and job descriptions.

3. Informal SWW Web-based Survey
    Questions will be posed that help capture a representative snapshot of the kinds of programs being implemented by NGOs/FBOs/CSOs with a broad programmatic reach in service delivery to OVC.

Appendix B: Information Sheet for ZOVSS HR Assessment and Gap Analysis

<u>Project Title</u>
Zambia Orphans and Vulnerable Children Systems Strengthening (ZOVSS)

<u>Why am I being asked?</u>
You are being asked to participate in an assessment of Zambia's Social Work Workforce (SWW), supported by the Zambian Orphans and Vulnerable Children System Strengthening project (ZOVSS) funded by USAID. You have been asked to participate in this assessment because you play a role in fielding Zambia's SWW.

Your participation in this assessment is voluntary. Your decision whether or not to participate will not affect your current or future relations with any of the partners. If you decide to participate, you are free to withdraw at any time without affecting these relationships.

<u>Why is this analysis being done?</u>
Vulnerable children and people with HIV are a significant part of the population with problems relating to their family, the lack of family and community. To address their needs, the Social Work Workforce needs to be strategically resourced and deployed throughout Zambia. This assessment will allow us to understand where there are gaps in the workforce and work collaboratively key stakeholder to plan how to develop and strengthen the workforce in the future

<u>What is the purpose of this analysis?</u>
The purpose is to address the following: a) to conduct an analysis of human resource needs for relevant government ministries involved in OVC care and support to inform human resource planning, staffing decisions, and capacity building priorities; and b) to provide support and guidance to OVC-related Ministries in Zambia at the national and district levels for improved human resource/workforce planning (e.g. develop clear job descriptions, supportive supervision/coaching tools and mentoring systems.)

<u>What procedures are involved?</u>
You will be asked to take part in a one-to-one meeting or stakeholdersdiscussion group. A representative from the ZOVSS team will administer and facilitate the discussion or group. You will be asked questions about your involvement in the SWW, both what is currently working effectively and where there may be perceived gaps in service delivery or workforce capacitation. The individual or group discussion will last approximately one hour.

<u>What are the potential risks and discomforts?</u>
There are no foreseen risks to participating in this project. However, some of the questions may require you to share your experiences and opinions.   You do not have to answer any

question that makes you feel uncomfortable. You may stop your participation at any time if you feel uncomfortable.

Are there benefits to taking part in the assessment?
There are no direct benefits to you for participating in this assessment. This will help to inform future strengthening of Zambia's SWW.

What about privacy and confidentiality?
The only people who will know that you are participating is your discussion leader and, if you are in a discussion group, the others in the discussion group. No names will be included in any notes and records. No information about you will be disclosed to others.

When the results of the analysis are discussed in conferences, no information will be included that would reveal your identity. Any information that is obtained in connection with this project will remain confidential and will be disclosed only with your permission or as required by law. Your participation will remain confidential. Your individual responses to the survey will not be published.

Will I be reimbursed for any of my expenses or paid for my participation in this assessment?
You will not be paid for your participation in this assessment.

Can I withdraw or be removed from the assessment?
You can choose whether to participate in this or not. If you volunteer to be in this assessment, you may withdraw at any time without consequences of any kind. You may also refuse to answer any questions you don't want to answer and still remain in the assessment. The interviewer may withdraw you from this assessment if circumstances arise which warrant doing so.

Who should I contact if I have questions?

The project leader is Jawara Lumumba. You may ask any question you have now. For questions about your rights as a participant in research, please contact Catherine Samiselo, 120 Kudu Road, Lusaka, Zambia. Telephone: 260 0967988304

Likewise, should you need clarification on ethical issues, you are welcome to contact the Ethical Review Committee at ERES Converge, 33 Joseph Mwilwa Road, Rhodes Park, Lusaka, Zambia. Telephone: 260 955155633

Thank You Very Much!

Date: November 2013

Appendix C: Consent Form

PROJECT TITLE: ZAMBIAN ORPHANS AND VULNERABLE CHILDREN SYSTEMS STRENGTHENING (ZOVSS)

I AGREE TO TAKE PART IN THE ABOVE PROJECT. I HAVE HAD THE PROJECT EXPLAINED TO ME AND I HAVE READ AND UNDERSTAND THE INFORMATION SHEET, WHICH I MAY KEEP FOR MY RECORDS. I UNDERSTAND THAT AGREEING TO TAKE PART MEANS THAT I AM WILLING TO:

- BE INTERVIEWED
- ALLOW THE INTERVIEW TO BE TRANSCRIBED
- MAKE MYSELF AVAILABLE FOR FURTHER INTERVIEWS SHOULD THAT BE NEEDED

I UNDERSTAND THAT ANY INFORMATION I PROVIDE IS CONFIDENTIAL, AND THAT NO INFORMATION THAT I OFFER WILL LEAD TO IDENTIFICATION OF ANY INDIVIDUAL IN THE REPORT ON THE PROJECT, EITHER BY THE INTERVIEWER OR ANY OTHER PARTY.

I UNDERSTAND THAT MY PARTICIPATION IS VOLUNTARY, THAT I CAN CHOOSE NOT TO PARTICIPATE IN PART OR ALL OF THE PROJECT, AND THAT I CAN WITHDRAW AT ANY STAGE OF THE PROJECT WITHOUT BEING PENALIZED OR DISADVANTAGED IN ANY WAY.

FURTHERMORE, I UNDERSTAND THAT IF I HAVE ETHICAL QUESTIONS I CAN CONTACT THE ETHICAL REVIEW COMMITTEE AT ERES CONVERGE, 33 JOSEPH MWILWA ROAD, RHODES PARK, LUSAKA, ZAMBIA. TELEPHONE: 260 955155633

I CONSENT TO THE PROCESSING OF MY PERSONAL INFORMATION FOR THE PURPOSES OF THIS ASSESSMENT. I UNDERSTAND THAT SUCH INFORMATION WILL BE TREATED AS STRICTLY CONFIDENTIAL AND HANDLED ACCORDINGLY.

NAME:_____

SIGNATURE:_____

DATE:_____

Appendix D: Specific Interview Tools

I - Interview Tool with Ministry Colleagues:

Line Ministry Name:
Date/Time :

1. Who makes up the SWW?

2. Within your Ministry, what specific cadres delivery SW services to OVC?

3. What are the qualifications and skill sets of the various categories of the SWW?

4. Do you have a Scheme-of-Service or job descriptions for the SWW cadres within your Ministry? If yes, may we have copies?

5. What is the current distribution and composition of workers?

6. How many are needed to sufficiently serve needs?

7. Do you have data showing the geographic dispersal of your Ministry's SWW?

    a. Numbers of posts established?

    b. Number of posts filled?

    c. If so, may we have copies of that data?

8. Who comprises the service recipient population?

9. What populations are currently underserved?

10. What qualifications are required to deliver these required services?

11. At the provincial and district levels, does your SW Officer(s) know the other donors/NGO/FBO/CBO delivering Social Services in his/her area and the programs offered? YES/NO

    If **YES**, please answering the following questions:

    i. How does s/he partner effectively to combine programming and resources for maximum impact?

    ii. Does s/he make referrals to partner organizations in the area? How so? If not, what are some of the barriers that prevent him/her from doing so?

    iii. Does s/he communicate consistently with area SW partners? What are the points of interface? What are barriers to open communication?

      iv. Does s/he participate in any coordinating body overseeing the provision of Social Work services in his/her area? If so, what is this body?

12. What are the current available accreditedtraining institutions that can produce the Social Workers or Social Work Officers you need to fill these posts? What are the barriers to training an adequate SWW?

13. Is there any budget specifically allocated for the SWW within your Ministry?

    a. If yes, how much?

    b. If no, why not? If yes, for which areas?

14. If yes, may we have a copy of your annual budget for this function?

15. Does a database for the SWW exist within your Ministry?

    a. If so, what types of data do you collect?

    b. What is the data used for?

    c. Do you interface with any other databases vis-à-vis the SWW?

    d. Is your database managed internally?

        i. If so, by whom?

        ii. May we have a copy of the data requested for your database?

        iii. If not, by whom?

16. What Monitoring and Evaluation metrics do you have for managing quality of service provision for your SWW?
17. What performance management do you use?
18. If there is an articulated M&E plan with data, please share a copy.
19. If there are annual reviews, please share copy of forms used.

II – Interview Tools with *The Ministry of Community Development-Mother and Child Health (MCD-MCH)* and other Line Ministries tasked with oversight of discharging the Social Work function for OVC:

Name:
Position/Title:
Date/Time:
Contact Information:

1. What constitutes the SWW? What are the functions of the various categories of the SWW?

2. What are the current structures for the creation of a SWW?

3. Have you identified any gaps in the SWW structure?

4. How will these structures need to be modified to address gaps in numbers and skill sets?

*G*raphically capture the various ministries with Social Work Workforce cadres and complete this table:

Ministry Name	Department(s)	Social Work Service Mandate	Function and Roles

5. How do the various levels of SWW link and coordinate? At the central level? Provincial level? District level?

6. Which coordinating bodies are exhibiting exemplary performance? Why?

7. Are there any bodies which are not performing well? Why do you think this may be the case?

8. Do you have any articulated Terms of Reference for any of the coordination bodies? If so, may we have a copy ?

9. On the ground, what are the different categories of SW workers?

10. What are they currently accredited to do?

11. What do their job profiles specify and what mismatches or duplications exist?

12. May we have a copy of the job descriptions you have, even for volunteer positions?

III - Interview Tool with Social Work Training Institutions:

Name of Training Institution:
Date/Time:
Name and Contact Information of Interviewee:

1. How many students were enrolled in the last three years?

Year	PHD(SW)	MSW	MA	BSW	CERT (SW)	Other - Specify
2010						
2011						
2012						

2. How many graduated?

Year	PHD(SW)	MSW	MA	BSW	CERT (SW)	Other-Specify
2010						
2011						
2012						

3. Explain the relevance of training received by Social Workers to their assigned job functions.
4. Are there any gaps in training offered vis-à-vis assigned job functions? YES/NO

   a. If Yes, what are they?

5. Does your institution have a mechanism to help place graduates into jobs in the Social Work field?

   a. If "yes", is there any data available about where students are predominantly placed?

6. What mechanism exists to capture employer's feedback on the training?
7. How do you integrate this feedback into your curriculum/training model?
8. What about feedback from professional workers in the field?
9. What research/evaluation in the service areas have been conducted in the last four years?

Year	Research Title	Findings/Output
2009		
2010		
2011		
2012		

10. List core subjects covered by Social Work students.
11. List other (non-core subjects)
12. May we have a copy of your curriculum?
13. Have you identified any gaps in the curriculum?
14. What changes have been made in the training modules in the last five years in response to gaps?
15. Does your institution offer any Social Work training to government cadres delivering Social Work services?

    a. If "yes", what training and to whom?

16. Is your institution affiliated with the Social Work Association of Zambia?

    a. If so, how?
    b. If not, why not?

IV – Focus Group Discussion Tool in the Field with Social Work Service Providers:

Social Work Cadres:
Location:
Date/Time:

1. Welcome	**Welcome. I want to thank you for coming today. My name is _____ and I will be the facilitator for today's group discussion. I am an Organizational Development Specialist with a focus on system strengthening and I work with the ZOVSS project, a project aimed at strengthening Zambia's Social Welfare Workforce in the provision of services to OVS.** **We also have _____ present to take notes for us. (if applicable)** **We invited you to take part in this group discussion today because you are all providing services to orphans and vulnerable children. We would like to talk with you today about your role in service delivery, both how you feel equipped to do that and any areas you can imagine strengthening.** **This assessment is sponsored by the GRZ in collaboration with USAID. What we learn from today's discussion will help us identify where the Social Welfare Workforce is functioning effectively and where there are areas for further development.**
2. Ground Rules	Before we begin I'd like to review several things with you. *Distribute the Information Sheet and review with participants.* a. I am going to ask you several questions; we do not have to go in any particular order but we do want everyone to take part in the discussion. We ask that only one person speak at a time. b. Feel free to treat this as a discussion and respond to what others are saying, whether you agree or disagree. We're interested in your opinions and experiences, and whatever you have to say is fine with us. There are no right or wrong answers. We are just asking for your opinions based on your own personal experience. We are here to learn from you. c. Don't worry about having a different opinion than someone else. But please do respect each other's answers or opinions. d. If there is a particular question you don't want to answer, you don't have to. e. We will treat your answers as confidential. We are not going to ask for anything that could identify you and we are only going to use first names during the discussion. We also ask that each of you respect the privacy of

	everyone in the room and not share or repeat what is said here in any way that could identify anyone in this room.
	f. We will be transcribing your conversation today because we don't want to miss any of your comments.
	g. We will not include your names or any other information that could identify you in any reports we write. We will destroy the notes and audiotapes after we complete our study and publish the results.
	h. Finally, this discussion is going to take about one and a half hours and we ask that you stay for the entire meeting.
	Does anyone have any questions before we start?
	Distribute the Consent Form and review.
	So, if you're comfortable with the Ground Rules as we've discussed, I'm going to ask you to sign this consent form, signifying you are a willing participant in this focus group discussion.
	Once you've signed you can give me the form
	Ensure all forms are signed and collected prior to beginning the focus group.
3. Introductions **(5 - 10 minutes)**	Alright, to get started I'd like to go around the table starting on my right and have each person introduce him or herself. Please tell us your first name only and how long you've been working in the Social Welfare Workforce.
4. Focus Group Questions **(70 minutes)**	*Begin transcribing now.* So, please tell me about the following: 1. What is your role in providing service to orphans and vulnerable children? 2. What background or training do you have to take on this role? 3. What training do you still need, if any, to discharge your role effectively?

4. Who supports you in this role? And how?

5. Do you have a written job description? If yes, can we see it?

6. Are you supervised in this role? If yes, by whom and with what process?

7. Do you feel that you are provided adequate supervision/guidance?

8. How are services to orphans and vulnerable children coordinated in your area?

    a. PROBE: How do you participate in that?

9. What other providers of services to orphans and vulnerable children do you work with and collaborate with?

10. How are new colleagues recruited?

11. Do you see yourself moving in this field (social work/social welfare service provision) to other positions?

    a. PROBE: If yes, what will it take to get you to that new role?

12. What's the biggest challenge in your work to providing effective services to orphans and vulnerable children?

    a. PROBE: How do you overcome these challenges?

13. What are the biggest facilitators enabling the successful delivery of OVC programming?

	14. How can these facilitators be leveraged more effectively to better serve OVC in Zambia?
	
	 15. Are any of you members of SWAZ?
	
	      a. PROBE: If yes, how long have you been a member?
	
	      b. PROBE: Are you active in the association?
	
	      c. PROBE: If not, why not?

5. Final Thoughts **(5 minutes)**	Those are all of the questions I wanted to ask. 1. Does anyone have anything else to share that we haven't covered already?
6. Review and Wrap Up **(5 minutes)**	Thank you for coming today and sharing your reflections with us. They've been very useful and we're grateful for your willingness to participate.

V – Interview Tool with Private Sector Partners Fielding Social Workers:

Name of Private Sector Organization/Company:
Name of Interviewee:
Contact Information:
Date/Time:

1. What social work capacity does your company have?

    a. What motivated you to integrate SWW into your company?

2. What is the required training of the social workers you support?
3. Do you offer any in-service training to further develop your Social Work staff?
4. May we have a copy of the training curriculum and materials.
5. What services do your Social Work staff provide?
6. Do you have a job description?

    a. If "yes", may we have a copy?

7. How many Social Workers do you field within your organization?
8. How many OVC do they support?
9. How do you recruit Social Workers to fill your positions?
10. What percentage of your budget do you devote to supporting this program?
11. Do you have any documentation on how your resource this function and the mission this fulfills?

    a. If so, may we have a copy?

12. Do you know of any gaps in service provision?

    a. What plans do you have to address those gaps?

13. What interaction do you have with government-supported programs and service providers?
14. Do your Social Work colleagues participate in any coordinating body within the districts in which they're located?

    a. How do their services complement other service delivery efforts in your area?

15. Are your Social Workers members of the Social Work Association of Zambia (SWAZ)?

    a. If so, how active are they in SWAZ?

VI –Tool for Web-based Survey to NGO/FBO/CSO Implementing Partners

Note: Accurately mapping the informal SWW is almost impossible given the range of donors, projects, and lack of coordination in most countries. Therefore, in order to get a sample of current provision of services by both trained and voluntary SW, we have asked USAID and the line ministry with oversight of provision of services to OVC to identify the top IPs delivering currently delivering SW services.

We have sent this as a web-based survey and have received anywhere from a 30% - 45% response rate in other countries, sometimes accompanied by attendant training materials and data on volunteer deployment. The response rate increases when USAID endorses this supports our reaching out to the IPs.

Name of Implementing Partner:

Key Contact Person(s) with email and phone number:
1. Focus of Social Work Service delivery program(s): Check all that apply…
   - ☐ Child Assessment
   - ☐ Family Service
   - ☐ Cash/grant distribution
   - ☐ Placement service
   - ☐ Other

If Other, please specify:

2. Training associated with Social Work delivery programming (for whatever you've marked above, please share the training you offer to support that program)

Name of Program:

3. Number of participants who have completed this training over the past 12 months:
   - ☐ Of those participants, number receiving basic training
   - ☐ Of those participants, number receiving refresher/upgrading training

   - Duration of training

   - Training Providers
     - o Credentials of Trainers
     - o Curriculum, training agenda, training materials, aides (modules, handouts, etc.) – Note: Please provide if possible…thank you!

- Criteria for training participant selection and description of participant selection process

4. Supervision of trainees post-training – how systematic and structured are you in post-training supervision?

   - What kind of plans do you have, in any – individual? Group oriented?
   - Do you have tools for post-training supervision? (If so, can you share them?)
   - What feedback mechanisms exist?

5. Support for training participants after training – e.g. incentives (if so, what kind), mentoring, supportive supervision, additional future training, etc:

   - How long do you support training participants after the completion of training?
   - How do you support them?

6. Connection with Local Government, if any:
   - Do you receive support from the LGAs? If yes, please share what kind of support.
   - Do you participate in coordinating body overseeing provision of services to OVC?
   - Have you ever trained government colleagues?
   - If yes:
     o   In what?
     o   What position in local government did they hold?

7. Are there systems/data available to track and monitor #'s trained/type of training/future projections for training?:

   - If yes, do you have a database?
   - Can you share this information with us?