



**CAPACITY DEVELOPMENT
COUNTRY SUPPORT**

IMMUNIZATION SUPPLY CHAIN

**HUMAN RESOURCES
RAPID ASSESSMENT**

**TRAINING GUIDE &
QUESTIONNAIRE**

Document: HR for the Immunization Supply Chain
Rapid Assessment: Training Guide

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1 INTRODUCTION

1.1 HR for the Immunization Supply Chain

Strong supply chains are essential for positive health outcomes. Effective supply chains require a competent, recognized and supported supply chain workforce with significant technical and managerial capacity. This demands that governments and national health institutions demand, recruit and retain appropriately qualified personnel for positions with supply chain responsibilities.

The GAVI Alliance immunization supply chain (SC) strategy promotes five fundamental building blocks: human resources (HR), data for management, cold chain systems, SC system design and continuous improvement. A critical part of the vision for the Alliance immunization supply chain strategy is that countries have dedicated and competent immunization SC leaders with adequate numbers of skilled, competent, accountable, motivated, and empowered personnel at all levels of the health system. Hence, one of the building blocks of the strategy being HR, which focusses on the need for strengthening HR for immunization SC management.

1.2 The HR Rapid Assessment Tool

The cEVM (Comprehensive EVM) approach proposed by WHO and UNICEF responds to the need for countries to develop solid immunization supply chain plans and to link them to cMYP and opportunities for HSS or other funding. The current EVM approach will be evolved to consistently result in operational plans that include components across all the five fundamental building blocks of the supply chain strategy.

The cEVM includes an increased focus on HR, in order to ensure that HR considerations are adequately covered within the comprehensive immunization supply chain plans and integrated into the overall continuous improvement approach in countries.

This training guide allows users to undertake a Rapid Assessment of the HR aspects of the ISC, using the 'HR Module of the cEVM' as a stand-alone tool.

2 METHODOLOGY

2.1 Introduction

This Section outlines the methodology for assessing HR for the Immunization Supply Chain in a country. In order to ensure a reliable evidence-based outcome of the assessment that reflects the true needs of the country, the methodology comprises a process of information validation and triangulation, through cross verification of data from various sources. As such, the methodology consists of a 4-step approach to data collection, analysis and sharing, resulting in practical action.

2.2 4-Step Approach

Step 1. Undertake a Desk Review

Step 2. Carry out HR Rapid Assessment

Step 3. Formulate Findings & Recommendations

Step 4. Agree Action Plan



Step 1. Desk Review

The desk review is an important part of the assessment. Collect, organise and synthesise available information. Understand the country context, the health system, public health priorities, health care trends. Find out who the key players are. What has been written about Human Resources for Health (HRH) and about the public sector Supply Chain in particular? Identify gaps in what is generally known. The desk review includes scanning the literature, analysing and creating a reference list so that all documents are organized and easily accessible to all.

Scan the literature

Obtain relevant documentation by contacting key individuals. Scan the internet for country-specific grey (unpublished) literature. Look for articles, studies and reports related to the Supply Chain and associated topics. Keep focused on the scope of the assessment and the information you will need for the preliminary synthesis and to write the final report. Obtain the most recent EVM Dataset, Report and Implementation Plan.

Analyse available data

Analyse publicly available data, as well as data that is available through government (MoH), UNICEF and partner agencies. Extract relevant information from EPI reviews, joint appraisals, HSS bottleneck analyses, etc. The initial desk review should also include the existing SOPs for ISC Management to understand what functions the SC workforce are carrying out. Look for trends, gaps and opportunities for which your findings and recommendations may contribute to strengthening HR for the ISC. The objective is to have a solid evidence base to formulate a comprehensive plan for improving HR for the ISC.

Analyse EVM assessment

WHO and UNICEF introduced the Effective Vaccine Management (EVM) initiative to help countries evaluate the performance of their vaccine management practices, against a benchmark of performance standards. The EVM ensures continuous improvement and provides a platform for supply chain strengthening.

Analysis of the most recent EVM Dataset, the EVM Report and the EVM Improvement Plan yields rich information related to HR, both in terms of quantity and quality. In order to do this analysis, filter out those EVM questions that are HR-specific (refer to Annex 4). By doing this analysis, we obtain insight into HR-related strengths and weaknesses, for each of the 9 EVM criteria, at the time of the most recent EVM assessment.

Create a reference list

All content of the resulting report must be properly cited and verifiable—this will boost the credibility of findings and recommendations, as well as expedite the report-writing process. Create an annotated, linked list of all resources, including web links to resources whenever such links are available. This has the advantage that reference documents are readily accessible to all.

Step 2. HR Rapid Assessment

Application of the HR Rapid Assessment tool requires engaging with relevant stakeholders, including MoH EPI Department, UNICEF Country Offices and other partner agencies who are involved in the Supply Chain at all levels of the system.

The duration of country assessments will depend on various factors, including accessibility, the country context and the complexity and level of maturity of the Supply Chain. Typically, completing the questionnaire may take one to two weeks in total, in-country. A pre-condition for an efficient assessment is that a proper desk review has been carried out.

Conduct interviews

Initial briefing by the EPI Manager/National SC Manager on the EPI programme, Supply Chain structure, etc. in order to gain a full understanding of the country context before the assessment begins. Through a process of one-to-one interviews, group discussions and observation, obtain insight into the workings of the Supply Chain at national and sub-national level. Guide the discussions and questioning by drawing on your findings from the desk review and EVM analysis.

Engage with MoH

Questions about vacancies and funding for posts are best answered at MoH/national level. Depending on the situation, these questions may be answered by the Supply Chain Manager or EPI Manager. Interview SC workers, using the HR questionnaire as a guideline. Allow interviewees to elaborate on their answers. Print as many questionnaires as needed.

Site visits

Visit the national vaccine storage facility and at least one sub-national depot, so as to obtain insight into regional/district perspectives. Interact with warehouse managers and support staff to get a good understanding of HR-related issues and constraints. Ask key questions guided by the HR questionnaire. Complete the HR questionnaire.

Step 3. Findings & Recommendations*Draft report*

Based on the findings from desk review, country visits and interviews, prepare the draft HR Assessment Report, using the standard format for this report. Findings and evidence-based recommendations culminate into a prioritised list of practical action points, that address key HR for SC constraints.

Consensus seeking

Obtain consensus on the recommendations and practical action points by circulating the draft report to key stakeholders, inviting them to comment and provide feedback. Prepare the final report and disseminate.

Step 4. Agree Action Plan*Practical action*

Once the recommendations and practical action points have been agreed upon by all parties, it is important that these are acted upon. Practical action requires teamwork involving all stakeholders, including Ministry of Health, UNICEF Regional Office, UNICEF Country Offices and partner agencies. The types of action will vary depending on government and partner priorities and the country context. Agree on a prioritised action plan with measurable progress indicators, stating who is responsible for what.

National ownership

Ensure national ownership by working closely with MoH at all times. The National Logistics Working Group, if it exists and is functional, will be an important vehicle to generate momentum and ensure follow-up of practical action.

2.3 Completing the Questionnaire

In order to answer the questions, gather information by following the 4-Step approach outlined in the previous section. Answer each question in writing, in some detail.

As you answer the questions, consider all levels of the Supply Chain, where applicable:

PR = Primary (National) Level
SN = Sub-National Level
LD = Lowest Distribution Point
SL = Service Level

Assessment questions have been formulated in such a way that they can be summarised in the matrix by either 'YES', 'NO', or n/a (not applicable).

Summarise the scores in the matrix. A simple formula is used to calculate the scores. Yes=1, No=0. Maximum score is 100% when all answers are 'yes'.

For example: Suppose there are 8 questions. 5 questions are answered 'Yes', 2 are 'No' and 1 is 'n/a'. The score will be $5/7 = 71\%$.

Colour codes are applied to the scores as follows:

≥ 80%	Green
65-80%	Yellow
≤ 65%	Red

3 QUESTIONNAIRE

3.1 HR Planning

3.1.1 HR Policy

A ministerial policy must be in place that covers key aspects of human resources for health, including training, supervision, working conditions and career paths.

Find out:

Whether the MoH has an HR policy, what the content of that policy is and whether the Supply Chain is clearly represented in the MoH organogram.

Questions/Findings:

1. *Does the MoH have an HR policy?*

If not, go to Q7

2. *Does the MoH HR policy cover training?*

3. *Does the MoH HR policy cover supervision?*

4. *Does the MoH HR policy cover working conditions?*

5. *Does the MoH HR policy cover career paths (staff promotion)?*

6. *Does the MoH HR policy include the Immunization Supply Chain function?*

7. *Is the Supply Chain function clearly represented in the organogram of the MoH?*

Summary of Findings

HR POLICY		PR	SN	LD	SL
01	The MoH has an HR policy (If No, go to 07)				
02	The MoH HR policy covers training				
03	The MoH HR policy covers supervision				
04	The MoH HR policy covers working conditions				
05	The MoH HR policy covers career paths (staff promotion)				
06	The MoH HR policy includes the SC function				
07	SC clearly represented in the organogram of the MoH				
	Aggregate scores				

3.1.2 Posts Filled

Human Resources are the most important resource in the vaccine supply chain. Vacancies have an immediate impact on the functioning of the supply chain, in that they cause certain tasks not being carried out or not being carried out properly. Vacancies cause stress for existing staff who feel compelled to take on tasks that are outside their scope of work.

Find out:

Whether vacancies hamper the proper functioning of the Supply Chain.

Questions/Findings:

8. *Have you identified and documented the 'optimum staffing structure' for your Supply Chain?*

9. *Is there a national EPI Manager in post?*

If yes, go to 11

10. *Is there a person responsible for the management of the national EPI program?*

11. *Is there a national Logistics/Cold Chain officer in post?*

If yes, go to 13

12. *Is there a person responsible for logistics/cold chain at the national level?*

13. *Are there sufficient support staff? Note: Consider whether all SC support staff posts are currently filled (Store managers, district managers, health workers with SC responsibilities).*

14. *Is there a senior member of staff who is responsible for Quality Management (QM)? Note: This may not be a full time position.*

Summary of Findings

POSTS FILLED		PR	SN	LD	SL
08	Optimum SC staffing structure identified and documented				
09	National EPI Manager in post (If Yes, go to 11)				
10	Person responsible for management of national EPI program				
11	National Logistics/Cold Chain officer in post (If Yes, go to 13)				
12	Person responsible for Logistics/Cold Chain at national level				
13	Sufficient SC support staff				
14	Senior Quality Management Officer				
	Aggregate scores				

3.1.3 Recruitment

Recruitment is the process of finding and hiring the best-qualified candidates from within or outside the organization. The recruitment process includes analysing the requirements of a job, attracting employees to that job, screening and selecting applicants, hiring and integrating the new employees to the organization.

Find out:

Whether sustainable funding is available to fill vacancies and whether recruitment is underway.

Questions/Findings:

15. Are all staff positions filled? (meaning: there are no vacancies)

If yes, go to 17.

16. If there are currently SC vacancies, is a recruitment process underway to fill those?

17. When there are SC vacancies, is funding available to fill those?

18. When there are SC vacancies, is the available funding sustainable (i.e. from government)?

19. Does the MoH have sufficient in-house HR Surge Capacity to deal with immunization-related emergencies?

Summary of Findings

RECRUITMENT		PR	SN	LD	SL
15	All staff positions are filled (If Yes, count 16 as yes and go to 17)				
16	A recruitment process is underway				
17	Funding is available to fill SC-related vacancies				
18	Funding to fill vacancies is sustainable				
19	Surge capacity				
	Aggregate scores				

3.2 HR Management

3.2.1 Working Conditions

Motivating employees is a combination of fulfilling their job expectations and putting in place workplace factors that enhance their job satisfaction. Key to an efficient workforce is to provide a work environment that is supportive of employees becoming motivated and satisfied.

Find out:

Whether working conditions for SC staff enhance worker motivation and job satisfaction.

Questions/Findings:

20. *Are workers satisfied with working hours?*

Are working conditions satisfactory in terms of:

21. *Physical infrastructure?*

22. *Tools and equipment (internet, computer, mobile phone, protective clothing)?*

23. *Personal safety in the workplace?*

24. *Are toilet facilities available close to the workplace?*

25. *Are toilet facilities sufficient, in relation to the number of workers?*

26. *Are toilet facilities clean and hygienic?*

27. *Are kitchen facilities available close to the workplace?*

Summary of Findings

WORKING CONDITIONS		PR	SN	LD	SL
20	Workers satisfied with working hours				
21	Physical infrastructure				
22	Tools and equipment				
23	Personal safety				
24	Toilet facilities close to workplace				
25	Toilet facilities sufficient in number				
26	Toilet facilities clean and hygienic				
27	Kitchen facilities close to workplace				
	Aggregate scores				

3.2.2 Job Descriptions

Job descriptions are broad written statements of a specific function. They form the basis for supportive supervision and for periodic performance evaluation of staff. Job descriptions ensure that staff is fully informed and aware of their responsibilities.

Find out:

Whether job descriptions are in place for SC workers.

Questions/Findings:

28. *Does the facility have a documented description of its functions and tasks?*

29. *Do job descriptions exist for the workers?*

30. *Do workers have a copy of his/her job description readily available?*

31. *Do workers have a routine work schedule? (e.g. daily, weekly)*

32. *Does the primary educational qualification of the workers match their job description?*

Summary of Findings

JOB DESCRIPTIONS		PR	SN	LD	SL
28	Facility has documented description of its functions and tasks				
29	Job description exists for the workers				
30	Workers have a copy of their job description				
31	Workers have a routine work schedule (e.g. daily, weekly)				
32	Educational qualification matches job descriptions				
	Aggregate scores				

3.2.3 Supportive Supervision

Supportive supervision is an iterative process of helping staff to improve their work performance. It is carried out in a respectful and non-authoritarian way with a focus on using supervisory visits as an opportunity to improve staff performance. Supportive supervision is based on a constructive dialogue between a supervisor and an employee.

Find out:

Whether systematic supportive supervision takes place and whether the supervisor has the means to carry out routine visits.

Questions/Findings:

33. *Do the workers receive periodic supportive supervision?*
34. *Do the workers receive at least two supportive supervisory visits per year?*
35. *Are visits by the supervisor planned according to an agreed schedule?*
36. *Does the supervisor have transport to carry out the visits?*
37. *Does the supervisor have finance to carry out the visits?*
38. *Does the supervisor make use of a formal checklist during supervisory visits?*
39. *Do the workers receive immediate feedback after supervisory visits?*

Summary of Findings

SUPPORTIVE SUPERVISION		PR	SN	LD	SL
33	Workers receive periodic supportive supervision				
34	Workers receive at least two visits per year				
35	Visits by supervisor planned according to agreed schedule				
36	Supervisor has transport to carry out the visits				
37	Supervisor has finance to carry out the visits				
38	Supervisor makes use of a formal checklist during visits				
39	Workers receive immediate feedback after supervisory visits				
	Aggregate scores				

3.2.4 Performance Monitoring

Performance monitoring, also referred to as worker appraisal, is an essential part of optimising productivity and quality of work of the workforce. This is typically done once a year. It measures what an individual actually does as opposed to what they can do. The objective of performance monitoring is to create opportunities to improve knowledge, skills and performance, which the aim to increase a health worker's motivation and job satisfaction.

Find out:

Whether periodic performance reviews take place for SC staff.

Questions/Findings:

40. *Do workers have periodic performance reviews?*

41. *Do performance reviews take place at least once per year?*

42. *Is a reward system in place for workers who perform well?*

Summary of Findings

PERFORMANCE MONITORING		PR	SN	LD	SL
40	Workers have periodic performance reviews				
41	Performance reviews take place at least once per year				
42	Reward system in place for workers who perform well				
	Aggregate scores				

3.3 HR Development

3.3.1 Competency Levels

Different jobs require different levels of competency for successful performance. Competency level scales usually consist of: (i) Limited, fundamental awareness, (ii) Basic level of competency, (iii) Proficient, (iv) Advanced, and (v) Expert. Not all jobs will require the highest levels of competency and some may not require certain competencies at all.

43. Obtain scores for HR competency levels from the latest EVM Assessment.

Depending on which version of EVM was used for the latest EVM Assessment:

EVM 1.0

EVM 1.0 contains competency-related questions for all nine E-criteria. A distinction is made between high- and low-priority questions. Competencies grouped under the nine criteria are a collection of knowledge, skills and abilities pertaining to these criteria.

In order to assess competence of the workforce, analyse the most recent EVM dataset. Use radar and bar charts to visualise the HR Scores by E-Criteria, by level of the Supply Chain and by Type of Competence. See Annex 3 for examples of radar graphs. Interpret the findings and comment on HR areas of weakness. See Annex 4 for HR-related questions extracted from the full EVM dataset.

In the event that an in-depth HR analysis of EVM data is not carried out, use the overall EVM E-scores as a proxy to quantify HR strength of the Immunization Supply Chain.

EVM 2.0 (cEVM)

EVM 2.0 is expected to become available in the course of 2017. Extract the HR scores by E-Criteria and by level (PR, SN, LD, SL) and enter the data into the HR Assessment data collection tool (Excel).

3.3.2 Training

Health workers often express concern about the lack of opportunities for Continuous Professional Development (CPD). The absence of training opportunities may impact on staff morale and motivation and thus contribute to poor performance and staff attrition. Within the supply chain function, opportunities must be available for periodic in-service training, as well as long term training for selected individuals.

Find out:

Whether a periodic TNA is carried out and whether workers are routinely trained.

Questions/Findings:

44. *Does the MoH carry out a comprehensive TNA for SC workers at least once every 5 years?*

45. *Have workers been trained during past 12 months?*

46. *Do workers take initiative to undertake training?*

47. *Do workers receive 1-2-1 mentoring and coaching?*

48. *Are relevant training materials available on location?*

49. *Is there strong collaboration with local educational institutions related to SCM?*

Summary of Findings

TRAINING		PR	SN	LD	SL
44	MoH carries out TNA at least once every 5 years				
45	Workers received training (past 12 months)				
46	Workers take initiative to undertake training				
47	Workers receive 1-2-1 mentoring and coaching				
48	Training materials available on location				
49	Collaboration with local educational institutions related to SCM				
	Aggregate scores				

3.3.3 Career Paths

Well-defined succession plans and promotion opportunities are key to health worker motivation and retention. Conversely, the lack of these lead to health workers feeling trapped in their positions, which makes them more susceptible to the ‘pull factors’ of migration. Health workers often serve in the same position for years without any promotion or increment. This is likely to have a negative impact on job satisfaction and motivation and thus on job performance.

Find out:

Whether SC staff have promotion opportunities.

Questions/Findings:

50. *Do workers have clearly defined career path and promotion opportunities?*

Note: Staff managing the supply chain are professionals in their respective fields e.g. pharmacist, nurses, etc. hence they may have a clearly defined career path and promotion opportunities within their field.

51. *Are promotion opportunities linked to performance appraisal outcomes?*

Summary of Findings

CAREER PATHS		PR	SN	LD	SL
50	Clearly defined career path and promotion opportunities				
51	Promotion is linked to workers performance				
	Aggregate scores				

4 REPORTING FORMAT

4.1 Introduction

4.1.1 Introduction to [Country]

Brief introduction to the country being assessed. Include key features, such as geographical location, population and whether the country is a conflict state. Include a map of the country as an Annex.

4.1.2 Health Care System

Describe the structure of the health care system. Outline government policies and strategies. Include health indicators and immunization coverage figures. Discuss HRH (Human Resources for Health). Mention which aspects of health care management are centralised and decentralised. Illustrate with an organogram.

4.1.3 Immunization Supply Chain

Describe how the ISC is organised. Does the MoH manage and staff the Supply Chain, or is the procurement and distribution of vaccines outsourced? Is the ISC integrated into the general SC? Include a diagram of the structure, if available.

4.1.4 Human Resources for the ISC

What is the status of Human Resources for Health (HRH) in the country? What are specific problems in recruiting and retaining health workers? What is known about HR for the ISC?

4.1.5 Findings from EVM Assessment

Give the findings from the most recent EVM assessment. General findings; not specifically for human resources. Indicate key constraints for each of the 9 EVM criteria.

4.1.6 Sources of Information

List the main sources of information for the HR Rapid Assessment.

4.2 Findings

List the questions with answers.

Summarise the findings from the HR Rapid Assessment, using colour coding. Include a summary matrix of this format:

Level	HR PLANNING			HR MANAGEMENT				HR DEVELOPMENT		
	HR Policy	Posts Filled	Recruitment	Working Conditions	Job Descriptions	Supportive Supervision	Performance Monitoring	Competency Levels	Training	Career Paths
Primary										
Sub-National										
Lowest District										
Service Level										

Scores:

≥ 80%	
65-80%	
≤ 65%	

Describe the key findings. Bear in mind that these findings will feed into the recommendations in the next Section. Be clear and concise. **For example:** Relative HR strengths are in a, b and c. Main areas of weakness are in d, e and f. and to some extent in g and h. Add any useful analyses and/or graphs that highlight strengths and weaknesses in HR capacity.

4.3 Recommendations

4.3.1 Key Recommendations

Using the same structure as the questionnaire, give concise recommendations. Focus on key issues.

4.3.2 Related Issues

Highlight important topics related to the ISC that are not sufficiently covered under the key recommendations.

4.4 Practical Action

Work together with key stakeholders. Guided by the recommendations, agree on a prioritised list of practical action points based on findings from the assessment.

4.5 Conclusion

Acknowledge the collaboration by all stakeholders. Point out that implementation of the agreed action points is a joint responsibility. Make suggestions on how implementation can be made part of government and partner action plans. Suggest follow-up meetings, to monitor implementation.

4.6 References

Create an annotated, linked list of all relevant documentation. Include *web links* to resources whenever such links are available.

For example:

PEOPLE THAT DELIVER. (2015). *Health Supply Chain Competency Framework for Managers & Leaders*, Published by The Australian Institute for Sustainable Communities, University of Canberra, Bruce, ACT.

PEOPLE THAT DELIVER. (2014). *Competency Compendium for Health Supply Chain Management: A Reference for Health Supply Chains*.

PEOPLE THAT DELIVER. (2013). *Workforce Excellence in Health Supply Chain Management: Literature Review*.

PEOPLE THAT DELIVER. (2012). *Improving Health Outcomes through Sustainable Health Workforce Excellence in Supply Chain Management*, White Paper, 3rd Edition

RAHMAN, S & YANG, L. (2012). *Skill Requirements for Logistics Professionals in China: An Importance-Expertise Matrix Analysis*. Issue number 29. Vol.13 n°2 - 2012 Managing the Human Resources in the Supply Chain.

SILVE, B. (2009). *Health logistics is a profession: Improving the performance of health in developing countries*. Field Actions Science Report.

UNICEF. (2016). *A Process Guide and Toolkit for Strengthening Public Health Supply Chains through Capacity Development*. UNICEF Supply Division. January 2016.

USAID. (2013). *Human Resources Capacity Development in Public Health Supply Chain Management: Assessment Guide and Tool*. USAID Deliver Project. Task Order 4.

VILLAGE REACH. (2014). *Other Duties as Required: Efficient Use of Human Resources Vaccine Supply Chains: Reaching the Final 20*. Policy Paper Series May 2014.

WHO. (2014). *Promising Practices: 7 - Human Resources*. Brief #7 in the Promising Practices in Supply Chain Management Series.

4.7 Annexes

4.7.1 Country Map (geography)

4.7.2 MOH Organogram

With focus on the Immunization Supply Chain, if such and organogram is available.

4.7.3 Partner Mapping

Use this format:

Updated: [date]

PARTNER	DESCRIPTION OF ACTIVITIES / AREA OF INTEREST
[Name]	[Description]

4.7.4 Key Contacts

List country contacts and individuals who have contributed to the assessment.

Use this format (landscape orientation of the page works best):

Name	Job Title	Department	Email	Tel/Mobile	Comments

4.7.5 Other Annexes

[Optional]

ANNEXES

Annex 1. HR indicators for the ISC

SUB-CATEGORY	TOPIC	INDICATORS
HR PLANNING	HR Policy -----	HR Policy HR Policy Content MOH Organogram
	Posts filled -----	Optimum Staffing Structure EPI Manager Post Filled National Logistics/Cold Chain Officer Post Filled SC Support Staff Posts Filled Quality Management Officer Post Filled
	Recruitment -----	Funding for SC Vacancies Sustainable Funding to Fill Vacancies Recruitment in Progress Surge Capacity
HR MANAGEMENT	Working conditions -----	Working Hours Physical Environment Tools and Equipment Worker Safety Toilet Facilities Kitchen Facilities
	Job descriptions -----	Facility Task Description Job Descriptions Job Descriptions Available Routine Work Schedule Matching Educational Qualifications
	Supportive supervision --	Periodic Supportive Supervision Number of Supportive Supervisory Visits Agreed Schedule Supervisor Transport Supervisor Finance Formal Checklist Immediate Feedback
	Performance monitoring -	Periodic Performance Reviews Annual Performance Reviews Reward System
HR DEVELOPMENT	Competency levels -----	[Derived from most recent EVM Assessment]
	Training -----	Training Needs Assessment Training Received Workers Take Initiative Mentoring and Coaching Training Materials on Location Local Educational Institutions
	Career paths -----	Defined Career Path Promotion Linked to Performance

Annex 2. EVM: E-Criteria

E1. Vaccine arrival	Pre-shipment and arrival procedures ensure that every shipment from the vaccine manufacturer reaches the receiving store in satisfactory condition and with correct paperwork.
E2. Temperature monitoring	All vaccines and diluents are stored and distributed within WHO-recommended temperature ranges.
E3. Storage capacity	Cold storage, dry storage and transport capacity is sufficient to accommodate all vaccines and supplies needed for the programme.
E4. Buildings & equipment	Buildings, cold chain equipment and transport systems enable the vaccine and consumables supply chain to function effectively.
E5. Maintenance	Maintenance of buildings, cold chain equipment and vehicles is satisfactory.
E6. Stock management	Stock management systems and procedures are effective.
E7. Vaccine distribution	Distribution between each level in the supply chain is effective.
E8. Vaccine management	Appropriate vaccine management policies are adopted and implemented.
E9. Information systems	Information systems and supportive management functions are satisfactory.
<i>E9. Waste disposal/ Equipment decommissioning¹</i>	<i>[content to follow]</i>

Key to EVM Category Analysis

Management (M)

Good warehousing practices are followed. Key national level management posts are filled. Cold chain equipment and vehicle inventories are maintained. SOPs are in place covering, among others: (i) the use of the standardised Vaccine Arrival Report, (ii) maintaining stock levels, (iii) maintaining temperature records, (iv) contingency plans for emergencies, (v) disposal of damaged or expired stock, (vi) physical inventories of vaccines, etc.

Training (T)

Staff have received training in key warehouse practices, including: (i) how to look after vaccine, (ii) correct vaccine storage temperature, (iii) packing of vaccines in containers, (iv) when and how to perform a shake test, and (v) reading VVMs. Training materials consistent with WHO standards and SOPs.

Equipment (E)

Safe working practices for staff. Staff are provided with protective clothing for working in cold rooms and freezer rooms. Where a computerized stock control system is used, the software and computer equipment is suitable for the task and well-maintained and staff know how to use the system.

Capacity (C)

Vaccine cold storage, dry storage, coolant pack freezers/coolers and passive containers are sufficient in capacity to meet maximum demand.

Buildings (B)

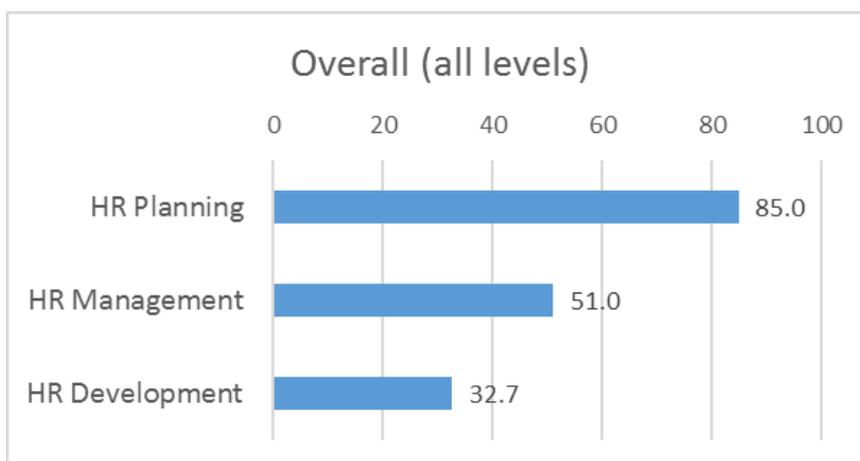
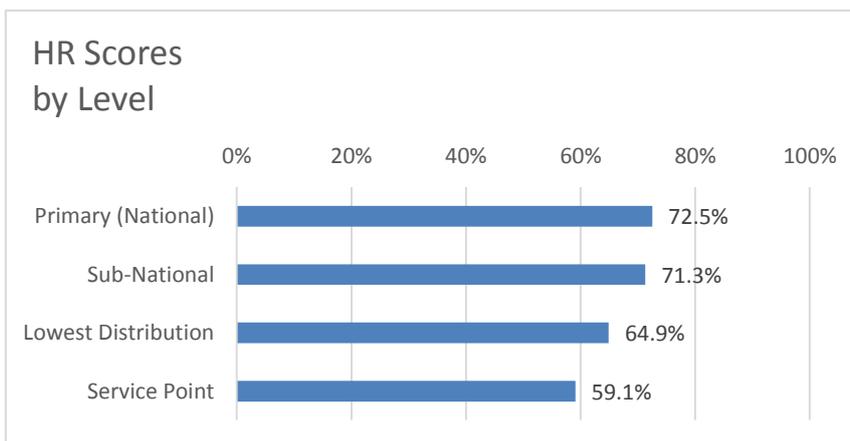
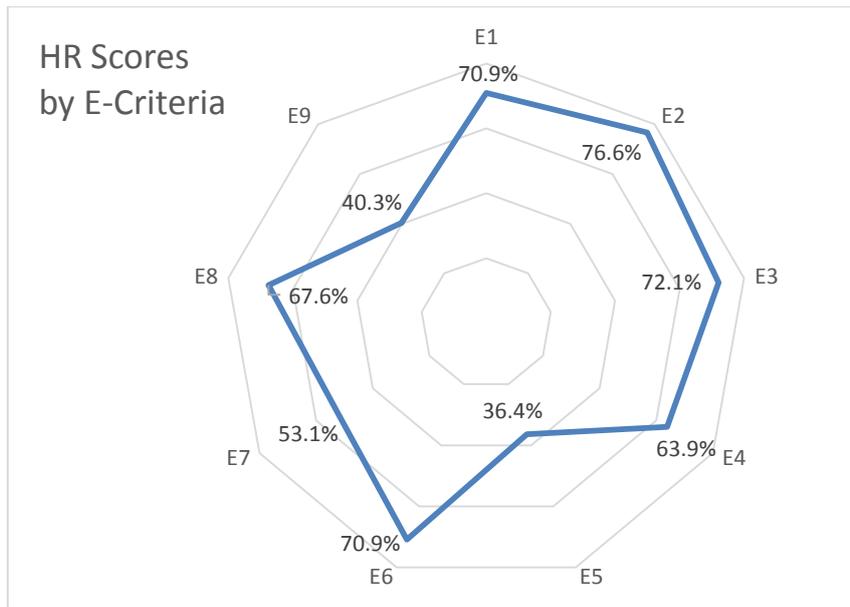
Security and accessibility. The site where the vaccine store building is located is accessible to staff and to transport and is secure.

Repairs and Maintenance (R)

A planned preventive maintenance programme, both for buildings and equipment, is established. There is evidence that these plans are being followed.

¹ For the purpose of this assessment, the 'old' E9 Criteria of 'information, supervision, miscellaneous' is used.

Annex 3. Visualising HR Competence (Examples)



Annex 4. EVM 1.0: HR Content

Extract from the EVM 1.0 list of questions, related to Human Resources. By filtering out these questions from country-specific EVM 1.0 datasets and quantifying the responses (scores), we obtain a measure of the strength of the HR competency in each of the 9 EVM Criteria. Obtain the EVM dataset for the country concerned and import the data into Excel (using the EVM Assessment Tool and importing the raw data set into the EVM Application Tool).

Note: EVM 2.0 (cEVM) will readily generate these HR scores.

Ref.	Who	Location	Cat	Capacity, Competence (Skill/Knowledge/Ability)
E1 PRE-SHIPMENT AND ARRIVAL PROCEDURES				
E1:02b	Inspection supervisor	PR	M	Able to complete the Vaccine Arrival Report (VAR). ²
E1:04a B E1:05a B	Store manager, EPI manager, Inspection supervisor	PR	M	How to follow up with supplier when vaccines are exposed or damaged.
E1:10a	Customs staff	Customs	T	How to look after vaccine.
E2 VACCINE AND DILUENT STORAGE				
E2:03a	Storekeepers and HWs	PR,SN,LD,SP	T	Give the correct storage temperature range for each of the vaccines on the schedule.
E2:04a	Storekeepers and HWs	PR,SN,LD,SP	T	Know which vaccines on the schedule can be damaged by temperatures below 0°C.
E2:06a	Storekeepers and HWs	PR,SN,LD,SP	T	Demonstrate correct reading of all types of thermometer and/or temperature recording device(s) used in the store.
E2:07b-A	Storekeepers and HWs	PR,SN,LD,SP	M	Know how to manually record refrigeration temperatures.
E2:07b-B	Storekeepers and HWs	PR,SN,LD,SP	M	Know how to manually record refrigeration temperatures, which is complete.
E2:07b-C	Storekeepers and HWs	PR,SN,LD,SP	M	Enter alarm events on temperature record.
E2:11a	Storekeepers and HWs	PR,SN,LD,SP	M	Know why and how to keep temperature records for at least three years.
E2:12a-A	EPI manager, Store manager	PR,SN,LD,SP	M	Review temperature records and alarm events. Able to identify temperature excursions.
E2:12a-B	EPI manager, Store manager	PR,SN,LD,SP	M	Take remedial action in response to temperature excursions or breakdowns.
E2:13b-A,B	EPI manager, Store manager	PR,SN	M	Able to carry out a test calibration. ³
E3 COLD STORAGE, DRY STORAGE AND TRANSPORT				
E3:01a	EPI manager, Store manager	PR,SN,LD,SP	C	Able to calculate required capacity of +2°C to +8°C vaccine storage. ⁴
E3:02a	EPI manager, Store manager	PR,SN	C	Able to calculate required capacity of -20°C vaccine storage. ⁵
E3:03a	EPI manager, Store manager	PR,SN,LD	C	Able to calculate required capacity of the dry store.
E3:08a	EPI manager, Store manager	PR,SN,LD	C	Able to calculate required transport capacity. ⁶

² For details of content of VAR, see EVM question

³ For details on how to carry out a calibration, see EVM question. However, temperature calibration should be avoided at service level; too complex.

⁴ For details, see EVM question

⁵ For details, see EVM question

⁶ For details of how to calculate, see EVM question

Ref.	Who	Location	Cat	Capacity, Competence (Skill/Knowledge/Ability)
E3:09a	EPI manager, Store manager	PR,SN,LD,SP	C	Able to calculate required coolant pack storage capacities. ⁷
E3:10a	EPI manager, Store manager	PR,SN,LD,SP	C	Able to calculate required number of passive containers. ⁸
E3:11a-C	Store workers	PR,SN,LD,SP	M	Staff know what to do in the event of an emergency.
E4 BUILDINGS, COLD CHAIN EQUIPMENT AND TRANSPORT SYSTEMS				
E4:01a-B	Store workers	PR,SN,LD	B	The workplace is secure.
E4:12a-B	Store workers	PR,SN	E	Know how to practice personal safety and safe working in cold stores.
E5 MAINTENANCE OF BUILDINGS, COLD CHAIN EQUIPMENT AND VEHICLES				
E5:01a	Maintenance staff	PR,SN,LD,SP	R	Able to plan, manage, implement planned preventive maintenance on buildings. ⁹
E5:02a-A,B	Maintenance staff	PR,SN,LD,SP	R	Able to apply routine maintenance SOPs related to equipment. ¹⁰
E5:02a-C	Maintenance staff	PR,SN,LD,SP	R	Maintenance staff in post, or assigned.
E5:03a	Vehicle mechanics	PR,SN,LD	R	Able to carry out maintenance service on all types of vehicles.
E6 STOCK MANAGEMENT SYSTEMS AND PROCEDURES				
E6:02a	Storekeeper	PR,SN,LD	E	Able to operate computerised stock management system.
E6:06a	Store manager	PR,SN	M	Able to prepare routine reports on vaccine distributions.
E6:09a E6:10a	Storekeepers and HWs	PR,SN,LD	M	Understand and practise the EEFO principle. ¹¹
E6:14a	Store manager	PR,SN,LD	M	Able to correctly carry out delivery arrival checks.
E6:15b-D	Store workers	PR,SN,LD,SP	M	Know how to deal with expired and damaged vaccines.
E6:18a	EPI manager, Store manager	PR,SN,LD,SP	M	Able to prepare and store records of discarded vaccine.
E6:19a	EPI manager, Store manager	PR,SN,LD,SP	M	Able to review vaccine loss/damage records.
E6:20b-D	Storekeepers	PR,SN,LD,SP	M	Know the concepts of maximum stock, safety stock and reorder level.
E6:21a	Managers at all levels	PR,SN,LD,SP	M	Able to forecast annual vaccine consumption and calculate order quantities.
E6:22a E6:24a	Storekeepers	PR,SN,LD,SP	M	Able to take a physical inventory of vaccine stock and consumables. ¹²
E6:25a	Storekeepers	PR,SN,LD,SP	M	Able to store vaccine correctly.
E6:26a	Storekeepers	PR,SN,LD,SP	M	Able to store dry goods correctly.
E7 DISTRIBUTION				
E7:06a-A	Store workers	PR,SN,LD,SP	T	Knowledge of coolant preparation and packing of cold boxes, vaccine carriers and other passive containers.
E7:07a	Store workers	PR,SN	T	Knowledge of refrigerated vehicle packing.
E7:08a	Storekeepers and HWs	PR,SN,LD,SP	T	Knowledge of vaccine freeze prevention.
E7:13a-C	Vehicle crew	PR,SN	M	Knowledge of distribution contingency plan, in case of emergency.
E8 VACCINE MANAGEMENT				
E8:01a	Storekeeper	PR,SN,LD,SP	T	Knowledge of the shake test.

⁷ For details of how to calculate, see EVM question

⁸ For details of how to calculate, see EVM question

⁹ For details, see EVM question

¹⁰ For details, see EVM question

¹¹ See also Section E8

¹² For details, see EVM question

Ref.	Who	Location	Cat	Capacity, Competence (Skill/Knowledge/Ability)
E8:04b	HWs	SP	T	Knowledge of how to discard opened vials of freeze-dried vaccines at the end of sessions.
E8:05a E8:06a	Storekeepers and HWs	PR,SN,LD,SP	T	Knowledge about the use of VMMS.
E8:10a	HWs	SP	T	Able to explain how to apply the MDVP. ¹³
E8:13b-A,B	Storekeepers and HWs	PR,SN,LD,SP	M	Know the main types of unopened vial wastage & how wastage rate is calculated. ¹⁴
E8:15b	HWs	SP	M	Knowledge of safe waste disposal methods.
E9 INFORMATION SYSTEMS AND SUPPORTIVE MANAGEMENT				
E9:02b E9:03b	EPI manager, Store manager	PR	M	Able to write and manage SOPs for the cold store.
E9:04b-C	Store workers	PR,SN,LD	M	Able to apply SOPs to assigned tasks.
E9:10a-B	EPI manager, Store manager	PR,SN,LD	M	Able to update the CC equipment inventory.
E9:11a-B	EPI manager, Store manager, Procurement Officer	PR	M	Able to update the vehicle equipment inventory.
E9:12a	EPI manager, Store manager	PR,SN,LD	M	Able to draft a work plan/budget covering all aspects of vaccine store management.
E9:14a E9:15a E9:16a E9:17a E9:18a	EPI manager, Store manager, Procurement officer	PR	M	Able to manage outsourced services. ¹⁵
E9:20a-A	National EPI manager	PR	M	National EPI manager in post.
E9:20a-B	National Logistics/Cold Chain officer	PR	M	National Logistics/Cold Chain officer in post.
E9:20a-C	QM officer	PR	M	QM officer in post.
E9:20a-D	Support staff	PR	M	Sufficient support staff in post.
E9:21a	EPI manager	PR	T	Ensure that vaccine management training materials for storekeepers and HWs are clear and correct.
E9:22a	EPI manager	PR	T	Vaccine management training materials are consistent with WHO standards.
E9:23a	Storekeeper and HWs	PR,SN,LD,SP	M	Knowledge of vaccine management.
E9:24a	All managers	PR,SN,LD,SP	M	Able to carry out staff supervision.

Categories:

- | | |
|-----------------------------|---------------|
| M – management | T - Training |
| E – equipment | C - Capacity |
| V – vehicles | B - Buildings |
| R – repairs and maintenance | |

¹³ Multi-Dose Vial Policy¹⁴ For details on how to calculate, see EVM question¹⁵ Details from EVM questions E9:14a, E9:15a, E9:16a, E9:17a and E9:18a

RECORD OF REVISIONS

DATE	UPDATES	AUTHOR(S)
Feb 29, 2016	First draft	BR
Mar 18, 2016	Improvements throughout text	BR, MK
Apr 6, 2016	Comments from 5 th EAC Meeting incorporated	BR, MK
May 9, 2016	Improvements to indicators & questions	BR, MK
Sep 3, 2016	Minor improvements to indicators & questions	BR
Sep 21, 2016	Minor improvements to indicators & questions	BR

