



Association for Progressive Communications (APC)

HUMAN RESOURCES MANUAL

Version 11.2¹

February 2010



¹This version incorporates a series of changes in response to questions from staff first raised at a human resources discussion at the APC staff meeting in Ithala in 2008 and discussed further during 2009. It went through a careful review by the APC finance, human resources, and strategic management teams and incorporates additions agreed on at the February 2010 management meeting.

Table of Contents

1 INTRODUCTION.....	4
2 HOURS OF WORK.....	4
2.1 <i>Work week</i>	4
2.2 <i>Flexitime</i>	4
2.3 <i>Overtime</i>	4
3 REMUNERATION POLICY.....	5
3.1 <i>Principles and objectives</i>	5
3.2 <i>Considerations</i>	5
3.3 <i>Salary scale</i>	6
3.3.1 <i>Locating individual salaries within a range</i>	6
3.3.2 <i>Post adjustments (PA)</i>	7
3.3.3 <i>Performance bonus</i>	8
3.3.4 <i>Early salary payment</i>	8
3.3.5 <i>Loans</i>	9
4 BENEFITS.....	9
4.1 <i>Retirement and health insurance</i>	9
4.2 <i>Operational expenses</i>	9
4.3 <i>Travel</i>	10
4.4 <i>Equipment, purchase and insurance</i>	10
4.4.1 <i>Equipment purchase</i>	10
4.4.2 <i>Insurance of equipment</i>	10
4.4.3 <i>Loss or damage to APC property and data back-up</i>	10
4.4.4 <i>Equipment allowance</i>	11
5 TRAINING AND DEVELOPMENT POLICY.....	11
5.1 <i>Skill enhancement training courses</i>	11
5.1.1 <i>Procedures</i>	12
5.1.2 <i>Criteria</i>	12
6 GENDER POLICY.....	12
6.1 <i>Internal policies and procedures</i>	13
6.1.1 <i>Achieving gender equity in APC governance</i>	13
6.1.2 <i>Gender equity in APC member recruitment</i>	13
6.1.3 <i>Gender equity employment policies</i>	13
6.2 <i>Integrating gender into programme work</i>	13
7 CHRONIC ILLNESS and HIV/aids POLICY.....	13
8 INTERNSHIP and volunteering POLICY.....	13
9 LEAVE POLICIES.....	14
9.1 <i>Annual leave</i>	14
9.1.1 <i>Staff members on twelve-month renewable contracts</i>	14
9.1.2 <i>Calculating your leave if you are not full time</i>	15
9.1.3 <i>Staff members on fixed term contracts</i>	15
9.2 <i>Public holidays</i>	15
9.2.1 <i>Public holidays</i>	15
9.2.2 <i>Religious holidays</i>	16
9.3 <i>Sick leave</i>	16
9.3.1 <i>Administration of sick leave</i>	16
9.4 <i>Family responsibility leave</i>	16
9.5 <i>Compassionate leave</i>	16
9.6 <i>Study leave</i>	17
9.7 <i>Maternity leave</i>	17
9.8 <i>Co-parental leave</i>	17
9.9 <i>Sabbatical</i>	17
9.10 <i>Leave application procedure</i>	18
10 PERFORMANCE MANAGEMENT.....	18
10.1 <i>How is performance measured?</i>	19
10.2 <i>Individual performance review format</i>	19
10.2.1 <i>The current year</i>	19

Steps of reviewing performance in KRAs.....	19
Sample questions to assist in the review discussion.....	20
Rating guidelines.....	20
10.2.2 The year ahead.....	20
10.3 APC staff team evaluation.....	21
10.4 Giving and receiving feedback.....	21
10.5 Evaluation of the Executive Director.....	22
10.5.1 Steps.....	22
10.5.2 Relevant documents.....	23
10.6 Performance management information.....	23
11 CONSULTANCY WORK.....	23
12 ADDITIONAL WORK	24
13 NO SMOKING POLICY.....	24
14 NOTICE PERIOD.....	24
15 DISCIPLINARY CODE AND PROCEDURE	24
15.1 Offences.....	25
15.2 Disciplinary measures and procedures.....	25
15.3 Formal disciplinary enquiries.....	25
16 GRIEVANCE PROCEDURE.....	27
16.1 Stages of the procedure.....	27
Appendix one: APC's hiring process	29
Appendix two: Examples of serious and moderate offences.....	31
Appendix three: Notice to attend an enquiry.....	32
Appendix four: SAMPLE Warning LETTERS.....	33
Appendix five: Notice of final warning.....	34
Appendix six: Disciplinary appeal form.....	34
Appendix seven: Disciplinary enquiries and reports.....	35
Appendix eight: Grievance form.....	36
Appendix nine : Notice of a grievance hearing.....	37

1 INTRODUCTION

This manual serves to outline APC's human resource related policies and procedures. If you notice that a human resource issue is not addressed, or addressed inadequately, by this manual, please bring this to the attention of the executive director and the designated human resources coordinator. The procedure for updating the APC HR manual depends on the nature of the changes requested. Changes for clarification are added by the HR coordinator in consultation with the Executive Director, but changes in HR policy need to be approved by the management team, and in some cases, by APC's board of directors.

2 HOURS OF WORK

2.1 Work week

At full time equivalent (FTE) normal working hours are 40 hours per week, which includes a daily one-hour (paid) lunch break. Staff members working less than FTE are entitled to paid breaks based on that ratio, as follows:

FTE	1.0	0.9	0.8	0.75	0.7	0.6	0.5	0.4	0.3	0.25	0.2	0.1
Hours per week	40	36	32	30	28	24	20	16	12	10	8	4
Hours per day	8	7.2	6.4	6	5.6	4.8	4	3.2	2.4	2	1.6	0.4
Minutes of daily break	60	54	48	45	42	36	30	24	18	15	12	6

2.2 Flexitime

APC supports the principle of flexitime hours. However, certain positions simply require fixed schedules, and thus certain staff members are not entitled to flexitime. Staff must negotiate their schedule with their manager.

2.3 Overtime

APC does not pay overtime. All staff are expected to work overtime from time to time without compensation. To compensate staff for frequent overtime APC has a generous leave policy including additional days leave when the organisation closes over the year end period. In addition the principle of flexitime creates the opportunity for staff to balance out their month's FTE after negotiation with their manager. E.g. if you have worked 10 hours instead of 8 – negotiate a late start on the next day with your manager.

When staff members are required to work during weekends or public holidays they can negotiate some time off with their managers in recognition of the time worked. This time in lieu must be authorised prior to the overtime being done. Time off will not be granted on a 1 to 1 (as in 1 day off for one day worked) basis. Time sheets must be submitted before the lieu leave is granted.

Staff who are not full time, but who are required to work additional time for a specific period e.g. during an event, need to in advance, negotiate a temporary increase in their FTE with their managers. In cases where the financial resources are available, the staff member's salary may be increased, proportionally, for the relevant

number of working days. This increase must be submitted to Finance in writing before the 10th of each month.

3 REMUNERATION POLICY²

APC's remuneration policy emerged from a process undertaken by the board and management beginning in 2001. The basic ideas on which the board asked staff members to base the revision were:

- Ensuring that APC remuneration allows for the fact that APC employees live in many different countries in a way that does not create unfair advantage or disadvantage
- A system, like that used by the UN, that contains a post-adjustment factor on a base salary that allows for the fact that APC staff members live in different parts of the world with different costs of living and local currencies and USD exchange rates that vary constantly
- Ensuring that there is sufficient differentiation in the salary structure to allow for differences in levels of responsibility and required skill and experience

3.1 Principles and objectives

APC seeks to:

- Ensure that remuneration packages are competitive in terms of the market and similar to international and non governmental organisations, so as to enable APC to attract and retain highly skilled and competent staff members
- Ensure that locally employed staff members are not disadvantaged by working in their country of residence
- Ensure a systematic and principled approach to remuneration where staff members are fairly and equitably rewarded
- Ensure that remuneration practices are reflective of the values of APC's membership base
- Ensure that packages are structured in such a way as to ensure maximum flexibility of choice to suit staff members' individual needs
- Ensure that staff members understand how remuneration is determined
- Ensure that salary levels correspond with the level of performance delivery of each staff member
- Avoid too large a gap between the highest and lowest salary in APC

If APC contracts a person who is a staff member of an APC member on a fixed term contract, the contract should be with the member, unless the member agrees to the contract being with the individual directly. The salary conditions will be fixed within the APC salary structure.³

3.2 Considerations

The three most important considerations that underpin APC's remuneration framework are:

- i. Ensuring a level of internal equity in pay (for example, between staff mem-

²The current remuneration policy was adopted by the board in March 2004.

³ See section 3.3 below for more information.

- bers based in different countries)
- ii. Ensuring a level of external equity (for example, with other international organisations and salaries in the local market)
- iii. Accommodating the fact that staff members are mobile between countries and may frequently change their country of residence while employed by APC.

3.3 Salary scale⁴

Category	Range (FTE), excluding benefits in USD		Midpoint	Benefit allowance	Benefit as percentage of midpoint
Executive director	45,000	65,000	55,000	7,700	14%
Deputy executive director	35,000	45,000	40,000	6,400	16%
Managers: programme and management systems	30,000	40,000	35,000	5,600	16%
Senior project coordinators/specialists	25,000	35,000	30,000	5,100	17%
Project coordinators/specialists ⁵	20,000	30,000	25,000	4,750	19%
Programme/administrative workers	15,000	25,000	20,000	4,200	21%

3.3.1 Locating individual salaries within a range

When an appointment is made, individual starting salaries will be determined by skill, qualifications, experience and responsibility. The table below provides a guide to which responsibilities are generally associated with each job category. The rate of remuneration of other NGO's in the employees country of residence may also be taken into account.

Should an individual's responsibilities change significantly, the location of their salary in relation to the midpoint of the scale can be adjusted. If the change in their responsibility is substantial, a change in their job category (as defined in the salary scale) should be considered.

Category	Description of responsibilities
Executive Director	The ED holds total responsibility for working with members and the board to develop and implement APC strategy and for mobilising the resources needed to do so. The ED reports to the board and is an ex officio member of the board. The ED manages a team of managers and is responsible for representing APC and building APC's public profile.
Deputy Executive Director	The Deputy ED manages the implementation of APC's strategies at an operational level and contributes towards the development of appropriate organisational procedures and strategies. The Deputy ED acts as CEO in the ED's absence and may also have overall responsibility for a programme or management system and manage a team of managers. Generally the Deputy ED will manage senior staff who work in the administration or operational sections of the organisation.

⁴ Amendments to the management salary base and salary ranges, and benefit allowances went into effect on 1 January 2006. The annual benefit allowances were increased towards a target of 20% of benefits as percentage of midpoint of the salary range. APC managers' salary scale was increased in order to narrow the range between managers and the ED.

⁵A category for senior project coordinator is currently under discussion.

Category	Description of responsibilities
Managers: programme and management systems	Managers report directly to the ED or Deputy ED. They are responsible for developing and implementing APC strategy at programme or management systems level in line with overall APC strategy and for mobilising the resources needed to do so. They must effectively manage the activities of the staff in their teams and support their development. They are responsible for developing and managing strategic partnerships for APC in their area of work. Not all managers have the same level or responsibility in terms of resource mobilisation, managing staff, subcontractors, number of projects, and size of budget. This can be reflected in where their base salary is located within the range.
Senior project coordinators/specialists	Senior project coordinators manage one large project, or a sub-section of a programme or management system. They oversee the financial management and ongoing resourcing, development, implementation and monitoring and evaluation of the activities they are responsible for. They build and manage strategic relationships with relevant partners and donors and report to these donors on project activities. Senior project coordinators manage multiple staff and/or sub-contractors involved in project implementation and are responsible for the performance management and development of the staff reporting to them. Specialists provide specialized strategic input. Not all senior project coordinators will have the same level of responsibility in terms of resource mobilisation, managing staff, subcontractors, number or size of projects, and size of the budgets they manage. This can be reflected in where their base salary is located within the range.
Project coordinators/specialists ⁶	Project coordinators coordinate one or a number of projects within a programme or management system. They oversee the ongoing development, planning, resourcing, coordination, implementation, monitoring and evaluation, building of strategic relationships and administration of the project/s. They manage project finances, develop internal and donor project reports, and manage project sub-contractors or staff if needed.
Programme/administrative workers	Programme and administrative workers are responsible for general, or specific support to other programme and management systems staff. Their responsibilities will range from office management to event coordination technical support, research, membership support and communications and outreach. Their regular duties could include developing, organising, maintaining and updating databases, contact lists, websites, documentation and/r administrative documents such as contracts and grant agreements.

3.3.2 Post adjustments (PA)

The cost of living varies significantly between countries. The post adjustment (PA) is designed to compensate for differences in living costs, thereby providing the same purchasing power for staff members in all countries. PAs apply to management systems and programme and project staff members, for all contracts of six months or longer, that involve twenty hours or more per week.

APC uses the PA factors used by the UN, developed by the International Civil Service Commission (ICSC).⁷ These factors are calculated every month and allow for inflation and other changes such as currency fluctuations. The PA factors which APC uses are adjusted on a monthly basis in line with the PA factors developed by the ICSC.

⁶A category for senior project coordinator is currently under discussion.

⁷ For the PA tables refer to <http://icsc.un.org/>.

Examples of PA multipliers from December 2009	
1. PA multiplier for Canada	65.5
2. PA multiplier for the Philippines	47.4
3. PA multiplier for UK	73.6
4. PA multiplier for Uruguay	46.6
5. PA multiplier for South Africa	35.4

APC uses the PA factors of employees' countries of residence. If there are several PA factors for one country or the staff member does not reside in a UN-specified region or city, the lower of the factors apply.

If an employee changes his or her country of residence at APC's request, or directly for work purposes, the PA will be adjusted to that of the country to which they are moving. If the move is for less than three months, and for personal reasons, it will not be adjusted. If the move is for longer than three months, and for personal reasons, it will be adjusted after the first three months.

Whenever possible the PA a will be applied to 100% of the base salary (excluding benefits). If there is insufficient financial resources available in the relevant budget to apply the PA factor to 100% of the base salary, the percentage of the base that the PA is applied to will be reduced.

3.3.3 Performance bonus

This will apply to management systems and programme staff members on twelve-month renewable and fixed term contracts. APC recognises the individual contributions made by its employees and is committed to the principle of rewarding individuals directly for their contribution towards meeting and exceeding both specific job objectives and APC's overall organisational goals. To this end, performance delivery is monitored and assessed within APC during the year through the performance management system.

Based on very positive performance reviews, employees will be considered for a once off bonus payment of up to 5% of their annual package. This is payable after the annual performance review process is complete and factoring in APC's financial situation.

During the first year of employment, the performance bonus, if granted, will be pro-rated to the period of service.

Bonus payment linked to performance ranking				
Performance ranking ⁸	Inadequate=1	Not good enough=2	Good=3	Good to Very Good=3.5 up to 4
Bonus payment (% of annual salary excluding PA and benefits)	0	0	0	up to 5%

3.3.4 Early salary payment⁹

APC recognises that staff members may, on occasion, require temporary financial assistance to meet essential living expenses. APC does not pay salary advances, but will consider early payment of a monthly salary. In no circumstances should any

⁸ Please see section eleven on performance management for more information on performance ranking.

⁹ Applicable to all APC staff members on twelve-month contracts.

staff member be permitted to habitually make use of this facility to offset the need for regular monthly financial budgeting.

Requests for early payment of salary should be directed to the responsible manager for consideration. Whether requests are granted depends on the nature of the request.

If approved, an email authorisation from the responsible manager, should be forwarded to the finance department for processing. The PA factor used will be that valid at the time that the early payment is made. No PA adjustment will be made subsequently.

3.3.5 Loans

APC does not make personal loans.

4 BENEFITS

4.1 Retirement and health insurance

Retirement and healthcare benefits apply to all staff members who are on twelve-month renewable contracts. In certain cases, retirement and healthcare benefits may apply to staff who are on twelve-month fixed term contracts and who work for 0.5 FTE or more. Staff on fixed term contracts for less than twelve months do not qualify for healthcare or retirement benefits.

APC will reimburse monthly contributions for retirement and health insurance, once proof of payment is provided. Reimbursement will correspond to those outlined in the salary and benefit structure.

Staff members are able to utilise the APC healthcare benefit fully by being able to claim for the following expenses:

- Medical expenses which health insurance does not cover in full, such as contact lenses, physiotherapy, psychotherapy or counselling, certain dental expenditure, glasses, etc.
- Natural or alternative treatments which medical insurance or public health systems does not cover, such as homoeopathy, reflexology, acupuncture, or massage.

It is a condition of employment for staff members employed on a twelve-month renewable contract to have some form of health insurance, either through a partner's healthcare scheme, or a state provided health insurance. Documentary proof should be submitted.

4.2 Operational expenses

For staff members on twelve-month renewable contracts, up to USD 100 per month for operational expenses such as office supplies and communication costs, prorated to their FTE, will be added to their monthly remuneration. APC could from time to time ask for proof of expenditure. The flat fee for operational expenses will cover communication costs such as phone and internet connections and office supplies

such as toner and paper.

Staff responsible for centralised APC administration and filing (e.g. financial management and the executive director's office) will be reimbursed for office expenditure based on proof of payment. Only the same type of expenses as shown in the first paragraph are allowable under this claim.

4.3 Travel

Please refer to the APC travel policy. *[Insert URL when uploaded]*

4.4 Equipment, purchase and insurance

4.4.1 Equipment purchase

APC's policy on computer equipment requires that staff members supply and insure their own computer equipment. APC does not budget for the purchase of assets such as computers and office furniture. However, some individual APC projects might include a budget allocation for such items, e.g. digital cameras, or audio equipment. In cases where specific equipment is necessary for the work of APC, prior approval of purchase must be obtained from the ED. APC does not capitalise (that is, record the item as an asset) any furniture/office/computer equipment if its purchase price is \$2,500 USD or under.

4.4.2 Insurance of equipment

APC does not take any responsibility for insuring computers or other equipment which staff members utilise for APC work against theft and accidents unless the equipment is the property of APC. Laptops should be insured for travel. APC will reimburse staff members for the cost of the travel insurance if the equipment belongs to APC, provided that proof of insurance is submitted.

APC will also not insure furniture/office/computer equipment owned by APC if it has a purchase price of \$1,500 or under. In the case of equipment owned by APC (with a purchase price of \$1,501 and over) and that is kept by specific staff members, the staff member is responsible for its safety and should ensure that the equipment is insured in its country of location. APC will refund the staff member upon submission of proof of insurance.

In order to keep track of APC property finance staff should maintain a register of assets regardless of whether said assets are capitalised and/or insured or not. All staff who purchase equipment with APC funds are required to forward details regarding the equipment, including cost and date of purchase, to the finance team.

4.4.3 Loss or damage to APC property and data back-up

Should equipment costing less than \$1500 be lost or damaged while in the care of a staff member he or she would be required to replace the equipment or contribute to its replacement cost, depending on the circumstances of loss or damage.

APC staff are required to back-up work-related data on their laptops on at least a monthly basis.

4.4.4 Equipment allowance¹⁰

APC acknowledges the need for staff members to be reimbursed for expenses incurred for hardware equipment, specifically computers. On 1 July 2006 APC introduced an equipment allowance to be implemented in the following way:

An amount of USD 2500¹¹ spread across a three-year period amounts to USD 70 per month,¹² which is to be added to the salary each month, prorated for staff members who do not work full time. It is the responsibility of the staff member to utilise the monthly allowance for equipment and insurance of this equipment, or save it for the purchase of a new computer, modem, external hard drive, router, etc. when needed. In the case of an emergency, where a staff member urgently needs to replace his or her computer, a once off advance payment will be made available. If a staff member resigns before the end of the three-year period, the prorated amount of the advance will be paid back to APC or deducted from the final salary payment.

All staff members on twelve-month renewable and fixed term contracts, irrespective of whether full time, half time, or part time qualify for this benefit. Staff members who work less than 0.5 FTE time will also qualify. The amount will simply be prorated according to the amount of time worked.

As the benefit has a three year cycle, APC expects to see that staff are using this allowance to keep their equipment up to date and insured accordingly.

5 TRAINING AND DEVELOPMENT POLICY¹³

APC promotes the continuous development of its staff in the interests of:

- Keeping the knowledge and skills of APC staff members at optimal levels
- Enabling the organisation to operate at maximum efficiency
- Retaining motivated and committed staff members who continuously look to upgrade and enhance their knowledge and skill base.

To this end, APC is committed to the principles of mentoring and developing staff members and providing an environment sensitive to effective succession planning. Authorisation of training courses depends on the availability of funds. The calculation of these available funds should also include the cost of replacement staff to continue the work of the staff member who is being trained.

The responsibility and accountability for staff development falls equally between APC and individual staff members. Staff members are expected to initiate, participate and commit themselves to their own development. Training and development support in terms of this policy will be considered with reference to individual staff members' proven commitment and loyalty to APC as well as their overall performance effectiveness.

5.1 Skill enhancement training courses

¹⁰ Introduced from 1 July 2006

¹¹ Based on the estimate of the value of a new notebook computer including an extended warranty/maintenance plan

¹² $2500/36=70$

¹³ Relates to the training of APC employees ONLY.

Where APC considers it necessary for a staff member to attend a specific training course in order to ensure a higher level of knowledge and/or skill, with direct relevance to their specific job responsibilities within APC, all costs will be borne by APC and time spent on the approved course will be regarded as working hours if it takes place during working hours.

5.1.1 Procedures

- i. The manager is required to identify the need for specific training through a process of monitoring the performance of the respective staff members, based on the requirements of the job and the organisation. The staff member will participate in the process of identification and selection of an appropriate course.
- ii. Details of cost, dates, venue, and course content should then be sourced and assessed with regard to appropriateness, current work load, organisational priorities etc., in order to make a recommendation.
- iii. The recommendation, which must include a monitoring and evaluation process, must be submitted by the manager to the ED for approval and authorisation.
- iv. Formal authorisation will be confirmed in writing and will include any necessary conditions deemed appropriate by management.

5.1.2 Criteria

Only staff members on renewable contracts with at least six months of service are eligible to apply for training support. The following criteria will apply when applications are considered:

- Motivations explaining the full details of the costs, duration, course content, examination requirements, classes and including recommendations of appropriate monitoring and evaluation must be submitted in the first instance to the manager, and thereafter to the ED for final authorisation.
- Length of service and employee performance will be considered when determining the degree of financial support provided.
- Previous financial support for training and development from APC will be considered, before granting a further award.
- The study programme should not interfere with normal working hours, except in the pre-arranged circumstances.
- The acquisition of further qualifications does not necessarily imply an increase in salary.
- Formal authorisation will be confirmed in writing and will include any necessary conditions deemed appropriate by management.

6 GENDER POLICY

APC implements its commitment to gender equity through three primary vehicles:

- Internal policies and procedures aimed at achieving gender equity within APC the network and APC the organisation.
- Integrating gender equality into project and programme activities.
- The Women's Networking Support Programme (WNSP) which works for the empowerment of women in, and through, ICTs.

6.1 Internal policies and procedures

6.1.1 Achieving gender equity in APC governance

When APC developed its first formal gender policy in 1996 there were three women on the 21 member council – equivalent to 14%. To redress this imbalance in 2000 APC introduced a system of appointing a second representative to council's online workspaces, and we strongly encourage members to consider gender balance when doing so. The nature of governance and leadership in APC's member organisations has changed dramatically, and there is a far greater presence of women at these levels in 2009 than in 1996.

6.1.2 Gender equity in APC member recruitment

In 2000 APC introduced gender equity-related membership criteria that are applied when new membership applicants are being reviewed:

- The contribution they would make to gender balance in APC governance
- Commitment and involvement in women's empowerment through their core work.

6.1.3 Gender equity employment policies

APC encourages both women and men to apply for all positions in the organisation and aims to achieve gender balance in our workforce. In particular, we encourage the appointment of women in technical positions.

6.2 Integrating gender into programme work

APC considers gender in the development of projects whenever possible. We do this at two main levels: i) gender equity among beneficiaries and ii) gender equity among participants in implementation.

One of our major initiatives is a Gender Evaluation Methodology (GEM). We are committed to using this methodology in the design and implementation of our own projects as well as to evaluate the impact of APC's work and the work of our members.

7 CHRONIC ILLNESS AND HIV/AIDS POLICY

Staff members, or prospective staff members, who suffer from a chronic illness, or who are HIV-positive or living with AIDS, will not be discriminated against. Staff members living with HIV or AIDS will be treated in a just, humane and life affirming way. APC will seek to provide an empathetic and supportive working environment to staff with chronic health challenges unless their condition makes it impossible for them to perform their duties.

8 INTERNSHIP AND VOLUNTEERING POLICY

APC accepts applications for internships or volunteer work from researchers and students if their area of work is relevant to APC's mission.

Internships or volunteer placements are accepted for a minimum period of three to six months. Longer internships or volunteer placements are encouraged. Volunteers or interns are not funded (unless they are facilitated by a specific donor-funded programme) and interns are required to fund their own travel, subsistence, and accommodation costs. APC will assist interns to find suitable accommodation if they are required to relocate for the duration of the internship or volunteer placement.

Interns or volunteers who are not residents of the country in which they will be based are required to have valid travel insurance covering the duration of the internship or volunteer placement.

Applications for internships or volunteer placements should include a covering letter, CV and at least two referees who can be contacted by email. Applications should be sent to the senior person in the programme or management system in which the intern would work.

9 LEAVE POLICIES

9.1 Annual leave

APC contracts fall into two categories: employee contracts and contractor contracts. Only people with employee contracts are entitled to leave. Employee contracts are either on a fixed-term basis, or renewable.

The number of leave days to which a staff member is entitled is based on the type or contract, and the length of the contract's term (for fixed term contracts).

9.1.1 Staff members on twelve-month renewable contracts

Staff members on twelve-month renewable contracts are entitled to 25 working days leave a year. Leave is accumulated at the rate of 2.083 days per month. Each leave day is the equivalent of 1 full day multiplied by the person's FTE (Full Time Equivalent). For example:

Staff member's FTE	Annual leave allocation (for staff on one-year renewable contracts)	Annual leave allocation expressed in terms of the individual's FTE	Number of leave days expressed as a total of standard 8-hour working days
.4 FTE = 40% time	25 days leave per year	25 x 40% time days	= 10 days
.5 FTE = 50% time	25 days leave per year	25 x 50% time days	= 12.5 days
.6 FTE = 60% time	25 days leave per year	25 x 60% time days	= 15 days
.7 FTE = 70% time	25 days leave per year	25 x 70% time days	= 17.5 days
.75 FTE = 75% time	25 days leave per year	25 x 75% time days	= 18.75 days
.8 FTE = 80% time	25 days leave per year	25 x 80% time days	= 20 days
1 FTE = 100% time	25 days leave per year	25 x 100% time days	= 25 days

Accumulation of leave begins on the first day of employment, but an employee is not eligible for annual leave until s/he has completed the 90-day probation period. Leave is to be taken at a time convenient to APC and agreed upon prior to the leave period

by the individual staff member's supervisor.

A balance of no more than ten leave-days (for those on less than 100% time contract, ten leave days multiplied by FTE percentage) can be carried over into the next leave cycle. A leave cycle consists of a calendar year, i.o.w. the 1st day of January to the 31st day of December. The staff member will forfeit leave in excess of this. Leave may not be paid out in cash, except upon termination of contract or resignation.

9.1.2 Calculating your leave if you are not full time

Staff who do not work on a full time basis (1 FTE) accumulate leave on the same basis as their FTE. For example, someone who works .4 FTE (40% time) will accumulate leave at the rate of 2.083 x .4 FTE days a month. Refer to the above table to see how the percentage of FTE that you work impacts on leave calculation.

When applying for leave it is important to state the number of days taken in relation to your 25 days allocation, rather than just the number of 8-hour days that you will be away from work. It is important to remember that your leave allocation stays the same irrespective of how you organise your work days. For example:

If two staff members (X & Y) BOTH work 50% time for APC, both have 25 days of leave per year. But Staff Member X has chosen to work in her 50% time by working half day EVERY DAY, Monday to Friday. (Half time is 4 hours per day including a break)

Staff Member Y has chosen to work in his 50% time by working full days (8-hour days) on Monday and Tuesdays, and half day on Wednesday. This means that he does not work for APC on half of Wednesday and all of Thursday and Friday.

X and Y have tailored their working hours because this suits them, and APC is flexible about this within reasonable limits. In the example, both X & Y apply for leave from Monday 16 Nov to Tuesday 24 November.

We would record this leave as SEVEN working days taken because that's what it is, (unless there is a public holiday in that time). The fact that X & Y have structured their working hours differently will not affect how we record the above example of leave days taken.

The fact that Y does not work on Thursday and Friday does NOT mean that the Thursday and Friday of their leave application in the example above is then not counted as part of the leave application.

If Y resigns in September and has 12 days leave left for which he wants to be paid out we would calculate the payment on the basis of his FTE which is 50%. So he would get paid out for 12 half days which is the equivalent of 6 full days.

9.1.3 Staff members on fixed term contracts

Staff members on fixed term contracts for 6 months or longer are eligible to accrue annual leave on a prorated basis based on an annual allocation of 15 days. The 15 days will be prorated based on the duration of the contract, and the person's FTE.

9.2 Public holidays

9.2.1 Public holidays

All staff members (core and part time) are entitled to the official statutory public

holidays as specified in their country of residence. These days are recognised as paid leave. Public holidays in excess of twelve days per annum must be referred to the ED for approval.

9.2.2 Religious holidays

All staff members (core and part time) will be granted two additional paid holidays during the year for bona fide religious and cultural observances. The ED must approve applications.

9.3 Sick leave

Staff members on twelve-month contracts are entitled to paid sick leave. Forty-two calendar days (six weeks) paid sick leave will be granted in every three-year cycle of 36 consecutive months of service. A cycle commences with the date of engagement. Sick leave may not be accrued from one leave cycle to the next.

Only ten days paid sick leave is allowed in the first year of the three-year cycle. If the maximum entitlement is exceeded, the ED has the discretion to grant further paid or unpaid sick leave after considering factors such as length of service, previous sick leave record, performance, etc.

For protracted illnesses that extend beyond the sick leave allocation, the staff member will be required to apply for disability insurance through his or her personal insurance or national government and take unpaid leave.

Staff members on fixed term contracts are entitled to sick leave on a prorated basis. Short term contractors (less than six months) can negotiate unpaid leave in case of sickness.

9.3.1 Administration of sick leave

If staff members are unable to report to work due to illness, they are required to notify the person to whom they report within 24 hours, as to the reason and probable duration of their absence. A medical certificate is required for any absence due to medical reasons that exceeds three consecutive days. Staff members are required to complete a sick leave form on their return to work, and to attach (by fax if necessary) the medical certificate if required.

9.4 Family responsibility leave

All staff members are entitled to paid family responsibility leave of three days per leave cycle, in the event of the illness of the staff member's child or close family member. The staff member must provide a medical certificate or documentary proof to substantiate the absence. Any unused leave entitlement lapses at the end of the leave cycle in which it accrues.

9.5 Compassionate leave

Five working days will be granted when a staff member has suffered the loss of a family member or close relative. Additional grievance time may be requested and will be granted as unpaid leave.

9.6 Study leave

When a course of study has been approved by APC as being relevant or related to the staff member's position with APC, study leave will be granted studies. This will be granted up to a maximum of ten days per year. Documentary proof of the dates must be submitted with the application for leave.

9.7 Maternity leave

APC's maternity leave policy exists to provide maternity benefits to all permanent/core female employees, in accordance with fair employment practice relating to maternity rights and provisions. Adoptive mothers are entitled to the same benefits as outlined in the policy.

Maternity leave is granted for a period of four consecutive months, during which time the staff member shall receive 100% of her monthly remuneration and standard benefits. Leave in excess of the stipulated period will be classified as unpaid leave. All other conditions of employment and benefits (such as annual salary review and leave accrual) remain in place during maternity leave.

Applications for maternity leave must be made in writing three months prior to the commencement of leave. A birth certificate must be submitted to the finance manager after the birth of the baby.

The staff member may commence maternity leave at any time from four weeks before the expected date of birth and not resume work for six weeks after the birth of the child, unless a medical practitioner or midwife certifies that she is fit to do so. If she volunteers to forfeit leave one month before the birth of the baby or if the baby is premature, the full maternity entitlement (four months) after the birth of the baby applies.

Given the fact that maternity leave is paid, should an employee resign from APC during the first two years subsequent to the birth of the baby, she will be required to repay an amount of the package received while on maternity leave, as follows:

Period from date of birth of child	Repayment of package received by employee
First year	100%
12-18 months	50%
18-24 months	25%
24 plus months	No obligation

9.8 Co-parental leave

Fathers or partners are entitled to one month (twenty working days) of parental leave, with 75% pay.

9.9 Sabbatical

There is discussion of staff members being able to take a sabbatical every five years. This is not yet finalised. What is being considered is for staff members to be entitled to a sabbatical for a three-month period at 50% of current remuneration, provided that they are able to secure research work or other external funding to cover the costs. Should it be introduced, sabbatical leave will be accompanied by a similar

pay-back system to maternity leave. Sabbatical leave will only be granted if the funding is available as it will usually entail contracting staff to replace the person on sabbatical for the period of their absence.

9.10 Leave application procedure

Applications need to be made at least two weeks in advance, preferably earlier, by submitting the following leave application information by email to the staff member's supervisor copying the leave administrator in the Finance and Administration team:

Date of application:
Name of staff member:
Staff member's FTE:
Type of leave:
First working day away:
Last working day away:
Total number of days taken:

The relevant supervisor will post an approval of the application. The finance department will record the leave on the APC leave calendar. Staff members who go on leave will make emergency contact details available before their departure.

10 PERFORMANCE MANAGEMENT

APC is committed to providing an enabling and empowering environment in which its employees have the utmost opportunity to realise their professional potential and achieve individual and organisational results. APC has thus developed a formal performance management review process, which promotes ongoing and sustained performance delivery and professional growth.

The performance management review applies to all staff members on twelve-month contracts. For short term contractors a review should be done before they are offered a subsequent contract or their contract is renewed or extended.

The objectives of the performance management review are to:

- Increase effective organisational, team and individual performance delivery
- Develop better interpersonal work relationships through open and clear communication
- Detect early warning signs for identifying problem areas, and to source appropriate remedies to address the problems
- Create openness amongst staff members, which leads to strong self esteem, confidence and a good working environment
- Increase levels of motivation
- Link individual employees' objectives with those of APC
- Provide the basis for professional and personal development
- Develop a sense of common purpose

The performance management review is the instrument or vehicle through which staff members become familiar and clear with their job functions, and how their particular functions relate to the rest of the organisation. It consists of well-prepared, systematic discussions, covering day-to-day work issues, current opportunities and challenges, and medium to long term issues (past and future). Daily job related dis-

ussions are no substitute for performance management reviews. Both are essential.

Performance management discussions should take place at least every six months, through one-on-one discussions between the manager and the individual staff member, whether online, by telephone, or in person. Formal face-to-face performance review discussions, which include individual and team assessments, should take place annually.

10.1 How is performance measured?

Performance is assessed against the current job profile and against each of the key result areas (KRAs) outlined therein. The profile identifies the KRAs of the job, what APC expects of the staff member in these areas (desired inputs and outputs), as well as how these will be measured. KRAs are the overall goals of the position expressed as result, or performance, areas. The job profile also identifies the competencies (the particular skills and behaviours) required for the position in question.

It is the responsibility of his or her immediate supervisor to ensure that a job profile is developed for every new staff member on a contract of six months or longer within three months of his or her appointment to a position in APC. The board is responsible for developing the job profile of the ED.

The job profile form should include the following:

- i. Title of the position
- ii. Reporting structure (who the person reports to)
- iii. Overall purpose of the position
- iv. Name of the person currently in the position
- v. Date on which the profile was last updated
- vi. Profile confirmed by:
- vii. KRAs

Example: KRA 1¹⁴

- Related activities
- Related performance measures
- Related skills and competencies

10.2 Individual performance review format

The performance review interview takes place between each staff member and his or her immediate supervisor. Conducting a "360 degrees" evaluation, during which the entire team comments on one another's performance in a group session, is also recommended.

The ED is evaluated by the board and by senior staff members. The chair (of the board and also of the council) is responsible for the evaluation of the ED.

10.2.1 The current year

Steps of reviewing performance in KRAs

- i. List your current KRAs for the year under review and proceed with the discussion going through each KRA
- ii. Staff member provides general comments on their own performance in each

¹⁴ With further KRAs to be completed following the same format.

- iii. The supervisor provides general comments on the staff member's performance in each KRAs
- iv. The supervisor rates the staff member's performance in each KRA (see ratings below)
- v. The supervisor requests feedback from the staff member on the supervision they have received and on any organisational issues they would like to raise.

Sample questions to assist in the review discussion

- i. How do you think you performed against each KRA? Where did you meet the required standards, and where did you fail to meet them?
- ii. What are your reasons for failing to meet the required standards?
- iii. What were the highlights and the disappointments of the past year?
- iv. What contributed to you achieving the desired performance output?
- v. What prevented or inhibited you from being able to meet the requirements?¹⁵
- vi. What relationship issues (with your boss, colleagues, subordinates, etc.) enhanced your ability to perform?
- vii. What are your expectations of me as a manager? What could I do (such as on-the job training, sympathy, better planning, better systems, etc.) that would assist you in improving your overall performance?
- viii. Let's talk through how you could have handled a particular situation or event differently? What different result could you have achieved through this amended process?
- ix. What have you learnt about yourself during the past year? What insights do you have of your strengths and weaknesses?

Rating guidelines

A rating and a numerical score is assigned by the manager. It is possible to assign a rating that falls in between two categories, for example, Good to Very Good = 3.5.

Description of performance	Rating
Performance frequently exceeds expected standards. The quality of performance is far above the level required for the position. An achievement level is consistently high and clearly superior	Very good (4)
Performance meets, or is equivalent to, the required standards for the position; performance is competent; qualitatively and quantitatively good	Good/competent (3)
Performance meets basic standards, but falls short of that required, and there is recognised potential for improvement.	Not good enough (2)
Performance is below standard and is unacceptable.	Inadequate (1)

10.2.2 The year ahead

Suggested steps:

- 1. Confirmation of KRAs for next year and of competencies for next year
- 2. Training and development plan/career discussion, identifying the gap(s) between desired performance output, and current performance, and categorising the gap(s) in terms of:
 - a. Technical competence
 - b. Work environment
 - c. Workload and organisational capacity

¹⁵ For example, financial restrictions, availability of resources, tensions in the office; interpersonal conflict; level of motivation; communication, personal issues; organisational strategies and procedures

- d. APC competencies
 - e. Knowledge
 - f. Skill
 - g. Attitude
3. Develop a plan to address the identified gaps in performance, considering the following mechanisms to address the gaps:
- a. On-the-job training
 - b. Formal external skill training (short term)
 - c. Long term training
 - d. Internships and secondments
 - e. Relocation of workspace
 - f. Recruitment of additional staff members and contractors
 - g. Prioritisation
 - h. Workload reallocation

10.3 APC staff team evaluation

As well as individual evaluations, the APC staff team evaluates its team performance on each KRA according to the following criteria, which were developed collectively by the team:

- Build APC's profile and impact
- Active respect and sensitivity to the cultural and language diversity within APC
- Work in a way that is visible, accountable and transparent to our members
- Mobilise member participation in APC's work
- Responsive to member needs and concerns
- "Visible" online and "at work" in our virtual work environment
- Responsive to other team members
- Efficient and result-oriented communication style
- Express concerns, fears, criticism and frustration with one another, openly and in a timely manner
- Give positive reinforcement and constructive criticism responsively
- Have fun working together

The team agrees on an overall team performance rating on each indicator, and confirms the team KRAs for the coming year.

10.4 Giving and receiving feedback

When giving feedback:

- Be specific
- Be constructively critical
- Related actual observed behaviour, not assumptions
- Express how you feel
- Focus on improving results and building capacity
- Be supportive
- Ask yourself the following questions:
 - Am I being clear in what I am saying?
 - Have I said everything that needs to be said?
 - Does the other person understand the feedback clearly?

When receiving feedback:

- Listen
- Be willing to learn
- Be objective
- Remember that perceptions are reality to some people
- Ask for clarity and do not be defensive.

COMMON RATER ERRORS	
Rater error	Description
The halo effect	Occurs when the evaluator allows his/ her assessment on one trait or characteristic to influence the assessment of the same person on other traits or characteristics.
Leniency	All people being assessed achieve consistently high ratings.
Strictness	All people being assessed achieve consistently low ratings.
Allowing recent events to dominate the evaluation	The evaluator forgets previous events and achievements and remembers the more recent events or achievements. The assessor must rate the persons performance over the past year and must not allow recent events to cloud the judgement of overall performance.

10.5 Evaluation of the Executive Director

According to APC's bylaws, it is the board's responsibility to evaluate the performance of the ED. An evaluation, ideally face-to-face, should take place every year. Between face-to-face meetings, and at least every six months, shorter more informal reviews are conducted via telephone conference. The ED and at least two board members participate in such conferences. The board has several sources of input for its evaluations:

- Current job profile with its KRAs, activities and the performance measures
- Current action plan and its (planned) results
- Last evaluation of the ED
- Ongoing communications of the ED with the board via mail and telephone
- Formal reports of the ED for meetings
- Talks with as many staff members (possibly on different occasions), which concentrate on finding out any problems staff members have with the ED and give information on KRAs 3, 5 and (with accounting person) 6
- Actual results of the work of APC in programmes and projects.

10.5.1 Steps

Evaluations usually go through the following steps, not necessarily in the same sequence:

1. A review panel¹⁶ is formed
2. The panel looks at the last evaluation document and (if necessary) past reports by the ED
3. The panel looks at the ED's job profile, its KRAs and associated activities and measures. For each KRA, the panel looks at the current action plan/business plan and also takes into account planned and actual outputs. The review panel rates the performance for each KRA using a scale which allows medium ratings (such as "good to very good"). The panel writes at least one sentence judging the performance regarding the whole KRA. There may be differing

¹⁶ It is possible for the whole board to constitute the reviewing body or for the board to appoint a sub-group.

ratings for single performance measures.

4. The ED looks at the job profile and rates the KRAs using the same scale.
5. The panel talks privately with as many single staff members as possible,¹⁷ concentrating on the following topics and questions:
 - a. What do you know about your job profile and tasks?
 - b. Were staff reviews done with you? If so, when?
 - c. Is there any room for improvement for the ED?
 - d. Are there any problems staff members have with the ED?
 - e. Are there concerns?

Conversations with staff members are strictly confidential and details are not to be discussed with anyone.

6. The ED and review panel have a review discussion, comparing KRAs one by one. First the ED rates the KRA and explains the developments since the past review, then the board. If there is a difference of more than one step in rating it has to be discussed.
7. The panel finalises KRA ratings and an overall rating of the ED. It also flags areas of concern and describes necessary follow up actions in a written evaluation report, which should contain:
 - Date
 - Participants of the review panel
 - KRAs, activities, performance measure rating of each KRA
 - Overall rating of ED
 - Optional: Explanatory text and notes regarding certain or all KRAs
 - Optional: Areas of concern and steps for follow-up
8. The evaluation report is ratified by the whole board, sent to the ED and the board, and filed in APC documents.
9. Notes (if there are any) of the meeting are circulated to all participants of the process.
10. The review panel/board revises the job profile, especially the performance measures for the next evaluation.

10.5.2 Relevant documents

Documents related to the evaluation of the ED include:

- The ED's current job profile
- APC's current action plan
- APC's current bylaws.

10.6 Performance management information

All job profiles and staff team evaluation reports are submitted to the human resources coordinator, copied to the ED, and posted on the designated online space. Individual staff member evaluation reports will be kept by the ED. Every staff member will receive, and keep a copy of each evaluation report. All individual evaluations are available to APC board members on request. The board reports to council on the performance of the ED.

11 CONSULTANCY WORK

APC endeavours to attract consultancy work as a means of moving towards self-sufficiency. Consultancy work, where sourced, will be assigned to the appropriate staff

¹⁷ May be on different occasions.

member depending upon the particular skill required as well as the workload of the staff member at that point in time. In these cases, fees generated by external consultancy work will be paid directly to APC. If staff members want to undertake individual consultancy work during their periods of leave this can be negotiated with the ED and between 20% and 40% of the fee will be paid to APC depending on the degree of use made of APC time and resources.

12 ADDITIONAL WORK

Staff members are not permitted to engage in any other form of employment, or be engaged in any other capacity with outside organisations without the prior written consent of the ED. In cases where permission is granted, and where the activity is undertaken during APC time, any remuneration received by staff members for this business must be paid to APC. In addition, staff members are required to declare any interest in any other business, undertaking or institution.

13 NO SMOKING POLICY

It is a condition of employment that staff members do not smoke inside any offices of APC or in APC meetings.

14 NOTICE PERIOD

One week's written notice is required by either party to the other during the first month of employment. Thereafter, one calendar month's written notice is required for all staff members, excluding management. Managers are required to give two calendar months written notice.

15 DISCIPLINARY CODE AND PROCEDURE¹⁸

APC recognises that a disciplinary code and procedure is necessary to ensure that acceptable standards of behaviour are maintained in the organisation and that all employees receive fair and consistent treatment in situations in which these standards are violated. For discipline to be maintained fairly, all employees should know what constitutes misconduct and the procedure that will be followed when dealing with misconduct.

The disciplinary code and procedure is based on the following principles:

- APC makes use of corrective and progressive discipline with the aim of providing employees with the maximum opportunity, through greater understanding and acceptance, to correct unacceptable standards of conduct and performance.
- Punitive action should only be taken when prior corrective action has proved ineffectual or when an offence is so serious that the relationship of trust between the parties is destroyed.
- Discipline is the prerogative of management only.

¹⁸ Based on South African labour law.

- As far as it is practical, similar offences committed in similar circumstances will be treated equally through similar disciplinary action subject to aggravating or mitigating circumstances which may exist.

15.1 Offences

Offences can be divided into two broad categories:

- i. Serious offences which could, subject to an inquiry, result in action against employees, in the form of instant dismissal
- ii. Moderate offences which generally consist of breaches of general discipline resulting in disciplinary action.

Appendix four illustrates examples of serious and moderate offences. The list is not exhaustive and should only be viewed as a guide.

15.2 Disciplinary measures and procedures

There are four basic methods of disciplinary action, which can be taken against any employee. In order of severity, these are:

Action	Procedure
1. Informal written warning	In the case of a moderate offence, the appropriate manager should conduct an informal disciplinary interview with the employee by phone, chat or email, which may result in an informal reprimand. A written record of this reprimand is retained.
2. Formal written warning (by email)	If the informal warnings fail, the manager should give the employee a formal written warning. A repetition of wrongful behaviour, or a more serious offence can result in a final written warning. A written warning is valid for a period of twelve months whereafter the employee will revert to a clear record. An exception to this is dishonest conduct, where the specific nature and circumstances will be taken into account. All written warnings are recorded and placed on the employee's file. A copy is given to the employee.
3. Final written warning (by email)	
4. Dismissal on notice with pay in lieu of notice or summary dismissal (by email)	This occurs when: <ul style="list-style-type: none"> • A series of performance improvement measures have not produced the anticipated effect, or • A series of informal or written reprimands given for minor misconduct have not been effective. • When an employee is alleged to have committed major misconduct, APC will hold a formal disciplinary enquiry.

15.3 Formal disciplinary enquiries

The following principles govern formal disciplinary enquiries:

- Enquiries are to be held as soon as possible after the event, provided that a reasonable time is accorded to the employee to prepare for his or her defence
- Enquiries are to be held face-to-face if possible, otherwise by means of an on-line or telephone conference
- The employee may, if necessary, be suspended on pay, prior to, during or pending the outcome of the inquiry
- The employee is to be notified in writing of the date, time and venue of the enquiry
- The employee is also to be informed of the misconduct which he or she is alleged to have committed and of his or her rights at the enquiry.

Normally present are:

- A chairperson¹⁹
- The accused
- An employee representative²⁰ (unless the accused does not require representation)
- An interpreter (if necessary)
- The complainant.

At the commencement of the enquiry, the chairperson should present or read out and explain the misconduct under enquiry. The chairperson should ask the accused if he or she understands the complaint and if so whether he or she pleads guilty or not guilty.

At enquiries, employees have the right to:

- An interpreter, if requested
- Representation by a fellow employee, if requested
- An opportunity to confer with the representative, at reasonable times before, during and after the enquiry
- Question the complainant and witnesses during the inquiry either him or herself or through his or her representative
- Give evidence, call witnesses to give evidence and argue either him or herself or through the representative on the question of whether the misconduct occurred
- Argue in mitigation of disciplinary action
- Appeal to a person appointed by APC against any sanction. Appeals must be lodged within three working days of the decision, and can be held in the form of a full re-hearing of the matter, or a review of the disciplinary enquiry. The form that the appeal takes will be at the discretion of the chairperson of the appeal hearing and will depend on the reasons for the appeal.

After hearing all sides of the case, the chairperson must decide whether the alleged misconduct was committed or not and, if so, on the action to be taken. The action taken should be in line with previous decisions involving the same or substantially the same circumstances.

The chairperson must not consult the employee's previous work records until after he or she has reached a decision on whether or not the alleged misconduct was committed.

Enquiries may lead to any of the following outcomes:

- Exoneration
- Verbal reprimand
- Written reprimand
- Dismissal on notice or dismissal with pay in lieu of notice
- Summary dismissal

It must be noted that APC is in favour of a problem-solving and mediated approach to matters of unsatisfactory discipline and performance. Managers are encouraged

¹⁹ Who must not be the complainant or accused.

²⁰ The representative must be a fellow employee. No outside representation is allowed.

to deal with minor misdemeanours discretely, quickly, and as close to the source of the problem as possible. The formal disciplinary code and procedure should only be used in cases of serious breaches of discipline and performance, or where the above approach has not been successful.

Please see the appendices to view templates for documents related to formal disciplinary enquiries.²¹

16 GRIEVANCE PROCEDURE²²

APC recognises the importance of having effective communication channels through which difficulties and problems in the work situation can be effectively resolved. APC encourages and supports an informal approach, wherever possible and applicable, in which problems are dealt with honestly, pragmatically and with a strong emphasis on constructive resolution.

In instances where an informal approach either fails to resolve a problem, or is inappropriate in the circumstance, it is in the mutual interest of APC and its staff members to abide by a formal grievance procedure, which is capable of solving staff dissatisfaction. APC's formal grievance procedure seeks to resolve grievances as speedily as possible, and as close as possible to the source of origin.

A grievance, for the purposes of this procedure, is any dissatisfaction (except for an appeal in response to a dismissal) in connection with a staff member's work and employment situation that is formally brought to the attention of APC management. Grievances that occur as a result of disciplinary action taken by APC will be dealt with in terms of the appeal procedure in the disciplinary procedure.

There is to be no victimisation of or prejudicial action against any staff member using this procedure.

16.1 Stages of the procedure

Please note that any of the time limits set out in the various stages of this procedure may be extended by agreement of the parties concerned.

Stage one: Immediate manager

- i. The staff member must first raise any grievance with his or her direct manager, who will endeavour to resolve the matter without delay
- ii. If the manager does not settle the matter to the satisfaction of the staff member, or makes inadequate progress towards resolving it, the staff member may, together with a fellow employee who may accompany him or her, raise the matter further with the ED
- iii. The ED will endeavour to resolve the issue, consulting where necessary with other staff members and management.

Stage two: ED

²¹ Notice to attend an enquiry is appendix five; Informal warning and written warning forms are included in appendix six; Notice of final warning is appendix seven; Disciplinary appeal form is appendix eight; Disciplinary report form is appendix nine.

²² Based on South African labour law.

- i. Where a staff member has a grievance against his or her direct manager, a grievance may be formally lodged, using the grievance form,²³ with the ED
- ii. In cases where the direct manager is the ED, grievances may be lodged directly with the chairperson of the board
- iii. On receipt of a completed grievance form, the ED will arrange a meeting with the staff member and their manager,²⁴ and will attempt to resolve the matter
- iv. The ED will consider all aspects of the grievance, the evidence surrounding it and the action and findings of the manager. The ED will first attempt to achieve a consensus view, but in any event will try to resolve the grievance in discussion with the aggrieved staff member and, where appropriate, will attempt to conciliate and mediate between the parties to the grievance.
- v. The ED will consult all parties involved in the process thus far and may call for any additional information that is considered necessary
- vi. The ED will inform the parties of his decision, within five working days.

²³ Please see appendix ten.

²⁴ Please see appendix eleven.

APPENDIX ONE: APC'S HIRING PROCESS

POSITIONS OF LESS THAN ONE YEAR	
Task	Responsible person(s)
Phase 1	
1.1 Create a job announcement, including an application deadline	Relevant manager and/or project coordinator
1.2 Review the announcement	Communications team and ED
1.3 Post the announcement on relevant APC website(s)	Communications team
1.4 Receive applications at jobs@apc.org	HR coordinator
1.5 Respond to all applicants acknowledging receipt of application	HR coordinator
Phase 2	
2.1 Screen applications (against core requirements listed in job announcement) in order to create a short-list of candidates	Relevant manager and ED
Phase 3	
3.1 Compile a list of (#-#) email interview questions	Respective manager and/or project coordinator
3.2 Circulate email interviews and the deadline for submission (usually about 48 hours later) to candidates on the short-list	Respective manager and/or project coordinator
3.3 Receive applications at jobs@apc.org	HR coordinator
3.4 Respond to all applicants acknowledging receipt of application	HR coordinator
3.5 Circulate email interview responses to ED and respective manager and/or project coordinator for assessment	HR coordinator
Phase 4	
4.1 Rate email interview responses (using a spreadsheet)	ED, and respective manager and/or project coordinator
4.2 Select 3-4 final candidates	ED, and respective manager and/or project coordinator
4.3 Notify applicants who were eliminated	HR coordinator
4.4 Contact final candidates to set up phone interviews	HR coordinator
4.5 Establish interview panel(s)	ED, and respective manager and/or project coordinator
4.6 Conduct phone interviews	Interview panel
4.7 Check references and provide feedback to ED, and respective manager and/or project coordinator	HC coordinator
Phase 5	
5.1 Come to a final decision regarding who to hire	ED, and respective manager and/or project coordinator
5.2 Offer position to successful candidate	HR coordinator
a) If the successful candidate accepts the position, inform remaining candidates that they were not successful.	HR coordinator
b) If the successful candidate declines the position, select another candidate	ED, and respective manager and/or project coordinator

POSITIONS OF ONE YEAR OR MORE	
Task	Responsible person(s)
Phase 1	
1.1 Appoint a hiring committee (HC), consisting of the HR coordinator, at least one council member, representatives from management and the relevant programme(s), and, in the case of a management position, a board member	HR coordinator and ED
1.2 Create a job announcement, including an application deadline	Relevant manager and/or project coordinator

1.3 Review the announcement	Communications team, ED, and HC
1.4 Post the announcement on relevant APC website(s)	Communications team
1.5 Receive applications at jobs@apc.org	HR coordinator
1.6 Respond to all applicants acknowledging receipt of application	HR coordinator
Phase 2	
2.1 Conduct the first round of screening (against core requirements listed in job announcement) in order to create a short-list of candidates	HC coordinator
2.2 Circulate short-list of candidates and their applications to HC, ED, and respective manager and/or project coordinator	HC coordinator
2.3 Provide feedback to HC Coordinator	HC, ED, and respective manager and/or project coordinator
2.4 Receive feedback from HC, ED, and respective manager and/or project coordinator	HC coordinator
Phase 3	
3.1 Conduct a second round of screening in order to create a second short-list of candidates	HC coordinator
3.2 Circulate the second short-list of candidates and their applications to HC, ED, and respective manager and/or project coordinator	HC coordinator
3.3 Provide feedback to HC Coordinator	HC, ED, and respective manager and/or project coordinator
3.4 Receive feedback from HC, ED, and respective manager and/or project coordinator	HC coordinator
Phase 4	
4.1 Compile a list of (#-#) email interview questions and send to HR coordinator	Respective manager and/or project coordinator
4.2 Circulate email interviews and the deadline for submission (usually about 48 hours later) to candidates on the second short-list	HR coordinator
4.3 Receive applications at jobs@apc.org	HR coordinator
4.4 Respond to all applicants acknowledging receipt of application	HR coordinator
4.5 Circulate email interview responses to HC, ED and respective manager and/or project coordinator for assessment	HR coordinator
Phase 5	
5.1 Rate email interview responses (using a spreadsheet)	HC, ED, and respective manager and/or project coordinator
5.2 Select 3-4 final candidates	HC
5.3 Notify applicants who were eliminated	HR coordinator
5.4 Contact final candidates to set up phone interviews	HR coordinator
5.5 Establish interview panel(s)	HC
5.6 Conduct phone interviews	Interview panel
5.7 Check references and provide feedback to HC	HC coordinator
Phase 6	
6.1 Come to a final decision regarding who to hire	HC
6.2 Offer position to successful candidate	HR coordinator
a) If the successful candidate accepts the position, inform remaining candidates that they were not successful.	HR coordinator
b) If the successful candidate declines the position, select another candidate	HC

APPENDIX TWO: EXAMPLES OF SERIOUS AND MODERATE OFFENCES

Examples of serious offences:

1. Security breaches of server / confidentiality / root password / intranet
2. Theft, bribery or fraud
3. Falsification of any APC records
4. Misuse of APC's property for private purposes
5. Gross negligence or incompetence
6. Making false statements when applying for work
7. Unauthorised absenteeism from work.
8. Wilful damage to APC's equipment, or the property of other employees, or clients of APC
9. Fighting, assault or attempted assault
10. Being drunk or under the influence of illegal drugs during work hours so as to constitute a 'danger to persons' or property e.g. whilst in charge of a vehicle or machine belonging to APC
11. Causing damage to APC's property through drunkenness or serious neglect
12. Sabotage by damaging machines, or causing damage to APC property in any way whatsoever
13. Illegal striking or influencing others to strike illegally
14. Refusal to obey reasonable instructions given to a staff member by their manager
15. Failure to report misconduct
16. Desertion
17. Persistent misconduct
18. Poor workmanship / inefficiency; failure to carry out work to the required standard without reasonable cause and concealing defective work
19. Being disrespectful, rude and uncooperative towards APC members, clients, other service providers, colleagues and management.

Examples of moderate offences:

1. Laziness / loafing; passing time idly or failing without reasonable cause to complete tasks set
2. Poor time keeping
3. Disorderly behaviour during APC meetings, or on premises being used by APC
4. Negligence; negligent loss, damage or misuse of APC property
5. Failure to exercise proper care in executing duties to the extent that tasks have to be repeated

APPENDIX THREE: NOTICE TO ATTEND AN ENQUIRY

You are required to participate in a disciplinary enquiry, which will be held to investigate the alleged offence(s) as detailed below:

NATURE OF THE COMPLAINT: _____

NAME OF THE COMPLAINANT: _____

The enquiry will be held on:

DATE: _____

TIME: _____

VENUE: _____

Your rights at the enquiry are as follows:

1. You are entitled to be assisted at the disciplinary enquiry by a fellow employee
2. You are entitled to have an interpreter, if requested
3. You are entitled to have the opportunity to confer with your representative at reasonable times, before, during and after the enquiry
4. You are entitled personally, or through your representative, to question the complainant and witnesses during the enquiry
5. You are entitled to furnish evidence and to argue on the question of whether the misconduct occurred
6. You are entitled to furnish evidence and to argue in mitigation of disciplinary action
7. Should you fail, or refuse, to attend the enquiry, the enquiry may be held in your absence
8. You are entitled to lodge an appeal against the decision of the disciplinary enquiry within three working days of the decision. The appeal must be lodged with the chairperson of the disciplinary enquiry and must motivate fully the grounds of such appeal and whether such appeal is in respect of the decision and/or sentence of the disciplinary enquiry. Any appeal will be heard as soon as possible of such notice being given.

Please confirm your understanding of your rights as detailed above by signing below.

SIGNATURE OF EMPLOYEE²⁵ _____

WITNESS _____

DATE: _____

²⁵ Can be signed by email acknowledgment.
APC Human Resources Manual, Version 11 December 2009

APPENDIX FOUR: SAMPLE WARNING LETTERS

INFORMAL WARNING:

EMPLOYEE NAME: _____

DATE: _____

REASON FOR WARNING: _____

Please note that this warning will be recorded and should there be a further breach of acceptable conduct, disciplinary action may be taken against you.

SIGNED:²⁶ _____ (APC manager)

DATE: _____

WRITTEN WARNING:

EMPLOYEE NAME: _____

DATE: _____

As a result of a disciplinary hearing held on: _____

you are hereby informed that you are issued a written warning due to:

(Give a short summary of the findings of the chairperson of the disciplinary inquiry)

This warning takes immediate effect.

Should a similar offence or any other serious offences be committed by yourself, further disciplinary action will be taken against you, which could lead to dismissal.

SIGNED: _____ (APC manager)

I understand the contents of this notification, and acknowledge receipt of a copy.

SIGNED:²⁷ _____ (Employee)

²⁶ Can be signed by email acknowledgment.

²⁷ Can be signed by email acknowledgment.

APPENDIX FIVE: NOTICE OF FINAL WARNING

EMPLOYEE NAME: _____

DATE: _____

As a result of a disciplinary hearing held on: _____

You are hereby informed that you have been issued with a final warning due to:

(Give a short summary of the finding of the chairperson of the disciplinary enquiry)

This final warning takes immediate effect.

Should a similar offence, or other serious offences be committed by you, further disciplinary action will be taken, which could result in dismissal.

SIGNED: _____ (APC manager)

I am aware of the contents to this notification and acknowledge receipt of a copy.

SIGNED:²⁸ _____ (Employee)

WITNESS: _____ DATE: _____

APPENDIX SIX: DISCIPLINARY APPEAL FORM

NAME: _____

DATE: _____

GROUNDS OF APPEAL: _____

SIGNATURE OF APPELLENT:²⁹ _____

DATE: _____

²⁸ Can be signed by email acknowledgment.

²⁹ Can be signed by email acknowledgment.

APPENDIX SEVEN: DISCIPLINARY ENQUIRIES AND REPORTS

NAME OF OFFENDER: _____

DATE OF ENQUIRY: _____

RECOMMENDED PROCEDURE TO FOLLOW BY THE CHAIRPERSON AT A FACE-TO-FACE DISCIPLINARY ENQUIRY:³⁰

The chairperson should:

1. Introduce everybody present, explain the nature of the proceedings and establish the designation and capacity in which every person present is in attendance
2. Record the names, designations and capacity in which every person present is in attendance
3. Confirm whether the accused was properly notified of the nature of the complaint brought against him and records confirmation
4. Confirm whether the accused has had enough opportunity to prepare his or her case and record confirmation
5. Confirm the right to representation and whether the representative qualifies to represent the employee. The representative qualifies to represent the accused if he is a friend or colleague working for APC.
6. Ensure that the accused and his or her representative are satisfied with the interpreter (if required)
7. Explain the rights of the representative³¹
8. Inform everybody of the fact that all questions must be directed via the chairperson as and when the opportunity for questions arises
9. Request all witnesses to leave and wait outside until called upon
10. Read the breach/misconduct brought against the accused and ensure that the accused understands the alleged breach
11. Record the accuser's plea. If guilty, proceed to point 21. If the plea is not guilty carry on with the following point
12. Allow the complainant to proceed with his or her case by stating the facts, which led him or her to bringing the case against the accused
13. Allow the complainant to first complete his or her own evidence prior to allowing the accused and/or his or her representative to question the complainant on the evidence he or she has given. (The chairperson has the right to ask questions in order to clarify any issue which may have arisen.)
14. Call the witnesses of the complainant individually, allowing each witness to state the facts appertaining to the case, and also for questions
15. On completion of the complainant and his or her witnesses case, request the accused to state his or her case and allow questions by the complainant
16. Allow the accused's witnesses to state their facts and allow questions to be asked as above
17. After completion of all the evidence by both parties, allow the complainant and the accused or his or her representative to address the chairperson on the merits of the case
18. Request the parties to the case to leave the room whilst the question of guilt / innocence is being deliberated. The case can be postponed by a reasonable period of time to allow adequate reflection and review of the facts.
19. Consider all the facts, which were brought in front of the enquiry as well as the addresses by the parties prior to reaching a decision. The accused's guilt or innocence must be

³⁰ May be modified by the chair for telephone and online enquiries.

³¹ The representative can ask questions and speak on behalf of the accused, address the committee on the merits of the case and in mitigation.

determined solely on the facts of the case and the addresses of the parties. The accused's past disciplinary record and other mitigating/aggravating circumstances must not be taken into consideration when determining the accused's guilt/innocence.

FINDING OF THE ENQUIRY ON THE ACCUSED'S GUILT OR INNOCENCE:

1. Once a decision has been reached, the Chairperson recalls the accused, his representative and the complainant and informs them of the decision and records the decision. The Chairperson must state a summary of his or her reasons. Full reasons in writing can be provided on request.
2. Should the accused be found guilty or pleads guilty, he or she and / or the representative must be afforded the opportunity to address the Chairperson in mitigation prior to a decision being taken on what disciplinary action is to be taken.
3. Again requests both parties to leave the room prior to deliberating on an appropriate penalty.
4. Consults the employee's previous disciplinary record, if applicable.
5. Considers all the facts raised in mitigation, the employee's previous disciplinary record, the length of service, the severity of the breach / misconduct, as well as any future facts which may influence the decision on the appropriate penalty to be applied. The available options are:
 - Written warning
 - Final written warning
 - Dismissal with notice
 - Dismissal with notice pay in lieu of notice
 - Dismissal without notice

FINDING OF THE ENQUIRY ON THE APPROPRIATE PENALTY:

1. The Chairperson recalls the parties and informs them of the penalty to be applied and records the decision.
2. Informs the employee of his or her right of appeal as well as the grounds on which an appeal can be made.
3. The employee may appeal on the following grounds:
 - Incorrect procedures followed
 - New evidence
 - Outcome of the hearing and the severity of the penalty

The Chairperson completes the hearing form and requests the employee or his or her representative to sign acknowledgement of the outcome of the hearing, and the right to appeal. Refusal to acknowledge the outcome should also be recorded.

APPENDIX EIGHT: GRIEVANCE FORM

NAME OF EMPLOYEE: _____

NAME OF EMPLOYEE REPRESENTATIVE, IF REQUIRED: _____

NAME OF MANAGER: _____

NATURE OF GRIEVANCE: _____

SETTLEMENT DESIRED: _____

SIGNATURE OF EMPLOYEE: _____

SIGNATURE OF REPRESENTATIVE: _____

OUTCOME OF GRIEVANCE (if necessary, reason for failure to reach settlement)

DATE: _____

SIGNATURE OF MANAGER: _____

APPENDIX NINE : NOTICE OF A GRIEVANCE HEARING

You are required to attend a grievance hearing, which will be held to investigate your grievance in respect of: _____

The grievance hearing will be chaired by: _____

DATE: _____

TIME: _____

VENUE: _____

At this hearing, you will be given the opportunity to explain your grievance, call relevant witnesses and present evidence. The process followed shall be as detailed in the section on disciplinary hearings in the APC human resources manual.

You have the right to be represented by a fellow staff member.

After investigating your grievance, the Chairperson will decide on appropriate action to resolve the matter and will advise you within five working days of the hearing.

