

**Institutional Management & Certification Program  
[IMCP]**

# **MODEL POLICY TEMPLATES**

**NGO-Resource Centre  
[A Project of Aga Khan Foundation]  
Karachi**

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# **[A] PERSONNEL POLICIES**

Mentioned below are some of the necessary policies that are included in a personnel policy

1. Employee Benefit Policy
2. Recruitment Policy
3. Performance Evaluation Policy
4. Gender Policy
5. Anti-Sexual Harassment Policy
6. Grievance Settlement Policy
7. Disciplinary Action Policy
8. Conflict of Interest Policy

## **1. EMPLOYEE BENEFIT POLICY:**

Essential ingredients of the Employee Benefit Policy include;

- a) Staff remuneration packages,
- b) Entitlement of provident fund, severance or gratuity,
- c) Medical allowances,
- d) Insurance coverage, etc.

Clearly defined rules for long term and contractual positions (these can also be both short and long term) are essential to avoid or minimise any employee grievances. Clearly laid out policies result in transparency and effectiveness leaving no or little room for discretionary authority.

## **2. RECRUITMENT POLICY:**

The most important element of the recruitment process is to ensure transparency and fairness without any bias and favouritism and gender discrimination in the hiring process. This can only be ensured when there exists clearly laid down criteria and procedures for recruitment of staff and consultants. Some of the standard practices for recruitment include proper hiring mechanisms through advertising, indiscriminate head hunting and using the database of credible recruitment agencies (this is in vogue in all developed countries). Once applications are received short listing through independent sources or cross checking through reference checks or under an already laid down eligibility performa followed by tests and interviews by a panel are some of the effective ways of recruitment. In short any such policy that ensures transparency and a non-partisan approach can be termed as a fair recruitment policy.

Mentioned below is a brief overview of how various hierarchical positions can be appointed within an organisation;

- 2.1 The operational head of the organisation i.e. the Chief Executive, or General Manger or Executive Director which ever may be the case should be appointed by the Governing Body of the Organisation<sup>1</sup>.
- 2.2 All managerial level positions e.g. Administration, Finance, Operations, Policy & Research etc should be made by the Head of the organisation in consultation with the Chairman of the Governing Body.
- 2.3 For recruitment at any mid-level managerial position it should be mandatory that an advertisement is posted at any one of the National Dailies. Short listing should be done against a laid out criteria and tests/interviews need to be conducted by a panel of officials' senior than the positions advertised. It is preferred to have at least one board member on the interviewing panel along with the head of the organisation.
- 2.4 For entry level/junior positions selection can be made through head hunting, posting the position on the web, through circulation of posts to various relevant organisations etc. The interview panel for such positions should constitute at least one managerial level position. The idea is to ensure that the process is transparent and fair.
- 2.5 All appointments should be made, clearly indicating the terms of reference and conditions of employment. The letter of employment has to be addressed to the employee and a copy signed by the employee has to be kept in official record.
- 2.6 Similar procedure should be followed for consultants and interns.

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<sup>1</sup> In accordance with the structure of the organisation this Governing Body might be the Board of Directors/Governors/ Trustees.

### **3. PERFORMANCE EVALUATION POLICY:**

Performance evaluation policy seeks to promote professional growth and development and assure quality performance from all staff members.

It is the supervisor's continuing responsibility to improve employee's work through regular evaluation of their performance. It is important to have all appraisals in written form and a record need to be maintained on yearly basis. These evaluations need to be based on the performance parameters of each employee vis-à-vis his or her Terms of Reference (ToRs). ToRs should be well defined and be mutually agreed upon by both the employee and the employer. The ToRs also serve as parameters against which appraisals can be made.

Similarly committees can be formed to assess for various positions based on the hierarchy of the organisations. There is an essential need for close monitoring and scrutiny of staff members on yearly basis and a similar criterion need to be adopted for promotions, internal transfers and increments within the organisation.

#### **3.1 Rationale for Evaluation**

The rationale for evaluation is as follows;

- a) To encourage employee to participate actively in improving operations and standard of work around the office.
- b) To provide incentives for exceptionally high quality work performance by the individual and to maintain the quality of performance.
- c) To encourage and subsequently reward new ideas and suggestions which eventually would lead to more efficient office environment.
- d) To reward major accomplishment attained by an individual which assisted in achieving the organisation's objectives. Recognizing commendatory and outstanding work performances.

#### **3.2 Performance Evaluation categories**

The four performance rating categories on the personnel evaluation form for employees are;

##### **Exemplary**

Performance is consistently exceptional in meeting performance criteria demonstrated by providing extraordinary opportunities for programme success through institutionalised strategies that confirm the employee's expertise and the ability to extract successful results.

##### **Exceeds Standards**

Performance is consistently above average in meeting performance criteria demonstrated by going beyond the established standards and instructional practices in reaching all students.

##### **Meets Standards**

Performance is consistently adequate in meeting performance criteria.

##### **Unsatisfactory**

Performance is not consistently acceptable in meeting performance criteria.

### **3.3 Performance Evaluation Officer**

The performance evaluation officer should be the immediate supervisor, head of section or any such officer who is specifically assigned to undertake the task of evaluation. His/her responsibilities include but are not limited to;

- a) To ensure thoroughness, impartiality, objectivity and soundness during the evaluation process and comply with the laid down criteria of the evaluation instructions.
- b) To ensure whether the employee has received adequate information of the evaluation process and guidelines.
- c) To clarify to the employee the duties of the position and the requirements for satisfactory performance at the beginning of the rating period.
- d) To discuss the strengths, weaknesses, and ways to improve performance with each employee at the end of the rating period and on as and when need basis.
- e) To register his/her observations/comments, duly signed and forwarded to the head of the section/organisation for his/her signature and information in a sealed envelope.
- f) The report after being signed by the Head<sup>2</sup> of the organisation is forwarded to the personnel office in a sealed envelope marked “Performance Evaluation Report” to ensure confidentiality of the report.

### **3.4 Evaluation Review Panel**

The function of the Panel is to review all performance evaluation reports that are termed “unsatisfactory” and also review employee appeals if any, against the overall rating of the evaluation. The Panel should include the Evaluating officer, the Head of the organisation and one other senior level officer to ensure transparency.

### **3.5 Employee Appeals**

- a) Appeals are limited to the overall rating in the performance evaluation report. If after discussing the disagreement with the reporting officer, the employee is still dissatisfied, the employee should submit a written appeal to the head of his/her section, and in case where the head of section is the reviewing officer the appeal should be submitted to the head of the personnel section or the head of the organisation within seven calendar days following receipt of copy of the performance evaluation report.
- b) The appeal should indicate the reason for dissatisfaction with the rating and suggest the remedy. The competent officer should review the case, determine the grievance, convene a meeting of the review panel and place the entire case before it.

### **3.6 Benefits of Performance Evaluation Policy**

Listed below are some of the benefits of a performance evaluation policy;

- a) Helps regulate and monitor work performances for all employees, and maintain an efficient level of performance.
- b) Recognises employee’s achievements for exemplary output
- c) In case of “unsatisfactory” performance, helps identify areas of weaknesses and to initiate steps to correct work deficiencies

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<sup>2</sup>The Performance evaluation of the Head of the Organisation is conducted by the Board, and duly signed by the Chairperson of the Board

- d) Helps strengthen the employee supervisor relationship.
- e) Assist in identifying training and developmental needs of the employees.

### **3.7 Performance Evaluation Framework**

The performance evaluation framework draws the guidelines against which evaluation needs to be done. It should contain benchmarks<sup>3</sup> for the four category ratings (see section 3.2), which is a quantitative process of evaluation. Similarly it should contain various parameters and sub parameters (e.g. personal abilities, attitudes and performance outputs) against which a quantitative evaluation can be made. There should be reserved space where the employee could give a brief description of his performance, output and suggestions for improvement related to work and training needs etc. Comments in the end from the evaluating officer at the end would summarise the whole evaluation exercise. (A Performance Evaluation form is attached as Appendix-A to this manual)

## **4. GENDER POLICY:**

Unlawful discrimination undermines the integrity of the employment relationship, compromises equal employment opportunity, debilitates morale and interferes with work productivity. The objective of a gender policy is to provide a work place free from unlawful discrimination, which includes discrimination based upon sex, race, creed, colour, ancestry, age, marital status, or familial status. The policy should apply to all employees of the organization. Unlike other HR policies this policy applies to conduct which occurs not only in the workplace but also extends to conduct which occurs at any location that can be reasonably regarded as an extension of the workplace, such as any field location, any off-site business-related social function, or any facility where work of the organization is being conducted and discussed.

An effective gender policy pertains to all employment practices such as recruitment, selection, hiring, training, promotion, transfer, assignment, layoff, return from layoff, termination, compensation, fringe benefits, working conditions and career development etc.

Examples of Gender Discrimination include;

- a) Discriminating against an individual with regard to terms and conditions of employment because of that individual's race, gender, age, religion, disability, affectional or sexual orientation, place of origin, or his/her ancestor's place of origin.
- b) Treating an individual differently because of race, gender, age, religion, disability, affectional or sexual orientation, place of origin, or his or her ancestors' place of origin, or because an individual has the physical, cultural or linguistic characteristics of a racial or national origin group.
- c) Treating an individual differently because of marriage to or association with persons of a racial, religious or national origin group; or due to membership in or association with an organization identified with the interests of a racial, religious or national origin group; or because an individual's name or spouse's name is associated with a racial, religious or national origin group.
- d) Calling another by an unwanted nickname which refers to one or more of the above characteristics, or telling ethnic jokes which harass an employee or create a hostile work environment.

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<sup>3</sup> Each organisation can assign different benchmarks according to the nature of work, need and requirement.

- e) Using derogatory references regarding any of the above characteristics in any job-related communication.
- f) Engaging in threatening, intimidating, or hostile acts, in the workplace, based on the foregoing classifications.
- g) Displaying or distributing material in the workplace that contains language or images that are derogatory or demeaning, based upon any of the foregoing classifications.

## **5. ANTI-SEXUAL HARASSMENT POLICY:**

Sexual Harassment is defined as unwelcome sexual advances, requests for sexual favours, and other verbal or physical conduct of a sexual nature when, for example;

- a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- b) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
- c) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

### **5.1 What Constitutes Sexual Harassment**

Behaviours that may constitute sexual harassment include but are not limited to;

- a) Generalized gender-based remarks and comments.
- b) Unwanted physical contact such as intentional touching, grabbing, pinching, brushing against another's body or impeding or blocking movement.
- c) Verbal or written sexually suggestive or obscene comments, jokes or propositions including letters, notes, e-mail, invitations, gestures or inappropriate comments about a person's clothing.
- d) Visual contact, such as leering or staring at another's body, gesturing, displaying sexually suggestive objects, cartoons, posters, magazines or pictures of scantily clad individuals.
- e) Explicit or implicit suggestions of sex by a supervisor or manager in return for a favourable employment action such as hiring, compensation, promotion, or retention.
- f) Suggesting or implying that failure to accept a request for a date or sex would result in an adverse employment consequence with respect to any employment practice such as performance evaluations or promotional opportunity.
- g) Continuing to engage in certain behaviours of a sexual nature after an objection has been raised by the target of such inappropriate behaviour.

### **5.2 Employee Responsibilities**

Any employee who believes that she/he has been subjected to any form of prohibited discrimination/harassment, including sexual harassment, or who witnesses others being subjected to such harassment or discrimination is encouraged to promptly report the incident(s) to either their supervisor or manager or directly to the head of the organization. All employees are expected to cooperate with investigations undertaken and failure to

cooperate in an investigation should result in disciplinary action, up to and including termination.

### **5.3 Supervisor Responsibilities**

Supervisors should make every effort to maintain a work environment that is free from any form of prohibited discrimination/harassment. Supervisors are expected to take all allegations of discrimination/harassment, including sexual harassment, seriously, and to immediately refer the matter to the head of section or organisation.

### **5.4 Complaint Process**

In order to implement these policies it is imperative for each organization to have in place procedures for reporting, investigating, and where appropriate, remediating claims of discrimination/harassment. The organisation can designate an individual or individuals to receive complaints of discrimination/harassment, including sexual harassment, investigate such complaints, and recommend appropriate remediation of such complaints.

All investigations of discrimination/harassment claims should be conducted in a way that respects, to the extent possible, the privacy of all the persons involved. Investigations should be conducted in a prompt, thorough and impartial manner. The results of the investigation should be forwarded to the head of section or organisation to make a final decision as to whether a violation of the policy has been substantiated.

Where discrimination/harassment is found to have occurred, the organisation should take prompt and appropriate remedial action to stop the discrimination/harassment and deter its reoccurrence.

The remedial action taken may include counselling, training, intervention, mediation, and/or the initiation of disciplinary action up to and including termination of employment.

The organization should maintain a written record of the discrimination/harassment complaints received. Written records will be maintained as confidential records to the extent practicable and appropriate.

### **5.5 Prohibition against Retaliation**

Retaliation against any employee who alleges that she/he was the victim of discrimination/harassment, or against any employee who provides information in the course of an investigation into claims of unlawful discrimination/harassment in the workplace should be prohibited under this policy. Any employee bringing a complaint, providing information for an investigation, or testifying in any proceeding under this policy should not be subjected to adverse employment consequences based upon such involvement or be the subject of retaliation.

### **5.6 False Accusations and Information**

If any employee knowingly makes a false accusation of unlawful discrimination/harassment or knowingly provides false information in the course of an investigation of a complaint should be dealt with breach of conduct and be grounded for strict disciplinary action. However, complaints made in good faith, even if found to be unsubstantiated, should not be considered a false accusation.

## **5.7 Confidentiality**

All complaints and investigations should be handled, to the extent possible, in a manner that will protect the privacy interests of those involved. To the extent practical and appropriate under the circumstances, confidentiality should be maintained throughout the investigation process. In the course of an investigation it may be necessary to discuss the claims with the alleged harasser and other persons who may have relevant knowledge. It therefore may be necessary to disclose information to persons with a legitimate need to know about the matter. All persons interviewed should be directed not to discuss any aspect of the investigation with others in light of the important privacy interests of all concerned. Failure to comply with this confidentiality directive may result in disciplinary action.

## **5.8 Disciplinary Action**

Any employee found to have violated this policy might be subject to appropriate disciplinary action, which may include; suspension, reassignment, or termination of employment. Referral to another appropriate authority for review for possible violation of Federal or Provincial Law may also be appropriate.

# **6. GRIEVANCE SETTLEMENT POLICY:**

The purpose of adopting this policy is to promote the internal settlement of any controversy or claim pertaining to employment actions, which may arise between salaried employees and management. It is intended to provide an equitable and timely method for the final disposition of such issues.

## **6.1 Definition**

A “grievance” is defined as an employee’s expression of alleged unfair or inequitable treatment with respect to the application of policies, procedures, and regulations, which he/she has been unable to resolve with his/her immediate supervisor.

Examples of staff grievances include failure to receive eligible vacation, holidays, or overtime compensation as specifically mentioned in the HR Policy. Judgments such as salary increases, salary range, or classification assignments to jobs are not considered violations of human resources policies. These types of complaints should be handled through established procedures laid out in each organisation’s HR policy manual.

## **6.2 Procedure**

An employee filing a grievance shall have at every “step” the right to present witnesses and evidence to support his/her grievance. Since the processing of a grievance is not a legal matter attorneys may not represent either the employee filing a grievance or the Organisation. Employees are not to be penalized in any way for proper use of the Grievance Procedure. Time spent in grievance discussions with the administration would be considered time worked with pay.

### **Step 1**

Any employee who wishes to file a grievance shall first discuss his/her grievance with his/her immediate supervisor. After the aforementioned discussion with the employee, the supervisor shall have five (5) working days in which to reply to the employee’s grievance. If the supervisor fails to reply to the grievance or if his/her answer is not satisfactory to the employee, the employee may present his/her grievance at Step 2.

**Step 2**

If the disposition of the grievance in Step 1 is not acceptable, the employee shall, within five (5) working days, prepare a written statement stating the basis for the grievance and a requested settlement. He/she shall then discuss his/her problem with the Section Head or Finance & Administration Head (in cases where the section head is the direct supervisor), who shall have five (5) working days in which to present a written reply to the employee's complaint. If a mutually acceptable settlement cannot be reached, the employee will have five (5) working days in which to present his/her grievance in Step 3. The grievant should process his/her grievance to Step 3 through the office of Head of the Organisation.

**Step 3**

If the disposition of the grievance in Step 2 is not acceptable and the employee wishes to have the grievance considered further, he/she shall notify a representative appointed by the Head of the organization. The incumbent representative will investigate the allegations and make arrangements to hear the employee's complaint and the departmental charges if any. He/she shall provide a written response to the employee within five (5) working days of the receipt of the grievance. If the response is not acceptable to the employee the grievance may be processed to Step 4 through the head of the Organisation.

**Step 4**

If the disposition of the grievance in Step 3 is not acceptable to the employee and he/she wishes to have the grievance given further consideration, he/she shall notify the Head of the organisation in writing to that effect. It is up to the discretion of the Head of organization to either investigate the allegation on his/her own or constitute a panel to hear out the grievant. Grievance processed to Step 4 shall be reviewed and a response shall be provided to the grievant within thirty (30) days.

**6.3 Exceptional Cases**

In exceptional cases where the Head of Section or Senior Level Officials reporting directly to the Organisational Head, wishes to file a grievance shall first discuss his/her grievance with the Organisational Head. If the Organisational Head fails to reply to the grievance or if his/her answer is not satisfactory to the employee, the officer may present his/her grievance to the board member nominated by the Chairperson of the board. Grievances processed under such circumstances shall be reviewed and a response shall be provided within thirty (30) days.

**7. DISCIPLINARY ACTION POLICY:**

The purpose of this policy is to provide a fair, open, uniform, and objective means of correcting and improving employee behaviour and work performance in the unlikely event that such is required.

**7.1 Rationale**

Disciplinary action is intended to correct improper employee behaviour and improve employee work performance. To be effective, a policy of this nature must consider the nature of the offence, the past record of the offending employee, and the penalty appropriate to the offence. Section heads should exhaust every means at their disposal to improve behaviour and unsatisfactory work performance. In the few instances where

employees exhibit no interest in improving their work behaviour or work performance, discharge is appropriate.

## **7.2 Procedures**

Acts or omissions on the part of employees which are symptomatic of behaviour or work habits which can be corrected or improved (for example; absenteeism, tardiness, poor work performance, etc.) should be dealt with through a series of reprimands which should include, at a minimum, a verbal warning, and a written warning prior to dismissal.

Acts or omissions on the part of employees, which are symptomatic of incorrigible and intolerable behaviour, should, when recognized, result in suspension without pay pending investigation. Such acts, include, but are not limited to;

- a) Disorderly conduct within organisation's premises.
- b) Falsification of organisation's records, improper disclosure or use of organisation's records.
- c) Refusal to accept instructions including failure to perform work assigned.
- d) Being under the influence of alcohol or illegal drugs within organisation's premises (including refusal to submit to drug testing after suffering an accident or injury on the job).
- e) Theft or commission of any other crime within organisation's premises.
- f) Unauthorized possession of firearms within organisation's premises.
- g) Acts of moral turpitude, significant employee error, breach of civil or criminal law which tends to bring discredit to the organisation.

## **7.3 Policy Action**

When the investigation<sup>4</sup> confirms employee guilt, discharge is appropriate. In case of suspension, the unit head should notify the Finance & Administration Office of the circumstances surrounding the disciplinary action.

## **8. CONFLICT OF INTEREST POLICY:**

A conflict of interest is simply a situation in which an individual has two separate and competing interests and it is unclear which interest will win out if it comes down to it. Another term we can use for this, which is equally descriptive but without the negative connotation is "duality of interest". An example of a conflict of interest is a board member whose brother runs a print shop that could potentially print materials for the organization.

Similarly conflict of interest also applies for organisations, where duality of interests may arise. It is therefore pertinent that organisations do not promote any interest or agenda other than laid down in their declared charter. Examples may include but are not limited to;

- a) Disseminating political agenda of any political party or group.
- b) Promoting messages of a certain sect or religious organisation.
- c) Promoting any such messages that is harmful to the society in large and creating disharmony among the people.
- d) Undertaking any such activity, to derive any specific profit or gain, directly or indirectly, under the umbrella of a Nonprofit Organisation.

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<sup>4</sup> Investigation can be undertaken internally using similar method as mentioned in the "steps" of the grievance policy.

### **8.1 Avoiding Conflict of Interest in Individual Cases**

When anyone joins the board or staff it should be mandatory that the individual completes a duality of interest form that lists any individual or organization that the nonprofit might be dealing with and the individual has an outside relationship with. Better yet, discuss possible conflicts during the recruitment process. Conflicts need not prevent from joining, but they should be transparent from the start. A new board member or staff must sign a pledge that she will disclose any conflicts of interest and keep the best interests of the organization in mind as long as she serves the organisation.

### **8.2 Avoiding Conflicting of Interest in Organisational Cases**

It should be mandatory that the Non-profit Organisation make public its charter as well as all activities it wishes to undertake. The Organisation should take an undertaking (e.g. fill the duality of interest form) that all its functions would be limited to its charter and open for public scrutiny at all points in time. That the organisation will not undertake any such activity as mentioned above in section 8.

## **[B] ADMINISTRATIVE POLICIES**

Mentioned below are some of the policies that need to be included in an Administrative Policy;

1. Procurement Policy
2. Travel Policy
3. Asset Disposal Policy
4. Investment Policy

## 1. PROCUREMENT POLICY:

Procurement policy deals with the procedures for procurement of office essentials and equipment. The purpose of this policy is to ensure that financial honesty is assured by prescribing a range of appropriate methods for purchasing and procurement, including, where appropriate, a competitive tendering and contracting process. Two main principles that apply are; the requirement for impartiality and fairness across all stages of the tendering and purchasing process, and; the necessity for obtaining the best possible value for money.

### 1.1 Methods of Procurement

Goods or services may be acquired through one of the following options;

- a) Direct Purchase from a company/supplier. This includes cash transactions, credit card purchases, quick orders and cheque payments.
- b) Written quotation.
- c) Call for Expressions of Interest

#### a) Direct Purchase

Purchases less than Rs. Xxxxx may be purchased to best advantage without quotations subject to the following conditions;

- a) rates should be reasonable and consistent with normal market rates for items of a like nature
- b) requirements should not be split into components or succession of orders for the same goods or service for the purpose of enabling the goods or service to be obtained under the Rs. Xxxxx limit
- c) procurement should be approved by Manager Finance

#### b) Written quotation

For purchases greater than Rs. Xxxxx but less than Rs. Xxxxx at least one written quotation should be obtained subject to the following conditions;

- a) Rates should be reasonable and consistent with normal market rates for items of similar nature.
- b) Requirements should not be split into components or succession of orders for the same goods or services for the purpose of enabling the goods/service to be obtained under the Rs. Xxxxx limit.
- c) For purchases greater than Rs. Xxxxx but less than Rs. Xxxxx a minimum of three written quotes<sup>2</sup> must be obtained and must be based on a written outline of specifications which has been provided to the suppliers. Purchase of this size should be approved by the head of the Organisation.
- d) For purchases that are considered high risk and over Rs. Xxxxx consideration should be given to undertaking a Competitive Tendering and Contracting (CTC) process. This should include documentation of a written brief or outline of specifications for the

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<sup>2</sup>Three written quotations do not have to be obtained where the goods or services are proprietary (held under patent, trademark or copyright), or are only obtainable from fewer than three suppliers.

purchase. Such purchases should be approved by the Chairman of the Board.

**c) Call for Expressions of Interest**

Expressions of Interest/Request for Proposals (Competitive Tendering and Contracting) Procedures. Expressions of Interest (EOI) and Requests for Proposals (RFP) consist of procedures that are intermediate between obtaining written quotations and seeking tenders. It is generally used to cull an initial field of probable competitors who can provide innovative solutions to leading edge, or emerging issues within a given industry (e.g. a creative, or technological solution). Generally such purchases fall in the Rs. Xxxxx and above categories;

- a) In the case of requests for Proposals or Expressions of Interest, a detailed overview of the product or service concept that is required is prepared and forwarded, usually with a covering letter, to a number of identified suppliers who are invited to submit written proposals.
- b) Similarly, requests For Proposals/Expressions Of Interest can be announced in a variety of advertising mediums to achieve greatest exposure to potential contractors and tenderers.
- c) Under this arrangement, the Organisation is subsequently able to negotiate variations to the specification with a preferred supplier.

**1.2 Benefits of a Procurement Policy**

As a consequence of adhering to this policy, the organisation will;

- a) Obtain the best value for its purchases, in both cost and quality terms.
- b) Have a fast and efficient purchasing process; demonstrate financial probity and accountability to its clients, stakeholders and the public interest.
- c) Successfully manage and prevent the potential for conflicts of interest.
- d) Monitor and evaluate performance in purchasing and procurement. Be protected from complaints and legal actions mounted by potential suppliers who believe they have not received fair treatment.

**1.3 Ethical Guidelines**

No matter how transparent or fool proof an arrangement may be its success lies in the behaviour of the officer(s) in-charge and his or her intention in following the laid down procedures and regulations. The set of rules laid below can serve as a guideline for any purchasing officer.

- a) The best value for the organisation's goods and services must be sought.
- b) There will be a documented process for all purchases, which allows for transparency of decisions and review of purchases.
- c) The conduct of procurement is subject to continuous auditing by the organisation and by external bodies such as the Board, Audit Officer and Stakeholders.
- d) Staff will ensure that they are not, or are not perceived to be in a conflict of interest with any supplier.
- e) Those staff who have, or may be perceived to have, a vested interest in the outcome of a purchase should disclose any conflict to their supervisor and discuss whether they should exclude themselves from any role in the purchase.

- f) Staff will be suitably skilled and qualified to attend to the completion of their purchasing and contracting role(s).

## **2. TRAVEL POLICY:**

The objective of having a clearly laid down travel policy is to minimise the programme expenditure incurred on travel and to have an effective system in place so as to prevent misuse of funds and official transport.

### **2.1 Domestic Travel**

- a) Air travel should be on economy class only.
- b) Prior approval of Manager Finance & Administration or Head of the organisation should be obtained for all travel/tour schedules on the prescribed form before the commencement of the tour.
- c) All travel requests should be through the Travel Authorisation Form.
- d) Availability of funds within the appropriate budget line must be ensured before approving the travel authorisation.
- e) Travel advance should be taken from the office up to three days before commencement of travel.
- f) All travel expense claims should be made through a memo and addressed to Finance Department and shall be supported by original receipts. Used tickets and boarding card stubs should be handed over to Admin. Department within five working days of returning to the office.
- g) Account should be settled within five working days of returning to the office. In case the accounts are not settled within the stipulated time then the advance will be settled against the salary of the employee for that month.

### **2.2 International Travel**

- a) Travel authorisation should be submitted to the Administration & Finance Section at least 14 days before actual travel dates, after obtaining approval of the chairperson of the board.
- b) Travel mode should be Economy Class.
- c) The Section should explore for all possible routes available from destination to destination.
- d) All travel expense claims should be made through a memo and addressed to Administration & Finance Section and shall be supported by original receipts. Used tickets and boarding card stubs should be handed over to the section within five working days of returning to the office.
- e) Account should be settled within ten working days of returning to the office. In case the accounts are not settled within the stipulated time then the advance would be settled against the salary of the employee for that month.
- f) All donor requirements relating to international travel should be adhered to.

### **2.3 Office Transportation & Vehicle Maintenance**

- a) Office transportation should be used for official purposes only.
- b) Private/unauthorised use should be strictly prohibited and any staff member found guilty need to be warned/penalised.
- c) All vehicles should maintain separate log books in which travel details and distance should be logged by the driver and verified by the requester.

The logbook should be closed daily, signed by the driver and verified by the Administration Department.

- c) Administration department should also prepare monthly consumption report indicating average monthly consumption and charging to the respective projects at a specified rate.

#### **2.4 Vehicle Inspection and Maintenance Procedure**

- a) The primary responsibility of maintaining the office vehicle would be of the assigned driver.
- b) All office vehicles should be checked on weekly basis.
- c) Details along with receipts of all repairs and maintenance of each vehicle should be duly entered in the Vehicle Maintenance Record Sheet.

### **3. DISPOSAL & SALE OF ASSETS POLICY:**

Asset Disposal Policy<sup>6</sup> deals with the procedures for disposal of office essentials, equipment and vehicles. The purpose of this policy is to ensure that financial honesty is assured by prescribing a range of appropriate methods for disposal of assets, including, where appropriate, a competitive tendering and contracting process. Two main principles that apply are; the requirement for impartiality and fairness across all stages of the tendering and purchasing process, and; the necessity for obtaining the best possible value for money.

#### **3.1 NPO seeking Tax Exemption**

For all NPOs seeking tax exemptions it is mandatory that they have a clearly laid out policy on disposal of assets. Since, under the Income Tax Rules 2002, Sub-Rule (1) of Rule (213) if an NPO is being dissolved it should transfer all its assets, after clearing its liabilities, to another approved NPO. The dissolved NPO under the law has three months within which the transfer of assets should be completed under intimation to the Commissioner Income Tax. Disposal/transfer of assets can therefore only take place when policy is in place.

### **4. INVESTMENT POLICY:**

[ABC] will: -

1. Maintain all of its organizational and project / programme accounts with the: -

- (i) Scheduled Banks; or
- (ii) Post Office; or
- (iii) National Savings Organization; or
- (iv) National Bank of Pakistan; or
- (v) Nationalized Commercial Banks.

2. Invest its surplus funds in the following: -

- (i) Government Securities; or
- (ii) Scheduled Banks; or
- (iii) NIT Units; or
- (iv) Mutual Funds registered with the State Bank or Securities & Exchange Commission of Pakistan.

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<sup>6</sup> Similar procedures mentioned in procurement policy can be adopted.

## **[C] I. T. POLICIES**

Information Technology related three most important polices are: -

1. Internet Policy
2. Help Desk Policy
3. Email Policy

## **1. INTERNET POLICY:**

### **1.1.1 Purpose**

The Internet provides a source of information that can benefit every professional discipline. The purpose of the Internet Policy is to facilitate communication regulations and therefore guarantee an appropriate use of the Internet that is beneficial to all. The Internet is a privilege; increasingly essential to learning that offers new freedoms and demands new responsibilities. Guidelines for Internet use are practical and logical extensions of our commitment to conduct that is legal, responsible, ethical, and considerate to promote professional excellence.

### **1.1.2 Policy Guidelines**

The organization acknowledges that the use of the Internet is a very valuable resource and can make a positive contribution to education and learning and thereof provides environment and resources for effective use of Internet in office premises on all desktops/laptops connected to the local area network. The networking environment encourages use of electronic information resources.

### **1.1.3 Procedures**

#### **1.1.3.1 Access**

All network users are granted free and equal access to the Internet.

#### **1.1.3.2 Download**

Users should be mindful of the costs, nature of downloads and space requirements when downloading information from the Internet, as information easily accessible through the Internet does not necessarily need to be stored on the network drives. Download of research and work related data, which includes documents, presentations, spreadsheets are allowed.

#### **1.1.3.3 Use of chat software**

The organization does not encourage use of chat software i.e. (e.g. MSN, AOL, Yahoo, ICQ etc), Unless authorized by office head.

#### **1.1.3.4 Logging**

Only weekly logs for network services management and troubleshooting would be maintained. Please see HR Policy in annex for details.

#### **1.1.3.5 Online Purchasing**

Online purchasing from official machines and/or office premises is strictly prohibited until & unless authorized by the reporting line & duly conveyed to IT / Network Administrator.

## **2. HELP DESK POLICY:**

### **2.1 Purpose**

To establish a complete workflow for providing efficient and timely helpdesk support to end- users of organization's IT Networks.

## **2.2 Policy Guidelines**

IT Management and Help Desk Staff acknowledge the fact that any IT based network is meant to serve the basic purpose of facilitating end users getting more productive for the organization. In this context, ITM makes every effort to provide effective and efficient support to end-users during normal working hours of weekdays

Depending upon the nature of problem, that any user faces, a standard set of procedures will be adopted both by the ITM and the respective user so as to formalize the workflow of helpdesk mechanism.

## **2.3 Procedures**

### **2.3.1 Support**

The Helpdesk should be staffed Monday through Friday from 9.00am to 5.00pm (the working hours of the organization) for questions about the use of computers and applications, technical troubleshooting, requests for new accounts or equipments, or referrals to other resources for help.

### **2.3.2 Contacting the Help Desk and Reporting Methodologies**

As the first phase of any help desk mechanism, there must be multiple reporting sequences once the end user observes any problem in his/her system or requires any kind of miscellaneous support from IT service Unit.

There are three suggested systems for users to report any problem or call for support otherwise. These systems may be adopted individually and/or in parallel as need defines.

#### **(a) Call**

This should be the first and the essential step in reporting any problem or to seek support in any IT/Helpdesk related issue. IT services staff may be contacted at all times during working hours of weekdays. In case of unavailability of any support person at his/her desk, his/her location may be inquired about from the staff at the reception. Depending upon technical possibilities, and as resources permit, IT Services may also configure automatic call answering and recording systems in which case user must leave a brief message with his/her name (Such a system is already operational in Country Office). In either case it is the user's foremost responsibility to contact the IT Service staff to inform about any problem without which no entry may be logged in the support cycle of the help desk unit.

Once the problem is communicated, IT Staff will try to inquire about the issue and suggest steps so as to resolve the problem. These suggestions may range from simple non-technical steps to detailed step-by-step guidance for sophisticated configurations.

#### **(b) Email**

Considering the nature of call and dependencies upon other entities, IT Staff may request the end user to send a formal email. This may be in cases where major changes to account/list membership and/or in hardware is requested by the user. A formal email may also be requested in cases where other Units like Admin may be required to assist in resource allocation. This however should be noted that whatever the case may be, email is only treated as the secondary reporting mechanism and must be adopted by users upon the explicit instructions of IT Service Unit only.

IT Management should maintain a special Helpdesk account [e.g. itsupport@organization.org]. This account should be monitored on a frequent basis and is also an appropriate way to communicate error messages accurately.

### **3. EMAIL POLICY:**

#### **3.1 Purpose**

The purpose of this policy is to ensure the proper use of the organization's email system and make users aware of what the organization deems as acceptable and unacceptable use of its email system. The organization reserves the right to amend this policy at its discretion. In case of amendments, users will be informed appropriately.

#### **3.2 Policy Guidelines**

The organization's Information Technology environment greatly increases ability of its employees to adapt technology to business needs across the Organization. The organization is responsible for creating and managing an infrastructure that can support the safe and successful delivery of email within the organization and to associates, partners, and others via the Internet. The primary purpose of the organization's e-mail system is for corporate business communication. E-mail is a corporate business record, the same way that a memorandum or letter is a business record. Therefore, e-mail business communication should be treated in the same manner, as any other business correspondence, i.e. communication that is inappropriate under the organization's logo, is inappropriate in e-mail.

For this policy, the term users or clients refers to all permanent employees, interns, consultants or any other authorized persons who have been given access to email facility or who are in the process of receiving access. Being a knowledge-oriented organization, the offered facility of electronic mail allows users to communicate with others and share information.

The organization requires users to use this facility in a professional, ethical manner, in accordance with the organization's rules and regulations and to best service the communication requirements of the organization.

#### **3.3 Procedures**

##### **3.3.1 Account Allocation**

All organization staff is offered an email account except to staff with contract of less than a month. Guest account will only be applicable to staff identified by Human Resource unit. Forms must be filled duly with details including user name, unit, staff folder, email lists and access levels.

##### **3.3.2 Email Account**

Every employee of the organization is provided email facility to encourage them to use electronic media to reach people quickly and to help reduce paper use. This not only demonstrates the paperless-environment vision of the organization but also advocates the principle of efficient use of natural resources; minimize cost associated with other mode of correspondence (such as paper-memos, letters and couriers) and speed up day-to-day activities. The features associated with organization-provided email facility (such as Spam-control, quota-limit, virus-scanning, backup facilities, forwarding etc.) may vary according to the requirement of the position.

The aforementioned email facility essentially necessitates a separate email address for each employee. The organization believes that to give a human touch to the communication carried out between the rest of the world and the organization, email addresses based on real names should be used.

There exists a general guideline for the formation of the email address according to which corresponding programme's domain name will follow employee's first dot second or last name.  
E.g. firstname.lastname@organization.org

Although, exceptions to this rule are possible under certain conditions e.g. for employees servicing in more than one region or Programme but Official email addresses cannot be created with mock handles or nick names. All email accounts maintained on our email systems are property of the organization. Passwords should not be given to other people except where necessary and be notified to Network Administrator and should be changed at least once in a window of 90 days.

### **3.3.3 Domain**

If there are more than one office locations through out Pakistan they should have their own corresponding domain names.

### **3.3.4 Mailbox Size and Maintenance**

Contents of the mailbox residing on the mail server or on individual machines are the responsibility of the concerned employee. The employees so as to keep the mailbox as easily maintainable as possible should delete unnecessary and junk emails. Due to storage capacity limits on the corporate network, each client is allocated 30 MB of storage space. If the limit is exceeded, user will be notified via a system administrator message to delete or archive some of the stored e-mail in suitable time, after which, new messages cannot be accepted by the system and start bouncing to the sender.

### **3.3.5 Disclaimer**

A standard disclaimer might be added at the end of all the emails sent, individually by the user, to indicate the official nature of the emails. Communication unit may draft the text of the disclaimer.

### **3.3.6 Virus Scanning**

IT management team in every office is responsible for creating and managing an infrastructure that can support the safe and successful delivery of email within the office. As part of this architecture, LAN unit will create means by which the server can scan the content of messages to prevent the spread of viruses, worms, Trojan Horses, or other executable items that could pose a threat to the security of the systems and network. However, there still exists a possibility of virus infiltration at server/client ends (albeit rare).

### **3.3.7 Backup**

Unit secretaries and individual users are responsible for taking email backup with the help of backup software. These backup files are maintained on the server in respective user folders and are archived in normal backup process of the server once a month. Comprehensive archiving of email backups is not performed.

### **3.3.8 Account Closure**

In the absence/retirement/resignation/separation of the incumbent of any position from the organization, his/her official email address will be removed. Employees going on leave for six months or more will have their email accounts deleted. Special considerations can be given to employees who are in process of moving from one programme/unit/region to another.

### **3.3.9 Lists**

Email Listservs are a useful tool to broadcast to or to interact with many other persons having email addresses. These listservs allow participants to send a message to many recipients by entering only one email address. Email messages sent to listserv addresses are then automatically re-transmitted to all recipients on the list. In addition, those on the list can reply to all the recipients. Email listservs are an ideal means of encouraging exchange and discussion and are highly suitable for facilitating the work of committees and task forces.

Being knowledge based organization; the organization promotes and encourages ways and means for information sharing both in print and electronic media. To streamline email communication within organization staff, following is list of general and programme specific lists:

If a user is subscribed to an external list or news group he may append a disclaimer to his / her emails while posting from the official address so as to clarify that the views are of that individual only and not of the organization.

### **3.3.10 Client Software**

Standard client software that are used and supported for email access are:

- Microsoft Outlook Express
- Microsoft Outlook

### **3..3.11 Attachment**

To ensure smooth and secure email traffic management, only commonly used files will be allowed at the server for transmission. A list of allowable file types should be drawn up. Emails with unknown file type attachments will be quarantined. Not all email systems can accept large attached files nor do recipients necessarily have the necessary application software to open and read them. Before sending attached files, it is the responsibility of the sender to confirm that the recipient's email system will accept attachments and the necessary application software is available to read the file. If in any doubt, send documents in text (ASCII) format in the body of the message. When sending many documents as attachments, it is best to send on per message.

### **3.3.12 Message Size**

As email servers are connected to the Internet cloud through dialup connections, limited size of email messages is allowed. This is in line with the limit in effect at the respective service provider end. The maximum allowed message size to enter or leave the organization network is 2 MB.

Performance Review	
Review Period:	Review Date:
to	

Employee's Name: Reporting Officer's Name:

Title: Title:

Current Objectives

Percent of Job

Employee Comments on Current Job Description

Rating: Employee's average rating:

Reporting Officer's Comments on Current Job Description

Rating: Reporting Officer's average rating:

Skills Table

Competency	Employee Rating						Reporting Officer Rating					
	1	2	3	4	5	n/a	1	2	3	4	5	n/a
Problem solving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Long-term thinking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Results oriented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organisation and prioritisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexibility and change management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organisational representation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conflict management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self-confidence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Integrity and reliability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Employee Comments:

Reporting Officer Comments:

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Rating Scale	
5.0	Exceptional performance beyond all position requirements
4.5	Consistently exceeds all position requirements
4.0	Exceeds all position requirements
3.5	Exceeds most position requirements
3.0	Exceeds some position requirements
2.5	Consistently meets all position requirements
2.0	Meets most or all position requirements
1.5	Meets some position requirements
1.0	Falls below expected performance

**I. Overall Ratings**

Employee Overall Rating:

Employee Comments on Rating

Reporting Officer Overall Rating:

Reporting Officer Comments on Rating

**II. Signatures**

\_\_\_\_\_  
**Employee**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Reporting Officer**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Executive Director's Comments**

\_\_\_\_\_  
**Signatures**

\_\_\_\_\_  
**Date**