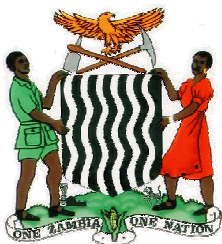




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Zambia Rising

Human Resources Assessment &
Gap Analysis of Zambia's Social
Welfare Workforce

September 2014

Conducted by:

Training Resources Group, Inc.

TABLE OF CONTENTS

| | |
|---|-----------|
| Acknowledgements..... | 4 |
| Acronyms..... | 5 |
| Definition of Key Terms | 7 |
| Executive Summary..... | 8 |
| Ministerial Leadership of the SWW and Cadres..... | 8 |
| Assuring Quality through Training Programs and HR Tools | 10 |
| The Informal SWW | 10 |
| Challenges and Recommendations..... | 11 |
| Cadres of Zambia’s Formal SWW | 11 |
| The Workload of the DSWO..... | 11 |
| Ensuring the SWW Provides Quality Services to OVC..... | 12 |
| Coordination of the Social Welfare Function and Workforce..... | 12 |
| HR Tools to Support the SWW | 12 |
| IT/ HRIS | 12 |
| The Political Context: Decentralization | 13 |
| Informal Social Welfare Workforce in Zambia..... | 13 |
| Introduction | 14 |
| Background..... | 14 |
| Contextual Maps | 16 |
| Goal and Objectives | 19 |
| Methodology | 19 |
| Zambia Rising’s Approach | 20 |
| Ethical Considerations and Approval Received | 21 |
| Limitations of the Study..... | 21 |
| Framework for Strengthening | 21 |
| Findings | 22 |
| Literature Review | 23 |
| Successes On Which to Build | 26 |
| Cadres of Zambia’s Formal SWW | 28 |
| Ministry of Community Development, Mother and Child Health (MCDMCH)..... | 31 |
| Department of Social Welfare..... | 31 |
| Department of Community Development..... | 33 |
| Department of Mother and Child Health | 34 |
| Ministry of Gender and Child Development (MGCD) | 35 |
| Department of Child Development | 35 |

| | |
|--|-----------|
| Mapping the Institutional Setting of the SWW | 37 |
| Notable Challenges and Change Opportunities | 39 |
| Points for Discussion | 39 |
| Work Load of the District Social Welfare Officer..... | 40 |
| Current Status..... | 40 |
| Notable Challenges and Change Opportunities | 41 |
| Committee Work and Representation | 41 |
| Work Flow and Work Load..... | 43 |
| Other Variables Impacting the Role..... | 43 |
| Points for Discussion | 45 |
| Ensuring the SWW Provides Quality Services to OVC | 46 |
| Current Status..... | 46 |
| Notable Challenges and Change Opportunities | 46 |
| Universities and Training Institutions | 46 |
| Credentialing and Requirements of Social Welfare Positions..... | 49 |
| Professionalizing the Field of Social Work..... | 52 |
| Points for Discussion | 55 |
| Coordination of the Social Welfare Function and Workforce | 56 |
| Current Status..... | 56 |
| Notable Challenges and Change Opportunities | 57 |
| Lack of National Coordinating Mechanism | 57 |
| Uneven Collaboration and Complementarity between MCDMCH and MGCD | 57 |
| Inconsistent Collaboration between departments of MCH, Social Welfare and Community development at the district level | 58 |
| Donor Fragmentation | 59 |
| Points for Discussion | 59 |
| HR Tools to Support the SWW | 60 |
| Current Status..... | 60 |
| Notable Challenges and Change Opportunities | 60 |
| Supervision..... | 60 |
| In-Service Training, Professional Development, and Individualized Development Plans | 62 |
| Points for Discussion | 63 |
| IT/HRIS..... | 64 |
| Current Status..... | 64 |
| Notable Challenges and Change Opportunities | 65 |
| Points for Discussion | 65 |
| The Political Context: Decentralization | 66 |

| | |
|--|------------|
| Current Status..... | 66 |
| Notable Challenges and Change Opportunities..... | 67 |
| Council Debt Creates Inadequate Financial Resources for Service Delivery at the Local Level | 67 |
| Limited Human Resources Capacities Among Local Staff..... | 67 |
| Inadequate Budgetary Allowances by the Central Government | 68 |
| Need for Political Will to Effectively Carry Out Decentralization | 68 |
| Redeployment of Staff from the Central Level to the Local Level..... | 68 |
| Need of Change Management Strategy..... | 68 |
| Implications of Decentralization for the SWW..... | 68 |
| Ministry of Community Development, Mother and Child Health | 69 |
| Ministry of Gender and Child Development | 69 |
| Points for Discussion | 70 |
| Informal Social Welfare Workforce in Zambia | 71 |
| Current Status..... | 71 |
| Notable Challenges and Change Opportunities..... | 72 |
| Points for Discussion | 73 |
| Consultant Recommendations for Reflection | 74 |
| Cadres of Zambia’s Formal SWW | 74 |
| The Workload of the DSWO..... | 74 |
| Ensuring the SWW Provides Quality Services to OVC..... | 74 |
| Coordination of the Social Welfare Function and Workforce..... | 75 |
| HR Tools to Support the SWW | 75 |
| IT/ HRIS | 75 |
| The Political Context: Decentralization | 76 |
| Informal Social Welfare Workforce in Zambia..... | 76 |
| Conclusion..... | 77 |
| Appendix A: MCDMCH DSW Staff Breakdown | 79 |
| Appendix B: Job Description Requirements..... | 82 |
| Appendix C: SWW Organograms..... | 92 |
| Appendix D: SWW Institutions..... | 96 |
| Appendix E: IT/HRIS Inventory | 97 |
| Appendix F: Interviews & Focus Groups..... | 100 |
| Appendix G: Excerpts on Transformational Leadership from John Kotter’s Leading Change | 101 |
| Appendix H: Referenced Resources | 106 |

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Through the efforts of various partnerships, the assessment team is optimistic that there will be continued successes in developing a robust Social Welfare Workforce in Zambia, resulting in increased quality service provision to all vulnerable children.

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ACRONYMS

| | |
|----------|---|
| AIHA | American International Health Alliance |
| ACC | Area Coordinating Committee |
| CARE | Cooperative for Assistance and Relief Everywhere |
| CBO | Community-Based Organisation |
| CGP | Child Grant Social Cash Transfer Program |
| CHW | Community Health Worker |
| CPC | Child Protection Committee |
| CPU | Child Protection Unit |
| CSO | Civil Society Organisation |
| CWAC | Community Welfare Assistance Committee |
| DCDO | District Community Development Officer |
| DDCC | District Development Coordinating Committee |
| DFID | Department for International Development |
| DSW | Department of Social Welfare |
| DSWO | District Social Welfare Officer |
| DWAC | District Welfare Assistance Committee |
| FBO | Faith-Based Organisation |
| FHI | Family Health International |
| GRZ | Government of the Republic of Zambia |
| HIV/AIDS | Human immunodeficiency virus/Acquired immunodeficiency syndrome |
| HR | Human Resources |
| HRIS | Human Resources Information System |
| IP | Implementing Partner |
| IRB | Institutional Review Board |
| MCDMCH | Ministry of Community Development, Mother and Child Health |
| MGCD | Ministry of Gender and Child Development |
| MIS | Management Information System |

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|--------|--|
| MLGH | Ministry of Local Government and Housing |
| MoH | Ministry of Health |
| MoLSS | Ministry of Labour and Social Security |
| MSW | Master of Social Work |
| MVC | Most Vulnerable Children |
| NGO | Non-Governmental Organisation |
| NPA | National Plan of Action |
| OVC | Orphans and Vulnerable Children |
| PCDO | Provincial Community Development Officer |
| PDCC | Provincial Development Coordination Committee |
| PEPFAR | President's Emergency Plan for AIDS Relief |
| PSW | Para-Social Worker |
| PSWO | Provincial Social Welfare Officer |
| PWAS | Public Welfare Assistance Scheme |
| SWA | Social Welfare Assistant |
| SWAZ | Social Workers' Association of Zambia |
| SWO | Social Welfare Officer |
| SWW | Social Welfare Workforce |
| TRG | Training Resources Group, Inc. |
| UNICEF | United Nations Children's Fund |
| UNZA | University of Zambia |
| USAID | United States Agency for International Development |

DEFINITION OF KEY TERMS

Area Coordinating Committee: A coordinating body representing all the Community Welfare Assistance Committee's (CWACs) within a defined area. Its role is to facilitate communication, training, monitoring and reporting of CWACs, and to scrutinize submissions of CWACs before submitting for approval the list of applicants for welfare assistance programs to the district. (Kaputo Chiwele, 2010).

Child: An individual who has not attained the age of 18 years.

Child Protection: The measures and structures put in place to prevent and respond to abuse, neglect, exploitation and violence affecting children.

Child Protection System: A set of laws, policies, regulations and services, capacities, monitoring, and oversight needed across all social sectors, especially social welfare, education, health, security, and justice to prevent and respond to protection-related risks.

Child Protection/Social Welfare System Strengthening: At its most fundamental, child protection systems strengthening work means that leaders and practitioners take a holistic view of interventions, and discern how an intervention aimed at one element of the system requires aligned interventions in other areas. (Davis and McCaffery, 2012).

Community Welfare Assistance Committee: The mechanism at the local level charged with overseeing PWAS programs, from identifying beneficiaries to fiduciary oversight of the social cash transfer program. (Kaputo Chiwele, 2010 and PWAS Guidelines, 2008).

District Welfare Assistance Committee: Bringing together representatives from relevant government ministries and the district council who address the social sector, as well as partner NGOs, FBOs and other appropriate institutions, the role of the DWAC is to provide information on issues pertaining to public welfare assistance in a respective district. The relationship of the DWAC vis-à-vis other district structures varies by district. (Kaputo Chiwele, 2010).

Public Welfare Assistance Scheme: The Public Welfare Assistance Scheme (PWAS) is one of the Zambian Government's Social Assistance Programmes aimed at alleviating the problems of the poorest and most vulnerable people in Zambia. (PWAS Guidelines, 2008).

Social Welfare: A nation's system of programs, benefits, and services that helps people meet those social, economic, educational, and health needs that are fundamental to the maintenance of society. (Barker, 2003).

Social Welfare System/Social Service System: A system of interventions, programs and benefits that may be provided by government, civil society, and community actors to meet basic human needs and ensure the well-being and protection of individuals (both children and adults) and families. Such a system focuses on meeting basic human needs fundamental to the maintenance of society. (Barker, 2003).

Social Welfare Workforce: While capturing any one definition of the Social Welfare Workforce is challenging, it can be broadly defined to describe a variety of workers – paid and unpaid, governmental and non-governmental – who staff the social service system and contribute to the care of vulnerable populations. (Global Social Service Workforce Alliance, 2014)

EXECUTIVE SUMMARY

In recent years, Africa has seen a growing emphasis on strengthening the Social Welfare Workforce (SWW), particularly vis-à-vis the crucial role it plays in ensuring orphans and vulnerable children (OVC) receive much needed support and services. At the international conference, *Investing in Those Who Care for Children: Social Welfare Workforce Strengthening*, held in Cape Town, South Africa in November 2010, teams representing both the formal and informal SWW from over 18 countries, including Zambia, convened to explore how best to strengthen this cadre that proves so pivotal to social service delivery.

From this conference, a conceptual framework emerged, designed to create a comprehensive strategy for workforce strengthening. This framework addresses three broad categories: *planning*, *developing*, and *supporting* the SWW. Using this framework as a lens through which to assess the human resources (HR) available, the Government of the Republic of Zambia (GRZ), in collaboration with the United States Agency for International Development (USAID) enlisted the *Zambia Rising* project to undertake a Human Resources Assessment and Gap Analysis to better understand the current state of Zambia's SWW.

Zambia has a number of successes in supporting the SWW to highlight and build upon. Robust legislation has been passed that protects the rights of children, plans forward for children's wellbeing and supports both OVC and their caregivers with social welfare programs. Concrete HR tools, including an annual performance appraisal system and form, exist to further support the SWW by creating standardization in the career trajectory of SW staff. Zambia's civil service offers a generous public service training and development program, creating annual development plans for offices across GRZ, thereby targeting collective skill building and knowledge enhancement. These strengths offer a foundational platform on which to grow.

MINISTERIAL LEADERSHIP OF THE SWW AND CADRES

In looking collectively at the formal SWW, a number of ministries within the government have a mandate to serve children; however, in Zambia the key responsibilities in fielding a staff dedicated to the protection and support of OVC fall to the Ministry of Community Development, Mother and Child Health (MCDMCH) and the Ministry of Gender and Child Development (MGCD).

The Ministry of Community Development, Mother and Child Health has the responsibility to coordinate all Technical Working Groups under the Social Protection Sector Advisory Group. Furthermore, MCDMCH oversees a range of other Social Welfare activities including:

- Initiating the formulation of policies and legislation related to Social Protection in collaboration with other stakeholders;
- Setting minimum standards and guidelines for social protection programs;
- Monitoring and supervising social protection programs;
- Providing grants and in-kind support for vulnerable populations;
- Disseminating information on social protection to stakeholders;
- Establishing an integrated ministerial electronic information management system for all social protection programs, as well as a central/single registry for all social transfers;
- Coordinating the participation of the private sector and faith-based and non-governmental organisations in the provision of services to vulnerable groups;
- Providing support and court preparation for children;
- Providing psycho-social counselling to victims of all forms of abuse;
- Delivering quality primary health service to the vulnerable, including OVC.

Currently, within the MCDMCH there are several cadres of the SWW falling under the Department of Social Welfare (DSW); the Department of Community Development (DCD); and the Department of Mother and Child Health (DMCH).

Under the Department of Social Welfare (DSW), there are 274 established Social Welfare Officer positions with 99.2% of those filled. In Zambia's 103 districts, there is to be at least one SWO and one Assistant SWO established with 100% of those positions filled. More populated districts field a slightly larger SWO staff, with added SWOs or Assistants SWOs. However, it is roundly acknowledged that the current staffing is not enough to meet needs. And, as DSWOs are gazetted, they are required to fulfil statutory obligations, particularly in regards to juvenile justice. This, along with a number of other responsibilities, has led this particular role to be stretched thin with a work load that can be untenable.

The Department of Community Development (DCD) is responsible for coordinating and implementing community self-help programs including addressing cross-cutting issues of HIV/AIDS, women's development and poverty reduction – all of which impact the OVC population. These services are discharged by Community Development Officers (CDOs). As of 2012, there were approximately 1,367 staff within Community Development (including all support staff). There were 103 CDOs and 206 Assistants CDOs. It's worthy of note, CDOs and Assistants CDOs at the District level are often accessed by vulnerable community members in need, asking for services usually provided by SWOs. As they are not gazetted, they cannot perform the same statutory functions of the SWO; however, their roles are often seen and described as interchangeable by the public. Finally, at the sub-centre level there is a paid professional role, the Community Development Assistant (CDA). CDAs work at the community level and report to the Community Development Officer at the district.

Finally, the Department of Mother and Child Health (DMCH) is to provide health services at the community-level health centre, including support for behavioural health issues such as mental illness, domestic or interpersonal violence, anxiety, depression and substance abuse – again, all germane to working with OVC. These services are provided through Community Health Assistants. However, while we did receive numbers of CHA's being trained, we did not receive any current job description or staffing statistics for analysis in this assessment.

The MCDMCH works in concert with its sister ministry, the Ministry of Gender and Child Development, a ministry established after the ministerial realignment in 2012. The MGCD takes the lead on facilitating the rehabilitation of street children; providing policy guidance and awareness on gender related issues and children; and working in collaboration with the MCDMCH to ensure coordination of implementation of social welfare service and child protection at all levels of government. The collaboration of these two ministries is critical to implementing Zambia's social protection policies and programs.

The MGCD fields two key cadres in support of social welfare service provision – the Child Development Officer and the Child Protection Officer. Child Development Officers manage, supervise, and coordinate activities ensuring the compliance of, adherence to, and implementation of child rights standards. Currently, Child Development Officer positions only are staffed down to the Provincial level. While Child Development Officer positions at the district level have been formally approved, they have yet to be funded by the Treasury Authority. Therefore, there are currently 2 Child Development Officers in each province, but any specific work needing to be implemented at the district level must be covered by either the DSWO or the DCDO.

Child Protection Officers, within the Department's Child Protection Unit, work in collaboration with DSWOs and police to ensure children who commit an offense are taken care of and their rights observed. Child Protection Officers take children off the street, move them to correctional institutions, take them to Places of Safety, and ensure child abusers are brought to justice. The only staffing data identified on this cadre showed that there are currently 10 CPOs in Lusaka; however, there is a perceived need to grow this cadre significantly, particularly as decentralization is rolled out. There has been a request to add 77 positions within the Child Protection Unit which is awaiting Cabinet approval.

Each of the cadres of paid staff in these ministries have to meet educational requirements beyond secondary school. The relevant job descriptions dictate the requirement of diplomas or, at higher levels, degrees, primarily in the Social Work or Social Sciences disciplines.

ASSURING QUALITY THROUGH TRAINING PROGRAMS AND HR TOOLS

While there are a number universities and training programs available within Zambia that offer certificate, diploma and degree programs to fill these SWW cadres, there has been no formal accreditation of any school or institution to date, either by the Ministry of Education or any other accrediting body. A growing number of these programs offer an uneven quality of curriculum and a faculty whose credentials are unclear. This was raised repeatedly as a significant concern. The Social Workers Association of Zambia (SWAZ) was referenced as a possible mechanism for bringing standards to both the role of Social Workers (through certification) and possibly even as an accrediting body of training programs and institutions. However, SWAZ is currently struggling with membership and funding; yet, with the support of *Zambia Rising* and USAID, SWAZ is moving to create a short-term plan for sustainable fund-raising and define its value-added proposition, while concurrently working on legislation to bring more rigor to establishing Social Work standards.

As mentioned previously, there are several HR tools already in place that have the potential of supporting the SWW significantly. Data gathered suggests that with training and more meaningful implementation, the Annual Performance Appraisal System (APAS) could be used more effectively and become a more useful development tool for GRZ supervisors. Likewise, building in an individual development plan to complement the annual office training development plan would further incentivize and professionalize the SWW.

Finally, there is a critical need to develop a SWW Human Resource Information System (HRIS) database. While a number of resources have been identified as already in place or are being seconded to develop MIS and HRIS systems in various ministries, martialling this expertise and working collaboratively to build a SWW-specific HRIS would be significantly advantageous.

THE INFORMAL SWW

Beyond the formal social welfare cadres, there is a large section of the SWW deployed across Zambia to serve vulnerable children under the auspices of nongovernmental organisations (NGOs), faith-based organisations (FBOs) and civil society organisations (CSOs). In order to get a sample of this informal workforce, a brief questionnaire was circulated to collect information on the SW programming of these organizations, as well as the trainings they offer to volunteers who serve children. Responses from a small sample of NGOs were received. It was roundly acknowledged that while the "Informal SWW" fields the largest number of "boots on the ground," it is almost impossible to quantify how many and where these volunteers serve. A report from 2007 cited that

292 organisations were identified working with OVC in Zambia, the most commonly being CBOs (26%), FBOs (30%), and NGOs (18%). The majority of organisations responding to the data-gathering process reported providing basic and some advanced training to staff, volunteers and OVC. Yet, the informal SWW faces the challenge of drawing and retaining Social Workers from a limited national resource pool. As most staff come from a Social Sciences background, Social Work skills are assumed to be honed on the job. While most informal SWW actors participate on coordinating committees at the District and Area levels, further coordination is needed to leverage this powerful part of the workforce to complement the formal actors fielded by GRZ.

CHALLENGES AND RECOMMENDATIONS

Across the spectrum, the ability to coordinate the provision of services and deployment of the workforce was identified consistently as a challenge. It was highlighted that while historically, there have been good-faith attempts at coordinating key ministries with SW service provision responsibilities at the national level, it has yet to meet with impactful success. Likewise, with the new ministerial alignment, further strengthened coordination between the MCDMCH and MGCD would prove very beneficial. Some interview respondents noted that while coordination at the provincial and district levels had met with some success, donor fragmentation at the national level was leading to duplicative efforts in some cases, as well as wasted resources. Reviewing the range of coordination and types of mechanisms needed to field the SWW and ensure the complementarity of skills, resources, and programming, will be a critical step in any workforce strengthening plan.

All of these successes to build on and opportunities to strengthen need to be viewed through the political context of decentralization. Currently, Social Welfare has been identified as one of the core functions to be rolled out in the GRZ's decentralization of services from the national level to the district level. Decentralization plans have been written for the DSW and DCD. And, as the workforce is redeployed and SW resources are funnelled down to the local level, working in concert with the Local Authorities will be critical in continued strengthening and empowering.

Given these findings, a number of initial recommendations surfaced that can seed further work by stakeholders in creating the Road Map for Strengthening the SWW.

CADRES OF ZAMBIA'S FORMAL SWW

- Acknowledge that there is a shortage of SWW to address the ever-expanding service delivery needs.
- Develop and implement a strategy for how staff might be deployed differently in the short-term while decentralization is being finalized in order to manage the shortfall of HR at the district level.
- Establish a community sensitization strategy for education about the differences in service provision between the various SWW cadres.
- Establish an operating strategy or dedicated position so that ALL vulnerable children are being identified within communities and being connected to the appropriate referral services and counselling support.

THE WORKLOAD OF THE DSWO

- Examine task shifting from the DSWOs to other colleagues providing SW service delivery at the district level as a means of enhancing service provision.

- Review and streamline the number of committees at the district level to create more time both for DSWO and for partners who sit on multiple committees.
- Develop strategies for increased collaboration between DSWOs and MoH colleagues.

ENSURING THE SWW PROVIDES QUALITY SERVICES TO OVC

- Establish an interim body and process to immediately and more effectively regulate the quality, breadth and depth of training being offered in Zambia, even before legislation is passed.
- Undertake a review of job descriptions and align them to more accurately reflect the specialized skill sets needed to service OVC, as well as other vulnerable populations.
- Support SWAZ in developing a concrete short-term plan for sustainability and growth, while continuing forward progress on the long-term plan of becoming an accrediting/licensing body for the field of Social Work.
- Ensure policies and strategic plans addressing social protection, welfare and the well-being of OVC have objectives, targets and budgets to facilitate the growth and development of the SWW.

COORDINATION OF THE SOCIAL WELFARE FUNCTION AND WORKFORCE

- Upon approval of the National Social Protection Policy, ensure the National Coordination Unit at Cabinet level is empowered and capacitated to function as productively and effectively as possible in support of facilitating inter-ministerial cooperation and collaboration.
- Establish an immediate interim strategy to facilitate increased inter-ministerial cooperation and collaboration.
- Establish a strategy and provide the necessary skill building to further strengthen the collaboration between the MCDMCH and MGCD at all levels of government.
- Establish strategies or approaches to help MCH colleagues integrate at the district level and work in concert with DSWO and DCDOs to provide a suite of services available to vulnerable children and their caregivers.
- Establish mechanisms the donor community can employ nationally to maximize resources and harmonize programming, similar to the collaboration seen at the district level.

HR TOOLS TO SUPPORT THE SWW

- Establish strategies and training for SWW supervisors to strengthen their capacity to provide supportive supervision using the APAS program.
- Enhance performance management systems to emphasize ongoing timely feedback and more effective use of appraisal data.
- Use training resources available for civil servants more strategically for tailored capacitation of SWW colleagues.

IT/ HRIS

- Establish a plan for leveraging current expertise and resources for a SWW HRIS.

- Determine the fields that are critical to populate a SWW HRIS.
- Determine what group needs to shepherd this process to ensure inter-ministerial collaboration, to identify possible support for migrating data already available and computerized, and to liaise with donors and NGOs to access needed resources and capacity building.
- Identify local capacity available to ensure this system is tailored to the needs of Zambia's SWW and is maintained and refreshed over time.

THE POLITICAL CONTEXT: DECENTRALIZATION

- Identify additional steps required to ensure that there is clarity on and alignment with the decentralization vision for MCDMCH and MGCD.
- Determine interim measures to continue strengthening the SWW and prepare it for eventual redeployment, given the significant number of challenges facing the rapid deployment of devolution, particularly in regards to the Social Welfare function.
- Define the resources and support needed and available to offer change management support to MCDMCH and MGCD as they move forward to institutionalize decentralization of the social welfare function.
- Determine the assessment of the decentralization change process to ensure necessary modifications are made and documentation of lessons learned.
- Prioritize strengthening activities for the SWW that can serve both the short-term and the longer-term skill-building needs once cadres have been redeployed to the field.

INFORMAL SOCIAL WELFARE WORKFORCE IN ZAMBIA

- Determine strategies at the national level to increase the collaboration between key actors in the informal SWW and government colleagues.
- Identify mechanisms that donors can employ or create (or use more effectively, such as the current monthly "Donor Meeting") to ensure strategic collaboration of resources in support of the GRZ's national agenda for SW service delivery, as well as workforce strengthening.
- Determine strategies for how the informal SWW can work in concert with the GRZ to ensure enough Social Workers are being trained and supported to create a broad pool of talent from which to draw, not leaving one side or the other wanting for skilled labour.

INTRODUCTION

A nation's Social Welfare Workforce (SWW) is key in providing critical services to vulnerable populations, serving as the de facto safety net for those who struggle most. When the SWW is vibrant and performing effectively, those in need have access to quality service provision, as well as an enhanced quality of life.

Currently, Zambia finds itself well-positioned to begin strengthening its SWW, particularly in regards to meeting the needs of Orphans and Vulnerable Children (OVC) directly affected by the HIV/AIDS epidemic. With continued economic growth, as well as significant work in policy and legislation to protect Zambia's children, positive strides have been made in Zambia's OVC response.

However, the SWW in Zambia faces challenges that hinder progress in providing consistent quality services to children. The social welfare function is spread across a number of line ministries with little to no coordination in maximizing the scarce resources available. The informal SWW, comprised of NGOs, CBOs, and FBOs, constitute the majority of workers in the field, yet systemic leverage of this presence remains challenging. The human resource systems supporting the different formal cadres of the SWW are less than optimal, and could benefit from intentional strengthening. Finally, while the Ministry of Education is charged with accreditation, there is no endorsed accredited Schools of Social Work in the country; therefore, education and training institutions are currently without any formal certification of competency or credibility, and lacking the quality assurance needed to guarantee a skilled workforce.

In a resource-constrained environment, decisions on how and where to invest in strengthening activities must be strategic for optimal impact. Yet, it can be challenging for leaders, donors and policy-makers to make informed investment choices without current information. Human resources data and statistics about Zambia's Social Welfare Workforce are uneven and the accuracy of what data is available is sometimes questionable. Furthermore, available information is spread widely across ministries and organisations, making a broader reflection for identifying overarching workforce issues somewhat of a struggle.

To better understand and begin to address these issues, the *Zambia Rising* project is supporting a suite of strengthening initiatives aimed at growing and further capacitating Zambia's formal SWW, starting with a human resource assessment and gap analysis. By beginning to amass and assess the information currently available, and identify gaps both in the workforce and data systems, leaders, donors and policy-makers can collaborate in making evidence-based decisions to systematically plan a larger and more comprehensive change strategy to develop Zambia's SWW by targeting key challenges.

BACKGROUND

Even with an increase in economic stability and growth over the last several years, Zambia continues to be impacted adversely by a range of 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 49¹ with 16% of women infected compared to 12% of men.² There are 95,000³ children living with HIV, and over 611,000 OVC⁴ due to HIV. Children

¹ Zambia Operational Plan Report FY 2011, PEPFAR, page 2.

² Zambia Operational Plan Report FY 2011, PEPFAR, page 2.

lack full access to healthcare, proper nutrition, basic protection, and education. Furthermore, 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. And, as always, children are the most profoundly affected.

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 (MCDMCH) 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)*, and *OVC Draft Minimum Standards of Care*. Likewise, the current government 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. 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 organisational capacity development (OD) will support the GRZ's goal of a "nation free from the threat of HIV and AIDS."

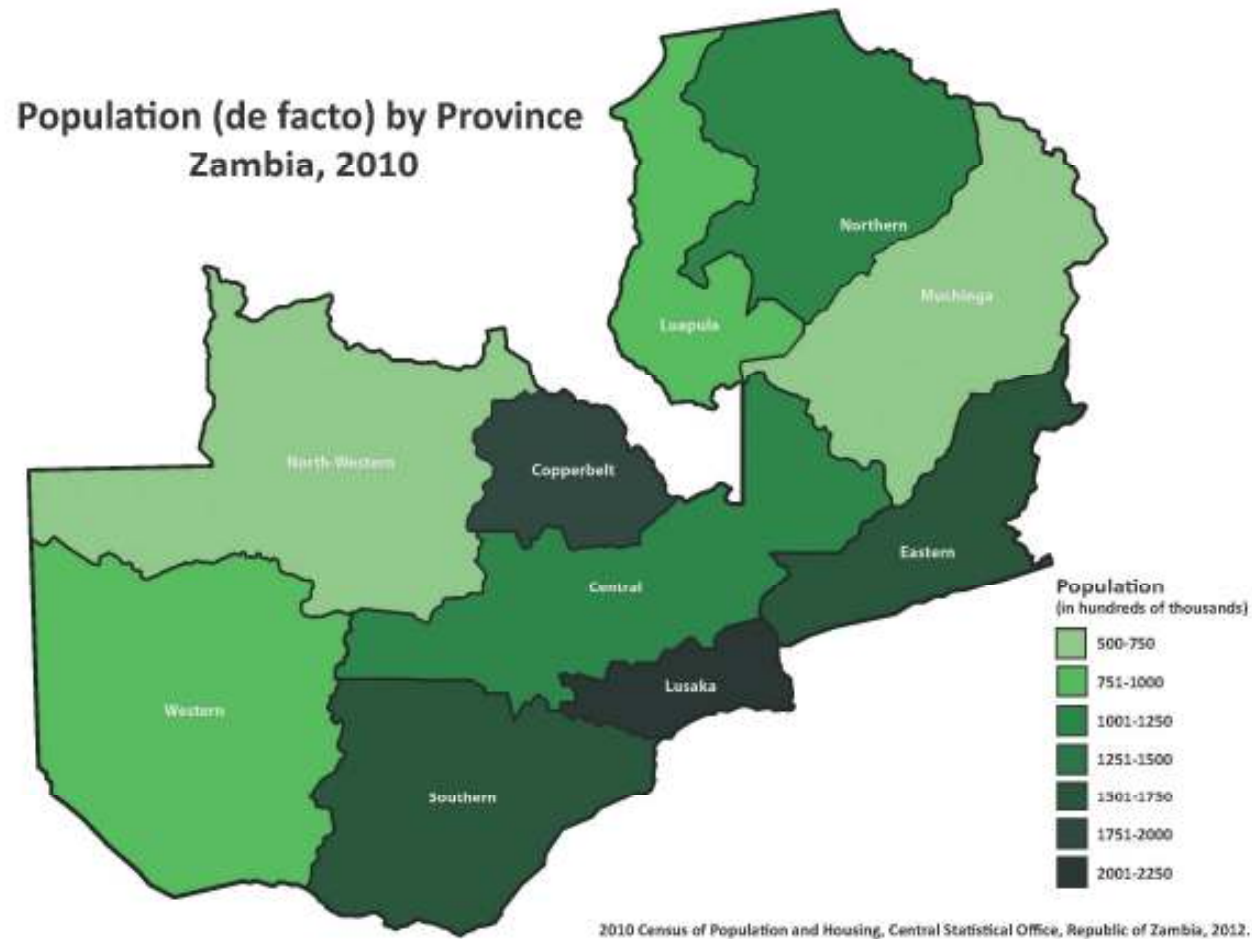
A number of ministries have a mandate for serving children including Ministry of Community Development, Maternal and Child Health (MCDMCH); Ministry of Gender and Child Development (MGCD); Ministry of Local Government and Housing; Ministry of Health; and Ministry of Education, Science, Vocational Training and Early Education. Each of these has a critical role to play in the implementation of workforce strengthening in order to achieve a harmonized and coordinated provision of services to OVC and their caregivers. There is a dramatic need for clarification of policy and programmatic mandates and roles and responsibilities of these ministries to minimize duplication and surface shortfalls.

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.

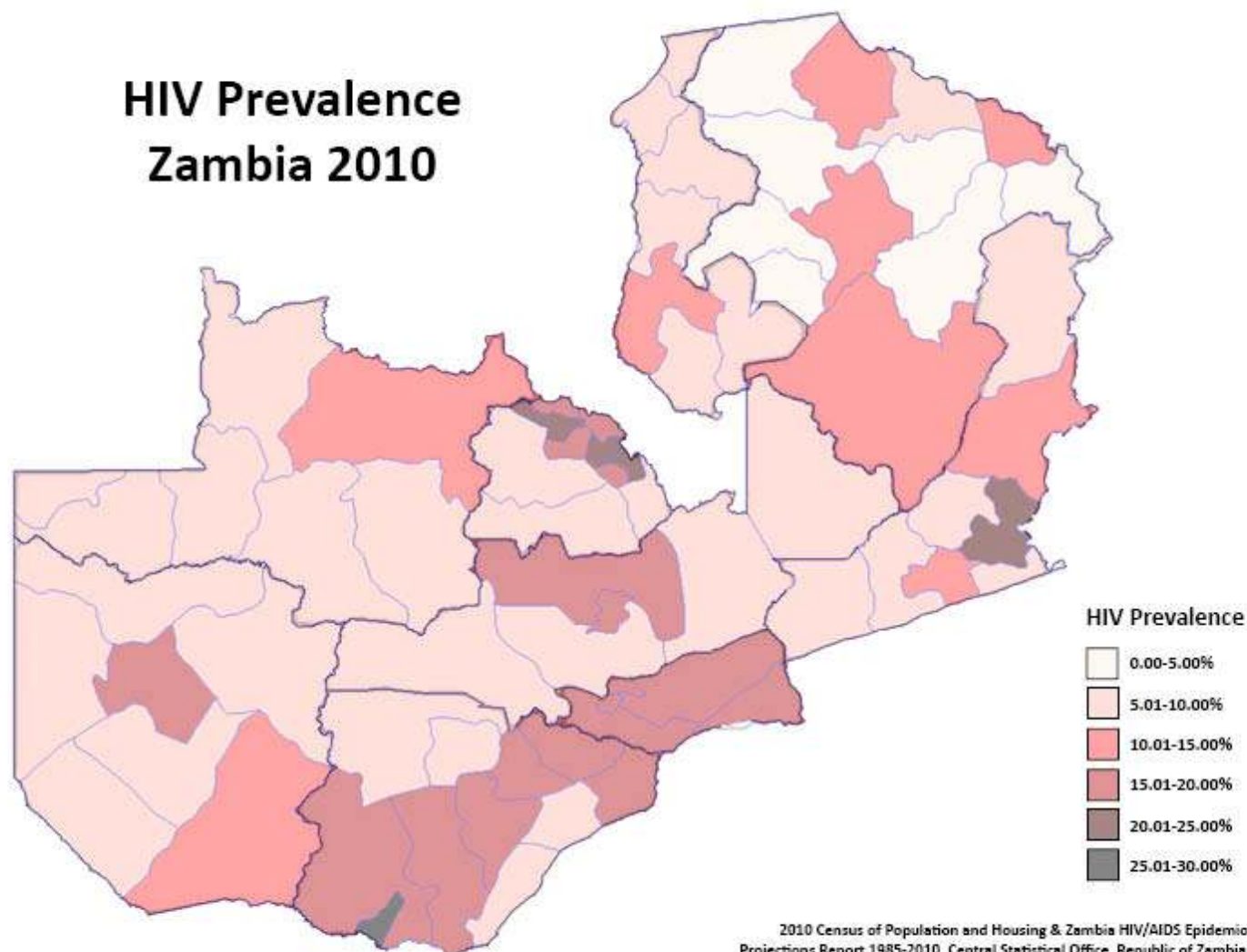
4 Zambia Research Situation Analysis on Orphans and Other Vulnerable Children Country Brief, Boston University Center for Global Health and Development *in collaboration with* University of Zambia Institute of Economic and Social Research, August 2009, page 1

CONTEXTUAL MAPS

The following most current maps give a graphic reference point to further set the context for this assessment.

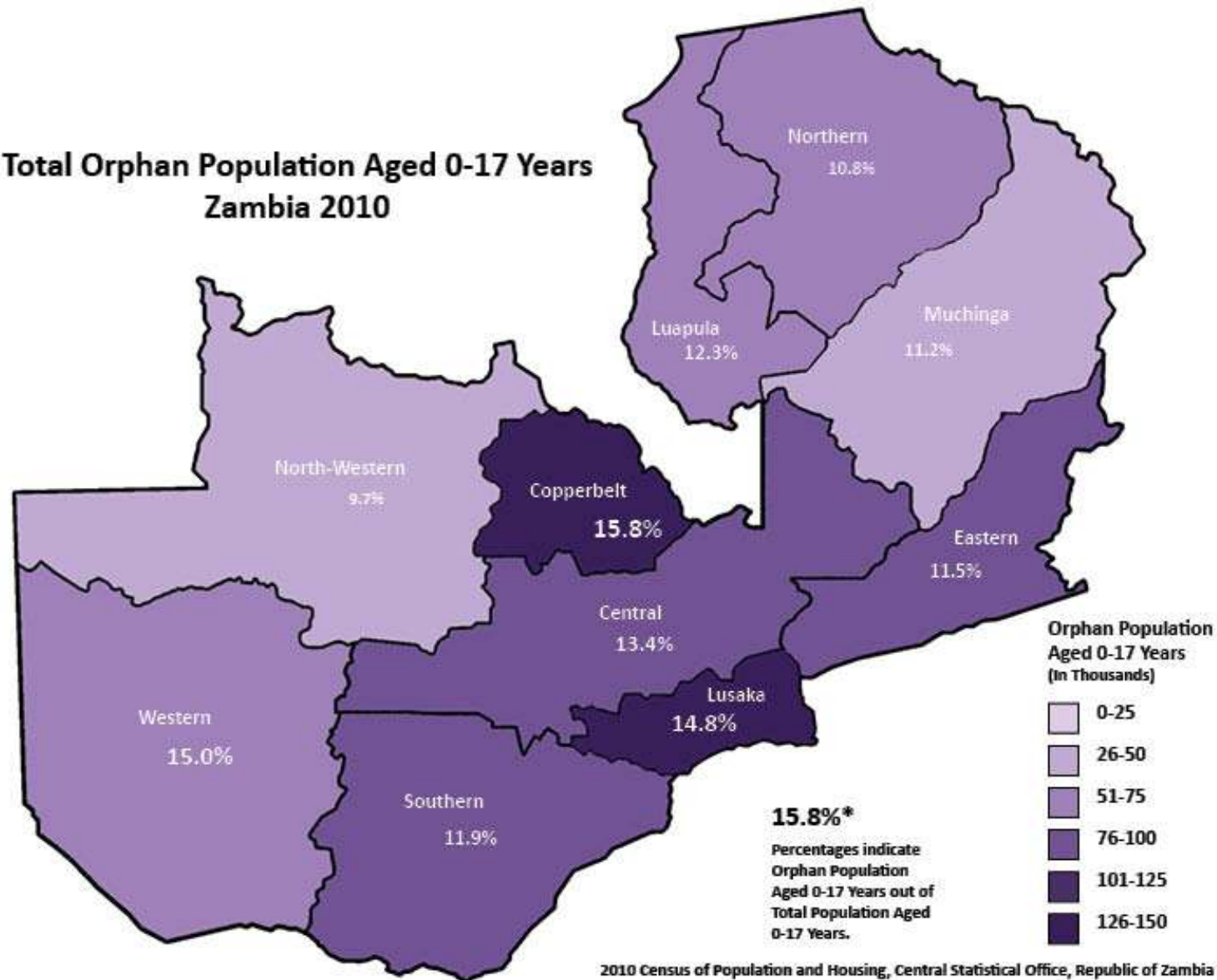


HIV Prevalence Zambia 2010



2010 Census of Population and Housing & Zambia HIV/AIDS Epidemiological
Projections Report 1985-2010, Central Statistical Office, Republic of Zambia, 2012.
Zambia National HIV/AIDS/STI/TB Council.

Total Orphan Population Aged 0-17 Years Zambia 2010



GOAL AND OBJECTIVES

Given this context, Save the Children was awarded the five-year *Zambia Rising* Project funded by USAID through PEPFAR. The overarching goal of this initial phase of the *Zambia Rising* project is to implement an HR assessment of the formal Social Welfare Workforce employed by the GRZ and to conduct a gap analysis. The ultimate intended result is to present findings that will help key stakeholders strategically plan the development and capacitation of that workforce.

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

- Documenting 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.

METHODOLOGY

It is widely acknowledged that implementation of an effective system strengthening strategy is predicated on context. Strengthening responses must take into account the specifics of the country, as well as social, cultural, economic and political factors. Nonetheless, when looking across country-specific examples of past strengthening endeavours, there are certain consistent approaches that catalyse the process productively.⁵

For example, understanding the current system can only come from assessing and analysing its various components, and subsequently identifying notable gaps. Likewise, creating “political space” for system strengthening is critical, and facilitating a process that is inclusive, that fosters cross-sector dialogue, and that cultivates political will from the top down can be a determinant for success.

This HR assessment and gap analysis falls under the category of ‘exploratory’ research⁶ (Babbie, 1989.) When this approach is used, information has not been previously collected or documented in a systemic way, the issue being explored is relatively new, and data is difficult to collect. This inherently means the approach is flexible and can examine a number of questions with the results clarifying issues more definitively and suggesting new hypotheses to explore for possible solutions.

Frequently, this approach relies upon ‘secondary research’, reviewing what current data already exists. Likewise, the methodology used for gathering data in the field has both a qualitative and

⁵ Strengthening Child Protection Systems in Sub-Saharan Africa: A Working Paper, Inter-agency Group on Child Protection Systems in Sub-Saharan Africa in collaboration with TRG and Play Therapy Africa, July 2012, page 7.

⁶ Babbie, Earl 1989. *The Practice of Social Research*. 5th edition. Belmont, CA. Wadsworth

quantitative foci. Consistent with this approach, where available, documentation on how the GRZ is currently strategically planning for, deploying and resourcing the SWW was procured on postings (both projected and actual), budgets, job descriptions and resource mobilization. Concurrently, stories were collected of frontline providers and local government partners by which the efficacy of strategic plans could be assessed and gaps identified in geographic coverage, training, and resource allocation.

ZAMBIA RISING'S APPROACH

Zambia Rising consortium member, *Training Resources Group Inc.*, (TRG) used the following approach in compiling this assessment and creating stakeholder engagement that is both inclusive and cultivates political will and ownership of solutions. TRG brings extensive experience conducting such assessments and analyses for the SWW in other countries including Kenya, Ethiopia, Nigeria, Namibia and more extensive work with local government and para-social workers in Tanzania.

- **Initial Desk Review** - A comprehensive desk review of available literature looked at legislature, policies, previous reports, and other relevant documents in order to frame the social welfare context in Zambia. For appended documents included in the desk review, please consult **Resource Compendium**.
- **Field Visits to Gather Data** - Interview and focus group protocols were developed and contextually tailored to the audience. *Zambia Rising* sent a team of two into the field twice over the course of four months interviewing both formal and informal stakeholders in Zambia's SWW. To see the various protocols creating, please refer to **Appendix F**.
- **Web-based Survey of the Informal SWW** - A web-based survey was developed to sample current strengthening and deployment activities of the informal SWW with NGOs and FBOs having a significant presence in the social welfare sector within Zambia.
- **Human Resource Assessment and Gap Analysis Report** – After gathering data from the array of sources mentioned previously, the *Zambia Rising* team aggregated and analysed the results of interviews and document reviewed to create this final report.
- **Stakeholder Road Map Workshop** – Finally, after the findings of the assessment and gap analysis have been vetted and amended with input from stakeholders and partners, a two-day workshop will be convened with key political allies, figural donor presence, and critical partners of the formal and informal SWW. Issues surfaced in the report will be explored and initial strategic planning for collaboration, resource mobilization, and forward progress will unfold, thereby creating the start of SWW strengthening Road Map for the future.

In total, *Zambia Rising* conducted 38 Individual interviews and 2 focus groups comprised of 8 participants each. Likewise, the web-based survey was sent to 20 NGOs with a 10% response rate.

For a complete list of organisations interviewed, please consult **Appendix F**.

ETHICAL CONSIDERATIONS AND APPROVAL RECEIVED

Zambia Rising participated in a voluntary review of its protocol and approach in order to receive approval from Zambia's Institutional Review Board (IRB) ERES Converge. The letter of approval for these protocols was provided prior to field visits. Notable components of this included:

- Names of interviewees were neither recorded nor transcribed, thereby ensuring confidentiality. Likewise, specific identifiers used in conversation were collated and examined in the aggregate to further assure anonymity.
- All interviewees reviewed an information sheet reviewing the purpose of the interview and their rights as a participant. Furthermore, each interviewee signed a voluntary consent form to participate. If an interviewee refused to sign the form, the interview was neither transcribed nor the data used in the overall assessment and analysis.
- All data was secured, both electronically and on paper, by TRG consultants in the field and, subsequently, at TRG's offices in Arlington, VA. Following the completion of the exercise they will be destroyed.

To view the Protocol Package submitted to ERES, please consult the **Resource Compendium**.

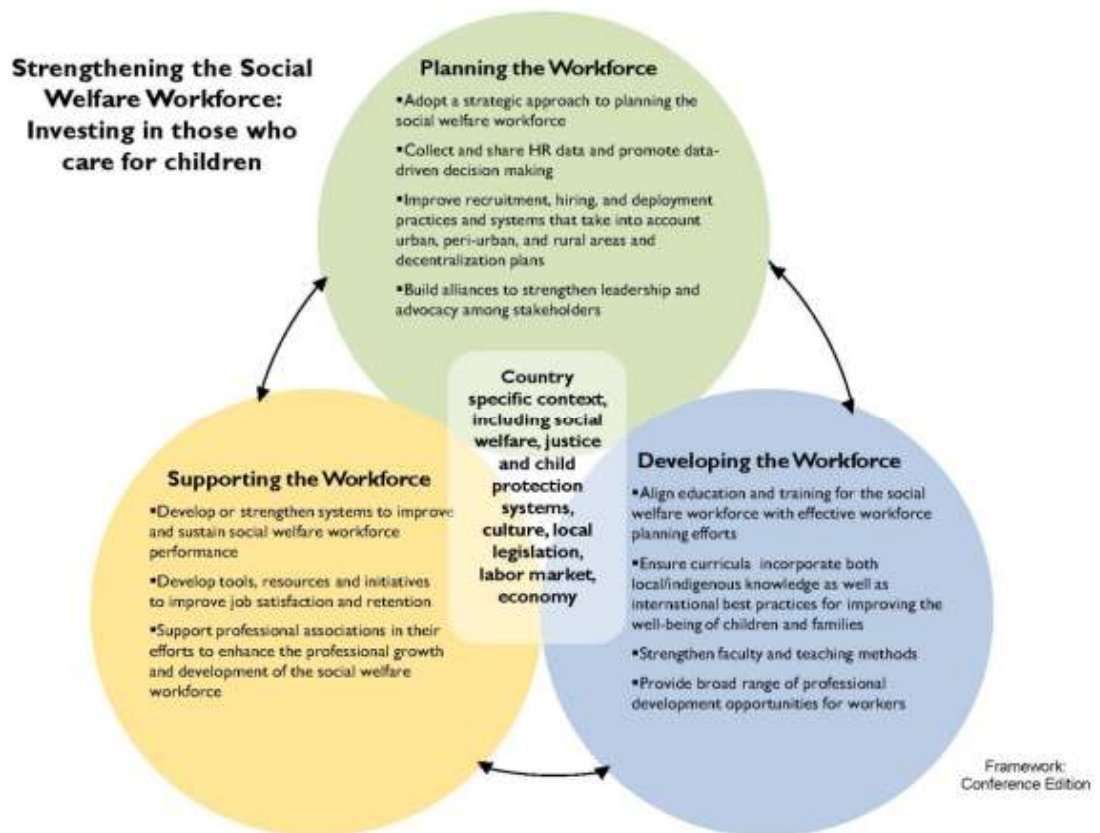
LIMITATIONS OF THE STUDY

There are some limitations to the study worthy of mention. Due to the inherent nature of this activity, not all hoped for interviews with participants or focus groups were possible to convene, in spite of tireless efforts on the part of *Zambia Rising* colleagues in Lusaka to secure such interviews. To counter this, only themes that emerge repeatedly in the data gathered are shared here. More importantly, requested documentation on specific workforce data – numbers of current employees, job descriptions, geographic dispersal of cadres, posts filled and vacant, resources mobilized, etc. – has proven inconsistent. While some Ministry's provided complete profiles, others struggled to access data promised, while still others offered none at all. This is not uncommon in these exercises as SWW data are incomplete in most countries, with information being held by various departments in differing formats, proving difficult to produce and share among stakeholders. Although hard data was requested in person, repeatedly, and much effort and time was spent to procure and compile the data made available, it has been immensely challenging to create a comprehensive picture of the SWW. Furthermore, what has been obtained varies in format making comparative analysis even more challenging. In truth, however, this is actually part of the challenge to be addressed, and while not comprehensive, enough data has been obtained to offer evidence-based reflection points for decision-making.

FRAMEWORK FOR STRENGTHENING

To better understand and possibly address the findings, opportunities and challenges surfaced in this assessment, a SWW strengthening framework based on the workforce strengthening model developed in the United States Agency for International Development-funded (USAID-funded) Capacity Project will prove instructive. This conceptual framework suggests a comprehensive strategy of workforce strengthening, addressing the three broad categories of *planning, developing, and supporting* the SWW.⁷

⁷ Framework for Strengthening the Social Welfare Workforce: The Social Service Workforce Conference; USAID and Partners; Capetown, South Africa, November 2010.



With this framework as a guide, a broad strategic plan for SWW strengthening can be created and implemented.

FINDINGS

Assessment findings are arrayed to create a comprehensive overview of the SWW and the current context in which it functions and will be sorted under the conceptual categories of the SWW Strengthening Framework.

Profiles of line ministries fielding the SWW have been drawn, as well as each SWW cadre's specific mandate within their respective ministry; and, where possible, specific data will be cited and analysis offered. Graphics help plot the inter-relationship between ministries, as well as SW coordinating bodies at all levels of government, particularly when staffed or chaired by members of the SWW. Furthermore, educational/professional requirements vis-à-vis cadres are featured with comparative analysis, and illustrative academic/training institutions included. Finally, and perhaps most importantly, an overview of the political landscape and a snapshot of the ongoing decentralization of Zambia social welfare function contextualizes and supports the decision points for consideration and reflection.

For each of these sections, this report will offer a snapshot of the current status (given the data available); opportunities and challenges identified and points of discussion to be used for implementation planning at the Stakeholder Road Map Workshop.

LITERATURE REVIEW

Zambia has a strong history of concerted efforts to address issues related to social welfare. This is evidenced by the key GRZ plans, assessments, strategies and reviews referenced for this assessment including:

2005

- **Ministry of Community Development & Social Services Planning Department, Social Protection Strategy:** The Social Protection Sector Advisory Group authored this strategy to address mechanisms for targeting necessary support to key vulnerable groups. It asserts that “Programmes need appropriate capacity-building measures for them to collaborate with other institutions or organisations.” (p. 3)

2006

- **National Child Policy:** This guidance, provided by the Ministry of Sport, Youth and Child Development, aims to provide “long term guidance and a framework for the development and implementation of the required child development and welfare interventions through a well-coordinated and multi-sectoral approach” (p. 2). The guidance outlines the roles of the many entities involved in the implementation framework including the then Ministry of Sport, Youth and Child Development, Department of Child Development, Zambia Council for the Child, Provincial and District Administration, Cooperating partners, Parents and other duty bearers, Civil Society Organisations (including FBOs, CBOs, NGOs), Community (clan, traditional, cultural, religious and opinion leaders), orphans, vulnerable and other children and the private sector (p.41-47).
- **National Youth Policy:** Along with overviewing objectives and strategies for supporting Zambian youth, this policy also outlines the roles of provincial and district administrations as well as other line ministries, NGOs, CBOs, FBOs and the private sector in support of youth. Under assumptions, the policy states “it is assumed that the Ministry responsible for Youth Development will:...have a full staff establishment at both national and provincial levels...will have a work force which is required to implement the youth policy” (p.42). While seemingly this is a seemingly obvious assumption, we have found this not to be the case with all ministries involved in social welfare.

2007

- **National Plan of Action for Children in Zambia 2008-2015:** The NPA’s purpose is to “provide a comprehensive framework and approach that will support Zambia’s fulfilment of the Fifth National Development Plan, its Vision 2030, the Millennium Declaration and the Millennium Development Goals with specific regard to children” (p.5). The NPA includes strategies to Ensure access for all children including OVC to basic essential services (strategy 4); Raise awareness and advocacy to create a supportive environment for children (strategy 5) and Engage the multi-sectoral community to play an active role in supporting the survival, protection and development of children (strategy 6). Key result areas include the following pertinent to this study: “enhanced capacity of local and national institutions delivering social

protection programmes”, “ensure standards and procedures for child service organisations are developed, disseminated and monitored” and “disaggregated data on the status of children and women is available”.

2008

- **Situation Analysis of Children and Women 2008:** In accordance with the Monitoring and Evaluation framework of the Fifth National Development Plan, this study outlined challenges and opportunities for positioning the interests of Zambia’s women and children in the Sixth National Development Plan. Amongst other key findings, this analysis highlighted “The strength of the cadre of community based organisations has been noted but these require improved coordination, adequate resources and skills. Expectations of what community volunteers re able to deliver should be realistic—community contributions add value but cannot substitute for skilled service provision. A common policy is necessary for all sectors, recognizing community contributions and creating consistency in how people are rewarded for their efforts” (p. 61)
- **Public Welfare Assistance Scheme (PWAS) Guidelines:** The guidelines outline the PWAS’ dual aims of “alleviating the problems of the poorest and most vulnerable people in Zambia” and “promoting community capacities for comprehensive responses to challenges of vulnerabilities” (p.2). The guidelines also outlined the structures of the PWAS which are also leverage for other social welfare mandates. This structures include the District Welfare Assistance Committee (DWAC), Community Welfare Assistance Committee (CWAC), Area Coordinating Committee (ACC) (p.4)

2011

- **Sixth National Development Plan 2011-2015:** The SNDP noted the low quality of human capital in Zambia by highlighting evidence of “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” (p. 7). The SNDP also outlined a vision for social protection to “a national with capacity to promote and provide sustainable security against constant and periodic critical levels of deprivation and extreme vulnerability by 2030” which includes strategies such as to “provide places of safety, vocational and life skills training to vulnerable children and youth”, “establish one stop centres and places of safety in all the Provincial centres” (p. 175)
- **National Human Resources for Health Strategic Plan 2011-2015:** In this document, the Ministry of Health outlines its plans for addressing the “inadequate distribution and severe shortage of skilled healthcare workers” (p. 2) in Zambia. Detailed projections for health workforce cadres found in the document are critical since the SWW depends on the social welfare triage function often performed by the health workforce.

- At the time of the assessment, the **National Policy on Social Welfare (DRAFT)** was still in draft. Once finalized, it is anticipated that it will define social welfare and provide the framework for implementation especially in support of the vulnerable people of society.

2013

- **Ministry Sector Devolution Action Plan for Social Welfare (DRAFT):** In this draft document, the Ministry of Community Development, Mother and Child Health Department of Social Welfare outlines both statutory and non-statutory functions and which of those functions will be devolved.
- **The National Decentralisation Policy (Revised Edition)** outlines intentions to “develop and institutionalize performance management systems for effective and improved service delivery...ensure that the devolved functions are accompanied by qualified human resources...strengthen local training institutions for effective staff training and development” (p. 6)

In addition to the above government-generated documents, this assessment reviewed many other resources from international NGOs working in Zambia as well as international, continental and regional SWW resources for application to this assessment. A list of all resources referenced can be found in **Appendix H**.

SUCCESSES ON WHICH TO BUILD

In reviewing the current status of Zambia's SWW, a number of successes were identified upon which to build a strategy for strengthening of the Social Welfare Workforce.

As highlighted in the previous literature review summary, Zambia has robust legislation protecting the rights of the child, planning forward for children's wellbeing, and focusing on vulnerable children and their caregivers in social welfare assistance programming. The National Child Policy (2006); the National Plan of Action for Children in Zambia (2008-2015); the Public Welfare Assistance Scheme (2008); and the National Social Protection Policy (in draft form, awaiting final approval, 2013) and the National Policy on Social Welfare – 2011 (in draft form awaiting approval); are clear examples of this strong legal framework. Having this legislation in place is critical, as it creates a platform by which to enforce policies and laws as part of the social safety net protecting vulnerable populations. This legislation serves as a backdrop for a number of other successes in social welfare service provision in Zambia.

Successes:

- Robust legislation
- Low recidivism of street children reintegrated
- Tools to support professional growth
- Standardized Performance Management system
- Public Service Training Development Policy

Government Transit Homes report that in working with street children, they only see 10% recidivism once young people have been reintegrated with families or caregivers. Likewise, the police, working closely with social welfare colleagues in Child Protection, have adopted more "child-friendly" practices such as not wearing uniforms in an effort to be less intimidating, as well as working in tandem with Social Workers to ensure children's rights are protected, especially when identifying and helping children at risk.

From the perspective of Human Resources Management, the Zambian SWW has a number of tools available that, when deployed effectively, can both support and grow staff professionally.

There is a uniform mechanism for supervisory appraisal of staff, creating a standardized Performance Management system across ministries. The Annual Performance Appraisal System (APAS) is used throughout Zambia's Civil Service. The User's Guide (available in **Resource Compendium**) offers supervisors principles and guidance in how best to use the Performance Appraisal tool with their subordinates. Managers are advised, "In the honest application of the principles, managers/staff will realise that the only objective and purposeful approach is one which is characterised by integrity, fairness and fearlessness and, over time, reporting officers should display greater confidence in handling of performance assessments. It is envisaged that the negative image of the civil service held over the years will soon be erased and a positive one restored in its place."⁸

Likewise, the standardized APAS appraisal form creates the opportunity for a two-way dialogue between the Appraisee and their Supervisor in discussing performance targets, additional work contributions throughout the year, and performance competencies. There is the opportunity for the Appraisee to submit reflections on supervisory ratings of performance, as well as guidance on the interpretation of the APAS form. For further information, please reference the **Resource Compendium**.

⁸ ANNUAL PERFORMANCE APPRAISAL SYSTEM: USER GUIDE, Cabinet Office, Lusaka, 1997.

Another positive aspect of Zambia's Civil Service is the Public Service Training and Development Policy (PSTDP) and the Procedures and Guidelines for Human Resource Development in the Public Service. This policy provides the framework for the training and further professional development of all civil servants. The framework creates a systematic training cycle and defined procedures for all in-service training, both for incoming staff as well as senior staff wishing to upgrade and refresh their skills.

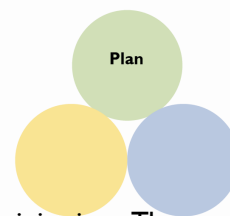
Furthermore, it also clarifies the roles and responsibilities of various actors and provides a link between performance and in-service training as well as training and career development. This framework clarifies the annual number of any Ministry's given professional staff that may begin in-service training, based upon that Ministry's needs as an organisation. To determine those needs, each district, hospital, and province are expected to develop an 'Annual Training and Development Plan,' outlining in-service training requests and submitted to each respective home ministry annually. Requests are subsequently compiled and an annual Ministerial Training Plan is developed, focusing on the programs in the greatest need and with the largest number of new staff entering in a given year.

According to the PSTDP, the Government is expected to provide sponsorship to public professionals to undertake training that is relevant to the Public Service within their scope, as well as within the constraint of available monetary resources. In addition to ministerial sponsorships, CPs, including FBOs, NGOs, and other private institutions, also provides scholarships as well. SWW colleagues reported being given leave to study and attain higher level credentialing in the Social Work field as a benefit of serving in the Social Welfare Workforce.⁹

These cumulative advantages form a useful foundation upon which to begin targeting capacity-building strategies and endeavours aimed at to strengthening Zambia's Social Welfare Workforce.

⁹ NATIONAL HUMAN RESOURCES FOR HEALTH STRATEGIC PLAN: 2011 -2015, Ministry of Health, p.p. 22-23.

CADRES OF ZAMBIA'S FORMAL SWW

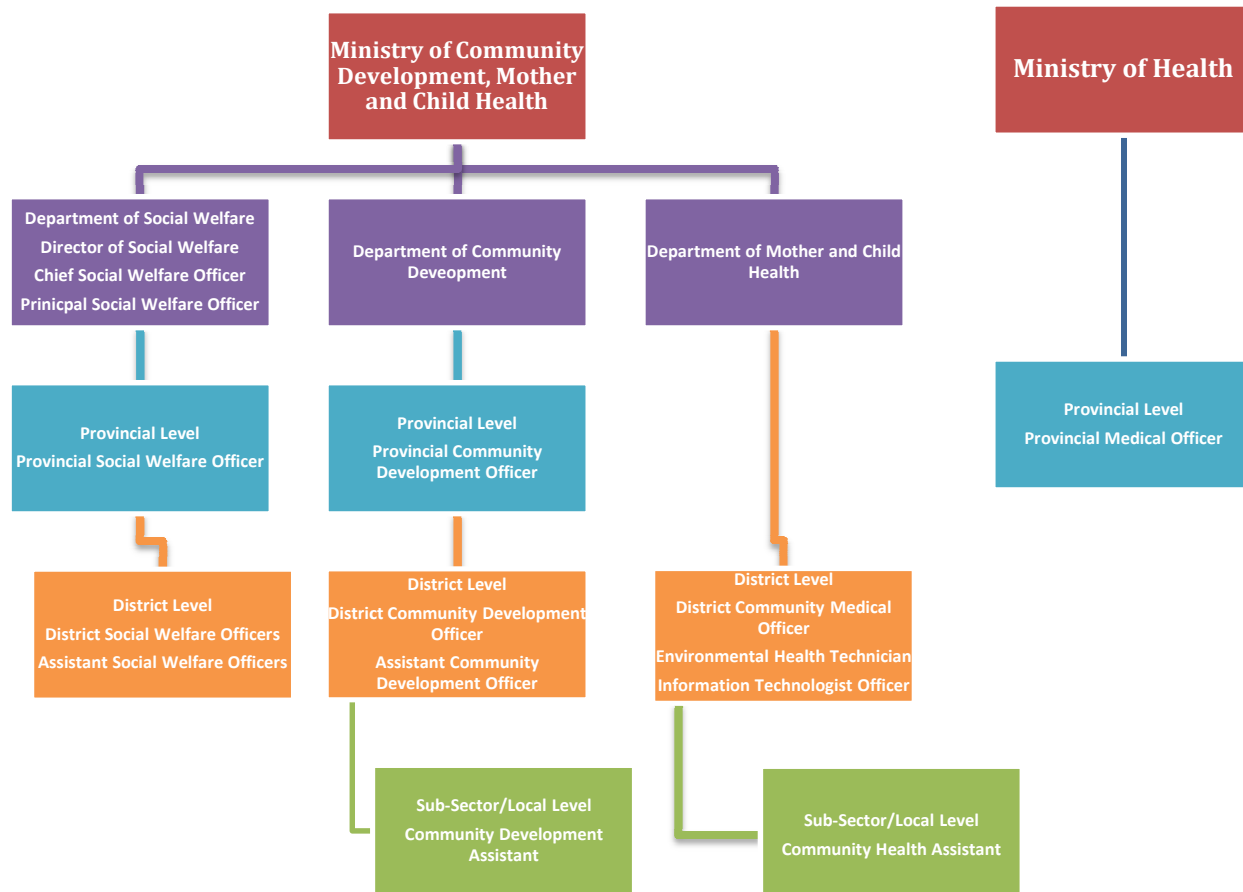
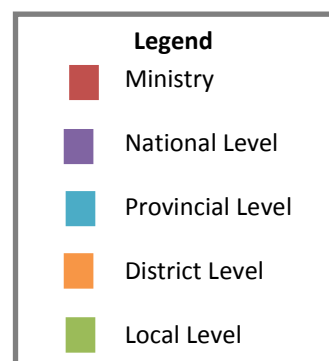


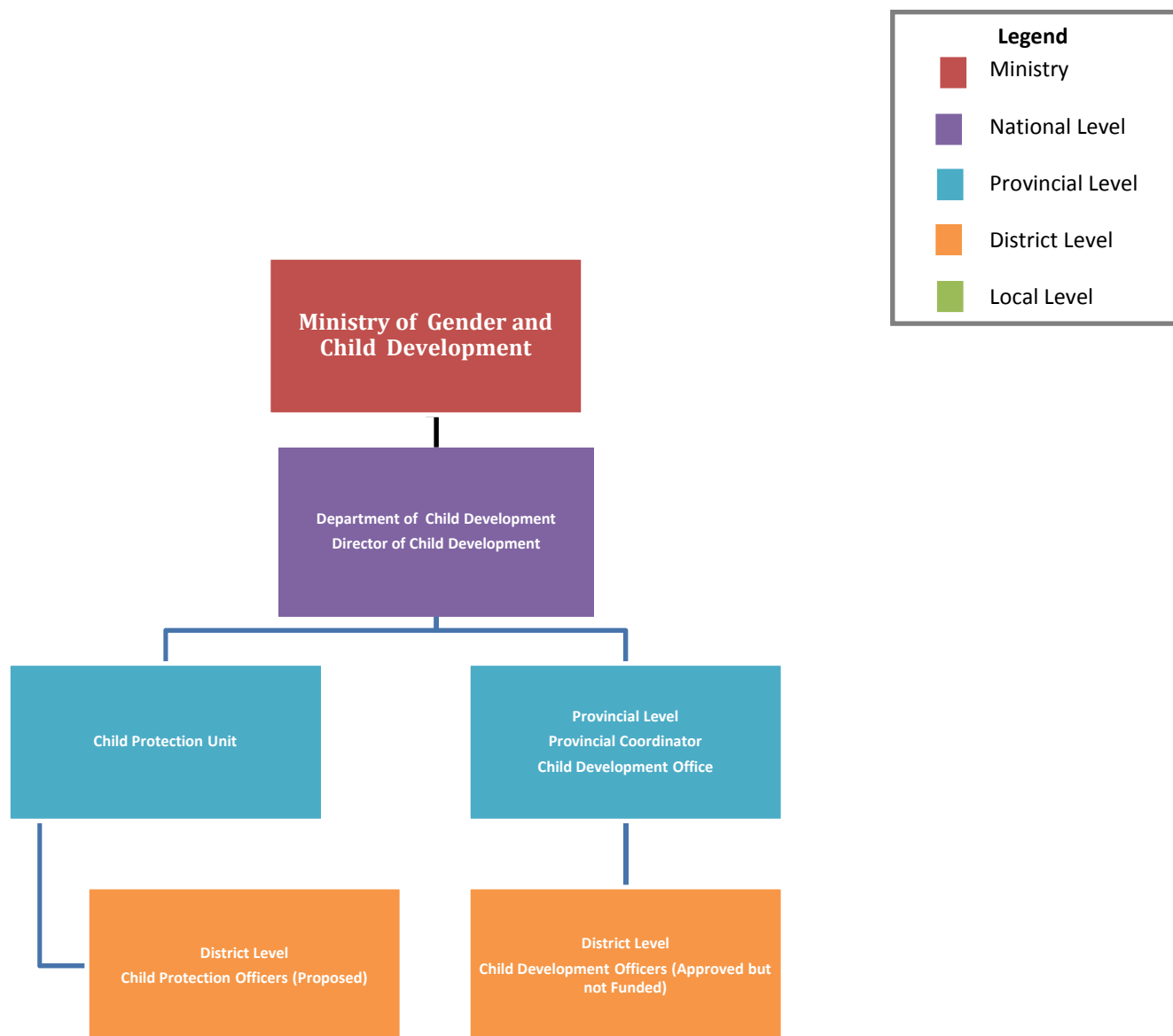
The formal Social Welfare Workforce fielded by the GRZ falls primarily to two ministries: The Ministry of Community Development, Mother and Child Health - the Ministry for Implementation - and the Ministry of Gender and Child Development (MGCD) – the Ministry for Coordination of the National Child Policy.

These two ministries spearhead the delivery of social welfare services to Zambia's most vulnerable populations, taking responsibility for coordinating all the actors offering social welfare services, as well as playing a role in supporting the programming, activities and the implementation of the Public Welfare Assistance Scheme (PWAS).

By looking more closely at the various cadres in each ministry, their numbers, where they are deployed, and the specific requirements of their roles, a clearer picture of Zambia's SWW can be attained. In addition, through data-gathered, projections of what is still needed to bolster this workforce even more can be projected. The graphics below arrays the cadres in each ministry.¹⁰

¹⁰ Note: Does not include SWW roles or community assistance mechanisms at the local level.





Note: Currently, there are one hundred and three councils, comprised of four city councils, fifteen municipal councils and eighty-four district councils¹¹. It is from this level that most oversight and coordination of services to most OVC occurs.

¹¹ Draft Sector Devolution Action Plan for Community Development, Ministry of Community Development Mother Child Health, Department of Community Development. pg. 26

MINISTRY OF COMMUNITY DEVELOPMENT, MOTHER AND CHILD HEALTH (MCDMCH)

DEPARTMENT OF SOCIAL WELFARE

The role of the Department of Social Welfare (DSW) is to provide statutory and non-statutory services to vulnerable populations throughout Zambia. These services are provided through Social Welfare Officers at all levels of government. More specifically:

- In each of Zambia's 103 districts, there should be a District Social Welfare Officer and at least one Assistant SWO. Theoretically, the number of Assistant SWOs reporting to the SWO should vary, depending on the size of the district.
- At the Provincial level, there should be 1 Provincial SWO with 2 Senior SWOs.

Currently, there are 300 staff in the DSW. For an organogram of the Department of Social Welfare job-specific positions and staffing, please consult **Appendix C**.

Social Welfare Officers

As of June 2014, the Ministry of Community Development, Mother and Child Health shared the following positions established and filled both for the Department of Social Welfare at headquarters, the provinces, and districts. In summary:

Current Statistics

- There are 274 established SWO positions in DSW with 99.2% of those positions filled.
- Of the 13 positions at DSW Headquarters, 37.5% are attached to the Social Cash Transfer Program.
- One Provincial Social Welfare Officer and two Senior Social Welfare Officers are established in each of the 10 provinces. 93% of these positions are filled.
- In the districts, there is at least one Social Welfare Officer and one Assistant Social Welfare Officer established for each district with 100% of those positions filled.

Given the differing roles assigned to staff with the same job titles as well as a lack of accessible needs assessments for each district or province, it is difficult to assess whether the coverage outlined by the establishment is the coverage necessary for the needs of headquarters, provinces and districts.

Headquarters Lusaka

| Job Title | Establishment | Actual |
|---|---------------|--------|
| Director-Social Welfare | 1 | 1 |
| Chief Social Welfare Officer (non-statutory services) | 1 | 1 |
| Chief Social Welfare Officer (statutory services) | 1 | 1 |
| Principal Social Welfare Officer (social cash transfer) | 1 | 1 |
| Senior Social Welfare Officer (non-statutory services) | 2 | 2 |

| | | |
|--|-----------|-----------|
| Senior Social Welfare Officer (statutory services) | 3 | 3 |
| Senior Social Welfare Officer (social cash transfer) | 2 | 2 |
| Social Welfare Officer (social cash transfer) | 2 | 2 |
| HQ TOTALS | 13 | 13 |

For a District by District breakdown of current staffing, please consult **Appendix A**.

Current Staffing vs. Projected Need

While there are no baselines upon which to project optimal staffing vis-à-vis OVC need, some reflections can be drawn from interview data. Uniformly, both SWOs and NGO partners expressed consistent concern that there are not enough SWOs at the district level to handle the role and the workload before them. While larger districts are afforded an extra Assistant SWO, a prevailing perception was that is still not enough.

“I start work at 6:00 a.m. I don’t take any lunch and I knock off at 4:30. It’s too much. This workload is just too much.”

Examples offered included:

- Research has shown that when working with street children, their needs are the equivalent of care needed for 12 normal children. Ideally, a caregiver and SWO should work with 3 children a day. Currently, at the government transit home, there are 8 staff with 4 being permanent and they accommodate up to 64 street children at a time. Clearly, there are not enough qualified staff to deal with the need.
- DSW hopes that with decentralization there should be an increase of Social Workers at the council level. One projection is 5 Assistant Social Welfare Officers per district in support of the work load.
- Provincial SWOs offered an “ideal” staffing projection to cover the work needing to be done – At the District level, 10 SWOs simply to manage the statutory services being offered, and then non-statutory having its own SWOs as well. “We are short staffed and woefully under resourced,” said one PSWO.

Given the unanimity of perception regarding the shortfall in SWOs, particularly at the District level, there would be wisdom in reviewing current staffing patterns, particularly against provincial populations, HIV-prevalence rates, and office reported cycles of increased work flow.

Medical Social Workers

Medical Social Workers’ function falls under the DSW but they are overseen by the MoH; their role is to plan, administer, and coordinate medical social activities aimed at providing effective medical social care to patients, families, and communities in a hospital setting.

Current Statistics

Currently, there are 8 Medical Social Workers in Zambia.

- 4 Medical Social Workers serve at the University Teaching Hospital (UTH) in Lusaka
- 2 Medical Social Workers at Lewanika General Hospital, Mongu, Western, Zambia
- 1 Medical Social Worker at Kitwe Central
- 1 Medical Social Worker at Livingstone General Hospital

Current Staffing vs. Projected Need

There was general agreement that there are too few Medical Social Workers to adequately staff the needs of Zambia's primary hospitals.

It was noted that the University Teaching Hospital has a 1,800 bed capacity, with outpatient services included as well. Apparently, four years ago there were 7 Medical Social Workers just at UTH; however, when they left they weren't replaced and the Ministry is no longer funding those roles.

Likewise, three of Zambia's larger hospitals have no Medical Social Workers at all.

Projections for numbers of Medical Social Workers needed at UTH alone were 9; 2 simply to work with children, with the remaining 7 addressing the needs of all other patients.

Reported one Medical Social Worker, "I start work at 6:00 a.m. I don't take any lunch and I knock off at 4:30. It's too much. This workload is just too much."

DEPARTMENT OF COMMUNITY DEVELOPMENT

The role of the Department of Community Development is to provide for the coordination and implementation of community self-help programs including addressing cross-cutting issues of HIV/AIDS, women's development, and poverty reduction. These services are provided through Community Development Officers at all levels of government. More specifically:

- Community Development Officers at the District Level and Community Development Assistants are formed in the sub-centre, which may be at the Ward. While they are not gazetted, community members access them as they are readily available. Often, this role is described as being interchangeable with the SWO.

Current Statistics

As of 2012, there were approximately 1367 members of staff currently performing the functions of community development. The chart below¹² outlines the type of personnel broken down by location.

¹² Draft Sector Devolution Action Plan for Community Development, Ministry of Community Development Mother Child Health, Department of Community Development. pg. 15-16

| Type of Personnel/Location | Department Headquarters and Centres | Provincial Headquarters and Centres | District Office and Sub-Centres |
|----------------------------|-------------------------------------|-------------------------------------|---------------------------------|
| Professional Staff | | | |
| Director | 1 | - | - |
| CCDO | 2 | - | - |
| Provincial CDO | - | 10 | - |
| Principal | 2 | - | - |
| SCDO | 5 | 30 | - |
| Vice Principal | 2 | - | - |
| CDO | - | - | 103 |
| Practical Instructor | - | 78 | - |
| Training Officer | 24 | - | - |
| Graphic Artist | 1 | - | - |
| BO? | 1 | - | - |
| Bricklayer | - | ? | - |
| Carpenter | - | - | - |
| ACDO | - | 2 | 206 |
| Translator | 7 | - | - |
| CDA | - | - | 547 |
| Sub-total | 45 | 120 | 856 |
| Support Staff | | | |
| Executive Officer | 1 | - | 103 |
| Stenographer | 1 | - | - |
| Typist | 4 | 23 | 103 |
| Clerical Officer | - | - | - |
| Registry Clerk | 2 | - | - |
| Chief Office Orderly | - | 5 | - |
| Principal Office Orderly | 1 | 4 | - |
| Senior Office Orderly | 1 | 6 | - |
| Office Orderly | 1 | 3 | - |
| Telephone Operator | - | 1 | - |
| Driver | 5 | 10 | - |
| House Keeper/Matron | 2 | - | - |
| Cook | 4 | 10 | - |
| Waiter | 4 | 8 | - |
| Cleaner | 4 | 11 | - |
| Security Guard | - | 10 | - |
| Watchman | 2 | 7 | - |
| Sub-total | 32 | 108 | 206 |
| Totals | 77 | 228 | 1062 |
| Grand Total | | | 1367 |

DEPARTMENT OF MOTHER AND CHILD HEALTH

The role of the Department of Mother and Child Health is new to the MCDMCH, having been moved from the Ministry of Health with the ministerial realignment in 2012. This department's role in MCDMCH is to provide health services at the community-level health centre, including support for behavioural health issues such as mental illness, domestic or interpersonal violence, anxiety or depression, and substance abuse. These services are provided through Community Health Assistants at the community level coordinated by the District Medical Officer at the District level.

It's important to note that there are two schools owned by the Ministry of Health to train this cadre: one is in Ndola within the Ndola Central Hospital grounds, and the second is located at the

Mwachisompola Demonstration Zone in Chibombo district. Current enrolment of CHA's in those programs is as follows:

| Province | Female | Male | Grand Total |
|--------------------|------------|------------|-------------|
| Central | 29 | 30 | 59 |
| Copperbelt | 3 | 3 | 6 |
| Eastern | 30 | 44 | 74 |
| Luapula | 31 | 51 | 82 |
| Lusaka | 22 | 31 | 53 |
| Muchinga | 20 | 24 | 44 |
| Northern | 16 | 35 | 51 |
| Northwestern | 19 | 40 | 59 |
| Southern | 22 | 25 | 47 |
| Western | 17 | 18 | 35 |
| Grand Total | 209 | 301 | 510 |

It's also worthy of note:

- While we have included the “Modified Scope of Work for CHA's Approved Interventions” in aligning with the MCDMCH in the **Reference Compendium**, actual CHA job descriptions are currently being amended and were, therefore, unavailable for review.
- Similar to the Community Development Officer cadre, no other numbers or hard data on the disbursal of this role, either geographically or in regards to projected need were made available for this study.

MINISTRY OF GENDER AND CHILD DEVELOPMENT (MGCD)

When this study was initially conducted, there were 88 staff members in total within the MGCD and it was projected that there would be 350 staff by 2016, pending approval of funding by the Treasury Authority of the new positions.

DEPARTMENT OF CHILD DEVELOPMENT

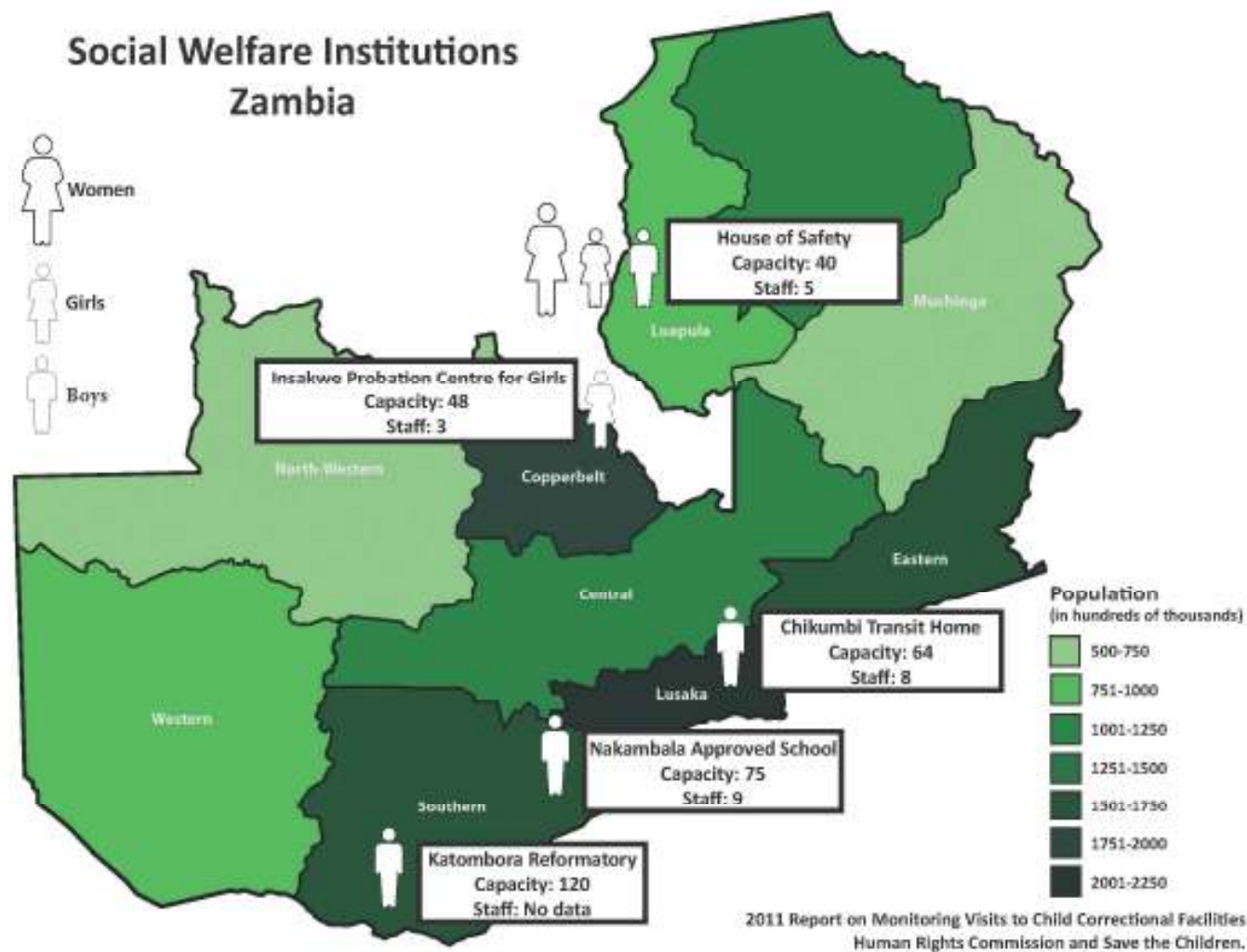
The Department of Child Development within the MGCD is responsible for facilitating the rehabilitation of street children; providing policy guidance and awareness on issues relating to children; and working in collaboration with the MCDMCH to ensure coordination of implementation of social welfare service and child protection at all levels of government. There are 27 staff in total, with 6 women & 21 men.

This is done primarily through two cadres. Under the Department of Child Development, Child Development Officers manage, supervise, and coordinate activities ensuring the compliance of, adherence to, and implementation of child rights standards. At this time, Child Development Officer positions are only staffed to the provincial level. While District Child Development Officer positions have been formally approved, they have yet to be funded by the Treasury Authority. Therefore, there are two Child Development Officers in each province, but any specific work needing to be implemented at the district level must be covered by either the DSWO or the DCDO.

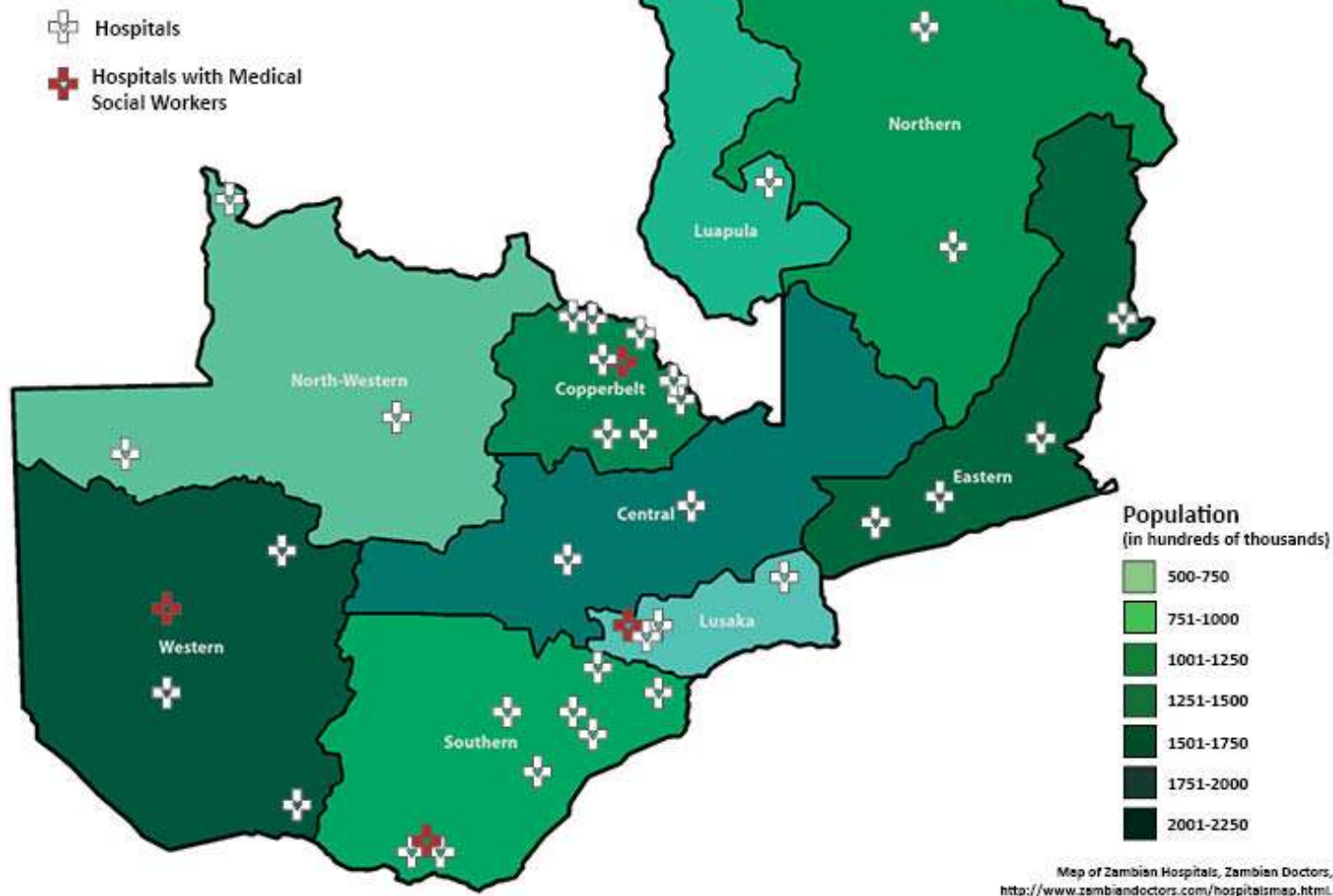
Likewise, the Child Protection Unit, also under the Department of Child Development, fields Child Protection Officers. This cadre works in collaboration with the police and DSWOs to ensure

children who commit an offense are properly handled and their rights observed. Child Protection Officers take children off the street, move them to correctional institutions, take them to Places of Safety, and ensure child abusers are brought to justice. The only staffing data identified for this cadre showed that there are currently 10 CPOs in Lusaka; however, there is an acknowledged need to grow this cadre significantly, especially in regards to implementing decentralization. There has been a request made to add 77 positions within the Child Protection Unit and this request is awaiting Cabinet approval.

MAPPING THE INSTITUTIONAL SETTING OF THE SWW



Hospitals in Zambia



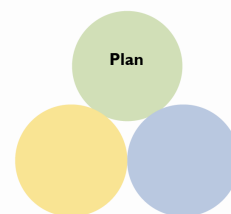
NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

- As there is no consistent “hard” data for all of these cadres, projecting optimal staffing patterns will be imprecise. However, there is no doubt that each of these cadres is currently understaffed, particularly at the district level.
- Communities are not making the distinction in roles between services offered by the District Social Welfare Officer, the District Community Development Officer, and the newly added Community Health Assistant. This will only become more complex when the District Child Development Officer role is funded and deployed.
- Vulnerable children are being identified by cadres with specific, limited criteria vis-à-vis the cadre’s line ministry; for example: Community Welfare Assistance Committee’s look through the criteria of beneficiary identification for the Social Cash Transfer program (20% of the local population qualifies according to DFID) ; Community Caregivers look through home-based care and health issues such as HIV, cancer, etc. No cadre is tasked with specifically identifying all vulnerable children in a community in order to provide minimal holistic case management, psychosocial support and referrals as needed.
- There is seemingly standardized deployment of SWO staff at the district and provincial levels, with only minor adjustments, irrespective of population or HIV/AIDS prevalence rates. This further taxes and already overstressed function.

POINTS FOR DISCUSSION

- With the timing of decentralization (and the possible new staffing options it could entail) not completely clear, how might staff be deployed differently in the short-term to manage the shortfall of HR at the district level?
- What might each ministry do more effectively to sensitize communities to the differences in service provision between the various SWW cadres? (DSWO/DCDO/CHA...and work of the Child Development Officer being implemented).
- What might be done to ensure that ALL vulnerable children are being identified within communities and that they are being connected to the appropriate referral services and counselling support?

WORK LOAD OF THE DISTRICT SOCIAL WELFARE OFFICER



In reviewing the array of SWW cadres, one role stands out as being a pivotal point of service at the district level. This role manages a scope that is broad in nature and calls for serving a very large number of beneficiaries.

The District Social Welfare Officer position bears re-examination when considering how best to strengthen the SWW.

CURRENT STATUS

The role of the District Social Welfare Officer is a focal point of coordinating social service delivery to a broad array of beneficiaries. DSWOs describe themselves as “providing the formal platform from which a child can receive any service they require.” And, although this study is looking at the Social Welfare Workforce through the lens of OVC, Social Welfare Officers serve all vulnerable and marginalized populations, not simply children. Said one DSWO, “We link the disadvantaged to whatever help is available. We work with everyone in need. The elderly. Disabled. Prison populations. We do it all.”

“We link the disadvantaged to whatever help is available. We work with everyone in need. The elderly. Disabled. Prison populations. We do it all.”

Relevant pieces of legislation govern how DSWOs carry out some specific duties under Statutory Services. Primarily, these services fall under protection, custody, correction, and rights and responsibilities of children and include:

- Provision of probation services;
- Provision of child welfare services;
- Supervision and inspection of child-care facilities;
- Protection of children in need of care;
- Facilitation of child adoption and foster care services;
- Care of and support to juveniles in correctional institutions; and
- Investigations and disposal of juvenile delinquent cases.

Only gazetted officers may carry out these functions, and these services are discharged through child welfare programs.

Likewise, DSWOs are also expected to discharge a number of non-statutory functions as well. Non-statutory services refer to functions provided by the Government without reference to any Act of Parliament, and which can be provided also by the private sector, NGOs or individuals, and are usually directed at alleviating poverty, distress and destitution among vulnerable groups. These include, among others, implementation of the PWAS, the Social Cash Transfer program, care for older persons, places of safety, voluntary casework and counselling.

While each district is different and DSWOs and their Assistant colleagues are expected to adjust and adapt accordingly, it is not uncommon for the DSWO to serve in the function of accountant, planner (in working with their new colleagues in Health), and backstop for colleagues in community development as well as Provincial Child Development Officers. They are expected to stay abreast of

public sector and non-government organisations and actors delivering social welfare programs in their respective area and make referrals accordingly.

Finally, there are a variety of committees at the district level, many sponsored by a respective line ministry, tasked with coordinating the efforts and programming of the public sector and NGOs, CBOs, and FBOs working in the district. As these committees are the primary mechanisms of coordination for service delivery and maximizing available resources, the DSWO is expected to sit on and, in some instances, serve as chair.

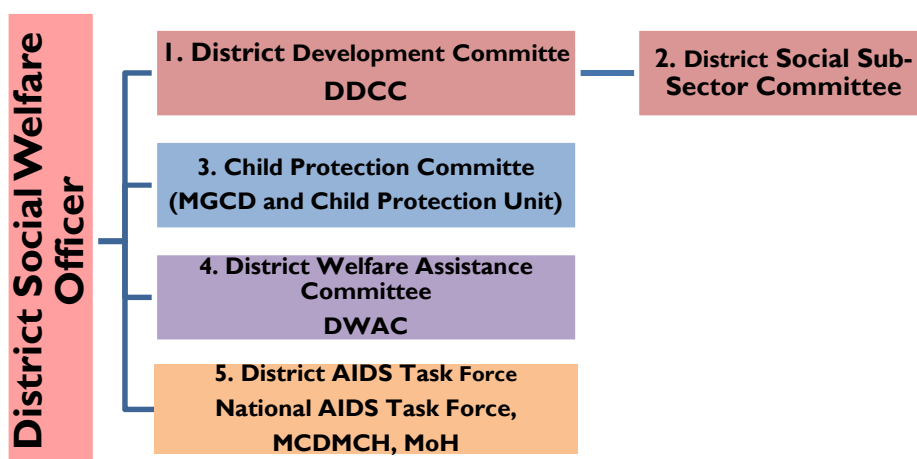
NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

“We spend a big amount of time on committee work,” reported one DSWO.

COMMITTEE WORK AND REPRESENTATION

The administration of public welfare assistance programs trickles down through a variety of committees comprised of actors in the social welfare field. And, the deeper you move into the community, the more frequently committees are built upon volunteers.

It is clear at the district level, the number of committees and the role the DSWO plays on each is determined by the singular nature of each district and effectiveness of the committee(s) in question.



Broadly speaking, however, the DSWO is expected to serve on all and, in some cases, convene/chair the following committees:

I. District Development Committees

The District Development Coordinating Committee (DDCC) will provide a forum for Government Institutions, Private Sector, Non-Governmental Organisations and Civil Society participation in the implementation and coordination of district programmes. Furthermore, it will play a key role in ensuring that monitoring and evaluation findings feed into the district planning and budgeting processes.¹³

¹³ THE SIXTH NATIONAL DEVELOPMENT PLAN 2011-2015, GRZ.

2. District Child Protection Committee

This committee aims to coordinate organisations serving on behalf of child protection in a given district and to work collaboratively to identify children at risk (particularly street children); mobilize and liaise with parents/caregivers, identify root causes of vulnerability; and strategize solutions. The Child Protection Committee works collectively to mitigate the number of variables that create an environment ripe for juvenile offenders and offer alternatives to the street.

3. District Welfare Assistance Committees

At district level, the District Welfare Assistance Committee (DWAC) oversees all welfare assistance activities. The DWAC brings together representatives from relevant Government Departments and the Council, as well as partner NGOs, churches and other appropriate institutions (GRZ MCDSS, 2000: p.9). The status of the DWAC in relation to district structures varies from district to district. In some districts the DWAC is a subcommittee of the District Development Coordinating Committees (DDCC). In others it is merely linked to the social subcommittee of the DDCC. This means that there are no national criteria of how the DWAC is to relate to the DDCC. However, it is understood that the role of the DWAC is to provide information on issues pertaining to public welfare assistance...The DWAC guides the DSWO who is supposed to secure impartiality of processes. In turn, the DSWO is key in ensuring that the targeting process and delivery of assistance to beneficiaries work smoothly. S/he facilitates the DWAC to play its role and receives funds from the ministry headquarters for beneficiaries.¹⁴

4. District AIDS Task Force

The DSWO is a member of the District AIDS Task Force, which represents multiple government agencies including the MoH, the MCDMCH, and the National AIDS Council. District coordination of HIV activities rests here, and NGOs and other actors in the HIV/AIDS arena sit on the task force as well.

¹⁴ ASSESSING ADMINISTRATIVE CAPACITY AND COSTS OF CASH TRANSFER SCHEMES IN ZAMBIA: IMPLICATIONS FOR ROLL-OUT, Kaputo Chiwele, International Policy Centre for Inclusive Growth, February 2010.

WORK FLOW AND WORK LOAD

While covering this broad range of responsibilities varied from district to district, urban areas – and more particularly Lusaka – reported a clearer delineation of job responsibilities between statutory and non-statutory functions between officers, with the ability to backstop one another when workloads increased. Conversely, in the rural areas, DSWO's were reported to “do it all.”

In regards to OVC case loads, DSWOs offered projections that were cyclical in nature. A smaller district might see up to 50 cases per week; however, when school was beginning and educational support was needed, the case load might increase to 200 per week.

Representative DSWOs from Lusaka reported a significant amount of time devoted to Juvenile Justice. One example offered was managing up to 45 cases of juvenile offenders a week. And, like their rural counterparts, Lusaka DSWOs reported that when school opens, the demand for educational support can increase to 200 a day.

For the most part, there was agreement both by the officers themselves and by actors who rely upon them for services that most DSWOs are spread too thinly. While workload demands depend on the population being served, there are other key variables impacting officers' abilities to discharge their duties fully.

OTHER VARIABLES IMPACTING THE ROLE

DSWOs cited an array of variables, beyond the broad nature of the scope of their work that has had significant impact on their ability to fulfil their duties. Those variables include:

- **Resource and Logistics Challenges**

Uniformly, DSWOs reported that logistics and lack of resources made discharging their duties difficult at times. Some shared that accessing school fees was a significant hindrance. Transport was cited as a problem, particularly when needing to assess specific client cases or do required follow up on legal obligations. NGO partners cite lack of stationaries, pens and files as barriers to DSWOs being able to do their jobs and reporting effectively. Finally, DSWOs from smaller districts reported struggling with logistics such as holding cells for juvenile offenders or safe places for victims of gender-based violence.

- **Challenges in Working Collaboratively with Newer Colleagues from Health**

With the realignment of primary health care and maternal and child health services from the Ministry of Health to the Ministry of Community Development, Mother and Child Health, the Health colleagues are now expected to work in collaboration with DSWOs and DCDOs. However, some SWOs, as well as donors, reported a perceived lack of respect on the part of Health colleagues for their Social Welfare counterparts. “With bringing in the Health Team,” said one donor, “DSWOs are expected to be planners. Unfortunately, the Health people look down on Social Welfare. They still think and act as if they are under the MoH.” .

- **Backstopping the Provincial Child Development Coordinators**

The Provincial Child Development Coordinator, colleagues from Ministry of Gender and Child Development, are reliant upon DSWOs to implement their coordination work at the district level. While the role of District Child Development Coordinators has been approved, it has not been

formally funded by the Treasury Authority. Therefore, the expectation is that DSWOs will add the implementation of PCDCs district agenda to their own work portfolios.

- **Challenges in the Supervision of DSWOs**

While DSWO supervisors, the Provincial Social Welfare Officers, require periodic reports to be submitted recounting their work, supervisory practices in this regard were characterized as impractical. There was no question that PSWOs want to support and supervise their DSWO subordinates effectively. However, often PSWOs have a number of DSWOs to oversee, making diligent oversight a challenge. Likewise, although many PSWOs reported having ongoing conversations with their DSWOs, face-to-face visits to actually see work on the ground often proved impossible, due to lack of fuel and transport, as well as geographic expanse given the number of districts to visit.

- **Ongoing Need for Further Professional Development**

Officers reported that although they meet the Civil Service requirements for being gazetted, many of them had no formal training to serve in their legal capacity with juvenile offenders. While there have been some trainings offered on working within juvenile justice, there was still concern about meeting the legal requirements (particularly in documentation) of the role. Furthermore, while trainings have been provided on a range of topics (examples given included *Human Trafficking* by IOL, *Disaster Management, Mitigation and Handling Victims* by the Provincial Office, etc.), those are offered to the cadre as a whole, rather than tailoring an individual development plan to ameliorate the specific skill sets of individual DSWOs.

- **Cyclical Nature of Work**

A number of DSWOs reported that their workloads were cyclical in nature, with high points recurring when school comes into session. However, most DSWOs reported that given the expansive nature of their work, regular field visits are precluded as it would put them too far behind in meeting their responsibilities once they returned.

- **Some District Social Welfare Offices are Understaffed**

While it may be true that the number of posts for DSWOs are mostly filled (this was touted as a plus, being a career path reward of promotion for worthy Social Welfare Assistants), it was cited by a number of interviewees – both donors and NGOs alike – that there are not enough Officers to adequately address the range of needs of vulnerable populations. “During heavy times of need, queues are out the door to see the DSWO,” recounted one interview participant.

Furthermore, there are times the DSWO misses the court date of a juvenile facing charges as s/he is having to attend to other business. As gazetted officers, DSWOs are obligated to accompany and represent juvenile offenders, and when they don’t appear, the child remains in the juvenile justice system longer than necessary. In addition, there is often the expectation that the DSWO will follow up on cases; yet, due to work load and inadequate resources, some follow-up languishes for a year or longer.

POINTS FOR DISCUSSION

- Where might there be opportunities to shift tasks from the DSWOs to other colleagues providing SW service delivery at the district level?
- How might the number of committees at the district level be streamlined to create more time both for DSWO and for partners who sit on multiple committees as well?
- How might the cyclical nature of the DSWO's workload create opportunity for cyclical support?
- How might the collaboration between DSWOs and MoH colleagues be strengthened?
- How might the training support for SWO's be strengthened to ensure that they have the requisite skills to fulfil their responsibilities?
- How might the present supervision dilemma be addressed and improved to establish a functional system?

ENSURING THE SWW PROVIDES QUALITY SERVICES TO OVC



CURRENT STATUS

Equipping Zambia's SWW with the knowledge, skills and tools to deliver quality social services is an integral part of strengthening. This is predicated on universities and training institutions offering the required teaching, supervision, curricula, and practicums necessary to ensure staff are prepared and competent. Concurrently, fielding a qualified workforce means recruiting the right skill mix and experience to ensure jobs are discharged satisfactorily.

Therefore, an examination of the current status of training, qualifications and credentialing, both of the workforce and the institutions producing that workforce, is imperative. This examination reveals a range of change opportunities that merit priority attention.

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

UNIVERSITIES AND TRAINING INSTITUTIONS

In Zambia, there is no regulating or accrediting body overseeing educational institutions offering credentials in Social Work or related disciplines as they pertain to assuming jobs within social welfare. Currently, the credentials being offered in the field of Social Work are:

- Certificate – less than a year
- Diploma – three years
- Degree – four years

“Most people are encouraged to go to one of the many institutions providing training for Social Work. But, of course, to be a Social Worker with just a certificate just isn't enough.”

Furthermore, there is a proliferation of institutions now offering Social Work training in Zambia. Out of the 42 approved higher learning institutions in Zambia, the institutions identified as delivering some form of Social Work Training are:

| Training Institution | Degree(s) Offered |
|--|---|
| Cavendish University Zambia | Diploma Degree - BA, MA |
| Chreso University College | Degree - BA, BSs, BTh, MA, PhD, Th.D, Dphil |
| Copperbelt Distance Education University | Diploma – BA |
| Copperstone University | Certification Diploma Degree – MA |
| DMI St. Eugene (Lusaka Campus) | |
| DMI St. Eugene (Chipata Campus) | Degree – BA |
| Livingstone International University of Tourism Excellence and Business | |

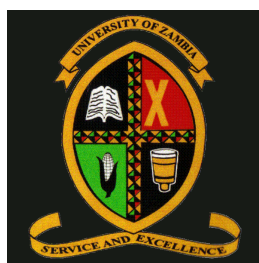
| | |
|-----------------------------------|--|
| Management | |
| Pamodzi University College | |
| Rusangu University | Degree – BA |
| University Africa College | |
| Lusaka University | Degree - MA, PhD |
| Zambia Catholic University | |
| Zambia Open University | Certification Diploma Degree - BA, PhD |

Yet, due to the fact that no Schools of Social Work are yet to be accredited, it is unclear what kind of curriculum, credentialed faculty, or structured practice experiences are actually being offered.

Therefore, the rise in the number of programs coupled without commensurate regulation has resulted in “mediocrity where quality is being compromised for quantity.” Among Zambian Social Work professionals, there is uniform agreement that “...most Social Work training institutions are not providing quality training in regard to professional practice and ethics.”¹⁵

However, two models of Social Work programs currently graduating students into the Social Welfare Workforce offer illustrative examples worthy of note.

THE UNIVERSITY OF ZAMBIA DEPARTMENT OF SOCIAL WORK (UNZA)



The University of Zambia under the Department of Social development Studies has a Social Work Division within the School of Humanities and Social Sciences. This department confers a 4-year Bachelor’s degree in Social Work. Previously, it offered a Master’s degree; unfortunately, this was discontinued as it is UNZA’s policy that all Master’s degree courses must be taught by senior lecturers or those holding a PhD, and the Social Work Division could not retain enough qualified faculty to maintain the program.

While the Department of Social Development Studies – Social Work Division does not confer a certificate or diploma, the UNZA School of Education does, offering a diploma in Social Work under their Department of Adult Education and Extension Studies. Early in the program’s inception, the School of Education sought guidance from their faculty colleagues in Social Work; however, there is currently no collaboration. The Department of Social Development Studies – Social Work Division is unaware of the qualifications the faculty Education is fielding or the curriculum being used. And, as this program falls under extension, courses are delivered in the Provinces rather than on the University campus in Lusaka. This lack of familiarity with the quality standards of Education’s program extends to when diploma students apply to the Department of Social Work, wanting to join as third-year students. Sadly, these applicants are rejected as the Department cannot verify the quality of the Social Work training they have received.

The School of Social Work student population has seen growth in the last few years. In 2013, there were fewer than 200 students, with only 23 graduating. This year, enrolment has reached 284.

¹⁵ SOCIAL WELFARE WORKFORCE STRENGTHENING CONFERENCE; Topic: Investing in those who care for children); Fast Track Training of Social Workers; W.A. Kabwiku; November 2010.

However, Year 4 numbers are down to 21, due to a departmental mandate that there can be no more than 25 Year 4 students, due to the constraints in facilitating field practicums.

UNZA offers two structured field experiences: one urban and one rural, ensuring at least one placement is with an agency. The results of having such a thorough practicum experience are logistical challenges in placement, transport and housing. This has proven to be arduous and, given this reality, the Department advised UNZA to admit fewer Social Work students overall. Clearly, university administration has continued to admit robust numbers of undergraduate Social Work students, and the restrictions on Year 4 enrolment have resulted in a number of undergraduates transferring to other institutions.

It was noted that while equity is emphasized as a core value within the curriculum, there is a gender imbalance both within the student population as well as with Social Work lecturers and tutors, definitely skewing to representing more men than women.

UNZA does not have any placement service for graduates. However, most students are absorbed into non-Social Work positions with NGOs, CSOs, or the private sector as government has a limited capacity to absorb Social Work graduates overall.¹⁶ That being said, UNZA graduates are uniquely qualified for government service, having had two widely varied practicums, as well as having had experience navigating the bureaucratic complexities of working within an agency.

Finally, the Department of Social Development Studies – Social Work Division is currently designing short-courses for government colleagues, targeting topics such as Project Management, Strengthened Assessment Methodology, and Psychosocial Counselling. They look to roll out these trainings in the coming year.

DMI – ST. EUGENE UNIVERSITY SCHOOL OF SOCIAL WORK

DMI-St. Eugene University offers a 3-year Bachelor's Degree in Social Work. The program currently enrolls 45 students. However, in the past, there has been a gradual decline in graduates with 36 graduating in 2010; 31 in 2011; and 13 in 2012. It is unclear what has contributed to this decline.

The program employs 6 instructors; however, faculty qualifications were not available for examination.



The program is supported by USAID, and SW students do field work as a practicum, often working with NGOs. This has proven somewhat useful as 20% of graduates were cited as having been placed with NGOs, while the remaining graduates have found work in Community Development or Human Resources.

DMI-St. Eugene's currently does not have placement services for students, but plans on offering that service in the year ahead. Likewise, DMI will also begin implementing Para-Social Work training in the coming year for this emerging cadre of the SWW.

While these two institutions are illustrative of university Social Work training, there are a host of other programs offering less qualified staff and little to no field experience, particularly at the certificate level. This is a concerning reality that needs to be strategically addressed.

¹⁶ SOCIAL WELFARE WORKFORCE STRENGTHENING CONFERENCE, Topic: Fast Track Training of Social Welfare Workers, W. A. Kabwiku, November 2010.

As a key NGO partner said when reflecting on the varied complement of skills amongst social welfare colleagues, “Most people are encouraged to go to one of the many institutions providing training for Social Work. But, of course, to be a Social Worker with just a certificate just isn’t enough.”

CREDENTIALING AND REQUIREMENTS OF SOCIAL WELFARE POSITIONS

When reflecting on the credentialing requirements of positions within the formal SWW, a number of issues arise regarding expertise and specialized skills needed.

“We need specialized skill sets to discharge our duties, yet that’s not what we look for or recruit towards.”

For this assessment, the following Departments provided job descriptions for some (and in the case of the Department of Social Welfare – all) of the positions within its SW cadre. Please reference **Appendix B** for a table of position titles, responsibilities, grades, education, experience and required attributes for comparative analyses.

After reviewing the job descriptions provided, the following cross-cutting themes emerged.

I. Social Science is not Social Work:

For Positions within the Department of Social Welfare (MCDMCH): The job descriptions for all positions dealing with some form of social welfare service delivery ask for a degree or diploma in Social Work or “a degree/diploma from a related field (undefined)” or “degree/diploma in the Social Sciences.”

In gathering real-time data from staff currently employed by the Department of Social Welfare, 60% held either a diploma or degree in Social Work, each from a different institution. At least two of these cited that they got their SW training years after joining the DSW. Conversely, the other 40% of staff interviewed held degrees in fields ranging from Law, Development Studies, Education, Library Information and Sociology. Said one interviewee, “A degree from the Social Sciences doesn’t prepare you to deal with juveniles who are in trouble. You need skills in psychosocial counselling, case management – and that means Social Work.”

Interestingly, in reviewing job descriptions under the Department of Social Welfare with specified tasks such as teaching, administration, and psychology, diplomas or degrees from those exact disciplines are required (Education/Public Administration/Psychology), as well as commensurate years of experience in that exact field. It begs the question why Social Work would be any different.

For positions within the Department of Community Development (MCDMCH): Three job descriptions were shared for positions with some overlap in social-welfare service delivery from within the Department of Community Development.

The positions at higher grades – GSS/8 and GSS/11 – called for a degree or diploma respectively in Social Work/Sociology. Conversely, the lower grade position (GSS/13) called for certificate in Community Development. Again, it is unclear why Social Work is being featured here under Community Development as the discipline to recruit towards when far greater latitude for educational requirements is given to candidates within Social Welfare itself.

For positions within the Department of Child Development (MGCD): Nine job descriptions were provided for a number of Child Development Officer roles across three different grades – L, K, and J – under the Ministry of Gender and Child Development.

A much greater breadth in educational requirements appears in all these jobs, except for the two roles at the lowest grade level. For almost all positions in Grades L and K, all that is required is “Bachelor of Arts degree or related field from a reputable university.” Seemingly, the BA could be in any discipline. Likewise, there is neither a definition given for what constitutes a “related field,” nor criteria offered for what makes for a “reputable university.”

Only the two most junior positions, positions approved but not yet funded or deployed, are required to have field-specific formalized training. The District Child Development Officer role requires a degree in Social Science, while the Assistant District Child Development Officer position calls for a diploma in Social Welfare.

2. Discrepancies in Prior Work Requirements Create Uneven Experience Base from which to Draw:

For Positions within the Department of Social Welfare (MCDMCH): When examining the range of jobs to deliver the Social Welfare implementation function within DSW, Grades GSS/I, GSS/3, and GSS/6 all called for commensurate years of experience in “Social Work practice.” However, when looking at the positions n GSS/8 grade – including the DSWO role, as well as SWO roles at juvenile institutions, and more -- there is no requirement for prior work experience at all.

The Department of Social Welfare asserts that these positions are “promotive” and that there is a waitlist of Assistant Social Welfare Officers ready to move into these roles whenever they come available, as part of their career path trajectory. Likewise, with descriptions of these positions at lower grades like GSS/II and GSS/14, the requirement of prior work/field experience resurfaces.

Therefore, if the ONLY way you can secure a job at the GSS/8 level is by being promoted from within, then requisite experience will be guaranteed. However, if these roles are open to a broader field of candidates outside the DSW, minimum experience may not be required.

For positions within the Department of Community Development (MCDMCH): As for relevant experience, the three Community Development Officer roles examined have no requirement for any years of prior experience. And, at least one of those roles is required to supervise other staff.

For positions within the Department of Child Development (MGCD): Two-thirds of the Child Development Officer positions reviewed have a number of years’ experience required, with a certain amount of that time devoted to management.

However, none of the prior experience required is defined as to what area or field. Positions simply call for “...years’ experience” or “...years relevant experience.” Of the one-third of remaining positions where no experience is required, at least one position has supervisory responsibilities.

3. Other Skills and Attributes – Lack of Differentiation Means Lack of Critically Needed Skills:

For Positions within the Department of Social Welfare (MCDMCH): DSW job descriptions all shared a core set of *Required Other Skills and Attributes*. Those include:

- a. Ability to write reports
- b. Fluency in English
- c. Being mature
- d. Leadership skills
- e. Self-motivated
- f. Computer literate
- g. Good interpersonal skills

A smattering of other required attributes appeared on some job descriptions, but not on others of a similar nature or Grade; likewise, these more disparate attributes described were neither germane to a specific job's tasks nor clearly defined. These included traits such as:

- Integrity
- Assertiveness
- Initiative
- Sober character.

In a few instances, specific skills that would prove critical to job performance were required such as the ability to speak local languages. However, a number of positions with clearly defined skill needs such as psychosocial counselling, monitoring and evaluation, staff supervision, and occupational therapy did not call for these skill-sets or attributes specifically. As one DSW interviewee put it, “We need specialized skill sets to discharge our duties, yet that’s not what we look for or recruit towards. We need stronger computer skills. Everyone needs to know psychosocial counselling, but a lot of us don’t. And it’s a growing problem.”

“Right now, as far as working in Social Work goes, it’s a free for all.”

For positions within the Department of Community Development (MCDMCH): Like their counterparts in the Department of Social Welfare, the Community Development Officer positions reviewed also had a core set of Required Skills and Attributes, almost mirroring those of DSW precisely. They are:

- a. Ability to write reports
- b. Fluent in English
- c. Mature
- d. Self-motivated
- e. Leadership skills
- f. Computer literate
- g. Good interpersonal skills

Other position-specific attributes required included “high integrity,” and “supervisory skills.”

Yet, again, Community Development Officers are tasked with providing institutional capacity building for NGO, CBO and FBO colleagues; programming at the community level with a foci on literacy, women’s empowerment, life-support skills and supporting OVC as it relates to other community-

based activities. Inherent in the scope of their role is both familiarity and expertise with a broad range of cross-cutting development issues. Yet, none of that is required specifically in position descriptions.

For positions within the Department of Child Development (MGCD): Like the MCDMCH, the MGCD also has a core set of key skills and attributes required of its Child Development Officers. However, while sharing some traits, their list differs slightly from their colleagues in DSW and Community Development. Required skills and attributes of Child Development Officers are:

- a. Able to write comprehensive reports
- b. Fluent in English
- c. People skills
- d. Negotiation skills
- e. Tact
- f. Computer literate

There are no one-off specific skills or attributes that are position-specific to Child Development Officers.

Yet, when reviewing the range of areas around which they bear responsibility, some tasks suggest certain expertise might be beneficial, such as coordinating support for the elderly (gerontology and possibly psychosocial care at the end of life); coordinating the effort to get children off the street and into rehabilitation homes (understanding juvenile justice as well as psychosocial counselling and possibly juveniles with substance abuse challenges); advocacy skills; and more.

In sum, across the board, job descriptions within most grades of each department looked, more often than not, interchangeable. With that lack of distinction, attracting and recruiting those with particular depth of expertise in job-specific fields is a missed opportunity.

PROFESSIONALIZING THE FIELD OF SOCIAL WORK

Beyond accrediting universities and schools to ensure quality training of Social Workers, the profession itself needs to be further professionalized, and recognized as a discipline that is to be acknowledged and endorsed. To that end, several initiatives are underway to begin sanctioning and affirming Social Work nationally.

SOCIAL WORKERS ASSOCIATION OF ZAMBIA (SWAZ)

A broadly recognized national association of social workers creates the opportunity for practitioners to enhance their professional growth, to create and maintain professional standards, and to advance sound social policies within a country-context.¹⁷

The Social Workers of Zambia is positioned to play that role. Already registered under the Registrar of Societies, SWAZ is empowered to undertake activities on behalf of its members. Established in 2005, SWAZ has an Executive Committee entrusted with mobilizing membership.

In order to secure a financial base from which to operate, SWAZ offers 5 categories of membership with varying cost dependent on status:

- Student Membership (enrolled in SW training program) – 50 KR

¹⁷ Adapted from The National Association of Social Workers, "About NASW," <http://www.socialworkers.org/nasw/default.asp>.

- Associate Membership (non-SW but interested in promoting Social Work) -100 KR
- Full/Regular Membership – (w/ SW qualification) – 200 KR
- Corporate Membership (Companies with Social Work interest within its mandate) – 500 KR, and
- Honorary Membership (honorific)

Currently, SWAZ has 30 paid members, both individual and institutional. However, their numbers are bolstered by students' membership, bringing their ranks closer to 100. Slowly, the capacity of SWAZ has grown, but there are still gains to be made.

The association has sponsored a number of activities bringing greater visibility to the organisation, including collaborating with the Ministry of Community Development, Mother and Child Health and the Zambia Paediatric Association to commemorate World Pneumonia Day. SWAZ in collaboration with the Social Work Students' Association has in the past few years been commemorating World Social Work Day, identified and recognized by the International Federation of Social Workers (IFSW).

However, the vision for the role that SWAZ could and should play is much greater than this.

SWAZ's Mission is to:

- Promote, develop, and protect the practice of social work, social workers as well as ensure standardization and regulation of social work training in Zambia
- Seek to enhance the effective functioning and well-being of individuals, families, and communities through its work and through its advocacy.¹⁸

SWAZ leaders acknowledge that Zambia is the only country in southern Africa where anyone can work in some form of social work professionally. As mentioned before, training quality is unregulated, curricula unexamined, and faculty qualifications unknown. As one member of SWAZ put it, "Right now, as far as working in Social Work goes, it's a free for all."

To remediate that, SWAZ is working to put together concept note to submit to the MCDMCH to develop an Act before Parliament that would establish the association as a licensing and accrediting body, both for new Social Workers entering the profession and for training institutions.

If this Act becomes law, Zambian Social Workers, as in many countries, would sit for a licensing examination. SWAZ would oversee this process and licensed Social Workers would automatically become members of SWAZ.

Currently, The Ministry of Community Development, Mother and Child Health has had their legal team review the draft Act, and from there it will be submitted to the Cabinet for further discussion. Once the Cabinet is satisfied, the Act moves on to Parliament.

However, the draft of this legislation still has not been finalized, and needs to speak to the accreditation of institutions as well. SWAZ is in need of technical assistance in completing this draft, and the *Zambia Rising* Project is providing support in that regard.

¹⁸ About the Social Workers' Association of Zambia (SWAZ), <http://www.swazzambia.org/about%20us.html>

Realistically SWAZ, by its own admission, faces a formidable uphill battle. While their Mission is strategically on target, their long-term goal of Parliamentary endorsement and subsequent codification of accreditation and licensure is at least a year away, if not longer.

Their current membership does not generate enough income to give the devoted attention and support the Association needs to fulfil its Mission. While Zambia Rising has now provided SWAZ office space, lack of funding means SWAZ cannot employ full-time personnel. Attracting new members in the short-term is proving hard.

Of the 11 Social Workers queried (holding a range of positions within MCDMCH) as to whether they were members of SWAZ or not, only 1 had joined. Non-members shared that they felt the association was “not proactive enough” in providing members with updates, sharing changes in the field, or demonstrating what value they offered for the price of membership. The one member who did belong to SWAZ said, “...I’m not getting anything tangible from it...I’d like our profession to be recognized because I think there’s more we could do if SWAZ became authentic.”

Uniformly, Social Workers endorsed SWAZ’s mission of becoming a licensing and accrediting body. Yet, that was enough to sway them to join. Two Social Workers shared that, instead, they were members of the Counselling Association, a Zambian-specific organisation which posts jobs, while another respondent admitted belonging to the Social Care Council of the UK. In short, Social Workers are ready and able to belong and pay for membership to a professional association, as long as they can see the value-added benefit it offers.

INSERTING THE SWW INTO KEY POLICIES AND PLANS

Part of professionalizing a cadre or field of expertise rests in its endorsement, its support and its resourcing at a strategic level from the top down.

In examining the comprehensive array of national social protection and social welfare policies and strategic plans, the work force and human resources rarely, if ever, are noted, no less planned for.

The National Child Policy of 2006 speaks to charging the Department of Child Development with recruiting “more and better qualified staff” to carry out the objectives of the policy, with no subsequent indicators of progress or budget for deployment. Likewise, the National Plan of Action (2008 – 2015) has no distinct objective regarding the Social Welfare Workforce and, much like the National Child Policy, looks instead at systemic and structural issues of collaboration – “mechanisms of implementation.”

The Sixth National Development Plan (2011 – 2015), has a well-articulated plan for capacitating health workers (p. 83) including doctors, medical licentiates, clinical officers, nurses and midwives. However, there is no mention of Social Workers or the SWW whatsoever. Likewise, the plan also references the Zambian Health Workers Scheme and increased projections of workers to meet rising demands, with a commensurate budget to resource this cadre growth (p. 90). Teacher supply is also addressed, with a renewed commitment to quality recruitment, deployment and retention. Yet, the Plan offers no support on human resources when looking at HR issues in such fields as child development, youth and working with the disabled.

Finally, the previous Ministry of Sports, Youth and Child Development’s Strategic Plan (2010-2014) had a clearly defined goal regarding the Social Welfare Workforce. Objective 14 (p. 28) speaks to “...effectively and efficiently manage and develop human resources in order to enhance individual and organisational performance.” This objective included indicators such as developing training

plans; tracking the number of annual vacancies; operationalizing a human resources database; and developing and implementing staff welfare programmes. In the aftermath of the realignment of ministries, it is unclear where this plan and these goals are part of planning in the new MGCD.

POINTS FOR DISCUSSION

- ***Universities and Training Institutions:***

What can be done to regulate more effectively the quality, breadth and depth of training being offered in Zambia, even before legislation is passed? What mechanism could be charged and empowered with this regulatory responsibility?

- ***Credentialing and Requirements of Social Welfare Positions:***

How can a review of job descriptions be undertaken for alignment to more accurately reflect the specialized skill sets needed to service OVC (as well as other vulnerable populations)?

- ***Professionalizing the Field of Social Work***

What can be done to help SWAZ develop a short-term plan for sustainability and growth, while continuing forward progress on the long-term plan of becoming an accrediting/licensing body for the field of Social Work?

How can policies and strategic plans addressing social protection, welfare and the well-being of OVC ensure objectives, targets, and budgets to facilitate the growth and development of the SWW? How might a measure of accountability be assured?

COORDINATION OF THE SOCIAL WELFARE FUNCTION AND WORKFORCE



CURRENT STATUS

Social welfare service providers have a key role to play in coordinating care for vulnerable populations. They must be aware of the range of SW actors in their respective area, the services they provide, strategize what is exactly needed for their beneficiaries, and create tailored plans of action to achieve impact.

Similarly, the systems, institutions and stakeholders responsible for fielding the SWW must do the same. Because the function itself is so broad in scope, a number of line ministries are responsible for pieces of social services delivery, while donors and partners fund, support and implement sections important to them and their mandate. Frequently there can be overlap in programming, activities, and support systems such as M&E, HR tools, and more. Conversely, there also can be gaps.

Clearly, the more seamless and effective coordination and collaboration amongst Social Welfare actors and providers is, the more enabled, resourced and strengthened the workforce is to provide quality services to vulnerable children.

| Ministries | Donor Partners | Other Partners |
|---|--|--|
| <ul style="list-style-type: none"> Ministry of Community Development, Mother and Child Health Ministry of Gender and Child Development Ministry of Justice The Judiciary Ministry of Home Affairs Ministry of Education, Science, Vocational Training and Early Education Ministry of Youth and Sport Ministry of Labour and Social Security Ministry of Foreign Affairs Ministry of Tourism and Arts Ministry of Health Ministry of Local Government and Housing Ministry of Finance Ministry of Transport, Works, Supply and Communications Ministry of Commerce Trade and Industry Ministry of Lands, Natural Resources and Environment Ministry of Agriculture and Livestock Ministry of Chiefs and Traditional Affairs | <ul style="list-style-type: none"> NGOs FBOs CBOs | <ul style="list-style-type: none"> Cooperating Partners Private Sector |

However, as is the case in many countries, it has long been acknowledged that coordination is a challenge facing the SWW in Zambia. While admirable strides have been taken in coordination, particularly at the District level, there is still an opportunity to do much more that would strengthen the workforce even further.

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

LACK OF NATIONAL COORDINATING MECHANISM

From the provincial level to the district level to the community level, there is a collaborative mechanism that serves to bring line ministry representatives from that level, and NGOs, FBOs, and CSOs together to coordinate development activities in a given area. Whether it's the DWAC coordinating assistance at the district level; the Area Coordinating Committee working in concert with the CWACs, these standing bodies convene to try and emphasize collaboration and synergistic strategic planning of welfare assistance activities.

These committees function with varying degrees of success, often predicated upon the SW staff involved in convening and maximizing collaborative time. Yet, many interviewees recount that although these committees are time consuming, they are critical in staying abreast of the ever-changing number of actors, policies, and programming in the field.

In contrast at this point, there is not a similar coordinating body convening at the national level. From a historical perspective, there have been several attempts at creating national coordinating committees; however, consistency has proven challenging. For instance, the National Steering Committee for OVC under the MGCD and the Sector Advisory committee set up to coordinate the implementation of the National Development Plan under each sector. Yet, without explicit accountability, these coordinating bodies struggle to meet consistently and move forward on their development agenda.

When queried, some interview respondents said they thought there was such a group currently, but they were unsure of when they meet, who comprises their membership, and what their mandate might be. With further exploration, it is clear there is not a functional coordinating group at national level at this point, pulling together the Permanent Secretaries of the various line ministries with responsibility and oversight of the Social Welfare function.

However, the recently approved National Social Protection Policy calls for the establishment of National Coordination Unit at Cabinet Office to oversee the development, implementation and integration of social protection strategies, programs and financing. It will facilitate the structuring and coordination of stakeholder involvement while providing overarching oversight of the implementation of social protection. The specifics of this critical coordinating unit will be fleshed out and finalized in the months to come as this policy is launched.

UNEVEN COLLABORATION AND COMPLEMENTARITY BETWEEN MCDMCH AND MGCD

With the realignment of the Ministry of Community Development, Mother and Child Health (MCDMCH) and the establishment of the Ministry of Gender and Child Development (MGCD), a symbiotic relationship for coordinating and implementing Social Welfare services to children was created.

In plotting their collaboration and cooperation, challenges have arisen. As Gender used to be part of the Cabinet office and Child Development part of the Ministry of Sports and Youth, it has taken time for this newly formed ministry to find its feet. To date, they're not as visible as some others and their reach does not extend to the districts yet. Some believe that there may be unhelpful territoriality at play when it comes to working with the new Ministry of Gender and Child Development. More than one interviewee spoke to having attended meetings convened by MGCD and missing key colleagues from MCDMCH as well as other line ministries. Irrespective of the

reason for this lack of visible support and coordination, it leads to an unfortunate perspective of disempowerment, particularly in regards to coordination. SW staff from within MGCD acknowledge how critical it is to collaborate productively with their colleagues at MCDMCH. Says one, “We know collaboration with MCDMCH is critical – we have inter-ministerial committees, but we need a more structured arrangement. We need to strengthen this network and work more effectively together. Especially as our work is concerned with the lives of children.” Or, as another MGCD colleague put it, “Collaboration is not always easy. Sometimes they’re too busy, which is understandable. At the end of the year, they will be appraised on their social cash transfer program, not relationship building with us.”

INCONSISTENT COLLABORATION BETWEEN DEPARTMENTS OF MCH, SOCIAL WELFARE AND COMMUNITY DEVELOPMENT AT THE DISTRICT LEVEL

Another area where coordination and collaboration is critical in service delivery is at the district level between the departments under the MCDMCH namely the DSW, the DCD and the DMCH.

This finding was supported by the more recent report offered by VSO¹⁹ looking at the coordination of community-based volunteers in providing an integrated package of social welfare services at the local level. “It is clear that there is a limited working relationship between the departments of MCH and Community Development and Social Welfare. A number of reasons were cited for the lack of cooperation including: lack of information, guidelines or policy from Ministry HQ on how best to collaborate; lack of knowledge for SW and CD in regards to what MCH has to offer and vice versa; lack of staff interest in learning about new programmes; different types of funding accessed by the three departments; and distrust leading to jealousy and territoriality.

Yet, there is significant overlap between the programs under the three departments and the current lack of information sharing and collaboration impacting service delivery.

One vision of this new configuration is that the District SWO, the CDO and the CHA should work as one team, delivering a suite of services to the community. As an integrated response unit, service provision can be accessed for a gamut of needs. As one MCDMCH colleague shared, “We are targeting the same people, so we should be co-located...a one-stop shop.”

However, a number of interviewees shared that the relationship with the new colleagues from Health is problematic at times. The MCH receives more from funding from the MCDMCH (particularly in training), while Community Development and Social Welfare are not provided equitable resources. This leads to the unfortunate perception that in some districts, DSWOs and DCDOs are not as highly valued or respected by their Health colleagues.

Likewise, with CHA’s at the community level and DSWOs and DCDOs at the district level, coordination and collaboration will need to involve the District Medical Officer who falls under the purview of the MCH. Thus, this collaboration bears focused attention and strengthening.

¹⁹ Enhancing the Coordination of Community-based Volunteers to Promote Integrated Community Development, Health and Social Welfare Services, by VSO, UKAID and MCDMCH, August 2014.

DONOR FRAGMENTATION

Outside of the GRZ, lack of collaboration amongst the donor community is challenging as well. While some donors noted that collaboration has excelled at the district level, particularly around the national roll-out of the Social Cash Transfer Program, there is still fragmentation amongst donors and programming at the national level. One donor offered, “There’s no unified approach to all this programming and activities at the national level. Money is being wasted and duplicative efforts are happening in isolation of one another.”

Examples of this need for stronger donor coordination included a collective emphasis on capacity building and leveraging IT resources and expertise in building MIS and HRIS with a cross-ministerial foci.

“We need to strengthen this network and work more effectively together. Especially as our work is concerned with the lives of children.”

POINTS FOR DISCUSSION

- If and when the National Social Protection Policy is approved, what can be done to best support the nascent National Coordination Unit at Cabinet to function as productively and effectively as possible in support of facilitating inter-ministerial cooperation and collaboration?
- How might the emerging decentralization plan be used as a mechanism for facilitating inter-ministerial cooperation and collaboration?
- What interim strategy might be pursued to facilitate increased inter-ministerial cooperation and collaboration?
- How can synergistic ties between the MCDMCH and MGCD be strengthened even further at all levels of government?
- What strategies or approaches could best help MCH colleagues integrate at the district level and work in concert with DSWO and DCDOs to provide a suite of service delivery to vulnerable children and their caregivers?
- What mechanisms can the donor community strengthen nationally to maximize resources and harmonize programming, similar to the collaboration seen at the district level?

HR TOOLS TO SUPPORT THE SWW



CURRENT STATUS

The GRZ has a number of tools already in place to support the growth and development of its SWW. As mentioned in the recounting of “Successes” upon which to build, there is an established performance appraisal system in place, as well as a standardized tool for overseeing the quality of work for all civil servants; furthermore, there is a training development program with resource support to continue building the skills of government employees.

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

With this foundation, there is an opportunity to refine and enhance the use of these tools in leading to even greater impact and skill development of the SWW.

“There is clear friction with dual reporting and supervisory systems...It’s confusing. Actually, it’s a problem.”

SUPERVISION

Ongoing effective supervision is an important, yet often overlooked, component of ensuring quality social service delivery throughout the social welfare system. Too frequently, supervisors lack the technical, managerial or supervisory skills needed to effectively oversee and develop staff performance. By looking to promising practices of supervision from the health care field, the model of “supportive supervision” lends itself to the social welfare sector as well.

Supportive supervision is a process that promotes quality at all levels by strengthening relationships within the system, focusing on the identification and resolution of problems, and helping to optimize the allocation of resources promoting high standards, teamwork, and better two-way communication. (Marquez and Kean 2002). A cornerstone of supportive supervision is working with staff to establish goals, monitor performance, identify and correct problems, and proactively improve the quality of service provided to OVC.²⁰

Supportive supervision requires a conceptual shift, moving from the more traditional, hierarchical model of top-down supervision, to one of more collaboration, innovation, and inclusivity of staff in self-assessment, target setting, and creating plans for ongoing professional development.

Yet, while there are supervisory tools that naturally lend themselves to supportive supervision, some systemic barriers remain that challenge implementation.

• Matrixed Supervision

Given the complex scope of some SWW positions that involve sharing inter-related duties and responsibilities between ministry mandates, certain roles were identified as having matrixed supervision.

For example, there are SW institutions where the program falls under MGCD, but staff are employed by MCDMCH. Therefore, senior institutional staff have two supervisors – one from each ministry. This has proven challenging as there is the perception that the ministries do not collaborate effectively and staff can be caught in the middle. Likewise, as the MGCD is new, specific

²⁰ Guidelines for Implementing Supportive Supervision, PATH, 2003.

job responsibilities for this role have not been given to senior staff; yet, they are supervised and appraised against this role in the running of this program.

Another example can be found with Provincial Social Welfare Officers who are overseen by the Department of Social Welfare within the MCDMCH as well as their respective Provincial Administration. More often than not, PSWOs must “sensitize” their Provincial supervisor by explaining their job and apprising him/her of the range of activities undertaken.

Human Resource colleagues within the MCDMCH have seen the challenges matrixed supervision can bring. Said one HR staffer, “There is clear friction with dual reporting and supervisory systems.” And when the employee finds that one supervisor isn’t moving something or responding to a need, they just go to the other one in hopes of getting it done, playing one off the other. It’s confusing. Actually, it’s a problem.”

Human Resource colleagues within MGCD reported similar concerns. At the Province, two reporting structures exist – day-to-day reporting falls to the Provincial Administrator (who falls under the Provincial Minister), who is sometimes unaware of the Child Development Officers work. And, the actual functional reporting goes to the mother ministry at MGCD. It becomes even more complicated when the two Provincial Child Development Coordinators go on leave. A SWO will be asked to backstop, meaning this person reports to the Department of Social Welfare at the MCDMCH...and is backstopping a role that report to MGCD... and is expected to report to the Provincial Administration as well.

More often than not, in all these cases, there is no consultation between these supervisors to gather a holistic reflection of performance. They act in their supervisory capacity independently of one another. And, at the Provinces, the annual appraisal is actually done by the Provincial supervisor who doesn’t have the expertise to assess fully the social welfare work done at that level.

A final example offered was of the Medical Social Worker cadre. Medical Social Workers report to a supervisor within their respective hospitals (at the University Teaching Hospital in Lusaka that would be the Head of Clinical Care who is part of the MoH) but are also expected to report to a Principal Social Worker from the MCDMCH. Again, the lack of clarity on the role can create confusion between the supervisors.

Repeatedly, it was mentioned that with decentralization, the locus of supervision will be consolidated, creating a unified reporting and supervision at the local level. However, the timing of this devolution and harmonizing of supervisory structures is unclear and until then, the challenge continues.

• **Performance Appraisals and Feedback for Growth**

As mentioned previously, the Annual Performance Appraisal System offers standardized guidance to all civil servants supervising colleagues on how to conduct an appraisal. (Please reference the **Resource Compendium** for this.) In addition, the APAS Appraisal Form allows for an exchange of perspective on an employee’s performance, embracing a supportive supervisory approach to the appraisal conversation. The APAS tool should be aligned from a Ministry’s strategic vision all the way to a staff member’s best plan, with harmonized activities and objectives.

Unfortunately, end users of the APAS report that it’s not being used actively. Evaluations are not happening on an annual basis for many SWW staff. “I sometimes have to request for my appraisal to be done.” Likewise, for some supervisors implementing the system, simply referring to the User’s

Guide is not enough. Said one supervisor from the Department of Social Welfare, “I did not receive any supervisory training when I actually became a supervisor, and that’s a big gap in my skills. None of us are taught about supervision or how to use this system, so sometimes it just doesn’t happen.”

HR colleagues from within the MCDMCH conducted research to determine why the system was not proving as effective as it might. Under the auspices of UNZA, research was conducted and the following variables were identified as barriers to the performance appraisal system working well:

- **Lack of orientation and proper deployment:** Across the civil service, it’s the responsibility of Human Resources to orient supervisors on how to use the system; however, HR doesn’t have the capacity or resources to conduct such trainings.
- **Inadequate HR capacity to oversee the process:** HR Resource Officers don’t have the capacity themselves. They have inadequate knowledge and are working with inadequate numbers.
- **Lack of commitment by both supervisor and subordinates to use the tool:** The instrument is seen more as a “necessary evil” than a tool for development, and frequently it’s never implemented. Furthermore, there’s no consequences to supervisors for NOT doing an appraisals, as HR is not resourced enough to track this annually.
- **Lack of feedback consistently building towards the appraisal:** Again, as there is no supervisory training required, creating a culture of feedback is challenging. Civil servants are not skilled at giving and receiving feedback effectively, no less offering it on a consistent basis so that the annual appraisal is straightforward with no surprises.

Additionally, appraisals should move from the Province to the central level, where they should be input into a database and recommendations from appraisals should be acted upon. But that doesn’t happen, which proves to be highly demotivating. Sadly, the tool is seen simply as a formality only to be used to leverage promotions.

Finally, DSWOs report that a significant amount of the supervision they receive comes through reporting. There are weekly, monthly, and quarterly reports submitted to their Provincial Social Welfare Officer supervisor, keeping him/her apprised of progress. However, there is very little real-time supervision face-to-face as transport and fuel is a challenge and PSWOs have numerous DSWOs to supervise over a broad geographic area.

IN-SERVICE TRAINING, PROFESSIONAL DEVELOPMENT, AND INDIVIDUALIZED DEVELOPMENT PLANS

Another positive aspect of the Zambia’s support for Civil Servants is its Public Service Training and Development Policy (PSTDP). This policy provides the framework for the training and further professional development of all civil servants and creates a systematic training cycle and defined procedures for all in-service training, both for incoming staff as well as senior staff wishing to upgrade and refresh their skills.

Again, in theory, this is a wonderful tool to be used in the continued capacitation of the workforce. Unfortunately, it’s missing the mark.

HR colleagues report doing an annual training needs analysis to surface gaps and strengths within their respective ministries. A training plan is then created to address gaps identified, offering specified plans for each office.

Trainings can be done from within the Ministry but are occasionally outsourced to external trainer/facilitators.

However, this focus on skill development does not accommodate the individual Social Welfare Officer who may need strengthening in a particular area unlike the rest in his/her cadre. As we referenced in the challenges of quality assurance of social service delivery, the credentials and qualifications required for the Social Welfare workforce are broad and uneven. Trainings are offered to an entire cadre, and sometimes reflect the current agenda of programming rather than the skills calling for building.

Recent trainings offered to SWOs included *Disaster Management, Mitigation and Handling Victims; Human Trafficking; Communication for Development* and extensive training on the *Social Cash Transfer* program. While these all have some utility, SW colleagues spoke to needing deeper training on skills directly related to their work -- supervisory skills, leadership skills, psychosocial skills, and for those with specialized roles, training on working with juveniles and substance abuse, gerontology, helping children emerging from domestic abuse and more.

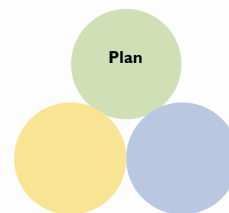
As one HR colleague pointed out, training should be driven by a staff member's performance appraisal and work plan for the coming year, NOT a training assessment of the office overall. This leads to training being seen as irrelevant or politically driven and not necessarily useful to a cadre on the whole.

There is also the option of individual staff taking advantage of the Public Service Training support to pursue further certification or longer training as part of their work. While some SWW staff have taken advantage of this perk and returned to school for a certificate or diploma in Social Work, challenges have arisen as well. This scheme supports study for 6 months or longer and holds a staff position during study; however, upon completion of study, the SWW staff member is "bonded" for the amount of time of the training to serve in their civil service role as a form of repayment. At least one HR office reports that this system is not working, with people breaking their bond with the government, post study, and because tracking systems are so inefficient, central authorities are never alerted. In short, there is no consequence to their actions and the government ends up paying for someone to be certified or degreed only to leave and find work outside the public sector.

POINTS FOR DISCUSSION

- What can be done to support SWW supervisors in strengthening their capacity to provide supportive supervision using the APAS program readily available?
- How can SWW ministries further develop their systems to emphasize ongoing timely feedback and use appraisal data more effectively in performance management?
- How might the training resources available for civil servants be deployed more strategically for the further tailored capacitation of SWW colleagues? How might this be built into the Performance Appraisal system and training and development become part of an annual feedback conversation?

IT/HRIS



We know the SWW is a dynamic body, constantly in flux as the government, donors and NGOs shift programming, resources fluctuate, and services expand or contract with changing constituency needs. To have an ongoing understanding of the distribution of social welfare workers and the services they deliver, an interactive HR tool is required that can track changes in real time and enable local governments to make evidence-based decisions to strategize and budget for social service delivery. While assessments, mapping exercises, gap analyses, and other types of one-time interventions can provide useful data in the moment, these reflections of the workforce are often static and time-bound. Therefore, they inherently limit the ability to strategically develop the workforce over time, to identify telling trends, and to highlight issues that cannot wait for future studies. A tailored HRIS system allows diligent tracking of data germane to the SWW in a country-specific context. As the data is constantly refreshed so, too, is the ability to maximize the contributions of the various workforce cadres, as well as to plan and allocate resources for optimal impact. (Settle, Intrahealth, 2012).

Unfortunately, no such customized HRIS currently exists within the GRZ linking all the various elements of the SWW into one harmonized system. However, within the GRZ, as well as with donors and some NGOs, there are a number of information technology resources supporting various organisational systems that could be leveraged to begin creating such an integrated database.

However, these IT systems are mostly insular, usually existing within a department, an office, a Ministry or an NGO. There is no interface linking various databases, and the same information is being gathered by multiple SW actors, with some information being duplicative. A number of systems are still predicated on manual entry of data, subject to human error and making it a challenge to “roll up” data for any kind of strategic analysis or planning.

Likewise, donors – with the best intention – have initiated an array of Information System activities – with little to no coordination amongst themselves to ensure harmony and alignment between systems and databases at the national level.

It’s worthy of note that the Public Services Management Division (PSMD) was unable to meet or share information during the data-gathering process for this assessment. However, they are reported to be an invaluable asset and partner in looking more closely at how to create a national HRIS for the SWW and should be invited into the dialogue to share their expertise and experience.

CURRENT STATUS

- The national payroll is the only comprehensive database within the GRZ that captures all government employees. This is a division of the Payroll Services Department under the Public Services Management Division, managed by the Cabinet Office.
- There is an initiative underway being funded by the World Bank to build a Central Registry to track beneficiaries of the Public Welfare Assistance Scheme (PWAS). This will involve a system which interfaces with a number of ministries that administer various parts of the welfare scheme (Ministry of Agriculture, Ministry of Community Development, Mother and Child Health, Ministry of Labour and Social Security, Ministry of Local Government and Housing, and so forth). The World Bank has convened a Technical Working Group (TWG) to advise on the creation of this database and the interface necessary to build a successful registry.

- A number of robust national MIS systems within the Social Services sector exist with some NGOs and donors, including PLAN International (for tracking volunteers in the field), and DFID (for the social cash transfer program). Likewise, USAID's Data Rising project's sole focus is on establishing a database to track M&E indicators across OVC programming.
- Notable systems within the GRZ worthy of review include the MIS of the Ministry of Education and the Ministry of Health. Likewise, the Ministry of Home Affairs is migrating all information into a database as well.

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

- Only the Provinces are linked to the central payroll database by computer; at the national level, access has to be requested in writing. Performance appraisal data is not included in this system.
- Funding for the Central Registry is limited and may only serve to build the software needed to create the system, not actually populate it with beneficiary data.
- There is no incentive, mandate or easy coordination mechanism for volunteers to report data to anyone other than their respective donor/NGO. Likewise, facilitating inter-ministerial collaboration can be a challenge at times.
- There is concern about local capacity and expertise to maintain a SWW HRIS database, no less building the technical skills of those expected to populate the database.
- If a government post is open for longer than a year, it's automatically frozen and can't be filled until the respective department applies to have it reviewed and reinstated. Due to the inability of the departments of Social Welfare and Community Development to track when posts come open (via computerized data), some posts have been frozen due to this inefficiency.
- In the establishment of a SWW HRIS, possibly a heavy burden will fall on the DSWO/office in reporting (depending on the fields developed to track the SWW). The DSWO portfolio is already stretched thin and this could be a challenge given the rest of the workload.

POINTS FOR DISCUSSION

- How can the current expertise and resources being leveraged in creating other national databases be leveraged to complement and support beginning to establish a SWW HRIS?
- What fields would be critical to populate in a SWW HRIS? What would offer the most helpful information for planning, resource allocation, and professional development?
- What group needs to shepherd this to ensure inter-ministerial collaboration, possible support for migrating data already available and computerized, and liaise with donors and NGOs to access needed resources and capacity building?
- How will local capacity be tapped to ensure this system is tailored to the needs of Zambia's SWW and is maintained and refreshed over time? (TWG? Secondments? University programs?)

THE POLITICAL CONTEXT: DECENTRALIZATION



CURRENT STATUS

Since asserting its independence in 1964, Zambia has initiated several decentralization reform programs, comprised of a mix of deconcentration, delegation and devolution. Deconcentration took place through the strengthening and extension of the inherited colonial system of field administration. This ensured various central government ministries were represented in the provinces and districts by local staff, thereby strengthening both the Provincial and District levels ability to govern. Delegation has mainly occurred through the establishment of statutory boards to deliver specific functions such as housing and promoting the marketing of agricultural products. And, finally, devolution has taken place through a number of attempts to bolster and strengthen the role of local authorities governed by local councils.²¹

These decentralization reforms have met with challenges over the years, particularly in regards to devolution. However, with the election of His Excellency the President, Mr. Michael Chilufya Sata, his new administration revised the National Decentralisation Policy for further implementation.

The revised National Decentralisation Policy of 2013 states:

“The objective of Decentralisation in Zambia stems from the need for the citizenry to exercise control of its local affairs and foster meaningful development which requires that some degree of authority is decentralized to provincial, district and sub-district levels. In order to remove absolute control by the centre, it is necessary to transfer the authority, functions and responsibilities, with matching resources to the lower levels.”²²

In order to realize full devolution, the functions and linkages of central, provincial and district governance structures must be realigned. Decision-making authority, as well as resources, must be moved from central government to the districts. Planning and development must flow from the “bottom up” rather than the “top down.” Immense capacity building must unfold: for Local Authorities as well as communities, in areas such as planning, financing, coordination and management of service delivery, monitoring and evaluation, and advocacy. And last, but never least, Human Resource Management programs must be developed and implemented that harmonize with these newly aligned structures.

To that end, the Decentralisation Secretariat has overseen substantive forward movement this year. Initially, it was discovered that the policy needed to be harmonized with the Local Government Act to ensure the legal framework for decentralizing is sound. Once the policy is fully aligned, various key functions of service delivery will begin moving in earnest to the local level.

Each ministry has been asked to create a Devolution Plan in preparation for realizing this aspect of decentralization. The hope is that with decentralization and devolution, district councils will be more integrated, functioning more collectively as a governing body. Heretofore, each of committees (identified as a challenge in the DSWOs’ workload) at the district level represent their own ministry

²¹ Situation Decentralization in Zambia in a Political Context, Royson M. Mukwena, African Training and Research Centre in Administration for Development.

²² The National Decentralisation Policy, Revised Edition 2013, Office of the President, Cabinet Office, Lusaka, Zambia, 2013.

mandate. With decentralization, the vision is to streamline, creating a body that will be fully representative.

Fourteen functions currently being overseen by the central government will be devolved to the Local Authority. A prioritized list has been created, delineating how and what order functions will begin to roll down to the local level. The first to devolve, hopefully in the near future, will be Education, Health, Agriculture, and Community Development/Social Welfare.

How this translates in regards to the Social Welfare function is, theoretically, becoming clearer. Each sector within the MCDMCH – Social Welfare, Community Development, and Primary Health - has created devolution plans specific to their respective function. Both man/womanpower and resources will move to the districts, leaving the central structure only manned by policy people. Furthermore, service delivery to vulnerable populations and, more specifically, OVC will fall under the purview of the Local Authorities.

While decentralization will put the resources and decision-making much closer to the actual beneficiaries in need of services, such a massive undertaking and redeployment presents a number of challenges to be negotiated.

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

As the Zambian government has set the wheels in motion for devolution – both in regards to human resources and fiscal decentralization – some immediate challenges have presented.²³

COUNCIL DEBT CREATES INADEQUATE FINANCIAL RESOURCES FOR SERVICE DELIVERY AT THE LOCAL LEVEL

As the plan for fiscal decentralization has evolved, it has become clear that most of the councils are already heavily indebted through non-remittance of statutory obligations to the Zambia Revenue Authority (ZRA), National Pensions Scheme Authority (NAPSA) and the Local Authority Superannuation Fund (LASF) including huge arrears owed to various utility companies and suppliers of goods and services. These debts have negative implications on the effective implementation of fiscal decentralization overall.

LIMITED HUMAN RESOURCES CAPACITIES AMONG LOCAL STAFF

The recent findings from the Parliamentary Committee on Estimates reflected that there is a serious skills gap in most of the councils in Zambia. The Committee voiced particular concern about the shortage of key skills needed in the implementation of fiscal decentralization, such as artisans and engineers. Furthermore, the Committee raised serious concerns about the apparent poor recruitment of staff and placement of skills in local authorities by the Local Government Service Commission (LGSC). The Committee noted that the performance of newly recruited staff through the LGSC had not been satisfactory because most of them had inappropriate skills or were not qualified at all.

²³ Zambian Parliamentary Committee on Estimates Report, extracted and featured in the *Zambian Economist*, July 2014.

INADEQUATE BUDGETARY ALLOWANCES BY THE CENTRAL GOVERNMENT

Currently, resources being allocated from the Central Government are insufficient to empower the changes needed at the local level to harmonize and align with decentralization, build the capacity of local staff, and redeploy the workforce to the local level.

NEED FOR POLITICAL WILL TO EFFECTIVELY CARRY OUT DECENTRALIZATION

The Parliamentary Committee on Estimates noted that the implementation of fiscal decentralization in Zambia has taken a very long time and is still not complete. This can be attributed, in part, to the lack of political will from decision makers and resistance from some sections of society. Other interviewees noted that what is perceived as “territoriality” for resources and political cache in some sectors incentivizes ministries NOT to support decentralization as it is perceived they will lose power, resources and their place in the overall government structure. This prolonged process has the unintended effect of leading donors, stakeholders and partners to doubt the timeline and have reservations regarding the efficacy of decentralization overall.

REDEPLOYMENT OF STAFF FROM THE CENTRAL LEVEL TO THE LOCAL LEVEL

The Decentralization Secretariat predicts that with full decentralization, 80% of civil servants will be redeployed to the field. The challenges in this are obvious – housing for new staff; schools to accommodate children accompanying staff; financing relocation costs. Simply moving the people power to actualize decentralization is a significant hurdle to clear.

NEED OF CHANGE MANAGEMENT STRATEGY

Several senior leaders in several ministries spoke to having concern that decentralization was transpiring without a commensurate Change Management strategy to guide it. As one interview participant reflected, “Part of the crisis in decentralization is the mind-set. We need a change management strategy to help us with this. Both the central and the local governments feel as if they have somehow lost out. They struggle to move the agenda forward. We need help learning to manage conflict resolution, collaboration, sharing resources, negotiating skills. But donors won’t fund us in learning how to do change management, change mind-sets, change paradigms. “

These management challenges are a natural derivative of a change process that is as complex and multifaceted as the one at hand in Zambia. One important lesson learned about change leadership is the need to be strategic in establishing the environment for change, while being consistent in communicating the vision and action plan for the change process. In addition, there is the constant reminder that to realize that transformational change is a progressive process and not a hurried overnight occurrence.

To review John Kotter’s work on institutionalizing change and leading the change process successfully, please refer to **Appendix G**.

IMPLICATIONS OF DECENTRALIZATION FOR THE SWW

As stated previously, Social Welfare has been identified as a priority function to decentralize first. Therefore, how decentralization will impact the two ministries that steward the formal SWW will look somewhat different.

A number of interview participants recounted a vision of the positive aspects decentralization will bring to the Social Welfare function. Those included:

- Streamlined reporting structure for those SW colleagues who currently are supervised in a matrixed structure
- The possibility of streamlined committees, thereby lessening the workload of DSWOs
- The vision of the DSWO, the District Community Development Officer and the Community Health Assistant creating a “one-stop” shop for vulnerable children and their caregivers, offering a suite of complementary services.
- Clearer collaboration between the various roles providing social welfare services at the District level in order to streamline and align programming and maximize available resources.
- Possibly extending the reach of the Child Development Officer to the district level, thereby bolstering the coordination and impact of social welfare services even more.

Given the positive potential of devolving the social welfare function, both ministries could potentially play a key role in making this come to pass.

MINISTRY OF COMMUNITY DEVELOPMENT, MOTHER AND CHILD HEALTH

The MCDMCH has ensured its three sectors with specific social welfare functions have created a thorough devolution plan. The devolution plans for Social Welfare, Community Development and Mother and Child Health can all be accessed in the ***Resource Compendium***.

SOCIAL WELFARE

DSW’s plan for decentralization does a thorough job of predicting the implications devolution will have on the Department. Those include:

- Identifying staff and transferring them;
- Developing and implementing Human Resource development programs to ensure staff are equipped to perform in their new role with new skills;
- Strengthen staff motivation in times of change, as well as build conflict resolution skills;
- Prepare for making some staff redundant; and
- Recruit and hire for new staff to fill posts vacated by those unwilling to be redeployed.

Projected numbers of staff and attendant costs are included as well to ensure districts are further capacitated to deliver on their expanded scope of social welfare service delivery and to minimize and mitigate the disruption actual decentralization will cause.

MINISTRY OF GENDER AND CHILD DEVELOPMENT

As of May 2014, the MGCD had still not submitted a decentralization plan for its social welfare sector. In interviews, it was clear that there is confusion and a lack of clarity regarding how decentralization will unfold for this ministry. Said one interviewee, “What is not clear is how we are supposed to harmonize our functions. On one hand, there is a school of thought that we are a coordinating ministry at the national level while working with institutions at the lower levels – more policy formulation, M&E, and overall coordination. On the other hand, we are a full-fledged Ministry, so we must go to the local level. It’s unclear what will happen – we may remain only at the national and provincial levels. And the decision for how we participate in decentralization is unclear. Even if our projected restructuring gets approved – growing our staff to 350 and deploying Child Development Officers to the district – we still don’t have the Treasury Authority funding us yet. It’s all so unclear.”

POINTS FOR DISCUSSION

- Given the number of challenges facing the rapid deployment of devolution, particularly in regards to the Social Welfare function, what can be done in the interim to continue strengthening the SWW and prepare it for eventual redeployment?
- What additional steps are required to ensure that there is clarity on and alignment with the decentralization vision for MCDMCH and MGCD?
- What resources and support are needed and available to offer change management support to MCDMCH and MGCD as they move forward to institutionalize decentralization of the social welfare function?
- What strategy can be implemented to help with the assessment of the decentralization change process to ensure necessary modifications and documentation of lessons learned?
- What strengthening activities for the SWW can be prioritized that would serve both the short-term of immediate skill building and the longer-term once cadres have been redeployed to the field?

INFORMAL SOCIAL WELFARE WORKFORCE IN ZAMBIA



CURRENT STATUS

Contrary to the formal SWW, the informal side of this equation is much more difficult to assess and analyse. NGOs, iNGOs, FBOs, CBOs and donors abound, each programming activities, often in collaboration with the GRZ, while concurrently aligning with their organisationally-specific mandate and strategic priorities. In short, the informal SWW is a dynamic body, comprised primarily of volunteers, and its numbers and foci of activities change with project cycles and funding.

In an effort to capture an illustrative sampling of current activities, volunteer cadres and capacity-building training offered by the informal SWW, the Zambia Rising team conducted a series of interviews with those involved and sought supplemental information from a brief survey that was sent to NGOs, FBOs, and CBOs with a large presence in Zambia that deliver basic social welfare services to OVCs and their caregivers. These data collection measures aimed to assess the scope and nature of Zambia's informal SWW by collecting information on their priority delivery areas, the reach of their programs, including numbers served and staffing levels, and their relationship with the formal SWW.

Organisations that contributed to this process include:

- Plan International
- Catholic Relief Services
- Bwafwano
- UNICEF
- Sport in Action
- World Vision
- Archie Hinchcliffe Disability Intervention
- DFID

While the number of staff, and even organisations, working in the informal sector is impossible to quantify, there is acknowledgement that the largest number of social welfare providers delivering services in communities comes from the informal SWW. This trend is consistent with other African nations, where research has demonstrated that the majority of social welfare workers at the community level are from NGOs.²⁴ A report from 2007 cites that 292 organisations were identified as working with OVC in Zambia, the most commonly being community-based organisations (26%), faith-based (30%) and local NGOs (18%).²⁵

The informal sector is currently comprised of both organisations that provide support to OVCs by addressing a range of interrelated issues and those that focus on more narrow specializations. The priority focus areas of the organisations are determined by three main drivers: emerging and more consistent needs of communities, donor-driven agendas, and the identification of gaps in services offered by the formal sector. Collectively, the informal SWW provides programming across the service categories of Child Protection, Food and Nutrition, Health Care, Education Skills and training and Economic Empowerment Activities.

²⁴ https://www.socialworkers.org/practice/intl/2011/Investing_in_Those_Who_Care_for_Children_Social_Welfare_WorkforceReport_I.pdf

Examples of Illustrative OVC Activities Offered by Organisations

| | |
|-----------------------------|--|
| Child Protection | <ul style="list-style-type: none"> • Psychosocial support • Counselling and referrals • Physiotherapy management |
| Health Care | <ul style="list-style-type: none"> • Sensitization issues • HIV/AIDS testing services • Malaria testing services • Home-based care services • Drug & substance abuse |
| Education & Skills Training | <ul style="list-style-type: none"> • Household advocacy training • Financial training • School fee and materials assistance • Life skills trainings • Gender based violence |
| Food & Nutrition | <ul style="list-style-type: none"> • Feeding program for malnourished |
| Economic Empowerment | <ul style="list-style-type: none"> • Small business skills • Income generating activities. |

The majority of organisations that contributed to the information-gathering process reported providing basic and some advanced training for staff, volunteers and/or OVC. Trainings address topics in the previously outlined service categories and many of the OVC specific-trainings were developed based on the national guidelines and the STEPS OVC training program. Examples of trainings offered by the informal SWW include:

- Specialized health training in Nutrition and HIV/AIDS for community members
- Community based family planning for community members and households
- Psycho-social support training for religious leaders
- OVC support training for teachers and community volunteers
- Home-based care training for community volunteers
- Elements of Microfinance for community members

NOTABLE CHALLENGES AND CHANGE OPPORTUNITIES

Like the formal SWW, the informal sector faces the staffing challenge of drawing and retaining social workers from a limited national resource pool. The majority of core staff delivering programs and services are trained in the social sciences and are expected to gain social work skills on the job. In addition, central figures in the community, such as teachers and religious leaders, also carry out responsibilities of social workers as needed. Organisations are targeting these individuals with trainings in psychosocial support and other child protection measures in the effort to address this knowledge and capacity gap.

Coordination mechanisms between the informal and formal sectors, such as the District AIDS Task Force, DWAC, and the DDCC, have been implemented with some success. These formal mechanisms along with mapping processes that take place between organisations in the informal SWW have reduced the duplication of services and enhanced collaboration in some areas. In addition, each organisation expressed the importance of the positive relationships they have built with the District Social Welfare Officers and some organisations have formalized this partnership through a Memorandum of Understanding with the District Community Development Office.

However, as noted previously, similar collaboration is not happening at the national level resulting in the duplication of activities, geographic coverage and, at times, wasted resources. Likewise, while the donor community has established a monthly “Donor Meeting” to apprise one another of emerging activities and agendas, this mechanism is not fully utilized and could potentially offer great benefit in collaboration and integration of programming.

It is clear that in order to develop a comprehensive and effective social welfare system and to identify the best OVC service arrangements, there must be a deeper and mutual understanding of the mix of services provided by both the informal and formal sectors. This will allow for increased coordination of service provision, the ability to identify gaps and overlaps in services offered, and result in more streamlined service delivery while maximizing all the resources available.

POINTS FOR DISCUSSION

- What can be done at the national level to increase the collaboration between key actors in the informal SWW and government colleagues?
- What mechanisms can donors create (or use more effectively, such as the current monthly “Donor Meeting”) to ensure strategic collaboration of resources in support of the GRZ’s national agenda for SW service delivery, as well as workforce strengthening?
- How can the informal SWW work in concert with the GRZ to ensure enough Social Workers are being trained and supported to create a broad pool of talent from which to draw, not leaving one side or the other wanting for skilled labour?

CONSULTANT RECOMMENDATIONS FOR REFLECTION

Recognizing that the concrete specifics of the Road Map for strengthening Zambia's SWW will begin in the Stakeholder Workshop, the following recommendations are initial reflections to seed further thinking and dialogue among stakeholders.

CADRES OF ZAMBIA'S FORMAL SWW

- Acknowledge that there is a shortage of SWW to address the ever expanding service delivery needs
- Develop and implement a strategy for how might staff be deployed differently in the short-term while decentralization is being finalized to manage the shortfall of HR at the district level.
- Establish a community sensitization strategy for education about the differences in service provision between the various SWW cadres.
- Establish an operating strategy or dedicated position so that ALL vulnerable children are being identified within communities and being connected to the appropriate referral services and counselling support.

THE WORKLOAD OF THE DSWO

- Examine task shifting from the DSWOs to other colleagues providing SW service delivery at the district level as a means of enhancing service provision.
- Review and streamline the number of committees at the district level to create more time both for DSWO and for partners who sit on multiple committees as well.
- Develop strategies for increased collaboration between DSWOs and MoH colleagues

ENSURING THE SWW PROVIDES QUALITY SERVICES TO OVC

- Establish an interim body and process to immediately regulate more effectively the quality, breadth and depth of training being offered in Zambia, even before legislation is passed.
- Undertake a review of job descriptions and align to more accurately reflect the specialized skill sets needed to service OVC, as well as other vulnerable populations.
- Support SWAZ in developing a concrete short-term plan for sustainability and growth, while continuing forward progress on the long-term plan of becoming an accrediting/licensing body for the field of Social Work.
- Ensure policies and strategic plans addressing social protection, welfare and the well-being of OVC have objectives, targets, and budgets to facilitate the growth and development of the SWW.

COORDINATION OF THE SOCIAL WELFARE FUNCTION AND WORKFORCE

- Upon approval of the National Social Protection Policy, ensure the National Coordination Unit at Cabinet level is empowered and capacitated to function as productively and effectively as possible in support of facilitating inter-ministerial cooperation and collaboration.
- Establish an immediate interim strategy might to facilitate increased inter-ministerial cooperation and collaboration.
- Establish a strategy and provide the necessary skill building to further strengthen the collaboration between the MCDMCH and MGCD at all levels of government.
- Establish strategies or approaches to help MCH colleagues integrate at the district level and work in concert with DSWO and DCDOs to provide a suite of services available to vulnerable children and their caregivers.
- Establish mechanisms the donor community can employ nationally to maximize resources and harmonize programming, similar to the collaboration seen at the district level.

HR TOOLS TO SUPPORT THE SWW

- Establish strategies and training for SWW supervisors to strengthen their capacity to provide supportive supervision using the APAS program.
- Enhance performance management systems to emphasize ongoing timely feedback and more effective use of appraisal data.
- Use training resources available for civil servants more strategically for tailored capacitation of SWW colleagues.

IT/ HRIS

- Establish a plan for leveraging current expertise and resources a SWW HRIS.
- Determine what fields would be critical to populate a SWW HRIS.
- Determine what group needs to shepherd this process to ensure inter-ministerial collaboration, and identify possible support for migrating data already available and computerized, and liaise with donors and NGOs to access needed resources and capacity building.
- Identify local capacity available to ensure this system is tailored to the needs of Zambia's SWW and is maintained and refreshed over time.

THE POLITICAL CONTEXT: DECENTRALIZATION

- Identify additional steps required to ensure that there is clarity on and alignment with the decentralization vision for MCDMCH and MGCD.
- Determine interim measures to continue strengthening the SWW and prepare it for eventual redeployment, given the significant number of challenges facing the rapid deployment of devolution, particularly in regards to the Social Welfare function.
- Define the resources and support needed and available to offer change management support to MCDMCH and MGCD as they move forward to institutionalize decentralization of the social welfare function.
- Determine the assessment of the decentralization change process to ensure necessary modifications are made and documentation of lessons learned.
- Prioritize strengthening activities for the SWW that can serve both the short-term and the longer-term skill-building needs once cadres have been redeployed to the field.

INFORMAL SOCIAL WELFARE WORKFORCE IN ZAMBIA

- Determine strategies at the national level to increase the collaboration between key actors in the informal SWW and government colleagues.
- Identify mechanisms donors can employ or create (or use more effectively, such as the current monthly “Donor Meeting”) to ensure strategic collaboration of resources in support of the GRZ’s national agenda for SW service delivery, as well as workforce strengthening.
- Determine strategies for how the informal SWW can work in concert with the GRZ to ensure enough Social Workers are being trained and supported to create a broad pool of talent from which to draw, not leaving one side or the other wanting for skilled labour.

CONCLUSION

Commissioning this Human Resource Assessment and Gap Analysis of the Social Welfare Workforce reflects the appreciation for the importance of supporting OVC in becoming a vibrant and productive youth population, thereby ensuring a prosperous future for Zambia. In fact the most revealing index of the country's progress may well be the degree to which it establishes a pathway from vulnerability to productive inclusion for OVCs and other struggling populations. This endeavour has sought to present a contemporary picture of the present SWW situation. It has highlighted current aspects of the present system that provide foundational elements for a productive SWW system. It acknowledges that decentralization is a transformational change process, offering opportunities for strengthening the delivery of SWW services. Simultaneously, based on our experience in other countries, there is the realization that the decentralization process is a progressive undertaking that will not be an overnight occurrence. Thus there have to be some near-term interim actions that will generate more immediate enhancements in the delivery of SWW services.

Consistent with that view and approaching this HR Assessment and Gap Analysis as a catalytic mechanism, this report identifies a series of challenges and change opportunities that lend themselves to creative exploration and evidence-based decision making for the development of a concrete Road Map forward. As the proverb teaches collaboration is imperative for, "When you run alone, you run fast. When you run together, you run far. "

Drawing upon our experience in other countries and our overall organisational development and capacity-building expertise, we offer a series of action recommendations for consideration in that evidence decision-making process. As with any major change endeavour, there will be moments of difficulty and momentary setbacks. Yet as Madiba taught, "The greatest glory in living lies not in never falling, but in rising every time we fall." Our vision and hope is that this report and the accompanying Stakeholder Workshop/Forum will serve as the inspirational launching point for dramatic and sustained accomplishments in strengthening the SWW and closing the current services and system gaps.

APPENDICES I: SUPPORTING THE FINDINGS

APPENDIX A: MCDMCH DSW STAFF BREAKDOWN

| | Southern Provincial Office | | | | | Northern Provincial Office | | | |
|-----------------------|-----------------------------------|-----------|----------------------------------|-----------|-----------------------|-----------------------------------|-----------|----------------------------------|-----------|
| | Provincial Social Welfare | | Senior Social Welfare | | | Provincial Social Welfare | | Senior Social Welfare | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| | 1 | 1 | 2 | 2 | | 1 | 1 | 2 | 2 |
| | Southern Districts | | | | | Northern Districts | | | |
| | Social Welfare Officer | | Assistant Social Welfare Officer | | | Social Welfare Officer | | Assistant Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| District Total | 10 | 10 | 14 | 14 | District Total | 8 | 8 | 8 | 8 |
| Livingstone | 1 | 1 | 4 | 4 | Kasama | 1 | 1 | 1 | 1 |
| Mazabuka | 1 | 1 | 1 | 1 | Mbala | 1 | 1 | 1 | 1 |
| Choma | 1 | 1 | 1 | 1 | Mungwi | 1 | 1 | 1 | 1 |
| Kazungula | 1 | 1 | 1 | 1 | Mpulungu | 1 | 1 | 1 | 1 |
| Gwembwe | 1 | 1 | 1 | 1 | Mporokoso | 1 | 1 | 1 | 1 |
| Chikankata | 1 | 1 | 2 | 2 | Kaputa | 1 | 1 | 1 | 1 |
| Namwala | 1 | 1 | 1 | 1 | Chilubi | 1 | 1 | 1 | 1 |
| Kalomo | 1 | 1 | 1 | 1 | Luwingu | 1 | 1 | 1 | 1 |
| Monze | 1 | 1 | 1 | 1 | | | | | |
| Sinazongwe | 1 | 1 | 1 | 1 | | | | | |
| | Muchinga Provincial Office | | | | | Copperbelt Provincial Office | | | |
| | Provincial Social Welfare Officer | | Senior Social Welfare Officer | | | Provincial Social Welfare Officer | | Senior Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| | 1 | 1 | 2 | 0 | | 1 | 1 | 2 | 2 |
| | Muchinga Districts | | | | | Copperbelt Districts | | | |
| | Social Welfare Officer | | Assistant Social Welfare Officer | | | Social Welfare Officer | | Assistant Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| District Total | 7 | 7 | 10 | 10 | District Total | 10 | 10 | 16 | 16 |
| Mpika | 1 | 1 | 1 | 1 | Ndola | 1 | 1 | 4 | 4 |
| Chinsali | 1 | 1 | 1 | 1 | Kitwe | 1 | 1 | 4 | 4 |
| Isoka | 1 | 1 | 1 | 1 | Mufurila | 1 | 1 | 1 | 1 |
| Nakonde | 1 | 1 | 1 | 1 | Chingola | 1 | 1 | 1 | 1 |
| Shiwanga'ndu | 1 | 1 | 2 | 2 | Luanshya | 1 | 1 | 1 | 1 |
| Mafinga | 1 | 1 | 2 | 2 | Kalulushi | 1 | 1 | 1 | 1 |
| Chama | 1 | 1 | 2 | 2 | Chililabombwe | 1 | 1 | 1 | 1 |
| | | | | | Masaiti | 1 | 1 | 1 | 1 |
| | | | | | Lufwanyama | 1 | 1 | 1 | 1 |
| | | | | | Mpongwe | 1 | 1 | 1 | 1 |

| | Central Provincial Office | | | | | Western Provincial Office | | | |
|-----------------------|-----------------------------------|-----------|----------------------------------|-----------|-----------------------|-----------------------------------|-----------|----------------------------------|-----------|
| | Provincial Social Welfare | | Senior Social Welfare | | | Provincial Social Welfare | | Senior Social Welfare | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| | 1 | 1 | 2 | 2 | | 1 | 1 | 2 | 2 |
| | Central Districts | | | | | Western Districts | | | |
| | Social Welfare Officer | | Assistant Social Welfare Officer | | | Social Welfare Officer | | Assistant Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| District Total | 11 | 11 | 16 | 16 | District Total | 16 | 16 | 25 | 25 |
| Kabwe | 1 | 1 | 2 | 2 | Mongu | 1 | 1 | 1 | 1 |
| Chibombo | 1 | 1 | 1 | 1 | Kaoma | 1 | 1 | 1 | 1 |
| Mumbwa | 1 | 1 | 1 | 1 | Kalabo | 1 | 1 | 1 | 1 |
| Kapiri-Mposhi | 1 | 1 | 1 | 1 | Sesheke | 1 | 1 | 1 | 1 |
| Serenje | 1 | 1 | 1 | 1 | Senanga | 1 | 1 | 1 | 1 |
| Mkushi | 1 | 1 | 1 | 1 | Lukulu | 1 | 1 | 1 | 1 |
| Itezhi-Tezhi | 1 | 1 | 1 | 1 | Shangombo | 1 | 1 | 1 | 1 |
| Chisamba | 1 | 1 | 2 | 2 | Mitete | 1 | 1 | 2 | 2 |
| Ngabwe | 1 | 1 | 2 | 2 | Sioma | 1 | 1 | 2 | 2 |
| Luano | 1 | 1 | 2 | 2 | Luampa | 1 | 1 | 2 | 2 |
| Chitambo | 1 | 1 | 2 | 2 | Nkeyema | 1 | 1 | 2 | 2 |
| | | | | | Mwandi | 1 | 1 | 2 | 2 |
| | | | | | Sikongo | 1 | 1 | 2 | 2 |
| | | | | | Limulunga | 1 | 1 | 2 | 2 |
| | | | | | Nalolo | 1 | 1 | 2 | 2 |
| | | | | | Mulobezi | 1 | 1 | 2 | 2 |
| | Eastern Provincial Office | | | | | Luapula Provincial Office | | | |
| | Provincial Social Welfare Officer | | Senior Social Welfare Officer | | | Provincial Social Welfare Officer | | Senior Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| | 1 | 1 | 2 | 2 | | 1 | 1 | 2 | 2 |
| | Eastern Districts | | | | | Luapula Districts | | | |
| | Social Welfare Officer | | Assistant Social Welfare Officer | | | Social Welfare Officer | | Assistant Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| District Total | 8 | 8 | 9 | 9 | District Total | 8 | 8 | 9 | 9 |
| Chipata | 1 | 1 | 1 | 1 | Mansa | 1 | 1 | 1 | 1 |
| Petauke | 1 | 1 | 1 | 1 | Milenge | 1 | 1 | 1 | 1 |
| Nyimba | 1 | 1 | 1 | 1 | Samfya | 1 | 1 | 1 | 1 |
| Katete | 1 | 1 | 1 | 1 | Mwense | 1 | 1 | 1 | 1 |
| Chadiza | 1 | 1 | 1 | 1 | Kawambwa | 1 | 1 | 1 | 1 |
| Lundazi | 1 | 1 | 1 | 1 | Nchelenge | 1 | 1 | 1 | 1 |
| Mambwe | 1 | 1 | 1 | 1 | Chiengi | 1 | 1 | 1 | 1 |
| Sinda | 1 | 1 | 2 | 2 | Lunga | 1 | 1 | 2 | 2 |

| | Lusaka Provincial Office | | | | | North-Western Provincial Office | | | |
|-----------------------------------|-----------------------------------|-----------|----------------------------------|---------------|-----------------------|-----------------------------------|----------|----------------------------------|-----------|
| | Provincial Social Welfare Officer | | Senior Social Welfare Officer | | | Provincial Social Welfare Officer | | Senior Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| | 1 | 1 | 2 | 2 | | 1 | 1 | 2 | 2 |
| | Lusaka Districts | | | | | North-Western Districts | | | |
| | Social Welfare Officer | | Assistant Social Welfare Officer | | | Social Welfare Officer | | Assistant Social Welfare Officer | |
| | Establishment | Actual | Establishment | Actual | | Establishment | Actual | Establishment | Actual |
| District Total | 8 | 8 | 20 | 20 | District Total | 8 | 8 | 10 | 10 |
| Lusaka | 1 | 1 | 9 | 9 | Solwezi | 1 | 1 | 2 | 2 |
| Kafue | 1 | 1 | 1 | 1 | Kasempa | 1 | 1 | 1 | 1 |
| Chongwe | 1 | 1 | 1 | 1 | Mwinilunga | 1 | 1 | 1 | 1 |
| Luangwa | 1 | 1 | 1 | 1 | Mufumbwe | 1 | 1 | 1 | 1 |
| Chirundu | 1 | 1 | 2 | 2 | Kabompo | 1 | 1 | 1 | 1 |
| Chilanga | 1 | 1 | 2 | 2 | Zambezi | 1 | 1 | 1 | 1 |
| Sibuyuni | 1 | 1 | 2 | 2 | Chavuma | 1 | 1 | 1 | 1 |
| Rufunsa | 1 | 1 | 2 | 2 | Ikelenge | 1 | 1 | 2 | 2 |
| | | | | | | | | | |
| | Totals | | | | | | | | |
| Provincial | Establishment | Actual | Districts | Establishment | Actual | | | | |
| Provincial Social Welfare Officer | 10 | 10 | Social Welfare Officer | 94 | 94 | | | | |
| Senior Social Welfare Officer | 20 | 18 | Assistant Social Welfare Officer | 137 | 137 | | | | |
| Provincial Total | 30 | 28 | District Total | 231 | 231 | | | | |
| | | | | | | | | | |
| Total Established MCDMCH | 274 | | | | | | | | |
| Total Actual MCDMCH | 272 | | | | | | | | |

APPENDIX B: JOB DESCRIPTION REQUIREMENTS

| MCDMCH – Department of Social Welfare | | | | |
|---|-------|--|---|---|
| Position/Title/Role | Grade | Qualification/ Education | Relevant Experience | Other Skills/ Attributes |
| Director of Social Welfare <ul style="list-style-type: none"> Policy formulation & review Review of legislation on children & juveniles Family & child welfare Juvenile Justice PWAS Capacity Building Disability Policy M&E Performance Management (13 subs.) Management | GSS/1 | BSW or related degree in Social Sciences | 8 years in SW practice, w/ 3 years at Managerial level | <ul style="list-style-type: none"> Ability to write technical & court reports Fluent in English Must be mature Good leadership skills Self-motivated Integrity Computer literate |
| Chief SWO – Statutory Services <ul style="list-style-type: none"> Child Placement Inspection of Children's Homes Adoption Juvenile Justice M&E Performance Management Supervision (2 subs.) | GSS/3 | BSW or related degree in Social Sciences | 5 years relevant experience in SW practice, 3 at Management level | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership Skills Self-motivated Integrity Computer literate Good interpersonal Skills |
| Principal SWO Provincial Administration <ul style="list-style-type: none"> Family & child welfare Juvenile Justice PWAS Capacity Building Performance Management Management (3 Provincial subs + all DSWOs) M&E | GSS/4 | BSW or related degree in the Social Sciences | 4 years' experience in SW practice | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership Skills Self-motivated Integrity Computer literate Good interpersonal skills |
| Sr. SWO Child Welfare <ul style="list-style-type: none"> Licenses for foster children to travel abroad Foster care fees Inspection of children's homes and institutions M&E No subs | GSS/6 | BSW or related degree in Social Sciences | 3 years in Social Work practice | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership Skills Self-motivated Integrity Computer literate Good interpersonal skills |
| Sr. SWO Research and Information <ul style="list-style-type: none"> Research for department to generate information Documentation to provide | GSS/6 | Degree in the Social Sciences | 3 years in Research | <ul style="list-style-type: none"> Good report writing skills Fluent in English Mature Leadership Skills |

| | | | | |
|---|-------|--|--|---|
| <ul style="list-style-type: none"> information Project proposal to mobilize resources Reports (monthly; qtrly; and annual to provide information Plans & budgets No subs | | | | <ul style="list-style-type: none"> Self-motivated Computer literate Good interpersonal skills Statistical and analytical skills |
| Sr. SWO Homes & Places of Safety (children & elderly) <ul style="list-style-type: none"> Dropping Centres for vulnerable children Old People's Homes grant disbursement M&E of OVC programs Transit homes/Places of Safety grants administration No subs | GSS/6 | Degree in Social Work or related field | 3 years' experience in SW practice | <ul style="list-style-type: none"> Good report writing skills Fluent in English Mature Leadership Skills Self-motivated Computer literate Good interpersonal skills Statistical and analytical skills |
| Sr. SWO Non-statutory PWAS Coordination <ul style="list-style-type: none"> PWAS coordination and administration M&E of PWAS Capacity Building No subs | GSS/6 | Degree in Social Work or related field | 3 years' experience in research | <ul style="list-style-type: none"> Good report writing skills Fluent in English Mature Leadership Skills Self-motivated Computer literate Good interpersonal skills Statistical & analytical skills |
| Sr. SWO Insawake – manage rehabilitation services to reintegrate probationers back into community <ul style="list-style-type: none"> Skills training for probationers Psychosocial counselling Performance Management Management (2 subs SWO) M&E Social Rehabilitation programmes | GSS/6 | BSW or related degree in Social Sciences | 4 years post qualified in dealing w/ juveniles | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership Skills Self-motivated Integrity Computer literate Good interpersonal skills Analytical skills |
| Sr. SWO Provincial Admin-Statutory Services <ul style="list-style-type: none"> Child Placement – supervise committal order Inspection of Children's Homes Juvenile Justice M&E Reports No subs | GSS/6 | BSW or related degree in Social Sciences | 3 years' experience in SW practice | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership skills Self-motivated Integrity Computer literate Good interpersonal skills |
| Sr. SWO Provincial Admin –Non- | GSS/6 | BSW or related degree | 3 years' | <ul style="list-style-type: none"> Ability to write reports |

| | | | | |
|---|-------|---|---|---|
| Statutory <ul style="list-style-type: none"> • M&E • PWAS Administration • Capacity Building • Places of Safety administration • Family Counselling • OVC care administration • Old People's Homes administration • Research to generate info • No subs | | in Social Sciences | experience in SW practice | <ul style="list-style-type: none"> • Fluent in English • Mature • Leadership skills • Self-motivated • Integrity • Computer literate • Good interpersonal skills |
| Principal Nakambala – manage provision of rehab services at institution <ul style="list-style-type: none"> • Formal education – ensures juvenile admission • Skills Training – Supervises effective provision of skills training • Psychosocial Counselling provision for behaviour modification • M&E • Social Rehabilitation programme implementation • Performance Management • Management (5 subs – 4 SWO and 1 Psychologist) | GS/6 | BSW or related degree in Sociology, Psychology or Public Administration | 6 years post-qualification experience in dealing with juveniles | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English • Mature • Leadership skills • Self-motivated • Computer literate • Good interpersonal skills • Integrity • Good analytical skills |
| SWO Nakambala - Administration <ul style="list-style-type: none"> • Management • Performance Management • Supervision (3 subs; EXO and 2 SWA) • Discipline – carries out disciplinary measures for juvenile rehab | GSS/8 | Degree in SW or related field in Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and 2 local languages |
| SWO Nakambala- Admissions & Discharge <ul style="list-style-type: none"> • Admission Cases • Record Keeping • Licenses for juveniles discharged • Counselling to juveniles admitted for behaviour modification • Orientation of new inmates • No subs | GSS/8 | BSW or related field in Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and ability to speak Bemba or Nyanja • Mature • Leadership skills • Self-motivated • Good interpersonal skills • Sober character |
| SWO Nakambala – Research & Information <ul style="list-style-type: none"> • Project Proposals to mobilize resources | GSS/8 | BSW or related degree in the Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write technical reports • Fluent in English and be able to speak Bemba or |

| | | | | |
|---|-------|---|-----|--|
| <ul style="list-style-type: none"> • Research for the institution to generate information • Documentation • Progress reports monthly, quarterly, and annually • No subs | | | | <ul style="list-style-type: none"> • Nyanja • Mature • Self-motivated • Good interpersonal skills • Analytical skills • Assertive |
| SWO <i>Nakambala – Rehab Non-formal Education</i> <ul style="list-style-type: none"> • Non-formal Education placement of juveniles • M&E • Psychosocial Counselling for behaviour modification • Supervision (2 Practical Instructors) | GSS/8 | BSW or related degree in Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and ability to speak Bemba or Nyanja • Mature • Leadership skills • Self-motivated • Computer literate • Good interpersonal skills |
| SWO <i>Insakwe Provision of Education & Skills Training to Probationers for Rehab</i> <ul style="list-style-type: none"> • Education placement of juveniles into formal education • Skills Training placement of juveniles to equip with skills • M&E • Psychosocial counselling for behaviour modification • Subs: 2 Trade Instructors and 1 SWA | GSS/8 | BSW or related degree in Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and ability to speak Bemba or Nyanja • Mature • Leadership skills • Self-motivated • Computer literate • Good interpersonal skills |
| SWO <i>Homes and Places of Safety Coordinating Institutional Care</i> <ul style="list-style-type: none"> • Social support services for elderly and stranded vulnerable persons • Psychosocial Counselling for older persons • Occupational Therapy for older persons • Reports – financial & progress • Management (5 admin subs) | GSS/8 | Degree in SW or related degree in the Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and able to speak at least 2 Zambian languages • Mature • Leadership skills • Self-motivated • Good interpersonal relations |
| SWO <i>District coordinate and implement SW policy & programmes at District level</i> <ul style="list-style-type: none"> • PWAS • M&E of statutory & non-statutory services • Capacity building • Juvenile Justice • Probation Services • Adoption | GSS/8 | Degree in SW or related field in the Social Sciences | Nil | <ul style="list-style-type: none"> • Ability to write technical reports • Fluent in English • Knowledge or 1 or 2 local languages • Mature • Leadership skills • Self-motivated • Computer literate • Good interpersonal relations |

| | | | | | |
|---|--------|---|------------------------------------|--|--|
| <ul style="list-style-type: none"> • Inspection of Children's Homes • Child Placement • Management (at least 1 SWA and 2 admin) • Progress Reports | | | | | <ul style="list-style-type: none"> • Sober character |
| Psychologist Nakambala – coordinate provision of psychosocial counselling to enhance behaviour modification <ul style="list-style-type: none"> • Psychosocial Counselling – coordinates and provides to juveniles • M&E • Reports • Psychological Testing • No subs | GSS/8 | BA in Psychology or BA in Educational Psychology | Nil | | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and ability to speak Bemba or Nyanja • Leadership skills • Computer literate • Good interpersonal skills • Sober character |
| Assistant SWO Insakwe –Manage boarding & lodging to comply w/ minimum standards <ul style="list-style-type: none"> • Inspection and check of dorms daily • Register and facilitate daily roll call • Inventory hostel assets • Food management to ensure adequate feeding of juveniles • Recreation activities for juvenile social recreation • Psychosocial counselling for behaviour modification • No subs | GSS/11 | Diploma in Social Work | Two years in Social Work practice | | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and ability to speak Bemba and Nyanja • Mature • Leadership skills • Good interpersonal skills • Sober character |
| Assistant SWO Old People's Home – supervising basic needs of older persons in institutions <ul style="list-style-type: none"> • Supervision of support services to the institution • Case Records for each person with current info • Psychosocial counselling for older persons • Occupational Therapy for older persons • 4 subs (admin/cook/guard/etc.) | GSS/11 | Diploma in Social Work or related field | 2 years' experience in SW practice | | <ul style="list-style-type: none"> • Ability to write English • Fluent in English and ability to speak 2 Zambian languages • Mature • Self-motivated • Good interpersonal skills • Sober character |
| Assistant SWO District – implement social welfare services in the district <ul style="list-style-type: none"> • PWAS • M&E • Juvenile Justice • Probation Services • Child placement – prepares | GSS/11 | Diploma in SW or related field in the Social Sciences | 2 years' experience in SW practice | | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and 2 local languages • Mature • Leadership skills • Self-motivated |

| | | | | | |
|--|--------|----------------------------------|------------------------------|--|--|
| <ul style="list-style-type: none"> • committal orders • Street Children Programme (OVC) – facilitates effective provision of rehab for street children • No subs | | | | | <ul style="list-style-type: none"> • Good interpersonal skills • Sober character |
| Executive Officer Administrative and logistical support services <ul style="list-style-type: none"> • Office inventory • Maintenance of buildings • Maintenance of equipment • Supervision (11 subs) • Secretarial supervision | GSS/11 | Diploma in Public Administration | Administration exp. | | <ul style="list-style-type: none"> • Ability to write • Fluent in English • Mature • Supervisory skills • Self-motivated • Computer literate • Good interpersonal skills • Initiative • Assertive |
| Teacher Nakambala – teach juveniles <ul style="list-style-type: none"> • Educational instruction to prepare them for formal education & skills training • Progress Reports • Educational material procurement • Assessment of juveniles' level of knowledge for placement in formal & non-formal education • No subs | GSS/14 | Diploma in Education | 2 years practice in teaching | | <ul style="list-style-type: none"> • Ability to write reports • Fluent in English and Bemba and Nyanja • Mature • Leadership skills • Good interpersonal skills • Sober character |

Ministry of Gender and Child Development - Dept. Child Dev.

| Position/Title/Role | Grade | Qualification/ Education | Relevant Experience | Other Skills/ Attributes |
|--|--------|--------------------------------------|------------------------|--|
| Community Development Officer <i>Coordinate & supervise implementation of community development programmes</i> <ul style="list-style-type: none"> Community Self-Help Programmes – coordinate and supervise Literacy Programs supervise and implement reading/writing/math skills Community-Based Training in life-supporting skills Women's Development Programs for social and economic empowerment Cross-cutting issues: HIV/AIDS, Gender and Poverty Reduction –supervises and mainstreams into plans Technical and logistical support – coordinate and supervise provision of technical and logistical support M&E Institutional Capacity Building Performance Management Supervision (2 Asst. CD Officers) | GSS/8 | Degree in Social Work/Sociology | Nil | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Leadership skills Computer literate Good interpersonal skills High integrity Supervisory Skills |
| Assistant Comm. Dev. Officer <i>Undertake the implementation of women's and community's self-help programmes</i> <ul style="list-style-type: none"> Women's Development Programs –implement for socio-economic empowerment Technical & Logistical Support – mobilize & provide tech and logistical support Community Self-help Programs – implementation Cross-cutting issues –mainstreaming into programs No subs | GSS/11 | Diploma in Social Work | Nil | <ul style="list-style-type: none"> Ability to write reports Fluent in English Mature Self-motivated Computer literate Good Interpersonal Skills |
| Community Development Assistant <i>Undertake implementation of community development programs</i> <ul style="list-style-type: none"> Community self-help programs – assist with implementation Literacy programs – organizes and undertakes implementation Community-based Training – undertakes implementation Women's Development Programs – Organizes and undertakes development and implementation Cross-cutting Issues – Undertakes effectively mainstreaming in programs Teaching and Learning Materials – Distributes teaching & learning materials to deliver training No subs | GSS/13 | Certificate in Community Development | Nil | <ul style="list-style-type: none"> Ability to write Good oral skills Mature Self-motivated Good interpersonal skills |

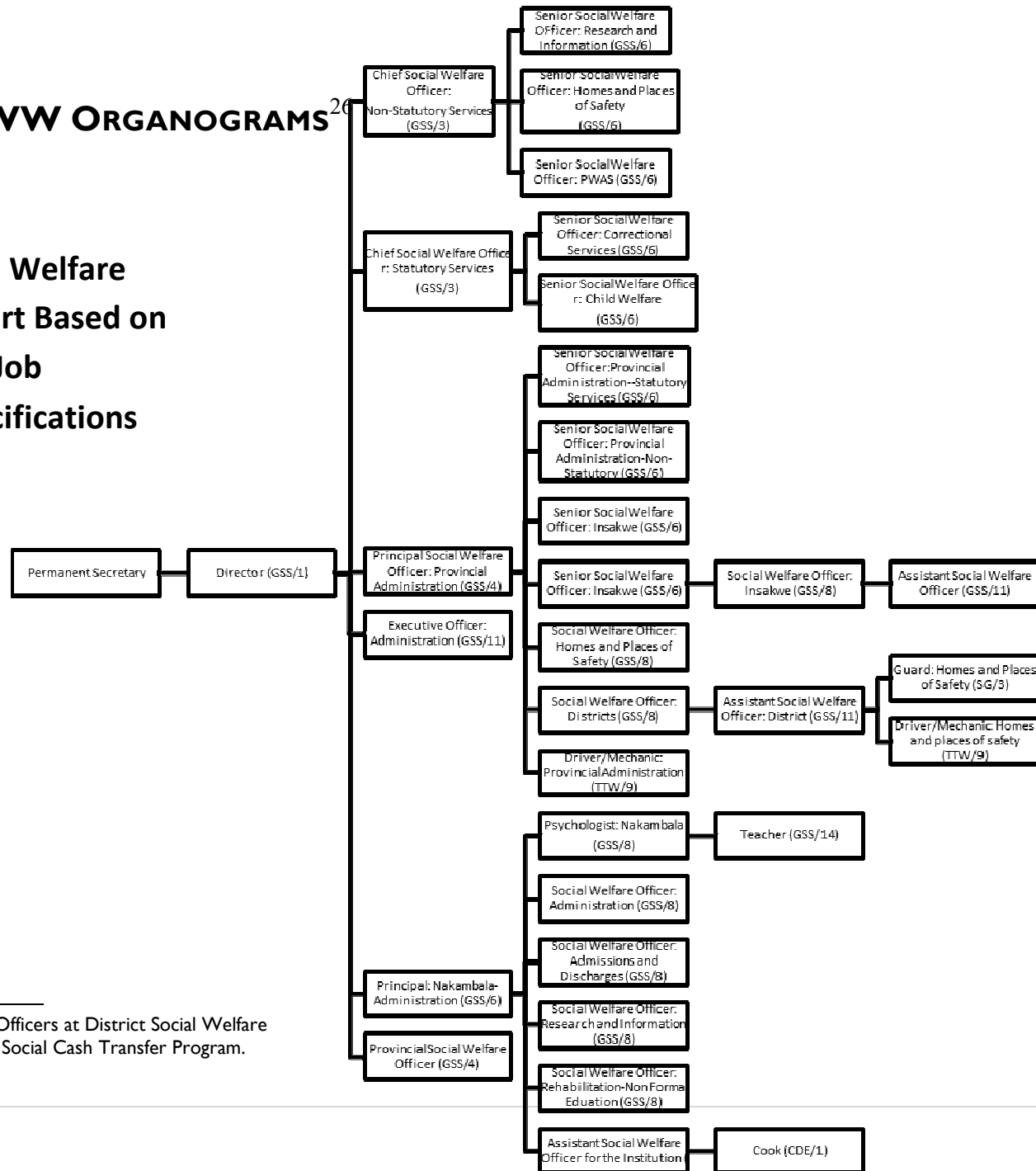
| Position/Title/Role | Grade | Qualification/ Education | Relevant Experience | Other Skills/Attributes |
|---|-------|--|---|--|
| Child Development Officer <i>undertake Child Rights Advocacy for protection & survival</i> <ul style="list-style-type: none"> Child Rights Advocacy – undertakes adaptation & application of child rights Street Children – Undertakes effective removal of children from street for rehab Budget –draft departmental budget for resource mobilization Research – research in child development matters to generate info for decisions Reports – draft state party reports Monitoring – monitoring of child’s rights Evaluation – evaluation of gender rights Performance Appraisal - implement PA Subs: 2 Chief Child Development Officers/10 provincial child development officers | L | Bachelor of Arts degree or related field from a reputable university | 6 years’ experience, 3 of which should be in management | <ul style="list-style-type: none"> Able to write comprehensive reports Fluent in English People skills Negotiation skills Tact Computer literate |
| Chief Child Development Officer <i>Supervise & undertake Child Rights advocacy for child protection/survival</i> <ul style="list-style-type: none"> Child Rights Advocacy – manages and supervises adaptation and application of standards Street Children – manages and supervises removal of children from the street for rehabilitation Budget – oversees departmental budget Research – prepares State party reports and other reports for decision making Monitoring –of child’s rights activities Evaluation – of gender rights and protection activities Performance Management – Supervision (4 Child Dev. Officers) | L | Bachelor of Arts degree or related field from a reputable university | Nil | <ul style="list-style-type: none"> Able to write comprehensive reports Fluent in English People skills Negotiation skills Tact Computer literate |
| Senior Child Development Officer <i>Supervise & undertake Child Rights advocacy</i> <ul style="list-style-type: none"> Child Rights Advocacy – supervise and undertake adaptation & application of standards on child rights Street Children – supervises effectively removing children from street to rehab Budget – supervises and undertakes prep of dept. budget Research – supervises research in child development matters Reports – supervises and undertakes prep of state party reports Monitoring – supervises monitoring implementation of child’s rights Evaluation – supervises evaluation of gender rights Performance Management – supervises preparation Supervision (2 Chief Child Dev. Officers) | K | Bachelor of Arts degree or related field from a reputable university | 6 years relevant experience, 3 at Management level | <ul style="list-style-type: none"> Able to write comprehensive reports Fluent in English People skills Negotiation skills Tact Computer literate |
| Provincial Child Development Officer <i>Supervise and undertake compliance surveys for child</i> | K | Bachelor of Arts | 6 years | <ul style="list-style-type: none"> Able to write |

| | | | | |
|---|---|--|---|--|
| <p>rights standards</p> <ul style="list-style-type: none"> • Child Rights Standards – supervise inspection of standards on child’s rights • Mark Days – supervise prep for observance of Child Mark Days • Child Care Givers – coordinate training • Budget – supervise prep of dept. budget • Reports – supervise prep of state party reports • Monitoring – supervise monitoring of women’s rights • Evaluation – supervise evaluation of gender rights • Performance Management - supervise and implement dept. Work plans • Supervision (2 District Child Dev. Officers – role not yet funded) | | degree or related field from a reputable university | relevant experience, 3 at Management level | <p>comprehensive reports</p> <ul style="list-style-type: none"> • Fluent in English • People skills • Negotiation skills • Tact • Computer literate |
| <p>Chief Child Development Officer Manage & supervise compliance surveys</p> <ul style="list-style-type: none"> • Child Rights Standards – inspection of the adaptation and application of standards • Mark Days – supervises preparation for observance of Child Marked Days • Child Care Givers – Coordinates training of child care givers • Budget • Research – State party Reports and other reports • Monitoring – Monitor implementation of women’s rights • Evaluation – Evaluate gender rights • Performance Management – • Supervision – (2 Sr. Child Dev. Officers) | K | Bachelor of Arts degree or related field from a reputable university | 5 years’ experience w/ 2 in Management | <ul style="list-style-type: none"> • Able to write comprehensive reports • Fluent in English • People skills • Negotiation skills • Tact • Computer literate |
| <p>Sr. Child Development Officer Supervise & undertake compliance surveys</p> <ul style="list-style-type: none"> • Child Rights Standards – supervise and undertake inspection of adaptation & application of standards on child rights • Mark Days – supervise & undertake prep for observance of Child Mark Days • Child Care Givers – Coordinate training • Budget – supervise and undertake prep of dept. budget • Research – ensure regular research on child development matters • Reports - supervise and undertake prep of state party reports • Monitoring – supervise & undertake monitoring of women’s rights • Evaluation – supervise & undertake evaluation of gender rights • Performance Management – prep and implement dept. work plans • Supervision (4 Child Development Officers Standards) | K | Bachelor of Arts degree or related field from a reputable university | 4 years’ experience, 1 of which should be in Management | <ul style="list-style-type: none"> • Able to write comprehensive reports • Fluent in English • People skills • Negotiation skills • Tact • Computer literate |
| <p>Child Development Officer Undertake compliance surveys</p> <ul style="list-style-type: none"> • Child Rights Standards-undertake inspection of adaptation & application of standards on child rights | K | Bachelor of Arts degree or related field from a reputable university | 4 years’ experience, 1 of which should be in | <ul style="list-style-type: none"> • Able to write comprehensive reports • Fluent in English • People skills |

| | | | | |
|--|---|---|------------|--|
| <ul style="list-style-type: none"> • Mark Days – Prep for observance of Child Mark Days • Budget – prep draft dept. budget • Research Proposal – regularly prep research proposal on child dev. matters • Reports – prep state party reports • Monitoring – monitor implementation of women’s rights • Evaluation –evaluate gender rights • Performance Appraisal – prep & implement dept. work plans • Subs: 4 Child Officer Standards | | | Management | <ul style="list-style-type: none"> • Negotiation skills • Tact • Computer literate |
| District Child Development Officer <i>(position has been approved but not funded yet)</i> Supervise & undertake compliance surveys for child rights <ul style="list-style-type: none"> • Street Children – undertake removal of street children for rehabilitation • Budget – draft district budget • Research – prep research proposal in child development matters • Reports – prep report for decision making • Monitoring – monitor implementation of women’s rights • Evaluation – Evaluate gender rights activities • Supervision (No subs) | K | Degree in Social Science or related field from a reputable College | Nil | <ul style="list-style-type: none"> • Able to write comprehensive reports • Fluent in English • People skills • Negotiation skills • Tact • Computer literate |
| Assistant District Child Development Officer <i>(position has not been funded yet)</i> Carry out compliance surveys <ul style="list-style-type: none"> • Street Children – carry out mobilization activities for removal of street children into rehab • Budget – carry out drafting of district budget • Reports – carry out prep of reports • Monitoring – carry out monitoring of implementation of women’s rights • Evaluation – carry out evaluating gender rights • No Subs | J | Diploma in Social Welfare or related field from a reputable College | Nil | <ul style="list-style-type: none"> • Able to write comprehensive reports • Fluent in English • People skills • Negotiation skills • Tact • Computer literate |

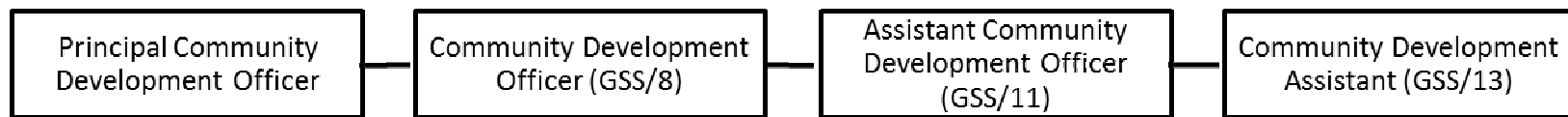
APPENDIX C: SWW ORGANOGRAMS²⁶

MCDMCH Social Welfare Organisational Chart Based on Available Job Description/Specifications

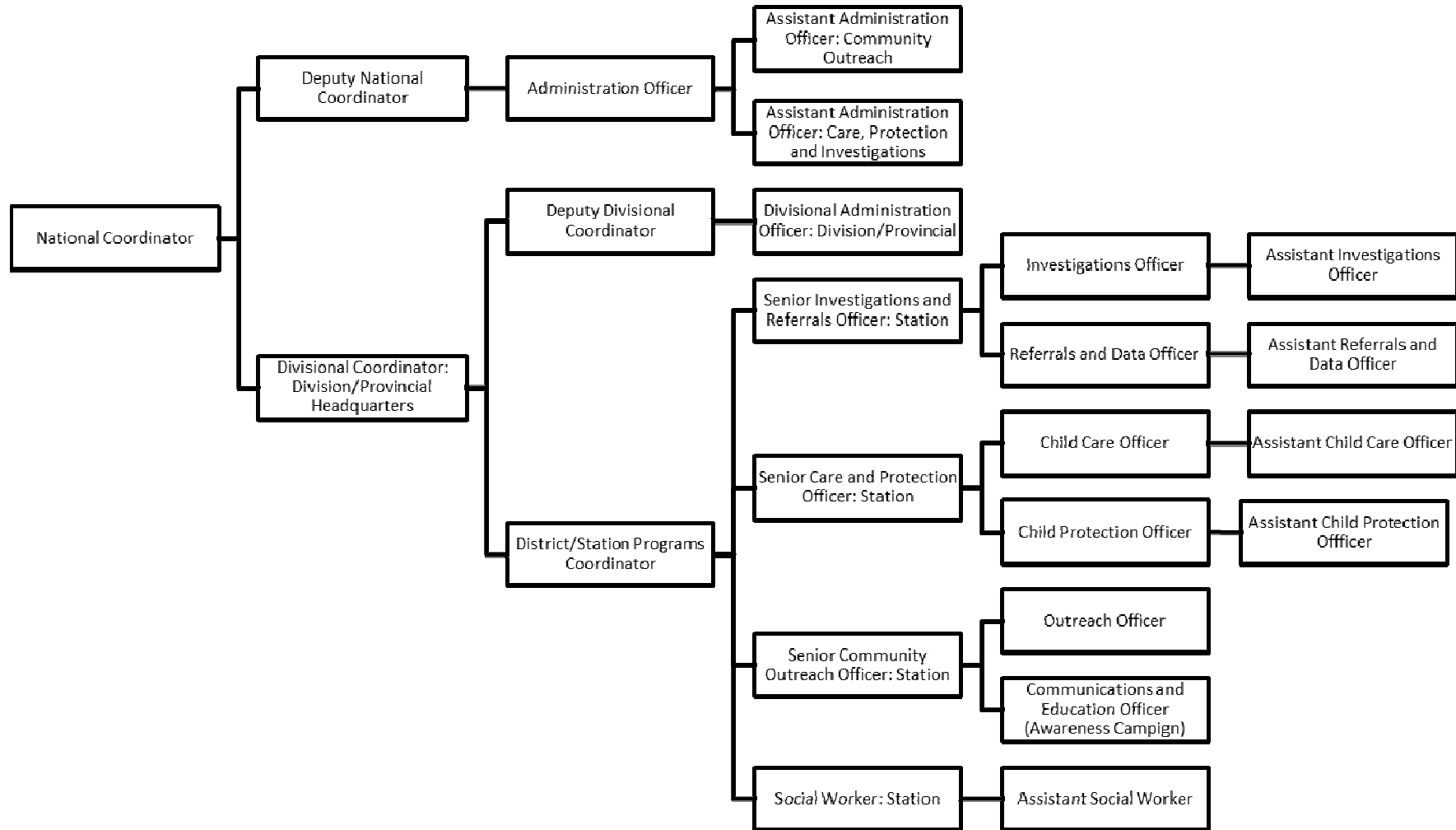


²⁶ Note: 37.5% of Social Welfare Officers at District Social Welfare Headquarters are attached to the Social Cash Transfer Program. No job descriptions available.

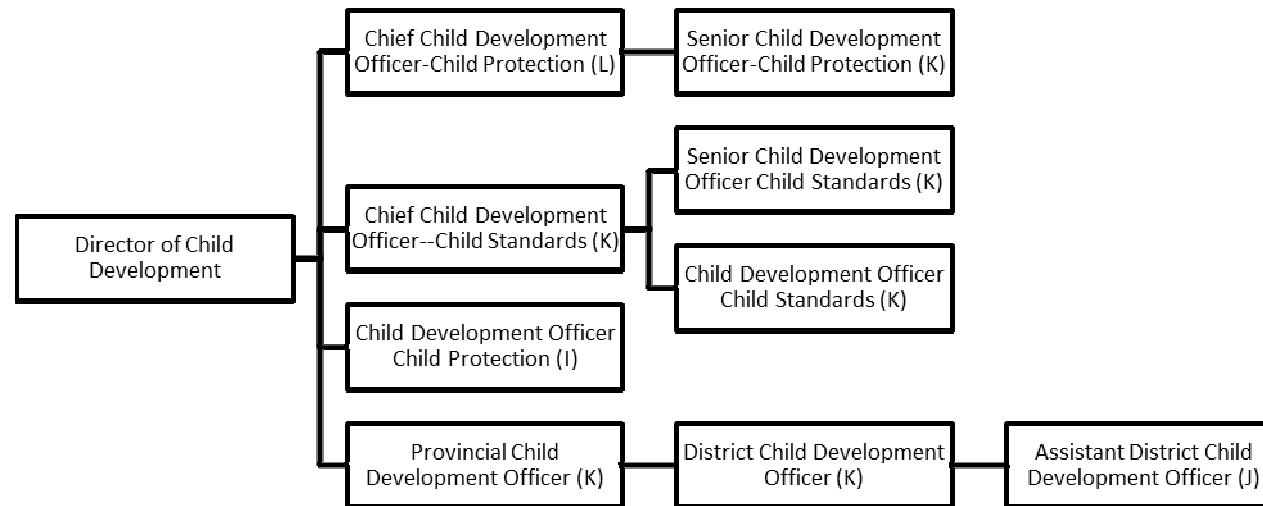
MCDMCH Department of Community Development Organisational Chart Based on Available Job Description/Specifications



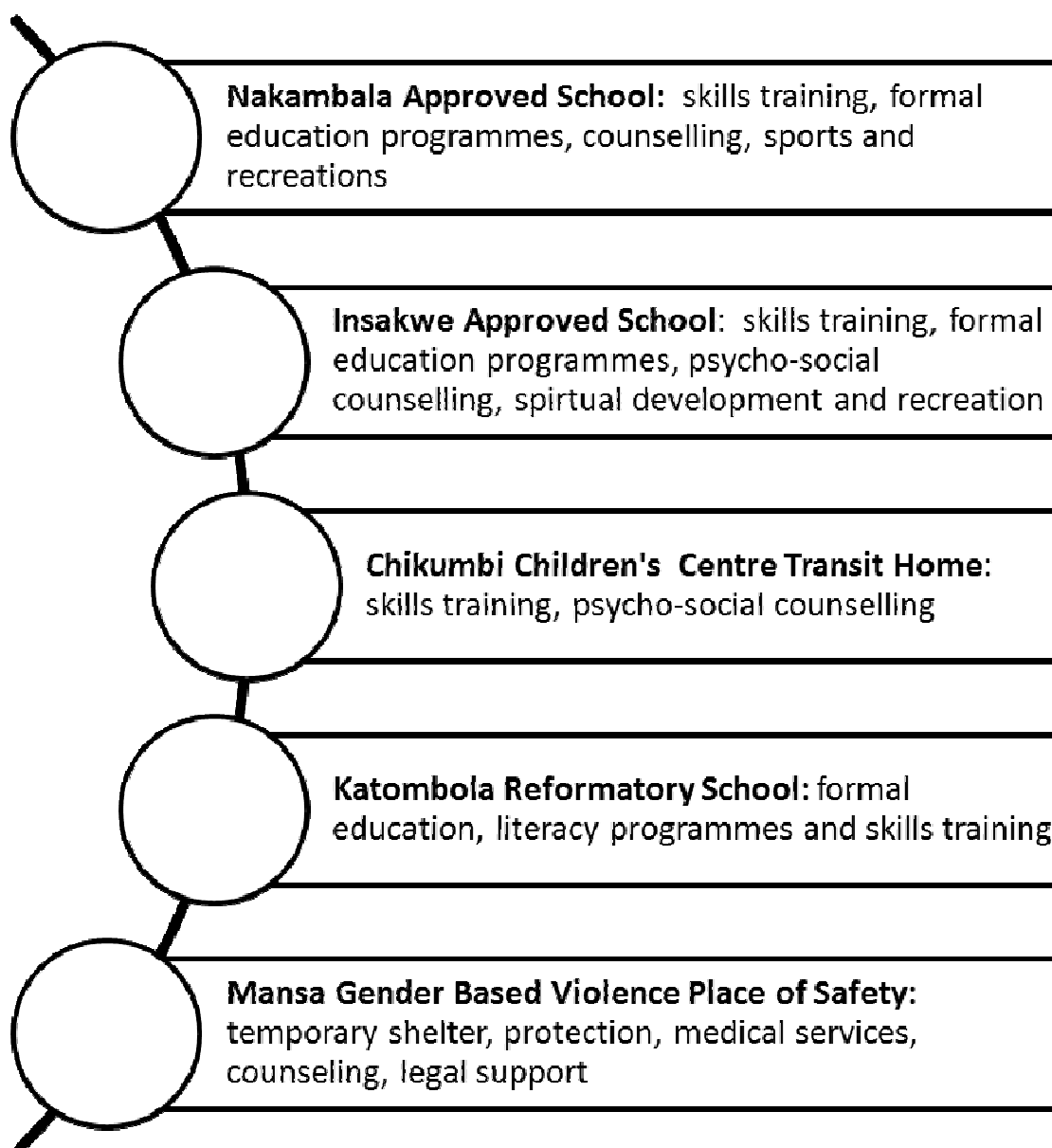
MGDC Child Standards, Child Protection and Provincial Sections



MGCD Child Development Organisational Chart Based on Available Job Descriptions



APPENDIX D: SWW INSTITUTIONS²⁷



²⁷

http://www.parliament.gov.zm/index.php?option=com_content&task=view&id=2319&Itemid=86&limit=1&limitstart=2
http://www.unicef.org/zambia/protection_12303.html

APPENDIX E: IT/HRIS INVENTORY

| Ministry | Department | Donor/NGO | IT Function | Specifics | Potential Gap/Challenge |
|--|-------------------------------------|-----------------------------|---|--|--|
| | | The World Bank Group | Support Creating a Central Registry that tracks beneficiaries of Social Welfare Programs to avoid duplication | Create Technical Working Group (TWG) to liaise w/ ministries involved in PWAS. (ex: Ministry of Ag) Consulting firm will look at MIS and facilitate interface | The TWG is only looking at beneficiaries, not at HR Only have \$1 million dollars at this point; can most likely develop the software but will need more resources to populate the database |
| | | DFID | DFID has a robust MIS system in support of the cash transfer program. | DFID has been part of fostering strong donor coordination at the district level | Donor fragmentation at the national level has impeded a coordinated effort on creating an overarch MIS/HRIS system |
| Ministry of Gender and Child Development (MGCD) | Child Protection Unit | | The police (under the Ministry of Home Affairs) have an MIS system, but most likely doesn't track HR data | | |
| Ministry of Community Development, Mother Child Health (MCDMCH) | Department of Social Welfare (DSW) | | HR database within the department | HR reports come from the Provinces and are input manually Moving towards an integrated database with other departments w/in the Ministry | Human error in input Posts vacated may not be tracked until it's too late to fill (1 year freeze point) This may currently be an Excel spreadsheet |
| Ministry of Community Development, Mother Child Health (MCDMCH) | Department of Community Development | | | | Unsure if there is a database in place If so, it is not integrated with DSW |
| Ministry of Community Development, Mother Child Health (MCDMCH) | Department of Mother Child Health | | Comes from a strong Health Management System w/in the Ministry of Health | Reported there is a strategic plan for integration | DSW and Dept. of Community Development need to align with Health |
| Ministry of Gender and Child Development (MGCD) | | | There is no data management system | There is a unit w/in the Ministry responsible for information, but as a newer ministry, they've only just begun to computerize Moving at the provincial level to connecting to Lusaka | |
| | | PLAN International | PLAN has a robust HRIS system to track | They also have an MIS The HRIS system is | The system is internal to PLAN |

| Ministry | Department | Donor/NGO | IT Function | Specifics | Potential Gap/Challenge |
|--|-----------------|--|--|--|---|
| | | | staff and volunteers in the field | online and has been rolled out PLAN is connected internationally PLAN's IT Specialist should be well vested | |
| | | UNICEF Reflections | There is a CWAC database | The CWAC database is a simple one-page form with names The districts have computers Enter registration forms in Excel Cash-based transfer data can be input and uploaded to the serve | There is no substantive HRIS system at the national level District Officers are collecting a lot of data – the info is manually collected and not pushed up. Data collected is not fully disaggregated – annual reports are done, sent to Lusaka w/ little validation Some CWAC members are illiterate so the District ends up entering the data |
| Ministry of Community Development, Mother Child Health (MCDMCH) | Human Resources | DFID will be supporting the creation of the HRIS (building on the work they've done with Health) | | Plans to create an HRIS system, but not yet HR system for Health is efficient and tracks what posts are vacant and where using their HRIS database. | Social Welfare and Community Development are not near this kind of sophisticated database Currently, SW and CD can't track when posts open, and if a post is open longer than a year it's automatically frozen and can't be filled until the Department applies to have it reviewed – have lost posts/manpower due to this inefficiency |
| Ministry of Gender and Child Development (MGCD) | Human Resources | | There is an HRIS database – however, all vital information is tracked through the national payroll | | |
| Ministry of Labour and Social Security | Social Security | | | The Central Registry has gotten unanimous endorsement – every Zambian has registered Home Affairs is migrating that information into a database That will lead to modifying, linking to monitor beneficiaries of the social protection | Registries will have to interface, and we will have to link to Health Concern about local technical capacity: Need to have local expertise build the system so they can troubleshoot without bringing in external expertise |

| Ministry | Department | Donor/NGO | IT Function | Specifics | Potential Gap/Challenge |
|-------------------------------------|-----------------|----------------------------------|---|--|--|
| Ministry of Local Government | Human Resources | | There is a national database | welfare programs | |
| | | | | Managed by the Cabinet Office; it's the division of Payroll Services Department under the Public Services Management Division HR information included: <ul style="list-style-type: none"> - Name - Position - Date Employed - Date of Appt - Age - Info on benefits - Permanent or Contract | The Provinces are linked to this database, but not the ministries at national level; ministry HR departments have to write and ask for access Performance Appraisal data is not put into the database system |
| | | USAID/Data Rising Project | Working on creating a national OVC database Working on tracking M&E through database | Have an OVC database established they hope to take national Database will sit w/in MCDMCH Have reviewed: <ul style="list-style-type: none"> - Social Cash Transfer database - MoEducation MIS - MoHealth MIS Possible to link to these and share criteria in order to migrate information | As most OVC service providers come from NGOs, they don't fall under government and are not required to report to anyone other than their donor People don't see benefit of sharing information with government Input is still currently manual (paper and pen) Frequently, departments are using Excel or paper...not working |

APPENDIX F: INTERVIEWS & FOCUS GROUPS

| Institution/Ministry/Organisation Interviewed |
|---|
| Bwafano Holistic Community Centre |
| Catholic Relief Services |
| City Planning Department |
| Department for International Development (DFID) |
| DMI St. Eugene's School of Social Work |
| Hope for Africa |
| Ministry of Community Development, Maternal and Child Health |
| Ministry of Gender and Child Development (National & Provincial Levels) |
| Ministry of Labour |
| Ministry of Local Government & Housing |
| Place of Safety |
| Plan International |
| Social Workers Association of Zambia (SWAZ) |
| United Nations Children's Fund (UNICEF) |
| University of Zambia School of Social Work |
| World Bank Group |
| World Vision |

**In addition to individual interviews with the entities listed above, interviews were held with Human Resources and Planning Offices in various Ministries that are responsible for the social welfare function. Two focus groups were also held, the first with a group of District Social Welfare Officers from a range of districts and the second with the District Development Coordinating Committee and partner NGOs.*

APPENDIX G: EXCERPTS ON TRANSFORMATIONAL LEADERSHIP FROM JOHN KOTTER'S LEADING CHANGE²⁸

Step 1: Establishing a Sense of Urgency

In an organisation with 100 employees, at least two dozen must go far beyond the normal call of duty to produce a significant change. Increasing urgency demands that you remove sources of complacency or minimize their impact.

Ways to raise the urgency level:

Creating a strong sense of urgency usually demands bold or even risky actions that we normally associate with good leadership.

- Set revenue, income, productivity, customer satisfaction, and cycle-time targets so high that they can't be reached by conducting business as usual.
- Stop measuring sub-unit performance based only on narrow functional goals. Insist that more people be held accountable for broader measures of business performance.
- Send more data about customer satisfaction and financial performance to more employees, especially information that demonstrates weaknesses vis-à-vis the competition.
- Insist that people talk regularly to unsatisfied customers, unhappy suppliers, and disgruntled shareholders.
- Use consultants and other means to force more relevant data and honest discussion into management meetings.
- Put more honest discussion of the firm's problems in company newspapers and senior management speeches.
- Bombard people with information on future opportunities, on the wonderful rewards for capitalizing on those opportunities, and on the organisations' current inability to pursue those opportunities.

Step 2: Creating the Guiding Coalition

Because major change is so difficult to accomplish, a powerful force is required to sustain the process. No one individual, even a monarch-like CEO, is ever able to develop the right vision, communicate it to large numbers of people, eliminate all the key obstacles, generate short-term wins, lead and manage dozens of change projects, and anchor new approaches deep in the organisation's culture. A strong guiding coalition is always needed – one with the right composition, level of trust, and shared objective.

²⁸ Kotter, John P., Leading Change, Boston, Harvard Business School Press, 1996.

Ways to put together a guiding coalition:

The first step in putting together the kind of team that can direct a change effort is to find the right membership. Four key characteristics seem to be essential to effective guiding coalitions.

- **Position power:** Are enough key players on board, especially the main lie managers, so that those left out cannot easily block progress?
- **Expertise:** Are the various points of view – in terms of discipline, work experience, nationality, etc. – relevant to the task at hand adequately represented so that informed, intelligent decisions will be made?
- **Credibility:** Does the group have enough people with good reputations in the organisation so that its pronouncements will be taken seriously by other employees?
- **Leadership:** does the group include enough proven leaders to be able to drive the change process?

Step 3: Developing a Vision and Strategy

Vision refers to a picture of the future with some implicit or explicit commentary on why people should strive to create that future. In a change process, a good vision serves three important purposes. First, by clarifying the general direction for change, it simplifies hundreds or thousands of more detailed decisions. Second, it motivates people to take action in the right direction, even if the initial steps are personally painful. Third, it helps coordinate the actions of different people, even thousands and thousands of individuals, in a remarkably fast and efficient way.

Ways to create an effective vision:

Effective visions seem to have at least six key characteristics.

- **Imaginable:** The vision conveys a picture of what the future will look like
- **Desirable:** An effective vision appeals to the long-term interests of employees, customers, and others who have a stake in the enterprise
- **Feasible:** A good vision comprises realistic, attainable goals
- **Focused:** A desirable vision is clear enough to provide guidance in decision making
- **Flexible:** An achievable vision is general enough to allow individual initiative and alternative responses in light of changing conditions
- **Communicable:** A useful vision is easy to communicate; it can be successfully explained in five minutes

Step 4: Communicating the Change Vision

The development of a transformational vision often requires those on the guiding coalition to spend a few hundred hours collecting information, digesting it, considering alternatives and eventually making choices. The real power of a vision is unleashed only when most of those involved in an enterprise have a common understanding of its goals and direction.

Ways to communicate a vision effectively:

Seven principles appear to be key in effective communication for successful transformation.

- **Simplicity:** To effectively communicate vision, all jargon and technobabble must be eliminated from the message.
- **Metaphor, analogy, and example:** Verbal pictures are worth a thousand words when communicating a vision.
- **Multiple forums:** Vision needs to be communicated in big meetings and small, memos and newspapers, formal and informal interactions – all effectively spreading the word.
- **Repetition:** Vision ideas sink in deeply only after they have been heard many times.
- **Leadership by example:** Behaviour from important people that is inconsistent with the vision overwhelms other forms of communication. Walk the walk, not just talk the talk.
- **Explanation of seeming inconsistencies:** Vision credibility is undermined when seeming inconsistencies are unaddressed.
- **Give-and-take:** The message of vision is strengthened when there is two-way communication rather than simply one-way communication.

Step 5: Empowering Others to Act on the Vision

Environmental change demands organisational change. Major internal transformation rarely happens unless many people assist. In order to empower a broad base of people, barriers to the implementation of the change vision must be removed. Specifically, obstacles in the areas of organisational structures, skills, systems, and supervisors must be addressed to ensure employee empowerment.

Ways of empowering people to effect change:

With the right structure, training system, and supervisors hundreds or thousands of people can be mobilized to help provide leadership in order to produce needed changes.

- **Communicate a sensible vision to employees:** If employees have a shared sense of purpose, it will be easier to initiate actions to achieve that purpose.
- **Make structures compatible with the vision:** Unaligned structures block needed action.
- **Provide the training employees need:** Without the right skills and attitudes, people will feel disempowered.
- **Align information and personnel systems to the vision:** Unaligned systems block needed action.

- **Confront supervisors who undercut needed change:** Nothing disempowers people more quickly than a bad supervisor.

Step 6: Planning for and Creating Short-Term Wins

Major change takes time, sometimes a lot of time. Visible, unambiguous evidence of immediate successes of the change process...short-term wins... is critical in sustaining the overall process.

Ways the short-term win supports positive transformation:

Short-term performance improvements help transformational change in at least six ways.

- **Provides evidence that sacrifices are worth it:** Short-term wins greatly help justify the short-term costs involved in the change process.
- **Rewards change agents with a pat on the back:** After a lot of hard work, positive feedback builds morale and motivation.
- **Helps fine-tune vision and strategies:** Short-term wins give the guiding coalition concrete data on the viability of their ideas.
- **Undermines cynics and self-serving resisters:** Clear improvements in performance make it difficult for people to block needed change.
- **Keeps bosses on board:** Short-term wins provide those higher in the hierarchy with evidence that the transformation is on track.
- **Builds momentum:** Successes turn neutrals into supporters, reluctant supporters into active helpers, and so on.

Step 7: Consolidating Improvements and Producing Still More Change

Until changed practices attain a new equilibrium and have been driven into the culture, they can be very fragile. In fact, whenever you let up before the job is done, critical momentum can be lost and regression may follow. Therefore, completing the change vision is contingent upon sustaining the change effort over time.

Ways to determine successful major change efforts:

The qualities that connote a successful change effort reflect the constant support of ongoing change.

- **There is more change, not less:** The guiding coalition uses the credibility afforded by short-term wins to tackle additional and bigger change projects.
- **More help is needed:** Additional people are brought in, promoted, and developed to help with all the changes.
- **Leadership comes from senior management:** Senior people focus on maintaining the clarity of shared purpose for the overall effort and keeping urgency levels up.

- **Project management and leadership from below:** Lower ranks in the hierarchy both provide leadership for specific projects and manage those projects.
- **Reduction of unnecessary interdependencies:** To make change easier in both the short and long term, managers identify unnecessary interdependencies and eliminate them.

Step 8 Institutionalizing New Approaches

Organisational culture is powerful for three primary reasons: 1) because individuals are selected and fully indoctrinated in it; 2) because the culture exerts itself through the actions of hundreds or thousands of people; 3) because all of this happens without much conscious intent and thus is difficult to challenge or even discuss. Therefore, new practices created in a reengineering or a restructuring must somehow be anchored in organisational culture; if not, they can be very fragile and subject to regression.

Ways to anchor change in an organisational culture:

Culture only changes after you have successfully altered people's actions, after the new behaviour produces some group benefit for a period of time and people see the connection between the new actions and the performance improvement.

- **Comes last, not first:** Most alterations in norms and shared values come at the end of the transformational process.
- **Depends on results:** New approaches usually sink into a culture only after it's very clear that they work and are superior to old methods.
- **Requires a lot of talk:** Without verbal instruction and support, people are often reluctant to admit the validity of new practices.
- **May involve turnover:** Sometimes the only way to change a culture is to change key people.
- **Make decisions on succession crucial:** If promotion processes are not changed to be compatible with the new practices, the old culture will reassert itself.

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