

# Capacity Project Toolkit

## Assessing the Human Resource Capacity for Implementation of the National Plan of Action for Orphans and Vulnerable Children: Process Description and Tool Library

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*The views expressed in this document do not necessarily reflect the views of the United States Agency for International Development or the United States Government.*

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## Context

One of the main challenges to successfully address the situation of orphans and vulnerable children (OVC) is the lack of skilled human resources in public social services and civil society sectors. Existing systems and structures are overstretched and ill equipped to cope with the demand and deliver quality and comprehensive services to meet the multi-dimensional needs of millions of children and youth affected by HIV/AIDS. Meeting these needs requires government commitment, as well as collaboration across ministries at the national, district, and local level that are coordinated by a strong government body with the support of international, national and local donors. In addition, civil society efforts should create an enabling environment to complement and harmonize with government to strengthen country systems and structures.

Guidance on OVC services is reflected in a country's National Plan of Action (NPA) and OVC Rapid Country Assessment, Analysis and Action Planning (RAAAP) and/or policy documents. The levels and types of human capacity needed to implement the national plans and policies are not well understood. An assessment of existing human capacities to deliver on a country's national plans and policies offers much needed direction for prioritizing needs and informing funding decisions.

## Purpose

The purpose of this document is to provide coordinators, stakeholders and implementers with a process, methodology and tools for assessing government human resource capacity to lead and manage an effective implementation of the NPA. The human resource (HR) assessment will take a snapshot look at the numbers, cadres, and types of skills needed at the national, district and local level government structures or systems to implement the NPA, as well as human resource management (HRM) practices such as communication, coordination, planning, supervision and monitoring and evaluation (M&E). Data collected from the needs assessment will not only serve to inform host and donor countries about existing gaps (HR policies and practices, government workforce numbers, types, skills, etc.) but will identify existing capacity and offer recommendations for maximizing their use, as well as recommend where and how technical assistance would most effectively build human resource capacity to achieve NPA goals.

This document will focus specifically on HR implications for implementation of the NPA from the *public sector* perspective and will not assess the wider systems issues and service delivery outcomes of NPA implementation. While the role of civil society is critical to NPA implementation, this assessment guide will not focus on this sector. To understand the wider context and broader systems implications, the program or relevant country body would need to employ additional approaches and tools.

It is important to recognize that an assessment of this type is not just a process of gathering and analyzing information to guide planning and action. It is a highly participatory process that provides a vital opportunity for key players—those already aware of the HR challenge and those who are not—to come together to identify the best way forward. In other words, this exercise should not be viewed as a process for singling out the HR barriers to action but more as an opportunity to facilitate the *development of a common HR agenda for strategic action* to support the timely implementation of the NPA for OVC. As in most diagnostic processes, during the course of interviewing this assessment will most likely uncover issues that are not directly related to human capacity but that directly or indirectly greatly influence human performance.

These could possibly include such contextual factors as the lack of political will for OVC, minimal operating expenses afforded to implement the NPA and other such areas. These non-HR findings should also be included in the assessment report since they will affect the recommendations for the human capacity development interventions.

Please bear in mind that each assessment is fairly unique and the HR development and/or management issues will vary from country to country. While this document serves as generic guidance, the process, people involved, and actual tools and questions used need to be adapted to the specific country's context and OVC NPA, policies and strategies.

## **Guiding Principles**

1. Use a participatory multi-sectoral and multi-level approach.
  - a. Involve a representative sample of relevant government, international and civil society bodies in the assessment. Include national, district, and local levels of the public sector.
  - b. Look beyond predefined roles and responsibilities to mobilize previously untapped resources.
  - c. Strive to develop commitment and buy-in of necessary stakeholders throughout the process so as to better ensure ownership of and intent to follow through on recommendations from the HR assessment.
2. Build on what is known and what has been previously attempted.
  - a. Identify and understand existing resources. Identify what is working well and use that to inform and improve what is working less well.
  - b. Identify areas for further development, and make recommendations on how to strengthen HR capacity to implement the NPA.
3. Question and verify.
  - a. Cross-check provided facts and numbers with persons at the same level or from different levels of government and other agencies.
  - b. Where possible and as appropriate, verify information by requesting copies of documents mentioned (i.e., policies, strategies, tracking forms, district plans, etc.).
4. Provide both short- and long-term recommendations.
5. Confirm commitment and means for action on recommendations.

## **Process Description**

The processes described are more or less sequential, but will likely overlap each other. Later developments may inform you of matters that should be addressed, and you may be required to go back and revisit an earlier process based upon new information.

### **Step one: Establish partnership with government and other OVC stakeholders**

- a. The process for conducting a HR assessment will generally begin when you are asked by a donor, international organization or directly by the client agency (usually this will be the ministry and the department/division under which the majority of overall responsibility and coordination for NPA implementation lies). The agency that requested the technical assistance should assist you in identifying the key stakeholders for the assessment process.
- b. After the major clients and stakeholders have been identified, begin communications with them via phone, e-mail and/or in person regarding the objectives of the assessment, clarification of expectations, expected outputs, process to be followed and the way forward. Ensure you are explicit regarding what support you would like from them.
- c. Identify a high-level individual to champion the OVC cause to generate energy and power behind the OVC HR assessment so that recommendations will be heeded and interventions will be implemented. Some suggested criteria for an OVC champion are: influence at national levels; expertise and/or interest in child welfare; and open and receptive to liaising with stakeholders and donors.
- d. Identify who will participate on the HR assessment team. Because the team will consist of members from a range of organizations and will be closely involved in the HR assessment, it will be important at the beginning to clarify the expectations, roles and responsibilities of each member and define how the team will work together. Examples of roles and responsibilities include convening a national-level workshop (with national stakeholders' coordination committee or task force for OVC), reviewing the process guidance and tools, adapting and selecting the questions to be asked, determining districts and local levels to be visited, selecting the interviewees, coordinating logistics and scheduling appointments, conducting the interviews and assisting with data analysis, among others.

### **Step two: Conduct desk review to obtain background information**

- a. Conduct background fact-finding and become familiar with documents and major stakeholders related to the country's OVC strategy.
  - i. Review the country's National Plan of Action for OVC, RAAAP, OVC policy and strategy, OVC M&E results, other relevant assessments, report and documents.
  - ii. Develop an expanded list of documents mentioned in the NPA and RAAAP and request documents (and any recent revisions).
- b. Review NPA objectives and note the HR functions identified in the NPA and who is responsible for them within the government as well as who needs to support government to fulfill their role (donors, UNICEF, civil society, etc.).
- c. Identify the key ministries, agencies and organizations that are involved in OVC services or issues and have a role in achieving NPA success.
  - i. Scrutinize the compiled list of ministries, agencies and organizations to assure that it includes all parts of the government (1) that have direct contact with and provide services to OVC (e.g., education, health, social welfare), or (2)

that control or impact the ability of government to deliver services to children (civil/public services administration, planning and budget, local government).

- ii. Prioritize the ministries, agencies and organizations for observations, interviews and other possible data collection inputs.

**Step three: Gather preliminary data via application of a pre-assessment questionnaire**

- a. Adapt the pre-assessment questionnaire (see Tool A for sample questionnaire) for the country context.
- b. Facilitate a “letter of introduction” or official note informing stakeholders of the purpose and importance of the pre-assessment, that this is sanctioned by the ministry and that full participation is greatly appreciated.
- c. Send out the pre-assessment questionnaire to relevant stakeholders and key informants two to three weeks prior to beginning the OVC HR assessment process in-country. If technology permits, send out the questionnaire via e-mail. If e-mail communication is unreliable, someone from the in-country OVC HR assessment team can distribute the questionnaires in person. Some examples of who to send the questionnaires to are individuals in the relevant ministry and specific department with overall oversight of the NPA, other ministries or departments with a major role in NPA implementation (i.e., Ministry of Health, Ministry of Education, etc.), OVC Steering Committee or Permanent Task Force members, donors (UNICEF, USAID, etc.), and other relevant entities.
- d. Follow up on questionnaires to ensure a high response rate. Contact the respondents if you would like further clarification regarding their responses or have additional questions.
- e. Compile and analyze information, and adapt the process and tools, as appropriate, based on the information received.

**Step four: Facilitate a national-level meeting on HR issues for OVC**

- a. To obtain grounded information on issues related to NPA implementation and how multiple stakeholders communicate and coordinate for OVC support while maximizing time and logistical resources, invite OVC stakeholders to a one-day meeting to discuss HR capacity for the implementation of the NPA. The most logical group to convene is the national coordination committee for OVC if one exists. Other stakeholders that may be included are representatives from the groups with identified responsibilities in the NPA such as the ministries of health, education, justice, home affairs, UNICEF, USAID and other international donors, as well as key civil society organizations. See Tool B for a sample agenda for the stakeholder meeting. The data collected via the pre-assessment questionnaire can serve as a springboard to the meeting. At the same time the meeting can be used to validate the data received and follow up on any points for further clarification.
- b. Facilitate the meeting for maximum participation to explore the current HR situation related to OVC; identify strengths and weaknesses of NPA implementation, verify the process for the team’s approach to data collection and

make adjustments if necessary. See Tool C for basic guidance on techniques for facilitation of the workshop.

- i. Dividing participants into small groups allows for in-depth discussion on the HR needs for meeting the NPA objectives. The participants can be divided up by ministry, sector or organization to gain further insight into how their respective structures support OVC efforts and coordinate with other entities. Participants should be given a set of pre-developed questions to guide their discussions around human resource needs. See Tool D for a sample group discussion guide.
- ii. The meeting time should also be used to conduct a communications mapping exercise to better understand how the different ministries and organizations view their roles and responsibilities, how they communicate and coordinate with one another and identify which entities must be involved to assist with provision of OVC services and NPA implementation. See Tool E for a sample communications mapping exercise and instructions.

### **Step five: Arrange logistics for conducting interviews**

- a. Select sites and persons to be interviewed with assistance from the client ministry, USAID, UNICEF and other stakeholders. Select districts and communities from among areas in the country with strong NPA implementation and areas considered to have weak implementation. The number of districts and local-level areas selected will depend on the time available, number of data collectors participating in the assessment and logistical resources (i.e., vehicle, finances). At a minimum you should plan to include two districts (one with strong NPA implementation and one having difficulties with implementation) and two local government areas or municipalities.
- b. Get a variety of opinions regarding who are the key persons to interview within the key ministries and organizations, as well as the district and local-level interviewees in the identified field sites. Discuss with partners, primary departments responsible for OVC, USAID and UNICEF to determine whom to interview.
- c. Arrange for someone to organize travel and logistics and schedule appointments for interviews ahead of time. Having the ministry responsible for OVC or the OVC champion forward a letter of introduction, especially regionally and locally, could be very helpful in getting full participation and compliance with the exercise. It is important to reconfirm appointments and interviews to ensure the individuals will be available at the date and time agreed upon. Ideally these interviews should be arranged several weeks in advance to ensure maximum availability of interviewees.

### **Step six: Conduct interviews with selected individuals**

- a. The sample questionnaire (Tool F) serves as a guide to elicit information on various aspects of human capacity and presents a fairly comprehensive list of questions on HR-related issues (policy, advocacy, management, leadership, development, communication and coordination). The questions should be reviewed and adapted to the country context prior to conducting any interviews. You may find that some questions do not apply to the country's particular situation or that there are other areas upon which you would like to gather information. Likewise, if you have facilitated the stakeholder meeting, you may want to focus on priority areas

discussed. Feel free to replace or add questions and always be conscious of the time the individuals will have available to participate in the interview.

- b. It is very important to ask follow-up questions to clarify anything you may not understand, to further define responses that are vague and to obtain additional examples and in-depth information. Asking follow-up questions is very often the best way to get the information that will be useful for really understanding what is going on so that you will be able to make recommendations for improvements at the end of the HR assessment. Some basic but effective follow-up questions include: “Can you please say more about that?”, “Can you provide an example?” and “Why do you think that is?”
- c. From the information collected during the interviews, complete the table of OVC human resources. See Tool G for the table of OVC human resources by level.
- d. Ask to see copies of any relevant reports, forms, plans and other OVC-related documents prepared by each unit or level, especially if they were mentioned in the interview.
- e. Try to verify what you are told. Check and cross-check facts and numbers with individuals at different levels of government and with individuals in different agencies at the same level.

#### **Step seven: Analyze the data**

- a. Compile and analyze information from the stakeholder meeting, all the interviews and from reviewed documents. For the interview data agree on a common data management format with the members of the data collection team.
- b. Prepare a user-friendly presentation to share preliminary data with the client ministry, USAID, UNICEF and other stakeholders of the ministry’s selection. The presentation should be short—no more than 15 minutes/15 slides if doing a PowerPoint presentation. There should be ample time for questions and discussion of the results, recommendations and a way forward.

#### **Step eight: Share information with relevant stakeholders**

- a. Hold a meeting with the client ministry, USAID, UNICEF and other stakeholders of the ministry’s selection to present preliminary data and recommendations from the HR assessment. Discuss with the client ministry how it would like to share results and explore next steps with other OVC stakeholders.
- b. Prepare a comprehensive report of the HR assessment findings and recommendations. Share with the client ministry, USAID, UNICEF and other selected stakeholders for review and feedback. Provide time-phased recommendations (e.g., short-medium-long term, within six months, six months to one year, one to two years, etc.) and identify for each the Ministry, organization or persons responsible for carrying out each recommendation.
- c. Incorporate feedback, finalize the assessment report and disseminate according to agreements reached.



## **Tool Library**

- A. Pre-Assessment Questionnaire
- B. Agenda for OVC Stakeholder Meeting
- C. Facilitator Guidance for Stakeholder Meeting
- D. Small Group Discussion Guide for OVC Stakeholder Meeting
- E. Communications Mapping Exercise
- F. Human Resource Assessment Questionnaire
- G. Table of OVC Human Resources and Skills by Level

## Tool A: Pre-Assessment Questionnaire

*(To be sent two to three weeks prior to starting the HR assessment)*

The Ministry of Gender, Equality and Child Welfare (MGECW) [adapt name of lead OVC ministry as relevant to country context] is interested in strengthening the implementation of the National Plan of Action (NPA) for Orphans and Vulnerable Children (OVC) due to HIV/AIDS. As such, the Ministry is sponsoring an assessment of the human resource (HR) capacity needed to effectively and efficiently implement the NPA.

Due to your role in the coordination of OVC efforts, you have been selected to participate in this assessment. Your candid responses to the questions below will be very helpful for identifying the strengths and weaknesses in NPA implementation and for making recommendations on how to build the HR capacity needed to reach the goals set forth in the NPA and ensure the needs of OVC are met. Your responses will be confidential, and all information received will be compiled and names and identifiers will be removed for data presentation. Please keep in mind that if you contribute something that only you or your office could comment on, that may then be recognizable. Please reply to the following questions and send your responses to \_\_\_\_\_ [insert name and e-mail address here].

Q1. What do you see as the major **strengths** in terms of the capacity of human resources and human resource management for implementing the NPA in your country?

Q2. What do you see as the major **weaknesses** in terms of the capacity of human resources and human resource management for implementing the NPA?

Q3. What suggestions do you have for strengthening human resource capacity and human resource management for improved implementation of the NPA?

## Tool B: Facilitator Guidance for the Stakeholder Meeting

### **General guidance**

NB. Ideally the stakeholders' meeting will be delivered by an experienced facilitator/trainer. Minimal guidance is outlined below. However, we are making the assumption that the facilitator will be skilled enough to design the finer details of the meeting and adapt them accordingly. (For example, lunch should be scheduled according to local customs, appropriate political protocol should be observed when opening the meeting, etc.)

### Before the meeting:

- **Review** the pre-assessment data and identify key issues or components of the NPA for further exploration and around which to convene small groups during the meeting. Adapt the small group discussion guide (Tool D) as appropriate.
- **Prepare logistics.** Ensure that participants have been invited and confirmed. Visit the venue and ensure there is enough space and technological support to facilitate the workshop. Confirm all logistics and test technology (if used). Obtain necessary supplies and ensure copies of any needed handouts have been made (see list of materials and supplies needed). Confirm break and lunch arrangements.
- **Set up room** at least 30 minutes before participants are scheduled to arrive. Arrange the room using tables where participants can easily accomplish small group tasks and participate in discussions. Place flipcharts where everyone can see them clearly. Hang any prepared flipcharts you will be using in order of your presentation. Ensure participants have a folder with plain paper and pen or pencil prior to the beginning of the workshop. Set up laptop and LCD projector.

### Materials and supplies needed:

- Markers/pens
- Flipchart paper
- Masking tape
- Handouts of agenda, small group questions (adapted)
- Folders, notebooks
- LCD projector (if doing PowerPoint presentations) and laptop

### During the meeting:

- **Facilitate introductions of participants.** Ask meeting participants to succinctly answer the following questions: Name and organization? Role vis-à-vis OVC and one expectation for this meeting?
- **Present the objectives and agenda.** Link the objectives to participants' expectations whenever possible. Hand out the agenda (Tool B) to participants.
- **Set the context regarding the NPA for OVC.** Official from lead ministry for OVC offers a brief overview of the NPA. This is followed by a summary of the pre-assessment data collected.
- **Describe the process/methodology** to be used to conduct the HR assessment in the country (i.e., site selection, sample, size, tools, data collection teams, etc.). Field any questions stakeholders may raise.

- **Facilitate small group discussions and report out** around key issues (see guidance below). Collect flipcharts from each group for transcription and use in the HR assessment report. Methodology for the reporting out should be driven by the number of small groups and time available.
- **Introduce the communications mapping exercise** (see guidance below).

### ***Small group discussion***

Using the pre-assessment data and the NPA, identify the priority areas or themes around which to convene small groups. Ask participants to self-select the area around which they would most like to contribute. Ideally small groups should be no larger than eight to ten participants. Below are generic examples of possible questions to guide small group discussions. However, ideally you should adapt the questions to fit the topics raised in the pre-assessments, as well as the country context. For example, if *coordination among stakeholders* was highlighted as a critical issue, convene a small group around the topic of coordination with questions designed to tackle this specific issue.

At the conclusion of the stakeholder workshop you should have a much clearer sense of which priority areas and issues to highlight in the subsequent interviews. You should reflect on your questionnaire and adapt the questions based on results of the stakeholder workshop. For example, if stakeholders cited staffing as the greatest impediment to the implementation of the NPA, you should consider focusing some of your interview on that topic and potentially adding follow-on questions. However, be mindful that you will want to ask the full range of questions at each level to ensure a holistic understanding and objective analysis of the HR capacity in regards to OVC.

### ***Communications mapping exercise***

Ask each participant to work individually for five to ten minutes to complete Table I: Communications and Coordination for NPA Implementation (see Tool E) by answering the following questions:

1. With whom do you need to communicate to complete your NPA work? This can be a person, group or department. (Probe: Anyone else?)
  - a. Inside your office?
  - b. Outside your office but within your ministry?
  - c. Outside your ministry but within government?
  - d. Outside government? (This includes steering committees with members outside the government, NGOs, civil society, etc.)
2. For each person or group identified, what is the purpose of this communication? That is, what do you need from the interaction with this person or office?
3. How many times a month do you need to/should you communicate with this office to complete your work?
4. How many times a month do you *actually* communicate with this office?

Note: However, if there are many individuals from the same department or office, you should have them work on this together since their responses may be quite similar.

When the participants have completed their respective tables, ask them to represent visually the information in their table by drawing a circle in the middle of a sheet of paper to represent themselves and other circles to represent each stakeholder (person or office) with which they communicate (i.e., those they listed in their table). Draw lines between the circle in the middle and each additional circle to represent the number of communications per month.

While the participants are working on the above, the facilitator should tape up a number of flipchart papers on the wall to create a mural. Once each participant or small group is done with the visual diagram, ask one person/group to transfer the diagram to the mural. Then have each participant/group build on the mural by adding information and connecting to the circles already on the mural. For example, if a circle representing the Ministry of Education (MOE) is already on the mural, you should not draw another circle for the MOE but instead draw lines connecting the MOE to another person/office. In the end you should have a large diagram showing all the offices/organizations and people who are communicating in relation to OVC NPA.

When all are done adding their diagrams to the mural, ask participants to come to the mural and review the different diagrams. In plenary discuss the following:

- With which people or offices are we communicating enough now?
- With which people or offices do we need to communicate more? Is there any organization/department not mentioned that should be included?
- What are some of the reasons communication is poor with these people/offices?
- What are some actions to improve communication?

## Tool C: Agenda for OVC Stakeholder Meeting

**OVC Stakeholder Meeting**  
**Insert Name of Lead Ministry for NPA**  
**Date and Venue**

**Objectives:**

- To identify critical challenges facing the implementation of the NPA to further inform the human resource assessment of the NPA for OVC
- To further strengthen networking between stakeholders in relation to the provision of OVC support and service

### **AGENDA**

- |            |  |
|------------|--|
| 8:00 a.m.  | Registration   |
| 8:30 a.m.  | Welcome and opening remarks <ul style="list-style-type: none"><li>• Introductions of participants</li><li>• Meeting objectives</li></ul>   |
| 9:00 a.m.  | Setting the context: National Plan of Action for OVC—where are we now? <ul style="list-style-type: none"><li>• Presentation of pre-assessment data</li></ul>                     |
| 9:30 a.m.  | What is a human resource assessment? <ul style="list-style-type: none"><li>• Relationship to NPA</li><li>• Process description</li></ul>   |
| 10:00 a.m. | Small group discussions around key issues  |
| 11:15 a.m. | Tea break  |
| 11:30 a.m. | Report out and discussion of small group work  |
| 12:30 p.m. | Lunch  |
| 1:30 p.m.  | Communications mapping exercise <ul style="list-style-type: none"><li>• To identify which entities must be involved to assist with OVC HR planning and problem-solving</li></ul> |
| 3:00 p.m.  | Report out of communications mapping exercise  |
| 3:45 p.m.  | Next steps   |
| 4:00 p.m.  | End of meeting   |

## **Tool D: Small Group Discussion Guide for OVC Stakeholder Meeting**

### ***Instructions for small group work***

Do “re-introductions” quickly. Select a chairperson/facilitator and a rapporteur for your group. Then go around the group, giving each person a chance to answer the first question. Discuss the question and move to other questions. Summarize key points to share in plenary and be prepared to share some examples when asked. Please write your group’s summary on flipchart paper.

### **Questions**

1. How do you feel the NPA implementation is progressing in this priority area?
2. What aspect of your assigned priority area is most in need of improvement? Why?
3. What are the human resource (HR) barriers related to this priority area? (i.e., staffing, skills and knowledge, HR management practices of planning, advocacy, coordination/communication, skills development, supervision/performance support, monitoring and evaluation).
4. What recommendations do you have to strengthen the HR capacity to improve implementation of the NPA in this priority area?

## Tool E: Communications Mapping Exercise

**Facilitator:** This tool is designed to be applied during the stakeholder meeting. The tool will help implementers understand the gap between the desired and actual amount of communication and coordination with the other ministries and organizations necessary to carry out their responsibilities for NPA implementation. See instructions for use under Facilitator Guidance in Tool C.

**Table I. Communications and Coordination for NPA Implementation**

With whom do you communicate/ coordinate	Purpose	Desired frequency of communication (# per month)	Actual frequency of communication (# per month)	Comments (include communication barriers, challenges, facilitators)
Inside your own office				
Outside your office but within your ministry (or organization)				
Outside your ministry (organization) but within government				
Outside government				



## Tool F: Human Resource Assessment Questionnaire<sup>1</sup>

**Read to interviewee:** Hello. My name is \_\_\_\_\_. The Ministry of \_\_\_\_\_ [*insert name of lead Ministry sponsoring the assessment*] is interested in strengthening the implementation of the National Plan of Action (NPA) for Orphans and Vulnerable Children (OVC) due to HIV/AIDS. As such, the Ministry is sponsoring an assessment of the human resource (HR) capacity needed to effectively and efficiently implement the NPA.

Due to your role in support of OVC efforts, you have been selected to participate in this assessment. Your candid responses will be very helpful for identifying the strengths and weaknesses in NPA implementation and for making recommendations on how to build the HR capacity needed to reach the goals set forth in the NPA and ensure the needs of OVC are met. Your responses will be confidential, and all information received will be compiled and names and identifiers will be removed for data presentation. Please keep in mind that if you contribute something that only you or your office could comment on, that may then be recognizable.

Do you have any questions? Would you mind if I take notes while we talk? You are free to look at what I write during the course of the interview.

---

**Interviewee’s organizational affiliation:** \_\_\_\_\_

**Location:** \_\_\_\_\_

**Interviewee’s role:** \_\_\_\_\_

### Questions

#### National Plan of Action

- I. Review strategic priority areas or objectives of the NPA with the interviewee(s). For each priority area/objective ask the following questions:

Priority Area/ Objective	a. What things in this area are progressing well?	b. What is in need of improvement?	c. What suggestions do you have to improve them?
Fill in country’s specific areas from NPA			

<sup>1</sup> This questionnaire serves as a general guide to cover the HR areas of interest. The questions must be tailored to each country’s specific context.

### Coordination and communication

2. Has a body been formally established to coordinate the NPA for OVC at your level? If yes, how well does it function? What is needed to improve its function(s)?
3. What role does your unit play in coordinating and implementing the NPA? Which NPA objectives are relevant to your work?
4. Who are the other key stakeholders providing OVC direction, support and/or services (i.e., other ministries, NGO/FBOs, donors, etc.)? What is their role?
5. How does your unit coordinate and communicate with other units, ministries, levels and other organizations regarding OVC issues?

### Policy, planning, and advocacy

6. How do you ensure that priority needs of OVC in your area are considered, understood and acted upon in relevant plans, policies and for resource allocation?

### Human resource capacity and development

7. Who are the human resources/cadres that deliver the OVC services at your level? What are their specific roles and responsibilities?
  - a) How many are needed vs. how many are actually available? (*Interviewer: Use Tool G to organize the information*). How long does it take to fill a vacant post? If you have difficulty filling certain posts, why is that?
  - b) What knowledge and skills do staff currently have vs. what knowledge and skills they need to perform their OVC responsibilities effectively? (*Interviewer: Use Tool G to organize the information.*)
  - c) How do staff in this unit involved in the delivery of OVC services acquire training and stay updated? Which institutions, departments or organizations provide training in OVC-related areas?
8. What other people outside of your unit could be tasked with taking on OVC responsibilities (for example, volunteers, NGOs, traditional leaders, etc.)? What might their roles be?

### Human resource management and leadership

9. How are you made aware of your duties and your role in relation to OVC? May I see your job description? (*Interviewer: ask for a copy, look if OVC specific responsibilities are included.*)
10. How is your performance managed? (i.e., supervision, performance monitoring and feedback, performance appraisals, etc.)
11. How do you prioritize your daily tasks to ensure your OVC responsibilities are met?

### Monitoring and evaluation

12. What information is being collected regarding OVC? How and by whom?
13. How is the data being used? (i.e., for planning, budgeting, activity monitoring, etc.)

### Resources

14. How is the budget that supports your unit's OVC responsibilities developed?
15. What needed equipment, supplies, furniture, infrastructure, and vehicles are you lacking that hamper you from meeting your OVC responsibilities, if any?

### Decentralization (This is an optional section of questions)

*NB. If your country is undergoing or will soon undergo a process to decentralize the OVC function from the national to the regional/district level, these questions may prove helpful.*

- What is your understanding of the proposed decentralization of the OVC function and services?
- What benefits do you see with these changes? What problems may arise?
- What will be the impact of these changes on your role and ability in meeting your OVC responsibilities?

## Tool G: Table of OVC Human Resources and Skills by Level

Post/Category of Worker for NPA Implementation	Level					
	Central		Regional/ District		Local	
	Number needed	Number filled	Number needed	Number filled	Number needed	Number filled
OVC coordinator						
Social worker						
Case manager						
Clerk						
Community worker						
Volunteers						
Fill in other cadres						

Category of Worker for NPA Implementation	Level					
	Central		Regional/District		Local	
	Skills required	Skills available	Skills required	Skills available	Skills required	Skills available
OVC coordinator						
Social worker						
Case manager						
Clerk						
Community worker						
Volunteers						
Fill in other cadres						

**The Capacity Project** is an innovative global initiative funded by the United States Agency for International Development (USAID). The Capacity Project applies proven and promising approaches to improve the quality and use of priority health care services in developing countries by:

- Improving workforce planning and leadership
- Developing better education and training programs for the workforce
- Strengthening systems to support workforce performance.

### ***The Capacity Project Partnership***



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