



Initiative Africa

Procedural Manual

September, 2019

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GENERAL POLICY

MISSION STATEMENT

Initiative Africa's (IA's) mission is to nurture and develop educational spaces and material in all effort to improve the overall quality of education throughout Ethiopia and Africa.

OUR VISION

Insure that today's children and youth are well prepared to be tomorrow's innovations and leaders.

OUR MOTTO

To teach, inspire and support !

ETHICS POLICY

- (a) IA adheres to the highest standard of conduct so as to foster fair and honest relationships among staff members. All IA activities are conducted in strict observance of both the letter and the spirit of the law.
- (b) All persons representing IA must maintain the organization's standards of conduct by exercising judgment and diligence in the performance of duties, and by the avoidance of a conflict of interest. All relationships must meet both legal requirements and the test of honesty and integrity.
- (c) All persons representing IA must conduct themselves so as to avoid any action or behavior that would bring embarrassment to IA.
- (d) A conflict of interest would arise if a person representing IA had any interest or activity outside IA that could be advanced at the expense of IA's interest. A conflict could arise whenever this obligation or commitment to the outside interest and the obligation or commitment to IA pulled the individual in opposite directions.
- (e) A conflict of interest is defined as any situation wherein a gain, which could have accrued to IA because of an action taken by an employee, is offset or reduced by a gain to a second or third party (which could also be that same employee) as a result of that employee's action.
- (f) The degree of conflict is inconsequential. There can be no gray areas, there either is or not a conflict of interest. It is the policy of IA that no conflict of interest will be tolerated.

USE OF IA's NAME FOR ADVERTISING OR ENDORSEMENT

IA will not grant permission to any individual or organization, either public or private, to use the IA name, symbol, logotype, publications, or material from its publications for testimonial, promotional or advertising purposes. IA will not permit its functions and publications to be used to advance partisan interests or to promote commercial services or products, except for educational exhibits conducted by IA.



Fig: Official Logo of Initiative Africa

CO-SPONSORSHIP WITH OTHER ORGANIZATIONS

- (a) IA's operations are not-for-profit educational activities that are deemed to be in the public interest.
- (b) Under this restriction IA is prohibited from entering into any "joint activity" which is designed for the primary purpose of producing a profit for the benefit of some taxpaying, profit-motivated organization.
- (c) IA is not prohibited from retaining the services of a taxpaying entity to help in fulfilling its operational mission. However, in working with a taxpaying organization, it is important to frame the program as an IA project with the retention on an independent contractual basis of the taxpaying organization paid for the services it renders IA.

LOBBYING OR PR

No substantial part of the activities of IA shall consist in carrying on PR or otherwise attempting to boycott the constitution of Ethiopia. It shall not participate in, or intervene in (including the publishing or distributing of statements) any political campaign on behalf of any candidate for public office.

PRESS RELEASE

All press releases and public announcements concerning IA affairs will originate from the headquarters office. Organizational branches which have a relating to their need for media contracts make their activities will to the office, needs known which will establish and maintain the necessary contracts.

PRESS ATTENDANCE AT IA FUNCTIONS

Members of the press will be admitted to IA functions such as seminars, courses and conferences on a complimentary basis only by special arrangements made through IA's office.

LEGAL ADVICE

All contacts with outside legal counsel must be cleared through the Executive Director of Initiative Africa (IA).

All contracts and agreements must be overlooked or drafted by a legal advisor for legitimacy and being up to standard with the current law.

IA will retain legal advises on matters such as:

- (a) For all agreement and contract drafting and approval
- (b) If subpoena by the Courts on behalf of an individual, Company, Organization or Government
- (c) Termination of contracts and Agreements with service providers and partners
- (d) Changing the management bi-laws
- (e) And other matters concerning legal advice

CRITERIA AND POLICY FOR IA PROPOSALS TO OTHERS

The following guidelines are established to aid in making a decision as to whether IA will bid or offer services in response to solicited and unsolicited requests for proposals from donor countries, private and nongovernmental organizations.

- (a) The nature of the project must be consistent with the purposes of IA as set forth in the Article of association, IA's mission, and with IA's objectives as they currently exist.
- (b) A high degree of confidence must exist that if the project is awarded, IA will be able to staff and implement the project successfully.
- (c) The project should not be a part of an advocacy program.
- (d) If there is no doubt about any of the above, or if one or more of the following conditions apply, the proposal must be submitted to the Executive Board.

RELEASE OF INFORMATION

It is IA's policy to comply with all applicable laws and regulations, and to cooperate with groups and individuals legitimately seeking information about IA or information IA has in its possession.

However, information must be safeguarded for the best interest of IA, and the public, as follows:

- (a) Initiative Africa will release, externally, information if disclosure is called for by governmental or contractual regulation or commitment.
- (b) Initiative Africa will respond fully and candidly to all requests for information, which do not compromise IA's or its members' or customers' competitive position, legal position, or reputation. Requests for such information should be forwarded to the Executive Director.

ELECTRONIC RECORDING OF IA'S ACTIVITIES

No electronic recording of any meeting is to be made without the knowledge and approval of the person (s) being recorded.

BOARD OF DIRECTORS

IA's Board of Directors consist of 8 members varying in Professional background, age, gender and status in the BoD. This man and women contribute effortless work to the smooth and productive working methodology is taken by IA, and Evaluate and monitor the activities and changes within the organization.

Each Board Member is expected to adhere to a high standard of ethical conduct and to act in accordance with IA's Mission, Core Values and Commitments. The good name of IA depends upon the way Board Members conduct business and the way the public perceives that conduct. Unethical actions, or the appearance of unethical actions, are not acceptable. Board Members are to be guided by the following principles in carrying out their responsibilities. Note, however, that this Code summarizes such principles and nothing in this Code should be considered as limiting duties, obligations or legal requirements with which the Board Members must comply.

SERVICE

Election and Evaluation of the Board of Directors is done through previous members and stakeholders. This process will include:

- Collecting Eligible professionals from different sectors of the professional world (Only from HQ Country Citizens)
- Extreme assessment and Vetting of prospective candidates
- Have the potential candidates introduce for vote and select the one with the highest votes.
- All Selected or new BoD members must sign affiliation and acceptance to IA's Code of Conduct MoUs.

Each BoD will be eligible to serve for a limited term of:

- **4 Year in the Board** and **1 year in the top positions** within the board.
- **After a 2-year** sabbatical, Previous members may be re-elected again.

LOYALTY

Board Members should not be, or appear to be, subject to influences, interests or relationships that conflict with the interests of the organization or its ability to operate for the benefit of the Internet community as a whole. Board Members shall act so as to protect IA's interests and those of its staff members, assets and legal rights, and Board Members shall serve the interests of IA organization and the group or stakeholder of IA.

CARE

Board Members shall apply themselves with seriousness and diligence to participating in the affairs of the Board and its committees and shall act prudently in exercising oversight of IA organization, and shall be attentive to legal ramifications of his or her and the Board's actions. Board Members are expected to be familiar with IA's work, projects and the environment in which the organization operates, and understand IA's principal organizational plans, policies, strategies and core values.

INQUIRY

Board Members shall take such steps as are necessary to be sufficiently informed to make decisions on behalf of IA and to participate in an informed manner in the Board's activities. Board Members are expected to attend all meetings of the Board, except if unusual circumstances make attendance impractical.

COMPLIANCE WITH LAWS, RULES AND REGULATIONS

Board Members shall comply with all laws, rules and regulations applicable to IA.

OBSERVANCE OF ETHICAL STANDARDS

Board Members must adhere to the highest of ethical standards in the conduct of their duties. These include honesty, fairness, transparency and integrity.

INTEGRITY OF RECORDS AND PUBLIC REPORTING

Board Members should promote the accurate and reliable preparation and maintenance of IA's financial / External Auditor, Program Manager and other records. Diligence in accurately preparing and maintaining IA's records allows IA to fulfill its reporting obligations and to provide stakeholders, governmental authorities and the general public with full, fair, accurate, timely, understandable, open and transparent disclosure.

CONFLICTS OF INTEREST

Board Members must act in accordance with the Conflicts of Interest Policy adopted by the IA's staff and members, and as amended from time to time.

ORGANIZATIONAL OPPORTUNITIES

Board Members are prohibited from: (a) taking for themselves personally opportunities related to IA's Projects; (b) using IA's property, information, or position for personal gain; or (c) competing with IA for project opportunities. Board Members shall exercise prudent judgment to avoid the appearance of improper influence when offered opportunities, gifts or entertainment.

CONFIDENTIALITY

Board Members should maintain the confidentiality of information entrusted to them by IA as confidential and any other confidential information about IA, its operations, customers or suppliers, which comes to them, from whatever source, except when disclosure is authorized or legally mandated. For purposes of this Code, "confidential information" includes all non-public information relating to IA, its Projects, Beneficiaries, Partners or Service Providers.

Process surrounding maintenance of confidential information can be found in the Board Governance Bylaw and IA's operation Manual developed and amended from time to time, as the Board deems appropriate.

BOARD INTERACTION WITH INTERNET COMMUNITY AND MEDIA:

1. The Board recognizes that members of the Supported Community, Media, Internet community, IA constituency groups and the public at large have significant interests in IA's actions and governance and therefore the Board seeks to ensure appropriate communication, subject to concerns about confidentiality.
2. The Board notes that the President speaks for IA, consistent with applicable policy.
3. If comments from the Board to the above parts on behalf of IA are appropriate, they should be reviewed and discussed by the Board in advance, and, in most circumstances, come from the Chair of the Board.

ENFORCEMENT

Board Members will discuss with the Board Governance Personals on the Board Governance Bylaw and IA's Policy about any questions or issues that may arise concerning compliance with its codes. Breaches of this Codes, whether intentional or unintentional, shall be reviewed by the Board Governance personals, which, if necessary, shall make recommendations to the full Board for corrective action. Serious breaches of this Code may be cause for dismissal of the Board Member committing the infraction in accordance with IA's Bylaws and applicable law.

AFFIRMATION

All Board Members shall read this Code on start of their Membership as well as at least annually, and shall certify in writing that they have done so and that they understand the Code.

REVIEW

This Code will be reviewed periodically by the Board Governance Personals, which shall make recommendations to the full Board regarding changes to or rescinding of the Code, as deemed appropriate.

EMPLOYMENT POLICY

TITLE OF CONDITIONS OF SERVICE

These “Staff Conditions of Service” may be referred to as the Staff Regulations of Initiative Africa or otherwise in this publication as the “Conditions of Service”. The “Conditions of Service” has been prepared on the basis of sound management policy, good labor-management relations, and in conformity with the Labor Proclamation NO. 42/1993.

AUTHORITY

These Conditions of Service were approved by the Board of Directors of Initiative Africa. These Conditions of Service has been revised shall be deemed to have commenced on January 1st, 2013.

APPLICATION OF THE CONDITIONS OF SERVICE

These Conditions of Service, except where otherwise specified, shall apply to:

- (a) All members of the permanent staff of the Organization.
- (b) All persons employed by the Organization on probation or contract in an established post.
- (c) All persons engaged in a temporary capacity on a monthly rated basis.
- (d) All persons engaged on a daily-rated basis.

In the application of these Conditions of Service any reference to staff members of the masculine gender shall apply to staff members of the feminine gender as well.

AMENDMENT OF CONDITIONS OF SERVICE

These Conditions of Service may be reviewed, added or amended by the Organization from time to time.

PURPOSE

The purpose of these Conditions of Service is to lay down the general principles for recruitment and staff management policy for Initiative Africa and to put in clear terms the rights and obligations of staff members with the view to promote orderly and harmonious relations between staff members and the management of the Organization.

These Staff Conditions of Service should serve as a guideline to address human resources management issues uniformly and consistently.

Every attempt has been made to present a clear complete set of regulations. There may be omissions or ambiguities. Users are requested to present comments and suggestions to the following address.

The Human Resource Manager
Initiative Africa
P.O.Box1123
Addis Ababa.

DEFINITIONS

In these Conditions of Service, unless the context otherwise requires;

- (a) “Organization” or “IA” means Initiative Africa, including its branches if applicable.
- (b) “Staff Conditions of Service” or “Conditions of Service” means the Terms and Conditions of Employment as herein contained.
- (c) “Employee, Staff, or Staff Member” means a person who is engaged by the organization following a formal letter of appointment.
- (d) “Conditions of Employment” means the state of relations between the staff member and the organization as stipulated in these Conditions of Service.
- (e) “Staff Regulation” or “Regulations” shall mean the work rules of norms of the organization as prescribed in these Conditions of Service.
- (f) “Promotion” shall mean the advancement of a staff member from a lower grade to a higher grade within the organization’s Job Grading System, in recognitions of his/her readiness to assume greater responsibility.
- (g) “Salary” shall mean the regular fixed gross monthly remuneration of a staff member excluding allowances and benefits.
- (h) “Step Increment” shall mean a salary raise of a staff member established within a grade of the salary scale of the organization.
- (i) “Appointment” shall mean the employment of a person by the organization whose terms and conditions of employment are spelt out in a formal letter of appointment.

STANDARDS OF CONDUCT

People-Centered

- (a) IA shall act in solidarity with the goals of the communities that the organization works with and the priorities that the community partners identify for themselves.
- (b) IA shall involve all men, women, young people, children and the disabled in its target areas to the greatest possible extent, making them responsible for the conception, implementation and evaluation of projects and programs.
- (c) IA shall respect indigenous knowledge, identify individuals' dignity, culture, faith and values. But, IA will not support traditional practices that may harm an individual or the community.
- (d) The design of IA's programs will take into account the needs of the people and the wellbeing of the environment and the country.
- (e) IA's programs will be planned, designed, implemented, monitored and evaluated with egalitarian practice and the participation of the people concerned.
- (f) IA shall abide by the principle to allocate resources efficiently and effectively within our organization and its target communities.
- (g) IA shall respect and adhere to internationally recognize citizens' privileges.

CODE OF CONDUCT

Preamble

This document sets out the ethical principles and compliance procedures underlying professional performance and attitudes at Initiative Africa. Ethical codes stand in the shadow of law. In contrast to law, this code is not enforceable, but instead is meant to give guidance to board and staff members regarding their professional responsibilities.

The ethics of Initiative Africa reflects values of integrity, veracity and autonomy, providing professional and ethical models for educational development. An environment suitable for enquiry and learning should be fostered.

Article 31 of the Federal Constitution of Ethiopia guarantees the right to freedom of associations and has established an enabling environment in which NGOs can co-operate effectively and can formulate and implement a Code of Conduct. Initiative Africa, therefore, commits to uphold the norms and standards within framework.

Compliance with guidelines

- Staff members should familiarize themselves with the following documents: the relevant statute of law and regulations, Initiative Africa's (IA) mission statement, manuals and guidelines, IA's policies and procedures and seek to comply with these established guidelines. When in doubt, members of the staff should at the earliest moment refer matters to the relevant senior staff member for independent guidance and for resolution.

Definitions

- The Code of Conduct is a set of norms, principles and values that recognizes IA as a non-for-profit, non-self-serving, non-governmental, non-partisan and independent organization based in Ethiopia which brings together practitioners and their organizations to improve and quality education and development practices in Ethiopia and Africa. Through locally driven development programs and activities, IA actively contributes to the process and improvement of the overall quality of education in Ethiopia.

Non-for-profit means not for private gain or profit, there may be paid employees or activities generating revenue which will be used solely for public benefit. *Non- partisan* and *independent* indicates that IA is controlled and directed by its founders in keeping with its mandate honoring community values and obligations and its responsibilities.

The Code of Conduct includes two parts. These are Standards of Conduct and Code Observance. The Standards of Conducts are the norms that need to be adhered to while the Code Observance pertains to the mechanism of enforcement of the Code.

- (a) Signatories are members of the board who have signed and accepted this 'Code of Conduct'.
- (b) IA is the abbreviation of the organization's official name Initiative Africa.

PURPOSE OF THE CODE

The Code of Conduct will:

- Ensure transparency and accountability in the operation of IA by voluntary self-regulation;
- Improve the quality of service provided by IA by adopting high standards of conduct and to devise efficient decision-making processes.

Mission Statement

- Initiative Africa's mission is to nurture and develop educational spaces and material in all effort to improve the overall quality of education throughout Ethiopia and Africa.

Fairness and Equity

- IA shall exercise and promote fairness, impartiality and equity in all of its activities and in its dealings with interested parties, community partners and the general public.

Equal Opportunity

- Initiative Africa is committed to a work environment free from discrimination on the grounds of ethnic affiliations, gender, religion, disability, age, or political or sexual preference, and where decisions on employment and promotion are made on the basis of merit and assessment. Behavior which constitutes sexual harassment, physical or any harm of intimidation is unacceptable.

Moral and Ethical Integrity

- IA shall be truthful in all activities and refrain from practices that undermine the moral and ethical integrity of its organization and partners.
- IA shall utilize all the resources and privileges available to the organization in order to meet its mission and strategic objectives.
- IA shall accept funds and donations only from sources whose aims are consistent with its mission, objectives and capacity and organizations that do not undermine its independence and identity.

Health and Safety

- Initiative Africa seeks to ensure a safe and healthy work place. Staff members must abide by all requirements of the established IA guidelines for safety, and ensure that no unsafe practices go unreported.

Transparency and Accountability

- IA shall be transparent and accountable in its dealing with government and community partners, the public, donors and other interested parties. IA shall use available opportunities to inform the public about its work and about the origin and use of its resources.
- IA shall maintain and make available to all concerned bodies, periodic audit, financial and activity reports.
- IA shall conform to the constitution, laws, rules and regulations of the Federal government of Ethiopia and, where necessary, lobby for change.

- IA shall devise and develop sound financial policies as well as systems in order to manage its accounts.
- IA shall be truthful and honest in all matters related to raising, using and accounting for funds.
- IA shall maintain an annual financial and accounting system that ensures the use of resources in accordance with the intended purpose.

Good Governance

- IA shall have a written constitution or memorandum of association that clearly defines its mission, objectives and organizational structure.
- IA shall develop a written policy that affirms its commitment to equal opportunities in its employment practices, promotion of staff(s) and board compositions.
- All of IA's transactions shall be free of conflicts of personal and professional interest.
- The services of the governing body shall be given freely and voluntarily other than reimbursements for essential costs incurred during service.

Independence

- IA's activities and practices shall promote the interests of its targets populations and the sector at large.
- Although IA shall always respect community values and traditions, it shall strive to maintain its autonomy and resist conditional ties that may compromise its mission and principles.

Communication and Collaboration

- IA shall foster an atmosphere of collaboration and co-operation in its partnerships supportive relationships to the best advantage of its targets populations.
- IA shall promote harmony, collaboration, and team spirit within and outside the sector.
- IA shall share and exchange information, experiences and resources pertinent to its mission with the view to promoting, learning and common understanding within and outside the sector.

Gender Equity

- IA shall seek to advance gender balance and equity and endeavor to ensure the equal participation of women in all its educational development initiatives.
 - IA shall fully integrate gender sensitization into its human resource development and promote non-discriminatory working practices and relationships.
- IA will strive to create a balance of gender in senior decision-making positions at IA's headquarter and in advisory groups.
- IA's policies and procedures will be designed to promote gender equity in recruitment, hiring, training, professional development and advancement.

Environment Consciousness

- IA shall exercise a responsible and responsive approach to the care of the environment and to the proper management of the eco-system in all its activities.

Sustainability

- All IA's programs will be designed in full consultation with community and other interested parties. Projects that will be taken over by target communities or by government bodies shall be designed and facilitated to enhance sustainability.

Impact

- IA shall develop and promote clear and measurable impact indicators for its programs/projects in order to gauge their relevance and effectiveness.
- IA shall formalize various monitoring and evaluation tools to gauge its performance in relation to its objectives and the short and long term goals of its activities.
- IA shall make accessible to the public the findings of any assessments or evaluations of its activities.
- IA shall institute proper mechanisms for the internal and external valuations of its programs.

Use of IA Resources

- Members of staff have a general responsibility to safeguard, properly use, and care for IA's resources. They are responsible for the maintenance and protection of IA's property and for the proper expenditure of IA's funds. Financial procedures and systems are designed to ensure that the Initiative Africa is publicly accountable for expenditure of monies entrusted to it. Fraud or theft by a staff member may result in dismissal, and where appropriate, legal action will be taken.
- Members of staff have a general responsibility to use IA's resource only for official IA related business. IA's facilities are necessarily provided in an accessible manner on trust to staff. Members of the staff have responsibility not to abuse that implied trust. IA's equipment, including motor vehicles, is for official use by staff and volunteers.
- Members of staff have a general responsibility to use IA's information systems only for official IA business. Electronic equipment and copying devices represent particular areas where members of the staff are obliged to act responsibly. IA information systems, including software and computer equipment, may be used only by staff or volunteers of IA within the established IA guidelines, and only with the approval of a duly authorized IA officer.

Public comment

- In making written or oral comments which purport to represent the views or authority of Initiative Africa and which might reasonably be expected to become public, each member of the staff is responsible to ensure that they hold proper authority to make such public comments, and that such authority has been given to them by a member of senior staff or him-/herself holding actual authority on behalf of the IA.
- All staff members have the right to express their views publicly on any matter of public interest provided that they clarify the fact that such views are those they hold as private citizens.

Gifts, Benefits and Sponsorship

- Where staff members are offered favors or gifts from a person or organization who could benefit or who might be perceived by the public to benefit by influencing staff members in the exercise of their authority or duty, or by placing staff members under some obligations,

a full disclosure of all relevant facts should be made by the staff member to an appropriate senior officer of IA at the earliest possible time, and an appropriate opinion sought as to the property of accepting gifts, favors, or sponsorship.

Personal Behavior

- Staff is expected at all times to:
 - Perform official duties with care, skill, fairness and diligence and to exercise their given powers only for the purpose of those powers have been granted;
 - Perform their duties professionally;
 - Not assault or insult, threaten or malign members of IA, or behave in such a way that brings IA into disrepute; and
 - Treat partners, colleagues and members of the public with courtesy, and with respect for their rights, duties and aspirations.

Conflicts between Personal Behavior and the Interests of Initiative Africa

- In this paragraph the term “personal interests” shall be defined. Members of staff shall aim to avoid being placed in a situation which may cause conflict between the interests of IA and their personal interests or those of their family or friends. If that situation arises, a full disclosure in writing of all relevant facts shall be made at the soonest possible time that is reasonable to the relevant senior officer of IA. Furthermore, an independent opinion sought as to the priority of proceeding while such conflict exists. In particular, Initiative Africa expects staff not to place themselves in a position where it could be construed that they have:
 - Used IA’s assets or confidential IA information for personal gain or to obtain a benefit for themselves, their family or friends: or
 - Without IA’s approval, entered into a contractual arrangement to supply goods or services in addition to their normal contract of employment.

CODE OBSERVANCE

Establishment

The following organs are established for ensuring observance of this code:

- The Board of Directors
- The Compliance officer

The Board of Directors

- All members of the Board of Trustees shall be the supreme body of the Code Observance.
- The Board of Directors shall review and decide on all appeals during their regular meetings.

The Compliance Officer

- The Compliance Officer is a senior management representative.
- The Compliance Officer shall act as guardian of the Code of Conduct.
- The Compliance Officer shall ensure understanding, trust and co-operation between IA, the public, the government, the donors and the community partners.
- The Compliance Officer shall promote and maintain the Observance of the code.
- The Compliance Officer shall consider and determine complaints related to the non-observance of any violation against the Code of Conduct from the staff of IA, government, donors, community partners, the public and other NGOs.
- The Compliance Officer may from time to time review and recommend changes to the Board of Trustees.
- The Compliance Officer shall review significant breaches of the Code.
- The Compliance Officer shall be engaged in awareness rising about the Code of Conduct enshrined herein involving signatories.

Complaints

- Any person (staff member/s) may file a complaint or petition with the Compliance officer.
- A written complaint shall include the following:
 - The name and address of the complaint;
 - The circumstances in which the breach or violation of the Code is alleged to have been committed; and
 - Where possible, a reference to the Standard of Conduct that was allegedly breached.
- The Compliance Officer shall open a file after ascertaining that the complainant meets the requirements of the above requirement.

Jurisdiction of the Compliance Officer

- The Compliance Officer shall hear and decide on all instances involving the violation or breach of the Code of Conduct by any person.
- When a complaint is made under 4 hereof, the Compliance Officer may either dismiss the case where no breach of the code is established or notify the Board of Directors.

- In an instance of a significant breach or violation of the Standards of Conduct, the Compliance Officer:
 - Shall call a meeting of the staff and/or the person who lodged the complaint in order to discuss the case.
- When the Compliance Officer and the Board of Directors finds that the accused has violated the Code, he/she take one of the following measurements:
 - Provide the necessary education for compliance;
 - Advice the Board of Directors to take corrective measures against the official or employee who is directly responsible for the breach of the Code;

Appeal

- An aggrieved party may appeal against the decision of the Compliance Officer for consideration by the Board of Directors within two weeks of the receipt of a copy of the decision.
- A late appeal may be entertained only where the appellant is able to establish good cause for the delay.
- The Board of Directors may, after considering the decision of the Compliance Officer;
 - Remand the case of the Compliance Officer for reconsideration
 - Confirm, reverse or vary the decision based on the memorandum of appeal and the available evidence

Non-conformity

- The Compliance Office shall not take part in any deliberation or decision making process where he/she has an interest in the case of compliant.

Scope of Application

- The standards of Conduct shall apply to all officials and employees who act for and/or on behalf of Initiative Africa which have agreed to abide by this Code.

Compliance to the Code

- All staff and all individuals or groups who act for and/or on behalf of IA shall observe, respect and uphold the standards of this Code.
- To that end, IA's Board of Trustees shall ensure that all its officials and employees are adequately acquainted with the standards of the Code and work with them.

Revision of the Code

Revision of the Code will require the approval of two-thirds of the Board of Trustees.

SELECTION PROCESS - VACANCIES

- (a) The necessary care shall be exercised in filling vacancies with persons having the requisite qualifications, experience and competence. Selection and recruitment shall be made without any prejudice to gender, religion, culture or any other affiliation of the applicant.
- (b) Unless the organization wishes to fill vacancies through internal competition, all vacancies shall be advertised in a manner deemed appropriate by the organization for external competition.

RECRUITMENT COMMITTEE

1. The organization may form a recruitment committee for the selection of the appropriate candidate on the basis of the criteria determined for each vacancy.
2. The successful candidate shall be required to submit the following before the finalization of the appointment process: -
 - a) A medical certificate on medical fitness of the candidate, issued by a medical officer appointed by the organization, whose decision will be final.
 - b) Police clearance; for guards, messengers and drivers;
 - c) Reference names of two known persons who can be contacted by the organization;
 - d) Any other requirement which the organization might deem necessary under the circumstances;

LETTER OF APPOINTMENT

- 1) After the finalization of the screening process by the recruitment committee a successful candidate shall be employed by a letter of appointment for a probation period. The letter of appointment shall indicate:
 - (a) Name and address of the person recruited,
 - (b) Position, grade and classification,
 - (c) Initial wages or basic salary, allowances and other entitlements,
 - (d) Date of engagement and commencement of work,
 - (e) Duration of probation period,
 - (f) Whether employment is full-time temporary, full-time permanent or full-time contract,
 - (g) Duty station,
 - (h) The tasks, duties and responsibilities, which shall include the usual duties of the office to which the employee is appointed and any other duties the employee may properly be called upon to perform, and
 - (i) Immediate supervisor or official in charge.

- 2) An employment shall be deemed to have been concluded for an indefinite period unless specifically defined pursuant to IA's policy No. 215 of this condition of services.

PROBATION PERIOD

- (a) A staff member shall undergo a probation period of forty-five (45) days from the date of employment during which time the organization or the staff may terminate the employment without the need of a prior notice.
- (b) A staff member shall not be entitled to severance pay, benefits or entitlements during a probation period.
- (c) Upon successful completion of his/her probation period, the employment of the staff member shall be confirmed in writing.
- (d) If the person recruited continues to be engaged after the expiration of the probation period without the completion of the necessary formalities indicated in IA's policy No. 211 (c) he/she shall be deemed to have completed the probation period successfully with the result that the employment formalities have to be completed subsequently.

FILLING OF A VACANCY

- (a) The Executive Director and his designate shall be responsible for the proper and efficient utilization of the human resources of the organization and for filling vacancies in the best interest of the organization.
- (b) Vacancies shall be internally announced by the organization inviting eligible staff members to compete for the vacant positions.
- (c) The successful staff shall be appointed to the position and will be entitled to the salary, allowance, benefits and other entitlements of the said position.
- (d) If a vacancy cannot be filled by internal competition, it has to be advertised as provided for in IA's policy No. 208 (b).
- (e) A staff member shall work at least for twelve (12) months in any given position before he/she is allowed to compete for a position in a higher grade.

HIRING RATES

A maximum hiring salary rate has been established for each grade. Any request to offer a job candidate more than this maximum requires the prior approval of the Executive Director.

REFERENCE CHECKS

- (a) In order to ensure the reliability of the applicant's statements pertaining to education, work experience and salary history; it is the policy of IA to conduct thorough reference checks on each prospective staff member.
- (b) Falsification or misrepresentation of any information provided by an applicant including, but not limited to, resumes, application forms, and interviews will be considered as grounds for rejecting a candidate's application for employment and as cause for immediate termination in cases where the misrepresentation is discovered after a person has been hired. However, before any action is taken as a result of a reference discrepancy being discovered either prior to employment or subsequent to hire; the candidate or staff member will be informed of the discrepancy, thereby allowing an opportunity for the individual to present further information or explanations.

EMPLOYMENT AGENCY FEES

When an employee is hired through a regular licensed employment agency, IA will pay the agency fees upon receipt of proper billing.

DURATION OF EMPLOYMENT

- An employment may be concluded by the organization for a definite or an indefinite period as may be required.
- An employment for a definite period may be renewed by mutual agreement as required or as specified in IA's policy No. 304

HOURS OF WORK

Normal working hours

- Monday - Friday: 08:30 - 12:30 and 14:00 - 17:30.

The immediate supervisor or official in charge may however, set different working hours, taking into consideration the nature of work required.

- Saturday 08:30 – 12:30
 - Drivers: Irregular hours for which special arrangements will be made. Details about working hours for drivers are available in the office.
 - No Employee shall be absent from work on any day of the working week without prior permission of the Executive Director or his immediate supervisor or official in charge. Any such absence without permission for more than five days shall be deemed as termination of appointment by the Employee, enabling the Organization to withhold all further payments to the Employee. The Organization has the full right to fill the vacant post.
 - In case an Employee who has been absent of work without permission returns within five days, he shall be queried and if no satisfactory reasons for his absence is given, the disciplinary procedure shall apply as specified in IA's policy No. 303.
 - The Organization may request employees to work beyond normal working hours or work irregular hours, if and when required, and the employees shall comply there with subject to compensation as provided in IA's policy No. 403.
 - Public holidays are those published in the official newspaper/Gazette of the Federal Democratic Republic of Ethiopia.
- Business cards will be authorized for employees whose work places the employee is substantial public contact at a level such that the use of a business card is in IA's interest.
- Business card printed in the style approved will be obtained through the multi-media center with the approval of the senior management member.

INITIATIVE AFRICA STAFF PERFORMANCE EVALUATION FORM

Employee Name	Job Title	Department
Supervisor	Appraisal Period 4/1/17 through 3/31/18	Date of Appraisal

I. **PERFORMANCE FACTOR RATINGS** Using the following definitions check the box that most closely describes the employee's performance for each of the required performance factors.

5 points: FAR EXCEEDS: Outstanding performance that always exceeds expectations, demonstrated for an extended, sustainable period of time.

4 points: SURPASSES: Very strong performance that exceeds expectations in most situations, and meets expectations in all others.

3 points: SUCCESSFULLY MEETS: Consistently strong performance, always meets expectations, occasionally exceeds expectations.

2 points: PARTIALLY MEETS: Indicates good but inconsistent performance, meeting some, but not all job requirements or expectations.

1 point: DOES NOT MEET: Major gaps in performance against job requirements or expectations. Immediate and substantial improvements must be made.

II. **PERFORMANCE FACTORS**

	FAR EXCEEDS	SURPASSES	SUCCESSFULLY MEETS	PARTIALLY MEETS	DOES NOT MEET
QUALITY OF WORK Consider accuracy, thoroughness, effectiveness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADAPTABILITY Consider performance under pressure and handling of multiple assignments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
INITIATIVE AND RESOURCEFULNESS Consider the extent to which the employee seeks opportunities to be proactive and to create solutions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUDGEMENT AND POLICY COMPLIANCE Consider knowledge about the organization's policies and procedures and ability to decide to prevent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

DEPENDABILITY

Consider the extent to which the employee completes assignments on time and carries out instructions.

INTERPERSONAL AND COMMUNICATION SKILLS

Consider the extent to which the employee is cooperative, considerate, and tactful in dealing with faculty administrators, students and public. Customer service skills.

RESPONSIVENESS TO FEEDBACK

Consider the extent to which the employee acts on feedback and makes adjustments.

PUNCTUALITY AND ATTENDANCE

Consider such factors as timeliness vs. tardiness or excused vs. unexcused absences.

JOB MASTERY

Consider the employee's understanding of the position and mastery of the required and desirable skills.

PRODUCTIVITY

Consider how the employee uses available working time, plans and prioritizes works, sets and accomplishes goals, uses available resources and completes assignment on schedule

- II. **PROFESSIONAL DEVELOPMENT:** (1) List all the professional development/training activities (incl. lunch and learn programs, such as Friday Focus, and online trainings) attended during the rating period.
(2) Describe recommended professional development and training for the next rating period.

iii. **SUPERVISOR'S COMMENTS:** Use this section to summarize the employee's overall performance, strengths and weaknesses and to make recommendations going forward.

iv. **EMPLOYEE COMMENTS:** This section may be used to comment on your evaluation.

Employee: *Sign and return form to your supervisor within 48 hours of receipt*

Date

Supervisor: *Sign and present to employee*

Date

PERSONNEL POLICY

EQUAL EMPLOYMENT OPPORTUNITY AFFIRMATIVE ACTION

It has been and will continue to be the policy and practice of the IA not to discriminate against any applicant or employee because of race, color, religion, sex, age, origin, and physical disability. This policy extends to every phase of the employment process, including: recruiting, hiring, training, promotion, compensation, benefits, transfers, and IA sponsored educational, social and recreational programs.

All employment and promotion decisions are to be made on the basis of job-related criteria, and all such decisions are to be made so as to further the principle of equal employment opportunity.

GENERAL RULES AND REGULATIONS

- (a) Each Employee shall be present at the place where he is deemed to perform his duties and devote his time and ability to the Organization at the hours of work.
- (b) The Organization reserves the right to search Employees within its premises or take any other precautionary measure it thinks fit to prevent stealing.
- (c) No article of whatever nature, which is the Organization's property, shall be removed from the Organization's premises without the written approval of the Executive Director or the immediate supervisor or official in charge.
- (d) The Employee is at all times responsible for the equipment issued to him; he will replace any deficiencies.
- (e) No person shall bring in or consume on the Organization's premises alcoholic drinks. Permission to serve alcoholic drinks at social gatherings on the Organization's premises must be obtained in advance from the Executive Director or the immediate supervisor or official in charge.
- (f) An Employee shall not submit articles to the press dealing with the Organization's business and/or the Organization's Conditions of Service or Conditions of Employment, unless the prior written approval of the Executive Director or the immediate supervisor or official in charge has been obtained.
- (g) Gambling, betting, touting and sale of goods are prohibited on the Organization's premises.
- (h) No collection of money may be made on the Organization's premises unless the consent of the Executive Director or the immediate supervisor or official in charge has been obtained.
- (i) Employees must notify the Executive Director or the immediate supervisor or official in charge immediately of any change of name or address.
- (j) Any injury, however trivial, or any accident, however slight, in which Employees are involved, must be reported immediately to the immediate supervisor or official in charge.
- (k) An Employee shall not be absent from work without having given 24 hours' notice and without having obtained permission from the immediate supervisor or official in charge.
- (l) Employees shall at all times behave in an orderly manner so as to guarantee peace and safety to the fellow Employees.

TERMINATION OF EMPLOYMENT AND DISMISSAL

- (a) An employment for an indefinite period may be terminated by either party on a prior written notice as indicated in policy No. 216 of the conditions of services.
- (b) An employment for indefinite period shall be terminated for one or more of the following reasons. The procedure applicable to cases of misconduct is defined in policy No 306 to 311.
- Unsatisfactory performance of duties by the staff with title hope for improvement;
 - Failure by the staff to demonstrate the expected expertise, experience, competence, conscientiousness, reliability, or diligence;
 - Inability to carry out duties efficiently due to poor health or permanent disability.
 - Failure to abide by these regulations or policies of the Organization;
 - Involvement in any criminal activity;
 - Refusal to accept a transfer to any branch, department or other section of the Organization without justifications;
 - Abolishment of the staff member's position;
- (c) Dismissal

An employee, who contravenes the Rules and Regulations laid down in these Conditions of Service, may be given a warning in writing by the Executive Director of the Organization or his immediate supervisor or official in charge. Notwithstanding the provision of policy No. 304 (period of notice), the Employee may be summarily dismissed if:

- He/She has received warning letters in accordance with policy No 306 to 311;
 - He/She contravenes the rules and regulations stated in these Conditions of Service;
 - Willful waste of Organization time and/or materials;
 - Serious misconduct or insubordination
 - Misconduct includes;
 - Flagrant disregard of the contents and clauses of this Conditions of Service
 - Betraying of the Organization's secret
 - Stealing, pilfering or fraud
 - Dereliction of duty
 - Gross insubordination
 - Refusal to obey a reasonable instruction
- (d) Having regard to an Employee's past good service, a period of suspension without pay (not exceeding 2 (two) weeks may be imposed instead of dismissal without notice as mentioned under this article.
- (e) A staff member may resign upon giving advance notice in writing in accordance with policy No.304.
- (f) Without prejudice to policy No.303 (b) termination of employment for a definite period shall be subject to the terms and conditions of the corresponding letter of appointment of the staff member.
- (g) Initiative Africa's property such as office keys, employment ID, and copy issued staff conditions of service must be returned before the last working day of the employee.
- (h) Upon termination of a contract, the terminated employee will be required to sign a statement indicating that he/she has received all consideration due to him/her and that they have no future claim against Initiative Africa.

- (i) Where the employment contract of an employee is terminated he/she shall be given a certificate of work. The certificate shall state the employee's salary, positions, length of service and type of activities.

TERMINATION PERIOD OF NOTICE

In the event of termination of employment by the Organization or a staff member, prior written notice shall be given as follows:

- One month: in the case of a staff member whose service in the Organization is less than one year?
- Two months: in the case of a staff member whose service in the Organization is more than one year

Notice for termination may not be necessary where the Organization or a staff member pays compensation in lieu of notice as stated in (a) above, i.e. one month or two months' basic salary respectively.

RETIREMENT

- (a) A staff member shall retire on reaching the retirement age.
- (b) The retirement age of a staff member shall be fixed at 60 years. A retired staff may be engaged by the Organization on a short-term contract not exceeding one year, which may be renewed by mutual agreement.

GRIEVANCE PROCEDURE

The procedure for the handling of grievance at management level within the Organization shall be as follows:

- (a) Should an Employee wish to register a grievance, he will first report the matter to his immediate supervisor or official in charge, who will, within 48 hours (Saturdays, Sunday and Public Holidays not included) investigate the report and make his findings known to the Employee within five days.
- (b) If the Employee is not satisfied with result of said investigation, he may submit his grievance in writing to the senior manager of the Organization, who will then deal with and take the final decision on the matter and advise the employee at his earliest convenience.

The procedure for the handling of grievance at board level shall be as follows:

- (a) Statement of Policy – Definition: Any staff member who feels aggrieved by any final and judicatory order or rule-making decision made by the institution regarding his or her employment may, after exhausting all remedies within the institution, request the Board to review such final order or decision in accordance with the procedures hereinafter provided.
- (b) Request for Review: Requests for review shall be in writing and shall state the specific reasons therefore. Requests shall be submitted to the Chief Executive Officer who will forward the requests, with his or her comment, to the President of the Board. Requests for review must be submitted to the Chief Executive Officer within ten days after the staff members receive notice of the order. Supporting documents may be submitted along with the request. The President shall docket the request for consideration by the Board as soon as practicable. The Board may, in its discretion, grant or deny the request for review; The Board shall grant the request for review. If the Board grants the request to review the order or decision on the merits, it will then determine whether or not to hold a hearing and otherwise specify the procedure to be followed.

If the Board denies the request, its decision is final. (The staff member may thereafter seek judicial review as permitted by law).

BREACH OF ESTABLISHED NORMS

Disciplinary measures shall be imposed pursuant to these Regulations a staff member whose conduct is proved to be contrary to the established rules of the Organization in these conditions of services.

WARNINGS BEFORE DISMISSAL

The Organization shall give to the staff a warning in the following situations:

- (a) Violation of the established working rules and regulations issued from time to time by the Organization.
- (b) Repeated absence from work without good cause;
- (c) Leaving office repeatedly during working hours without permission;
- (d) Repeated late coming to work or early leaving from work;
- (e) Repeated failure to maintain a reasonable degree of personal hygiene
- (f) Repeated indulgence in habitual indebtedness;
- (g) Incompetence or lack of reliability;
- (h) Committing sexual harassment;
- (i) Committing any other offense of a similar nature to the above.

If a staff member has received two such written warnings, the Organization may decide to terminate the Employment.

FINAL WARNING

The Organization shall give to the staff only one final warning in writing before dismissal in the following situations.

- (a) Working for a private interest without prior permission from the Organization pursuant to policy No.207 of these Regulations.
- (b) Involvement in severe physical violence while on duty;
- (c) Reporting to work in a state of severe intoxication;
- (d) Gross negligence of duty;
- (e) Committing any other offence of a similar nature to the above;

GOOD CAUSE FOR DISMISSAL WITHOUT A WRITTEN WARNING

The following offences shall constitute good cause for dismissal of the staff:

- (a) Willful and flagrant disobedience or insubordination.
- (b) Securing or attempting to secure benefit, or diversion of the Organization's interests to the staff member's own benefit or to the interest of a third party.
- (c) Refusal to accept assignment or the transfer without good cause.
- (d) Unauthorized disclosure of the Organization's confidential information to a third party.
- (e) Falsification of certificates, documents or fraudulent misrepresentation.
- (f) Destroying or causing serious damage to the Organization's documents, property, good will or interests.
- (g) Misappropriation of the Organization's property or funds.
- (h) Committing forgery of documents or falsifying accounts.
- (i) Absence from work without good cause for over (5) days.
- (j) Conviction for a criminal offence.
- (k) Involvement in physical violence with customers while in office.
- (l) Committing sexual offence at the work place.
- (m) Committing any other offence of a similar nature to the above.

DISCIPLINARY COMMITTEE

- (a) The Organization may create disciplinary committee which shall be responsible for laying down the procedures for the implementation of the provisions, as well as for the investigation, and advice on each act of indiscipline committed by staff.
- (b) The disciplinary committee shall consist of three (3) members, two staff members designated by the Executive Director and Board Member.
- (c) The committee's recommendation shall be implemented after approval by the Executive Director who may review the decision following an appeal by the interested staff.
- (d) The committee shall prepare its own rules and procedures.

INDEMNIFICATION BY A STAFF MEMBER

A staff member may be required to indemnify the Organization, in whole or in part, for any loss incurred as a result of the staff member's negligence or violation of these Regulations, or administrative directives of the Organization.

RIGHT OF SEARCH

The Organization may at any time ask its employees to submit to being searched whilst on or about to leave the premises and the employee on such request must submit, provided that a female shall not be searched except by a female.

ACCESS TO PERSONNEL RECORDS

- (a) Any active staff member has the opportunity to review his/her personnel file. A Personnel Representative must be present when a staff member reviews his/her personnel file.
- (b) Requests to enter documentation into a personnel file may be made by any staff member; however, the office has the final approval on what will be entered. Letters of commendation will be accepted only if received by Personnel within thirty days from the date the document was prepared.
- (c) Only Personnel representatives may remove documents from the personnel file and/or make photocopies of the same.
- (d) No staff member may remove a personnel file from the office for salary review, etc. Requests for personnel file material from outside organizations will not be honored unless IA is under a court order to comply.
- (e) Exceptions to the release of personnel file documentation will be made in those situations involving potential litigation over unemployment insurance, worker's compensation, benefits or other employee relations claims before a duly recognized court or agency authorized to resolve that particular issue.

TRAVEL TO FOREIGN COUNTRIES

- (a) No staff member(s) may arrange travel on IA business outside Ethiopia without the prior approval of the Executive Director and to the senior manager whom he/she is responsible.
- (b) Any such travel, without express approval as authorized above, shall be presumed to be for personal reasons, and IA shall assume no liability under these circumstances.

REIMBURSEMENT OF BUSINESS EXPENSES

IA will reimburse employees for all reasonable and necessary expenses incurred in connection with IA business. It is expected that each individual, as well as the managers authorized to approve expense accounts, will exercise prudent judgment with regard to such expenditures.

- (a) Perdiem is established and/or revised by a management committee established by the Executive Director.
- (b) The IA travel and perdiem settlement form must be used by all employees to report business and travel expenses for reimbursement, to account for travel advances and to account for prepaid (direct charge) travel expense.
- (c) Travel and perdiem settlement forms are to be submitted on a frequent basis (no less than once a month) by employees who incur expenses regularly. Employees who incur expenses intermittently should submit reports within one week from the date the expense is incurred.
- (d) A receipt for each item of hotel/lodging expense, transportation expense (including air, rail, auto rental, etc.) and separate expenditures must be submitted with the Travel and perdiem settlement forms.
- (e) Original receipts are to be attached to the expense report.
- (f) Cash advances can only be granted if prior advances have been accounted for and excess monies refunded.
- (g) Cash advances, prepaid airline transportation and traveler's checks will be provided when necessary.
- (h) Charges resulting from the use of an approved travel service or any other costs paid directly by IA are to be reported as a "Direct Charge" by the employee and copies of hotel bills, all passenger coupons, etc. are to be attached to support each direct charge

AUTO RENTAL

Cars should be rented only when doing so provides transportation, which is less costly or more practical than other means of transportation. Whenever renting a car, the employee should utilize, if possible, one of the firms currently extending discounts to IA.

Please use the IA car and service rental form for such service inquiries.

GIFTS FROM PARTNERS/SUB GRANTEES

- (a) IA staff members must decline all offers of gifts or gratuities, except trinkets of no market value, made by a past, current, or prospective sub grantee or made on the sub grantee's behalf to an employee or to any member of the employee's family.
- (b) With regard to entertainment, business lunches or dinners, trips, etc., a staff member may accept an invitation only if that staff member can reciprocate by making the same offer to the sub grantee and know, beyond doubt, that the charges for this expense would be reimbursed to the employee under the IA Policy No. 315, Reimbursement of Business Expenses.
- (c) For purposes of clarification, a sub grantee is defined as an NGO which currently, in the past, or in the future desires to provide goods or services to IA in return for a grant of money, goods, or services from IA.
- (d) Failure to comply with this policy will result in disciplinary action since such failure could adversely impact IA.

USE OF IA EQUIPMENT BY EMPLOYEES

IA employees shall not use IA's equipment, other than that specifically provided for recreation and for personal purposes.

This equipment must be checked out and checked in from the custodian in the form they have been received in.

PERSONAL TELEPHONE CALLS

- (a) While personal phone calls are not encouraged, IA recognizes that there are occasions when a call from the office is necessary such as in cases of emergency and for calls that simply cannot be made at night.
- (b) Any manager who feels there is a pattern of abuse should discuss this with the individual staff member involved and resolves any problems before any disciplinary action is taken.

SMOKING IN THE WORK PLACE

To provide a safer and healthier work environment for all staff members by making reasonable efforts to accommodate the individual preferences of both smokers and nonsmokers, smoking is prohibited in all IA public meeting rooms, including the common areas, such as restrooms, lobbies, copy rooms, and/or copy machine areas, storage rooms, the library, and those areas prohibited by the management.

POLITICAL INVOLVEMENT

Political activity in one's country is a private matter. However, staff members who take a public position on an issue or work in a political campaign must make it very clear that they are acting as individuals, and are in no way speaking or acting on behalf of Initiative Africa.

SOCIAL EVENTS

All IA-sponsored social events for staff members are to be coordinated by the office, whether held on or off site. Any informal social event on IA premises at which alcoholic beverages are to be served, such as retirement receptions, must be coordinated with the office manager.

NON-DISCRIMINATION AND ANTI-HARASSMENT

GENERAL POLICY

Initiative Africa (IA) is committed to providing its associates, patients, and visitors with an environment free from discrimination, unlawful harassment and other harassing behavior. Maintaining such an environment is a responsibility shared equally by all associates.

PURPOSE

The purpose of this policy is to:

- Foster a work environment characterized by respect, tolerance and understanding.
- Recognize the strength, talent, and insight Initiative Africa draws from associates with diverse views and experiences.
- Guarantee equal employment opportunity that is free from discrimination or harassment on the basis of race, color, religion, creed, national origin, alienage or citizenship status, age, sex, actual or presumed disability, history of disability, sexual orientation, genetic predisposition or carrier status, pregnancy, military status, marital status, or partnership status, or any other characteristic protected by law.
- Describe the procedure for reporting, investigating, and resolving complaints of discrimination, harassment, and retaliation.

INDIVIDUALS AND CONDUCT COVERED

This Policy applies to all individuals affiliated with Initiative Africa, including: full-and part-time associates, temporary associates, agency workers, patients, students, visitors, volunteers, sub grantees, consultants, and independent contractors.

This Policy applies to conduct both in the workplace and at work-related activities outside of the workplace (for example, an off-site business meeting or a business-related social event occurring after regular working hours).

NON-DISCRIMINATION

IA draws strength, talent, and insight from the diverse views and experiences of its associates. This diversity is a strategic asset to IA because it helps the medical center recruit and retain the best possible associates who, in turn, provide patients with the best possible care.

To sustain this diversity, IA will recruit, hire, train, transfer, promote, layoff and discharge associates in all job classifications without regard to their race, color, religion, creed, national origin, alienage or citizenship status, age, sex, actual or presumed disability, history of disability, sexual orientation, genetic predisposition or carrier status, pregnancy, military status, marital status, or partnership status, or any other characteristic protected by law.

In accordance with Human Resources Policy VI-8 concerning the employment of qualified associates with a disability, IA will provide reasonable accommodations to associates with disabilities so that they can perform the essential functions of their positions.

Examples of prohibited discrimination include:

- Allowing racial, ethnic, sexual, or religious stereotypes or assumptions to influence hiring or promotional decisions, or an appraisal of an individual's performance;
- Refusing to hire, transfer, or promote a qualified individual because of his/her age;
- Refusing to hire, transfer, or promote a qualified individual because of his/her religious beliefs or practices;
- Refusing to hire, transfer, or promote a qualified individual because he/she is responsible for caring for a child, parent, or a person with a disability;
- Refusing to hire, transfer, or promote a qualified individual because he/she speaks English with an accent, or because English is not his/her primary language.
- Refusing to hire, transfer, or promote a qualified individual because he or she is regarded as disabled or has a history of disability;
- Refusing to hire, transfer, or promote a qualified individual because of his/her perceived sexual orientation or his/her stated gender identity;
- Refusing to hire, transfer, or promote a qualified individual who is legally authorized to work in the United States because of the nature of his/her work authorization;
- Refusing to discuss with a disabled individual reasonable accommodation that would enable him/her to perform the essential functions of his/her positions;
- Refusing to grant an individual a leave of absence to fulfill his/her military service obligations;
- Prohibiting associates from conversing in a language other than English during their break periods or when not performing their duties;
- Refusing to hire transfer, or promote a qualified individual because she is or may be pregnant, or may become pregnant in the future; or
- Using racial, ethnic, sexual, or religious slurs.

HARASSMENT

Unlawful harassment

Under this policy, harassment is verbal or physical conduct that denigrates or shows hostility to or aversion toward an individual because of his/her race, color, sex, religion, creed, national origin, alienage or citizenship status, age, actual or presumed disability, history of disability, sexual orientation, genetic predisposition or carrier status, pregnancy, military status, marital status, or partnership status or any other characteristic protected by law that: (i) has the purpose or effect of creating an intimidating, hostile or offensive work environment; (ii) has the purpose or effect of unreasonably interfering with an individual's work performance; or (iii) otherwise adversely affects an individual's employment opportunities. Harassing conduct may include (but is not limited to):

- Epithets, slurs or negative stereotyping;
- Threatening or intimidating acts;

- Denigrating jokes; or
- Displaying or circulating objects or written or graphic material that denigrates or shows hostility or aversion toward an individual or group (including through email, the internet, or the mail).

Sexual Harassment

It is a type of unlawful harassment. Sexual harassment is defined in this Policy and in federal guidelines as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example, (i) submission to such conduct is made either explicitly or implicitly a term and condition of an individual's employment; (ii) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting the individual; or (iii) 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.

Sexual harassment may include a range of subtle and non-subtle behaviors and may involve individuals of the same or different sex. Such behaviors may include one or more of the following:

- Touching or groping;
- Unwanted sexual advances or requests for sexual favors;
- Sexual jokes and innuendos;
- Verbal abuse of a sexual nature;
- Commentary on an individual's appearance or body;
- Leering;
- Insulting or obscene comments or gestures; or
- Displaying or circulating sexually suggestive objects or written or graphic material (including through email, the internet, or the mail)

Other Harassing Behavior

Harassing behavior that does not fall within the definitions above violates this policy and is contrary to the standards of IA. Such behavior may consist of verbal or physical conduct that has the effect of denigrating, belittling, ridiculing, or intimidating an individual.

RETALIATION IS PROHIBITED

This Policy prohibits retaliation including intimidation against any individual who (a) reports, in good faith, discrimination, harassment, intimidation or retaliation (b) participates in an investigation of such a report (c) conducts an investigation, effects discipline and/or reports prohibited conduct to a government agency. If an individual feels he or she is the victim of retaliation or intimidation, he/she should make a complaint in the manner described below.

IA will severely discipline any person who engages in retaliation. Such discipline may include (but is not limited to) a suspension without pay or discharge.

REPORTING AN INCIDENT OF DISCRIMINATION, HARRASMENT OR RETALIATION

Early reporting and intervention are the most effective methods of remedying actual and perceived discrimination, harassment, and retaliation. Therefore, IA strongly urges individuals to report promptly their complaints so that it can take rapid and effective action. The Medical Center urges individuals to make the complaint before the objectionable conduct becomes severe or pervasive.

Individuals who believe they have experienced discrimination; harassment or retaliation can make a complaint to any of the following persons:

- The individuals' immediate supervisor,
- The administrative or clinical leader of the individual's department,
- A Human Resources Business Partner,
- A Labor/Employee Relations Manager,
- The Director of Employee/Labor Relations,
- The Associate General Counsel for Labor and Employment,
- Corporate Compliance or
- Office Number (011-6-62-26-40/41)

An individual should not feel obligated to make a complaint to his/her immediate supervisor first. The individual can complain to any of the persons listed immediately above.

This policy does not preclude an individual who believes he/she experienced discrimination, harassment, intimidation or retaliation from promptly advising the offender that his/her conduct is unwelcome and from requesting that the offender discontinue the objectionable conduct.

This policy relies, in part, on the good faith of IA's associates. If an associate deliberately abuses this policy and files a false or malicious complaint, IA may discipline the associate. Such discipline may include (but is not limited to) a suspension without pay or discharge.

MANAGERS MUST REPORT DISCRIMINATION, HARRASMENT OR RETALIATION

Managerial associates are required under this policy to promptly report to either a Business Partner of the Labor and Employee Relations Division of the Human Resources Department any complaint they receive concerning discrimination, harassment or retaliation. Consistent with this policy, the Business Partner or the Labor and Employee Relations Division will assist the managerial staff member in determining the appropriate response to a complaint.

INVESTIGATION OF A COMPLAINT

IA will promptly investigate a complaint about discrimination, harassment or retaliation. The scope of the investigation depends on the nature of the complaint. The investigation may include individual interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have information relevant to the investigation. Depending on the circumstances and the nature of the allegations, a manager in the department where the complaining associate works, a representative from the Human Resources Department, or an outside party retained by IA may conduct the investigation

The Human Resources Department is responsible for ensuring that the investigation is prompt, thorough, fair and accurate.

IA will keep confidential the identities of the individuals involved in the investigation (including the person who made the complaint, the person accused of violating this Policy, and the persons interviewed during the investigation) only to the extent feasible to conduct an adequate investigation and take any appropriate corrective action.

CORRECTIVE ACTION

IA will address a violation of this Policy promptly and effectively. Depending on the circumstances, corrective action by the Organization may include one or more of the following measures:

- Counseling;
- Training;
- Disciplinary warning or suspension without pay;
- Denial of a promotion or pay increase;
- Reduction in wages;
- Demotion
- Reassignment
- Discharge
- Reporting to professional and/or investigative authorities (such as the Office of Professional Discipline and the Office of Professional Medical Conduct);
- Termination of the relationship with the sub grantee
- Termination of the relationship with the independent contractor.

In cases where the organization concludes that this policy was not violated but that an associate engaged in unprofessional or inappropriate conduct, it may in its discretion, discipline the associate (including a suspension without pay or discharge) or reassign him/her to another manager, department or location.

All IA Human Resources policies and practices are guidelines and may be changed, modified or discontinued at any time by the Senior Vice President of Human Resources, or designee, with or without notice. Exceptions do not invalidate the above policy.

ANTI-CORRUPTION POLICY

INTRODUCTION

Initiative Africa (IA) has a number of fundamental principles and values which it believes are the foundation of sound and fair business practice and as such are important to uphold. One such principle is a zero tolerance position in relation to corruption, wherever and in whatever form that may be encountered.

The Bribery Act 2010 was passed in April 2010 and is in force from 1 July 2011.

LEGAL OBLIGATION

It is IA's policy to comply with all laws, rules and regulations governing anti bribery and corruption law.

Under UK law, bribery and corruption is punishable for individuals by up to 10 years' imprisonment, and if the company is found to have taken part in corruption it could face an unlimited fine, be excluded from tendering for Government contracts and face untold damage to its reputation. It can easily be seen why Initiative Africa takes its legal obligations in this area very seriously.

Under UK law the payment, or offer to pay bribers, or provision of or offer to provide gifts or anything of value for improper purposes to obtain or retain business or any other benefit, (whether for Initiative Africa or any other party) is prohibited. Such payments or gifts are also forbidden under the terms of this policy and may result in immediate dismissal for those involved in their payment or receipt.

IA is required to keep financial records and to have appropriate internal controls in place which will evidence the business reason for making payments to third parties.

SCOPE

It extends the crime of bribery to cover all private sector transactions (previously bribery offences were confined to transactions involving public officials and agents).

CRIMINAL OFFENCES

The offences contained in the Bribery Act carry criminal penalties for individuals and organizations. For individuals, a maximum prison sentence of ten years and/or an unlimited fine can be imposed; for companies, an unlimited fine can be imposed. The Act will be enforced by the Serious Fraud Office.

The Act creates four offences:

- A general offence covering offering, promising or giving a bribe.
- A general offence covering requesting, agreeing to receive or accepting a bribe.
- A distinct offense of bribing a foreign public official to obtain or retain business.
- A new strict liability offence for commercial organizations where they fail to prevent bribery by those acting on their behalf.

VIGILANCE

The following is a list of bribery and corruption indicators suggested by the Serious Fraud Office which all staff should be aware of and should report any suspicious activity. This list is not an exhaustive list:

- Abnormal cash payments
- Pressure exerted for payments to be made urgently or ahead of schedule
- Payments being made through 3rd party country, e.g. Goods or services supplied to country 'A' but payment is being made, usually to shell company in Country 'B'
- Abnormally high commission percentage being paid to a particular agency. This may be split into 2 accounts for the same agent, often in different jurisdictions
- Private meetings with public contractors or companies hoping to tender for contracts
- Lavish gifts being received
- Individual never takes time off even if ill, or holidays, or insists on dealing with specific contractors him/herself
- Making unexpected or illogical decisions accepting projects or contracts
- Unusually smooth process of cases where individual does not have the expected level of knowledge or expertise
- Abusing decision process or delegated powers in specific cases
- Agreeing contracts not favorable to the organization either with terms or time period
- Unexplained preference for certain contractors during tendering period
- Avoidance of independent checks on tendering or contracting processes
- Raising barriers around specific roles or departments which are key in the tendering/contracting process
- Bypassing normal tendering/contractors procedure
- Invoices being agreed in excess of contract without reasonable cause
- Missing documents or records regarding meetings or decisions
- Company procedures or guidelines not being followed
- The payment of or making funds available for high value expenses on behalf of others.

POLICY

This Policy applies to individual employees, agents, sponsors, intermediaries, consultants or any other people or bodies associated with IA. Bribery is committed when an inducement or reward is provided in order to gain any commercial, contractual, regulatory or personal advantage for IA.

No bribes of any sort may be paid to or accepted from customers, suppliers, politicians, government advisors or representatives, private person or company. It is not permitted to establish accounts or internal budgets for the purpose of facilitating bribes or influencing transactions (slush funds).

This policy does not prohibit the following practices providing they are customary in a particular market, or are proportionate and are properly recorded:

- Normal and appropriate hospitality (given or received)
- The giving of a ceremonial gift on a festival or at another special time

IA also appreciates that to refuse a gift in certain circumstances and/or countries would cause offence to our trading partners. The test to be applied in all circumstances is whether the gift or entertainment is reasonable and justifiable. What is the intention of the gift? Special care must be taken in accepting or giving gifts/entertainment and these are not permitted if it would create a real or perceived conflict of interest.

EXPECTATIONS OF IA AND STAFF

The prevention, detection and reporting of bribery and corruption is the responsibility of all employees throughout IA. Suitable channels of communications by which employees or others can report confidentially any suspicion of bribery will be maintained and shall operate in conjunction with the Whistle blowing Policy.

ENTERTAINMENT HOSPITALITY EXPENSES

It is an offence under the Bribery Act to use corporate hospitality to influence the decision of customers to purchase goods and services from us.

Corporate hospitality must be reasonable and proportionate and have regard to the Company's expenses policy. All corporate hospitality must be with the knowledge and permission of a Board Director.

TRAINING AND COMMUNICATIONS

This policy and relevant guidance will be communicated to employees across the Company through our established internal communication channels. We will also communicate this policy through our corporate website www.initiativeafrica.net

All employees will receive appropriate training on how to implement this policy in the scope of their employment with IA.

MONITORING AND REVIEW

The appointed Compliance Officer in associating with the Board of Directors will monitor and review the implementation of this policy in respect of its suitability, adequacy and effectiveness and make improvements as appropriate.

INTERNAL CONTROLS AND AUDIT

IA has established mechanisms to maintain accurate records which properly and fairly document all financial transactions. Internal control systems will be subject to regular audits to provide assurance that they are effective in countering bribery and corruption.

FURTHER GUIDANCE

Inevitably, decisions as to what is acceptable may not always be easy, particularly in the absence of minimum legal standards or where they are poorly enforced. If anyone is in doubt as to whether a potential act constitutes bribery/corruption, the matter should be referred to their immediate manager, a Director.

This policy is endorsed by the Executive Director to demonstrate the Board's commitment.

GENDER POLICY

GENDER EQUALITY INITIATIVE (GEI)

A Gender Action Plan for IA programs

What is this action plan for?

- 1.1 This Gender Equality Initiative (GEI) explains how Initiative Africa will help its sub-grantees to achieve gender equality and women's empowerment.
- 1.2 In 2007 and 2010, IA held workshops with its sub-grantees in which it committed itself to making its work on gender equality and women's rights more of a priority.
- 1.3 This Plan explains what action IA will now take. It sets out how IA can better use its partnerships, its support, and the way it manages its activities to make a lasting difference to gender equality and women's empowerment.

Why does gender equality matter?

- 2.1 Gender equality is a goal in its own right, and has a vital role to play in achievement of the Millennium Development Goals (MDGs). Progress on gender equality is a critical factor in achieving all the Goals. MDG3 specifically commits the international community to promote gender equality and the empowerment of women.
- 2.2 There is increasing evidence of the link between making progress on gender equality, and making progress on all the other development objectives. Tackling gender inequality in access to services and resources is proven to increase women's productivity, and reduce poverty and hunger.
- 2.3 At its heart, gender equality and women's empowerment is a political issue, needing a political response, and not a technical one. It means that national government has to address the wider issues of promoting justice for everyone, tackling discrimination and upholding women's rights. The evidence from across the world shows that when more women participate in politics, either formally or informally, their access to services, jobs and education – and rights, more generally – improve.

What have we learned from earlier work on gender?

- 3.1. Within IA, there is an understanding that more should be done to achieve gender equality and women's empowerment. This plan aims to change all aspects of IA's business and systems to help us to do better. We want to use the lessons that we – and others - have learnt in order to progress in achieving gender equality and women's empowerment.
- 3.2. For example, in our works on Human Rights and Democracy we found that we were achieving impact on the ground where we and others were:
 - asking the right questions, at the right times on empowerment of women and enforcement of the rights to gender equality;
 - prepared to challenge those who ignore or overlook gender equality and the rights of women
 - championing evidence and demonstrating the real differences and improvements being made

3.3. An important lesson is that our commitment at policy and strategy level has been relatively strong, but that we have failed to fully and consistently translate that commitment into actions that made a difference on the ground. As our practice was inconsistent, the impact we had was uneven.

Who is responsible for implementing the action plan?

- 4.1 Overall responsibility within IA rests with the Senior Program Manager, assisted by a gender consultant, who is responsible for designing and promoting activities for raising awareness among partners and project beneficiaries alike. The Senior Program Manager will report periodically to the IA board on progress relating to gender equity.
- 4.2 Every year, we will review the Gender Equality Initiative scheme and make our progress report available to our stakeholders and the public.

What does the Action Plan cover?

- 5.1 Details are set out below. This plan focuses on the new IA strategy and mission relating to the grant entitled: Support to Quality Education for All. This a “living document” so will be updated periodically. It groups IA’s activities into three main areas:
 - Policy dimension
 - Organizational arrangements
 - Enabling environment

GENDER EQUALITY INITIATIVE (GEI) FRAMEWORK

Focus Area A: Policy Dimension

The formal mechanisms, for example, administrative rules, laws, regulations, and standards, used by government to guide stakeholder actions to achieve the development goal

A. Policy Dimension

Are the available policy instruments enough to advance gender empowerment and balance

Objectives	Outputs	Key indicators	Responsibility
A1. Strengthen policy instruments (in particular, cost-effectiveness, in terms of high incentives for compliance, low administrative burden, and low negative externalities), contradictory and burdensome administrative regulations to ensure gender balance and empowerment	i. Review operational context of constraints	(i) Compliance of the government, NGOs, and other institutions decisions with established policies	Sub-grantees with the assistance of IA
	ii. Change process for each reform, including the objectives, vision for change toward the reform	(ii) Policies and guidelines to mainstream gender equity in projects	
A2. Promote accountability for gender equality	Annual review of the GEI and indicators on policy and program planning and operations;	Changes reported or observed in gender parity	Sub-grantees
	Attitude change of decision makers on challenges and opportunities	Number of training and/or discussions conducted on gender equity issues	IA and sub grantees

Focus Area B: Organizational Arrangements

The systems, rules of action, processes, personnel and other resources that government and non-government stakeholders bring together to achieve development goals

B. Organizational Arrangements

Ensure effective organizational arrangements are in place for achieving gender balance and empowerment

Objectives	Outputs	Key indicators	Responsibility
B1. Improve organizational arrangements (in particular, operational efficiency in ensuring gender empowerment)	Put in place adequate administrative arrangement to handle the envisaged gender balance initiative actions	<ul style="list-style-type: none"> i. Number of sub-grantees implementing new strategy/plan ii. Number of organizational arrangements related to GEI initiated iii. Number of monitoring and evaluation of GEI implementation progress initiated 	Sub-grantees
B2. Reduce barriers to increase gender equality within project/Programme management	Strategic plan with links between core objectives; and gender equality/empowerment;	List of concrete actions taken to balance the position of male/female within the project	Sub-grantees with IA assistance
	Gender equality and empowerment integrated in sub-grantees project activities	Ensure forthcoming projects are strong on gender	Program Division

Focus Area C: Enabling Environment

The political and social forces that determine the priority given to women empowerment and balance by the government, civil society, and private sector. IA will work closely with national governments, regional organizations international bodies, civil society organizations and other government departments to develop coordinated strategies to advance gender equity.

C. Enabling Environment

Support the sociopolitical environment conducive to achieving gender equity and balance

Objectives	Outputs	Key indicators	Responsibility
C1 Identify barriers (attitude, economic, social & physical) advancing participation and voice in decisions about GEI goals	Increased discussions with major stakeholders and regularly updated	community provide inputs into policy formulation process	Program Division
C2. Increase participation of community in policy-making processes through public consultations during problem identification and definition, and assessment of policy options	Increased participation of stakeholders in decisions about the development goal	Learning and feedback forums organized regularly to improve project/Programme outcomes	Sub-grantees; IA Program Division
	C1.2. IA to increasingly mention gender equality and women's empowerment issues in any national debates on aid and development effectiveness	Share best practices of sub-grantees	Program Division; IA sub-grantees

IA'S GENDER ACTION PLAN

Focus on Sida Supported Project: 'Support to quality education for all'

Project No: 2900229

IA's Gender Action Plan clarifies roles and responsibilities within IA's offices, including Senior Managers and consultants involved in the above referenced project. The Action Plan ensures that gender equality is integrated in all relevant activities and in all area of the work program.

PROPOSED GENDER ACTION PLAN (GAP)

Project Components	Actions Proposed
<p>Actions Proposed</p> <p>Part A: Physical Infrastructure:</p> <p>Development and/or rehabilitation Of schools infrastructure</p>	<ul style="list-style-type: none"> Disaggregate students by gender to understand the participation in math and science classes; Consultations with parents (men and women) on their participation in the planning process, implementation and monitoring. Specific considerations that affect females (e.g., separate school and public latrine facilities in different locations and sufficient space within bathrooms) should be reviewed. Female headed households (FHH) will be encouraged to participate in all aspects of the project implementation;
<p>Part B: Institutional Development:</p> <p>Capacity building program</p>	<ul style="list-style-type: none"> Gender training for all projects sub-grantees 50% of the community representatives related to the project will be female. 50% of sub-grantee staff on capacity building program will be female.
<p>Support to quality education for all Education Program</p>	<ul style="list-style-type: none"> Training materials should be sensitive to the needs of both men and women. Increase awareness of importance of math and science among men and women promoted equally. At least 30% of all the projects education program participants are women. 50% of workshops, orientation and training participants will be female. GAP consulting service include: (i) a national gender specialist (12 person-months); Project benefits and impacts will be monitored through gender disaggregated data. Survey respondents will include both men and women.

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|------------------------|--|
| Project Implementation | <ul style="list-style-type: none">• Records of participation and awareness training will also be gender-disaggregated. |
| Arrangements | <ul style="list-style-type: none">• Progress reports submitted to IA and the Government will include gender updates;• The independent M&E specialist will also monitor implementation of GAP. |

Implementation arrangements and estimated costs of GAP will be integrated into the overall arrangements and total budget of the Project. The sub-grantee will be responsible for implementing and monitoring GAP.

MONITORING AND EVALUATION

Survey to develop baseline data, which includes gender-disaggregated, will be conducted during the Project inception and regular monitoring will be undertaken and reported upon during the project implementation and completion. Gender specialist will also (i) conduct gender assessment on the additional subprojects in accordance with GAP; and (ii) undertake regular assessments of project benefit in all project components and sub-components to track gender impacts and identify and remedy gender gaps as appropriate. In addition, the independent M&E specialist will monitor implementation of GAP.

COMPENSATION POLICY

SALARY

- (a) Taking due account of the levels of responsibilities, competence and relevant qualifications and the yearly income of the Organization, appropriate regulations relating to salary scale, step increments, allowances, benefits or entitlements for its staff members will be proposed to the Board for decision.
- (b) The salary scale, step increments, benefits, allowances and entitlements shall be reviewed periodically by the Organization, taking into account changes in the cost of living and the competitiveness of such remuneration in the consultancy market (service industry).
- (c) Wages and salaries will be paid once monthly, preferably on or before the 30th/ 31st day of the month, except in December, which can be at the discretion of the Management. If the day falls on a Saturday or Sunday, the wages and salaries will be paid on the previous Friday.
- (d) Initiative Africa may make cash loans to staff member where an emergency for a staff member makes it necessary. Nevertheless, advances should be rare and never repetitive.
- (e) Initiative Africa withholds all deductions required by applicable law. Deductions from salary may be made for the following reasons:
 - Taxes, levies and other public charges
 - Salary advance
 - Court order
 - Contribution for provident fund.

TRANSFER

- (a) A staff member may be transferred permanently or for a specific period of time to any other department or branch if the interest of the Organization so requires. The staff member's preference shall take into account whenever possible.
- (b) A transfer of a staff member from one position to another within the same grade shall not result in any material advantage to the staff.
- (c) A staff member may object to a permanent transfer or for a transfer for a specific period of time for good reason and may appeal to the appropriate authority of the Organization. The decision of the appropriate authority on the issue shall be final and binding.

PERFORMANCE EVALUATION

- (a) There shall be a system of performance evaluation of the Organization's staff every year.
- (b) Those supervisors who are responsible for managing the staff of an organization need to base their decisions about their subordinate staff on objective assessment of their performance.
- (c) The performance appraisal process is done quarterly or at least bi-annually which will finally be consolidated annually.
- (d) Positive results of performance evaluations shall serve as a basis for the consideration of transfers, training, salary increments, promotions, incentive payments, entitlements or privileges.
- (e) Staff member who got below average grade is not entitled for salary increment and for training opportunities.
- (f) If according to the performance evaluation a staff member's rating falls below the required average and there is little chance for improvement, this may lead to termination of employment in accordance with article 5.6.
- (g) Instructions and guidelines of Initiative Africa staff performance evaluation forms are available in the office.

OVERTIME PAYMENTS

- (a) Without prejudice to public holidays and weekly rest days a staff member shall devote not less than forty (40) hours of work per week.
- (b) Any work done in excess of the said forty (40) hours, on account of urgency or pressure of work shall be paid as overtime work in the following manner, provided that such overtime work is approved in advance by the Executive Director or his immediate supervisor or official in charge.
 - Week days – from 06:00 am to 08:30 am and 17:30 pm to 22:00 pm the hourly rate of the staff member’s salary multiplied by 1.25.
 - Saturday and Sundays – the hourly rate of the staff member’s salary multiplied by 2.
 - Public holidays – the hourly rate of the staff member’s salary multiplied by 2.5.
- (c) For the purpose of determining the hourly rate, the staff member’s monthly salary will be divided by 170 hours which is the approximate number of working hours per month of a staff member.
- (d) Overtime payment of a staff member shall be added to the monthly gross salary which shall be settled at the end of the month.

ALLOWANCES

Local per diem

Local per diem allowance shall be paid in connection with duty travel for an overnight stay outside the staff member's duty station. When an overnight stay is not involved and more than 6 hours is spent outside his duty station, the per diem allowance shall be 50% of the applicable full rate. The full per diem rates for an overnight stay shall be fixed to be as practiced in the service industry.

Per-diem for overseas travel will be determined separately.

Housing Allowance

A staff member may be provided by the Organization with a housing allowance upon transfer to outlying branches (outside the place of recruitment). The rate of the housing allowance will be determined on a case-by-case basis and be based on prevalent practice in the service industry.

Disturbance Allowance

- A disturbance allowance may be provided by the Organization to the employee at the time of transfer from one city to another city based on prevalent practice in the service industry.
- Transfer from one department to another or from one branch to another located in the same city will not qualify for a disturbance allowance.

Transportation Allowance

- An employee may be provided with a monthly transportation allowance as determined by the Organization.
- During transfer, the Organization shall pay transportation expenses for the employee, his/her spouse, children and recognized dependents traveling with him/her. Reasonable expenses for the packing and transportation of belongings of the above shall also be covered by the Organization.
- In places where air transport is available, the staff member concerned with travel by air and his family with his belongings will travel by surface transport.
- The organization will reimburse the employee for travel expenses as decided by the president of the organization or his authorized representative on a case-by-case basis and be based on the prevalent practice in the service industry.

Non-Accident Bonus

The Organization may pay each year accident free bonus to an Employee driver, whose driving has been adjudged proficient and without accident or dent to the car throughout the year, beginning from 1st January to 31st December of each year, Neatness, cleanliness, and character of the driver should form part of the requirements to be considered. Such a bonus is subject to a maximum of one month's salary. The bonus is forfeited for any misconduct resulting from severe reprimand in connection with the duties of the driver during a period of twelve months.

Death

Where an Employee dies while in the service of the Organization, shall pay his full entitlements to the deceased legally nominated representative in accordance with the appropriate laws of the Federal Democratic Republic of Ethiopia. If the staff member dies on assignment away from his home, Initiative Africa will arrange and pay for transporting of the staff members' personal effects.

BENEFITS POLICY

ANNUAL LEAVE

- (a) A staff member shall be entitled to sixteen (16) working days of leave for the first year of service in the Organization. The staff member shall earn one working day for every additional year of service thereafter, up to a maximum of fourteen (14) days, such that the total annual leave shall not exceed thirty (30) working days.
- (b) Staff members are expected to take their annual leave every year as per the leave schedule prepared in advance, and as approved by the immediate supervisor or official in charge. They may however be allowed to accumulate leave entitlements of two years' maximum.
- (c) Under special authorization by the Executive Director of the Organization or his immediate supervisor or official in charge, staff members may be allowed to convert leave days into cash payments on the basis of the regular monthly rate if the interests of the Organization so require.

MOURNING LEAVE

- (a) In the event of death of parents, spouse, children, brothers, or sisters, a staff member shall be granted three (3) days of mourning leave with pay.
- (b) In the event of death of grandparents, stepfather, stepmother, father-in-law, mother-in-law, uncle, or aunt, a staff member shall be granted two (2) days of mourning leave with pay.
- (c) When a member of the staff member's household dies, he/she shall be granted one day of mourning leave with pay.

WEDDING LEAVE

A staff member shall be entitled to three (3) working days of leave with pay as his/her wedding leave.

MATERNITY LEAVE

Female Employees, whose appointment has been confirmed, shall be entitled to thirty (30) calendar days of leave before the expected date of confinement as certified by the Organization's Medical Officer and sixty (60) calendar days of maternity leave after delivery of the child.

Whilst on maternity leave, female Employees will be paid their normal basic rates of pay. Payment due for the first thirty days of maternity leave will be made at the beginning of the maternity leave period; payment due for the other sixty (60) days may be draw for 50% immediately following the birth of the child, and the remaining 50% upon resuming the duties at the end of the maternity leave.

SICK LEAVE

- (a) Staff members shall be entitled to sick leave upon presenting a valid medical certificate from the Medical Officer appointed by the Organization or from any other qualified medical doctor to the satisfaction of the Organization. Sick leave entitlement, however, shall not exceed a total of six calendar months in any one year.
- (b) Sick leave shall be granted in the following manner:
 - The first four weeks with full pay;
 - The next four weeks with 50% pay;
 - Thereafter, his position will be reviewed by the Organization
- (c) Sick leave shall neither be accumulated nor approved retroactively for the period prior to the doctor's visit.
- (d) such staff shall be discharged without any prejudice to his/her entitlement under the law and these Regulations.

LEAVE WITHOUT PAY

Leave without pay not exceeding one (1) month may be granted for urgent and justifiable reasons by the immediate supervisor or official in charge.

PUBLIC HOLIDAYS

Public holidays are those published in the official Gazette of the Federal Democratic Republic of Ethiopia. Such public holidays are granted to the Employees of the Organization with full basic pay.

SOCIAL HEALTH INSURANCE SCHEME

According to the Ethiopian Proclamation No.690/2010 to provide Social Health Insurance, employees and pensioners shall be members of the social health insurance scheme. IA shall get registered all its employees for the social health insurance scheme. The social health insurance scheme shall have the following sources of finance:

- (a) Members' contributions;
 - (b) Employers' contributions;
 - (c) Investment income; and
 - (d) other related sources
- Beneficiaries of the social health insurance scheme shall be staff members and their families.
 - Any member shall have the obligation to provide accurate information about his family composition and use the service properly.
 - Members and employers shall contribute to the social health insurance. The Government shall also make additional contributions for pensioners.
 - An employee and employer shall make equal percentage contributions based on the salary of the employee.

- IA shall withhold the contributions of employees from their monthly salaries and timely transfer the same with its own matching contributions.
- IA shall furnish the particulars regarding each employee's salary and other related information as may be required.

EDUCATION AND TRAINING SUPPORT

- (a) On-the-job training may be provided to the staff member as needed and specific training programs may be organized by the Organization from time to time for the benefit of its staff members.
- (b) The Organization may provide financial support for tuition and registration fees to staff members who, in their own free time, attend evening classes up to grade twelve.
- (c) The Organization may also provide financial support for tuition and registration fees to staff members who undertake Organization related studies at local colleges or universities through evening classes, or by correspondence. However, the staff member must;
 1. *Be a regular full-time staff member.*
 2. *Have completed at least 12 months of full-time service with IA at the time of registration.*
 3. *Have an acceptable performance rating at the time of the staff member's last review and not be in the warning process.*
 4. *Have a good attendance record.*
 5. *Have completed and obtained the necessary approvals on the Application for Educational Assistance and submitted it to the Personnel Department at least 10 days before the course begins.*
 6. *Individual courses or a degree program must be relevant to the employee's job to qualify for reimbursement.*
 7. *Courses must be taken at accredited educational institutions.*
 8. *The staff member cannot allow course work to interfere in any way with the performance of regularly assigned job duties. All class work and study shall be done outside the staff member's normal work hours.*
- (d) The Organization shall not refund staff members who have repeated grades or failed courses and penalties for late registration.
- (e) Costs incurred by the staff for textbooks, stationery, teaching materials and other costs shall not be refunded by the Organization.
- (f) For IA courses and programs staff member eligibility must;
 1. *Be a regular full-time staff member for at least 90 days. Under exceptional circumstances, consideration may be given to requests to attend IA meetings prior to the completion of 90 days of employment.*
 2. *Have a good attendance record.*
 3. *Be recommended for attendance by the manager as developmental action if the staff member is in the warning process or has an unacceptable performance rating.*
 4. *Courses must be related to the staff member's present job.*

5. Courses should be taken at the location where programs are normally conducted that is closest to where the staff member works.
6. Attendance should not interfere with the staff member's proper job performance and the meeting of scheduled completion dates for assignments.
7. Since outside registrations take precedence over complimentary registrations, a staff member's name may be withdrawn from the rosters of full programs or from programs where two or more IA staff members will be present. The appropriate division will notify the staff member of intent to cancel no later than one week before a session begins.

STAFF PARTICIPATION IN ACTIVITIES OF EXTERNAL ORGANIZATIONS

IA believes strongly in encouraging the professional development of its employees both for their own benefit and the benefit of the organization through membership in business and professional societies and participation in various professional activities external to IA. Examples of such activities include speeches before interested and appropriate external organizations and the writing of articles for external publications.

PROVIDENT FUND

- (a) IA shall contribute (6) percent of the staff salary to the provident scheme of the government. The percent of provident fund for salary is subject to change according to the rule of the Ethiopian government.
- (b) IA shall contribute ten (8) percent of the gross monthly salary of the members of the provident fund and the staff five (6) percent of their respective gross monthly salary. Both contributions shall be deposited in the Provident Fund Account, which shall earn interest at the rate applicable for saving deposits.
- (c) The Provident Fund shall be administered in accordance with separate regulations, which IA shall prescribe.

COMMUNICATION POLICY

The Communication Handbook (CH) is an agreement between the Project Partners on common project work procedures and internal communication. General rules for the project cooperation are outlined in the document. The CH shall be discussed by the Project Partners and approved by the Board of Directors.

The whole project is based on cooperation and partnership. Only, if all the Project Partners work together the project goals can be achieved and will lead to a better cooperation within the Danube area. Therefore, it is necessary that all Project Partners are aware of the responsibilities and duties they have in the course of the project. Each member of the Project Team shall be aware of the content of the Communication Handbook and give all necessary support to the Project Manager, to the Work Package Leaders and to the Activity Leaders for their work.

This document deals only with internal project issues, all other issues concerning external communication and dissemination will be included in the Dissemination Plan.

ORGANISATIONAL STRUCTURE

The Board of Directors is the strategical supervising body of the project supported by experts of the Advisory Council. The Executive director is the person who m The Project Manager is the operative coordinator and manager of the project, who reports regularly to The Executive director and occasionally to the BoD. He is also the contact point for the IA Program bodies. The Project Team consists of all persons who execute the project on operative level.

IA PROJECT STRUCTURE

The organization of the project is structured according to the Lead Partner Principle, which is clearly defined by the IA Program. The Lead Partner (LP) co-ordinates the whole project internally and represents it to the Program bodies and to the other stakeholders. The LP shall transfer all information to the Project Partners (PP). The PPs should not communicate in relevant issues about the project without approval of the LP. The LP should know about all relevant project issues and should serve as a main contact point for the IA Program bodies, external stakeholders and for the PPs as well.

The Board of Directors is the supervising body of the project on strategical level supporting the work of the consortium. The BoD consists of the directors of the waterway administrations and acts as the steering committee of the project, dealing with strategic issues like objectives of waterway administrations, communication strategies and the exchange of trainees and experts. The activities of the BoD are supported by the Advisory Council, consisting mainly of observers like representatives of river commissions (Danube Commission, Sava Commission), the International Commission for the Protection of the Danube River (ICPDR), the GIS Forum Danube as well as other relevant organizations. Their expert knowledge will support the execution of the tasks and will help to disseminate the project results on national and international level.

DIVISION OF EXTERNAL AND INTERNAL COMMUNICATION

In order to improve the work, the project was structured into Work Packages (WP) and Sub Work Packages, so called Activities (Act.) and responsible WP Leaders (WPLs) and Activity Leaders (ALs) were selected by the LP to support the Project Management. The so called Project Core Team consists of the Project Manager and the Work Package Leaders. Project Core Team is an operative project management body that discusses project issues and prepares material. It is chaired by the Project Manager.

STRUCTURE OF THE PROJECT CORE TEAM

The Project Manager delegates tasks to the Work Package Leaders (WPLs) to decentralize work to Work Package level. Therefore, all PPs should try to solve problems, discuss issues with Activity Leaders - AL (if exist) or Work Package Leaders first. If the issue cannot be solved on Work Package level, the Project Partner can contact the Project Manager.

All Project Partners shall have a project staff, which is coordinated by the Coordinator of the Project Partner. The PP's Coordinator is the contact person for the Project Management and for other PPs as well. The Coordinator is responsible for coordinating organizational issues and supporting his/her Project Team consisting of experts to fulfill project duties. The Coordinator should have an overview of all the activities where his/her organization is involved. The Coordinator or expert of the Project Team should inform the Project Manager or WPLs in advance when he/she can foresee any obstacles that can influence project work.

PROCEDURE

PROGRESS AND FINANCIAL REPORTING

PROGRESS REPORTING

The reporting deadlines of the IA Program are fixed events taking place number of times in a year according to the contract timeline. Each Project Partner has to foresee appropriate time – depending on its national procedures – to deliver necessary information to the Work Package Leader or Lead Partner. Templates for the reporting is found in the IA Cloud which have to be used for reporting. These templates will be collected from the donor at the signing of any project contract and IA's reporting manuals for partners in that project will be modified according to the templet of the donor for better compliance. When the provided input has to be corrected, the whole template has to be resubmitted. In general, two weeks before the reporting deadline of the IA Program the input from the Project Partners has to be finalized. Hence, it's recommended to submit the input Four weeks before deadline so that there is enough time to make corrections. The internal reporting procedures and deadlines will be evaluated after each reporting deadline. Each member is asked to contribute to the optimization of the process.

FINANCIAL REPORTING

(Reference to the IA Implementation Manual Financial Section/ Policy)

WORKFLOW, DECISION MAKING PROCESS FOR DELIVERABLES

The Lead Partner is responsible for the implementation of the overall project. Consequently, he is also responsible for costs handed in by the Project Partners (refer to Partnership Agreement). Even if there are costs which have been certified by the First Level Control, the Lead Partner has the power not to accept costs if he is in doubt of their relevance for the project. Therefore, all Project Partners are asked to stick to the project application handed in and discuss planned purchases within the Work Package and also with the Lead Partner.

Activity Leader co-ordinates the technical work with the involved partners. Furthermore, the Activity leader is responsible for planning the work in accordance with the time schedule as defined in the project application and in the "Description of Work". A draft of the deliverable has to be sent to the Work Plan Leader for review and feedback. This sends the document to the Lead Partner and to the Quality Manager for review and feedback. The LP and the QM shall check the general quality and compatibility with the. The

If the deliverable has been approved, it can be published on the project website or the intranet site of the project (depending on sort of document).

MEETINGS

GENERAL

Generally, general meetings shall take place on Tuesday. Meetings shall not start earlier than 09:00AM and last longer than 01:00PM. Monday is reserved for finalization of task given for that week before the meeting. Staff absence on this meeting is taken seriously, therefore staff member must inform the office manager or meeting leader in advance and send in task reports for the week ahead.

Partnership meetings (for the first 2 meetings) shall take place on predefined day acknowledged by all on start of the project or partnership. Meetings shall not start earlier than 09:00AM and last longer than 05:00PM. The host of the meeting shall organize beverages during the meeting. Lunch breaks shall be foreseen within the agenda but the lunch itself is not an obligation to be paid by the host. For meetings lasting several days a common dinner shall be offered to the participants, which doesn't have to be paid by the host.

The meeting schedule of the project is in general defined within the project application. At the end of each meeting the dates for the next two meetings of such kind have to be defined. The dates agreed have to be indicated in the Meeting Minutes. For a meeting which is not foreseen within the project application, the date for the meeting shall be announced at least 2 weeks prior to the event. In general, the meetings are coordinated by the WP Leaders (project Manager) in order to minimize time for travelling for the overall Project Team. WPL shall define a proper meeting schedule at WP meetings. The involved participants shall be informed as soon as possible.

MEETING EQUIPMENT

For each meeting the host shall make available the necessary equipment according to the type of meeting scheduled for the day. This include; office equipment and projection equipment.

MEETING MINUTES

For each meeting (General or partner/Work plan), Meeting Minutes have to be provided. For these Minutes the appropriate template has to be used, which contains the following information:

- Date of the meeting
- Duration of meeting
- Location of the meeting
- Reason for the meeting
- Participants
- Keeper of the minutes
- Agenda of the meeting
- Results, outcomes, conclusions, etc. (depending on kind of meeting)
- Next meeting
- Tasks set for the participants (if any)
- Action points out of the meeting (incl. responsible person and deadline)

In general, the host is responsible for the moderation of the meeting and the preparation of the Meeting Minutes. A draft version of the Meeting Minutes has to be provided for the participants within two days after the meeting. They shall have the opportunity to make comments or request changes within the Meeting Minutes. After all participants have agreed, the Meeting Minutes shall be declared as final. The final version of the Minutes has to be forwarded for information to relevant persons within the WP. In all cases the responsible WP Leader and the Lead Partner have to be informed.

LANGUAGE OF MEETINGS AND MINUTES

All project meetings are in English language. Meetings on national level are not affected by this agreement. If there is a need for interpreters, the project member has to organize and pay the service on his own. Meeting Minutes always have to be provided in English language independent of the meeting language.

INTERNAL COMMUNICATION

PROJECT INTRANET

In order to enhance the project workflow and communication a common virtual workplace, a web-accessed intranet media has been established, where the following tools support the project implementation:

- Project calendar
- File manager (download area)
- Address book
- News
- Tasks

Link of Slack is: initiativeafrica.slack.com

Furthermore, a public website (<http://www.initiativeafrica.net>) will be established with general information and news about the project. The details are included in the Dissemination Plan.

TEMPLATES FOR DOCUMENTS

The use of project templates is obligatory during the project. For the following documents templates are available on the intranet under "file manager":

- Meetings: Meeting Minutes (.dot)
- Reporting (Donner's and IA's): Narrative Report (.dot), Financial Report (.xls)
- Presentation (.pot)
- Request for Payment (.dot)
- Cover Page (.dot, .pdf)
- Official Letter/ IA Letter Head (.dot)

DOCUMENT NAMES AND IDENTIFICATION OF DELIVERABLES

The documents should be named precisely in order to have a common understanding what is behind the title. Suggestion for document name:

IA_{Number of activity}_{Document name}_{version}.doc

e.g.: IA_2-1_Communication_Manual_v2.doc

Meeting documents should start with document type (agenda, minutes...), meeting (Status, WP, WPL, BoD...) and include the date (Month.DD, YYYY), and venue (city, where the meeting is hosted).

{Document type} _{Meeting}_{Date}_{Venue}.doc e.g.: Agenda_General-Meeting_January 01, 2018_Addis Ababa.doc

FILE FORMAT

The partners agree to use Microsoft Office 2003-2016 (.doc or .docx) and Adobe PDF standard file formats for project administration. Special exceptions can be made if it is agreed by all stakeholders.

DISTRIBUTION OF MEETING MINUTES

<i>Distribution on meeting related documents</i>	<i>Partners</i>	<i>Project Manager</i>	<i>Project Officers</i>	<i>Coordinator</i>	<i>Executive Director</i>	<i>Board of Director</i>	<i>Advisory Council</i>
Agenda minute of General Meeting		X	X	X	X		
Agenda minute of WP Meeting	X	X	X		X		
Agenda minute of BoD Meeting					X	X	X
Agenda, Notes of LP Meetings	<i>X (if only)</i>	X	X		X		

The progress reports that will be forwarded to the IA Program will be distributed to all project members.

REPLYING

IA telephone answering must be formal and always start with “Initiative Africa, {name of Person} speaking” and always must pass on information to the person in need by note as soon as possible. IA email or online replies must always contain formal beginning “dear {name},” and end with a signature, which will be provided for any of the IA staff for online communication purposes.

IA staff and the project members agree are required to replay to emails or telephone calls pertaining to IA – if feedback, comments or any other type of inputs are requested – within 3 working days. If a

defined deadline can't be achieved, information has to be sent to the appropriate team member. It has to be pointed out until when the requested input will be available.

In Cases of absence from office, the staff must have an automatic email replay set up to redirect the contact to other staff or to their personal phone for emergency purposes, and include the days where the staff will be back to work to replay to this email.

EMAILING

Due to the fact, that the number of emails sent during the project will be enormous, the partners should keep to some basic rules when sending electronic mails to each other. Also must include email signature at the end of any of IA related email. The subject of the email should indicate references to the relevant part of the project as described below:

IA {Number of activity} : {Subject of email}

e.g. Subject of email: IA Act.2.1: Input on Communication Manual

LANGUAGE

The official language for deliverables, communication including meetings (see point 4.3) shall be English. All Project Partners should provide a certain level of quality. (See chapter 5)

HIERARCHY OF PROJECT DOCUMENTS

As there are many documents used for the implementation of the project, a clear hierarchy has to be defined between them. The following order should be applied:

1. Application form, Subsidy Contract, Partnership Agreement, IA Implementation Handbook, IA Program Manual
2. Description of Work
3. Communication manual, Dissemination Plan, WP Implementation plan

	Order for work content & finances	Order for cooperation rules
1	Application form	Subsidy Contract, IA Implementation manual, IA Program Manual
2	Description of Work	Partnership Agreement
3		Communication manual, Dissemination Plan

PROJECT QUALITY MANAGEMENT SYSTEM

GENERAL

The Project Partners and the financial supporters have decided to develop and execute the project in order to achieve results. In the project development phase, the project factors were defined:

After basic definition of the project a detailed requirement specification shall be elaborated, which is the basis of the project work. The main financial support will be accompanied by a Subsidy Contract, which will define the tasks and conditions of support. The requirements are basically laid down in the Description of Work. During the project monitoring and quality management the quality of the work shall be ensured. The establishers of the project will be satisfied if the project delivered the defined outputs in a good quality and the project reached its goals. The project results and goals achieved can be found in the Final report.

The project shall be administrated precisely, which is a basic condition of the quality management. The Project Team should be committed to produce high quality results.

The Project Partners should provide proper human resources for the project. High quality tasks can be executed only by highly educated, English-speaking staff. Project Team members should master both oral and written English on a high level. The selection and training of proper persons is the responsibility of the Project Partner. The project should provide adequate circumstances for the Project Team members (e.g. travelling, office...etc.)

QUALITY MANAGEMENT SYSTEM

CHECKING THE QUALITY OF WORKFLOW AND DELIVERABLES

The workflow should be well administrated and the deliverables should be of high quality. All drafts and final documents should be sent to the Quality Manager in copy, which provides a continuous check of quality. If the quality does not reach a certain level, the QM sends the document back for revision. The Request of quality revision will contain which part does not conform and will set a deadline for correction.

The work of the QM is supported by the WPLs and ALs, who are responsible for the technical content of the deliverables. The WPLs and ALs are reporting to the QM about the content quality of their WP. The QM reports to the PM on the status of quality level regularly.

PURCHASE, SUBCONTRACTING

In order to produce high quality results, the purchase and sub-contracting procedures should be executed carefully. The partners should be able to choose from several offers and select the best quality goods or services for the price. All contracts should be well-prepared and the special project aspects should be taken into account (e.g. ERDF and IPA financial rules).

The Project Partner should guarantee that its subcontractors are also committed to ensure high quality.

MONITORING SYSTEM

The Project Team is monitored by the Board of Directors and discusses issues with the Advisory Council. The Board of Directors meetings are organized three times a year.

INTERNAL AND EXTERNAL QUALITY FEEDBACK

Feedbacks – internal and external – will be collected about the project continuously. For this reason, a feedback-section (questionnaire) will be made available on the website. The internal feedbacks are provided by the Project Partners (anonymous feedback is an option too) to revise the project management system if needed. The external feedback will be collected from the stakeholders and from the visitors of the webpage. At every status meeting the feedbacks are evaluated and the management or dissemination system can be revised if needed.

ANNEX A - CONTACT INFORMATION

Program contact person:

Yehualashet G/Michael
+251 911 72 8159
yehualashet.g@initiaitveafrica.net

or

info@initiaitveafrica.net

Beruk Worku
+251 911 12 6661
beruk.w@initiaitveafrica.net

More contact information:
<http://www.initiaitveafrica.net/about us>

CLOUD MANAGEMENT POLICY

IA's cloud system is for fast, secure and easy way to share and store the works it does. This cloud system will house from the core elements (Manuals, Policies and codes) the organization is operating with and also the project documents and reports to share to the partners.

ACCESS POINT

To access IA's cloud system:

- (a) Follow this google drive ID – initiativeafricabackup@gmail.com
- (b) Use password provided by office manager.
- (c) Adding or Removing any files from the system will be by approval of Executive Director and Communication officer.

BACKUP PROCEDURE

Cloud provider have an Application/ Software to be installed for direct and scheduled backing up directly from the PC.

- Retrieve the Software from Communication officer or the Offline Backup located at Headquarter office.
- Install the software and create a definite folder dedicated to the backup files as directed on the setup windows
- Once Finished, share files on backup by simply placing it in the folder you have created.
- For classification of the file as private and Public, please open backup cloud system and move them into the private folder.

SHARING OF FILES FROM THE CLOUD

It is recommended to download these files and share them to person meant to via the medias applicable. If not, sharing this files only and not allowing access to the entire cloud but changing of the security setting on the sending option is recommended.

For more information, please refer to the IT specialist for guidance in case of software change or update in the cloud system provider.

SECURITY

IA Cloud backup file sharing is protected under IA's privacy policy. Any sharing of files from backup must be approved by the Executive director or senior Project manager.

Files tagged sensitive or private in the cloud are prohibited from sharing, and if its deemed absolutely necessary and have approval from Executive director, its only allowed to share parts of those files but not all.

Sharing of the Password and Link to access the IA cloud system is prohibited unless its approved by the Managing staff. In cases of unauthorized pass of this information is caused, it is ground for immediate suspension pending assessment of employment status in the organization of the person responsible by the BoD.

In case of breach of security, the organizations IT specialist must check for any loss or change of any data in the system and change password and username. This changes must be reported to the staff which have access previously.

PROCUREMENT POLICY

The purpose of IA procurement guideline is to define the procurement policies and rules to be applied by Co- operation partners or by IA in IA financed operations. A prerequisite for applying IA procurement guideline as regulatory framework is however the existence of an agreement between IA and the co-operation partner.

Preamble

The procurement manual helps for efficient use of funds and sound procurement in projects/programs that is essential to a well-functioning of IA as an organization. Therefore, procurements must be carried out in a manner that is not only economic and efficient but also fair, transparent and non-discriminatory.

The Purpose

These IA Procurement Guidelines set out the procurement policies and rules to be followed in IA-financed operations, when so agreed in the Agreement, for contracts covering goods, works and consultant services between IA and the Co-operation Partner.

IA adopts a variety of financing and co-operation instruments in its development co-operation assistance. Those instruments should, whenever appropriate, address the procurement issue as well as define the relevant procurement policy framework and the specific provisions to be applied for the procurement of contracts subject to IA-financing.

Unless IA has otherwise agreed, procurement shall not be initiated before there is an effective Agreement concluded between IA and the Co-operation Partner.

Definitions and Terminology

For the purpose of clarity and simplicity these IA procurement guidelines apply the following definitions:

- (a) The term Co-operation Partner is used throughout the IA procurement guideline as a common expression for the party, which enters into the Agreement with IA and is thereby responsible under the Agreement for the correct application of these IA procurement guideline.
- (b) IA's Representative is the common expression for a staff member of IA's organization who is granted the authority to issue a "no objection" in respect of the various steps and components in the procurement and contract administration process.
- (c) With Firms means all suppliers of goods, works and services.
- (d) Agreement is used throughout the IA procurement guideline as a common expression for the various financing and co-operation agreements and instruments applied by IA in its development co-operation work.
- (e) The terms "No objection", whenever used in the IA procurement guideline, constitutes IA's written communication to the Co-operation Partner that IA's review of tendering procedures and contract management concludes that agreed procedures have been followed as required by IA procurement guideline and the Agreement.
- (f) " Procurement": the purchase, leasing, rental or hire-purchase of goods, works or services.
- (h) With "Contract document means the basic documentation for either "Tender Dossier" (services) or "Tender Documents" (goods and works).

Applicability of the IA Procurement Guideline

Subject to an effective Agreement established with the Co-operation Partner, these IA procurement guideline, unless otherwise agreed, shall be applied in the following circumstances:

- (a) The Co-operation Partner undertakes the procurement and is the party to the contract;
- (b) The Co-operation Partner is the party to the Agreement, but another entity under a sub-agreement with the Co-operation Partner undertakes the procurement and concludes the contract;
- (c) The Agreement specifies that IA may undertake procurement and conclude contracts subject to financing under the Agreement for the purpose of efficiently serving or monitoring the project.

When IA applies the procurement guideline

With reference to Clause 1.4 Applicability Para c), IA shall apply these IA procurement guideline, when so agreed in the Agreement, on the same condition as the Co-operation Partner but with the following exceptions:

- The word Co-operation Partner shall be replaced by IA where applicable
- Clause 2.2 second paragraph on eligibility will not apply
- Clause 2.7 Procurement Secrecy and 5.13 on Confidentiality will not apply since the Swedish Secrecy Act will apply;
- Clause 3.14, second paragraph on Pre-Tender meeting will not apply;
- Clause 3.16.1 and 3.16.2 on Tender Opening: (b) will apply and (a) will not apply.
- Clause 3.14 fourth paragraph on Submission of tenders in separate envelopes is optional for IA
- Clause 3.19 regarding Appeal will not apply
- Section 6 regarding Review of procurement decisions will not apply

PRINCIPLES AND CONSIDERATION

Basic Principles

Open and fair competition is the foundation for good procurement practice. In addition to economy, efficiency and to ensure that procurement decisions are based on commercial grounds only, IA requires transparency and accountability in conjunction with the use of its financing of projects and programmers. This will affect the choice of procurement method and the documents and procedures that are used and IA, therefore, requires its Co-operation Partners and own organization, in all appropriate cases, to undertake the procurement of goods, works and services through competitive tendering procedures in accordance with the rules outlined in these IA procurement guideline.

Eligibility

Procurement of goods, works and services for contracts financed by IA shall be open to all suppliers. Where another rule on eligibility restricting participation is considered for a certain project or contract, the applicable rule should be clearly addressed in the Agreement. The relevant eligibility rule to be applied should also be stated in the invitation to tender or to prequalify (Letter of invitation or/ and publication notice) irrespective of the procurement method used. IA shall not finance a contract or make payment to suppliers that are prohibited from participation by any act taken by the Ethiopian government.

Co-operation Partner Responsibilities

Co-operation Partners are responsible for implementing IA financed projects and contracts, including all aspects of the procurement process from the stage of planning through to the award of contracts, as well as the administration of the contracts themselves.

The rights and obligations of the Co-operation Partner tenderers for goods, works and services to be furnished will be governed by the tender documents issued by the Co-operation Partner and not by these IA procurement guidelines.

IA Responsibilities

IA conducts reviews, in accordance with Section 6 IA's Review of Procurement Decisions, to ensure that the tendering process has been carried out in accordance with agreed procedures, as required in the Agreement. IA is responsible for procurement contracts concluded by itself.

If at any time in the procurement process (even after the award of contract) IA concludes that the agreed tendering or contract administration procedures were not substantially followed in any material respect, IA may declare that the contract is no longer eligible for financing. IA will also declare a contract ineligible for financing if it determines that its "no objection" was based on incomplete, inaccurate or misleading information furnished by the Co-operation Partner.

Ethics in Procurement

It is a requirement of IA that the Co-operation Partners, as well as tenderers, suppliers, contractors, and consultants under IA-financed contracts observe the highest standards of ethics during the procurement and execution of such contracts. In pursuance of this policy, IA requires that all parties concerned take measures to ensure that contracts and purchase orders relating to IA financing are not used as devices for the transfer of gifts, payments or other benefits to public officials and/or procurement management/staff members with decision making responsibility or influence.

For the purpose of this provision, the terms set forth below shall have the following meaning:

” corrupt practice” means the offering, giving, receiving or soliciting of anything of value to influence the action of a public official, or the threatening of injury to person, property or reputation in connection with the procurement process or in contract execution in order to obtain or retain business or other improper advantage in the conduct of business; and

” fraudulent practice” means a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the Co-operation Partner and includes collusive practices among tenderers (prior to or after submission of tenders) designed to establish prices at artificial, non-competitive levels and to deprive the Co- Operation Partner of the benefits of free and open competition.

IA reserves the right where a Co-operation Partner, firm or individual has been found by a judicial process, or an official enquiry under- taken by any of the IFI (International Financial Institutes) or bilateral donors, or by an independent review of IA, to have engaged in corrupt or fraudulent practices to cancel all IA financing for such Co-operation Partner, firm or individual. In a contract financed by IA, a provision shall be included requiring firms or individuals to permit IA to inspect their accounts and records relating to the performance of the contract and to have them audited by auditors appointed by IA.

Conflict of Interest

No affiliate of the Co-operation Partner shall be eligible to tender or participate in a tender in any capacity whatsoever unless it can be demonstrated that there is not a significant degree of common ownership, influence or control between the Co-operation Partner and the affiliate.

Where a firm, its affiliates or parent company, in addition to consulting, also has the capability to manufacture or supply goods or to construct works, that firm, its affiliates or parent company normally cannot be a supplier of goods or works on a project for which it provides consulting services and vice versa, unless it can be demonstrated that there is not a significant degree of common ownership, influence or control. The only exceptions would be turn-key, single responsibility, public works concessions or similar undertakings where design, supply and construction activities are an integral part of the contract or where certain critical items of equipment are an essential part of the process design.

A tenderer may submit or participate in any capacity whatsoever in only one tender for each contract. Submission or participation by a tenderer in more than one tender for a contract (other than alternatives, which have been expressly permitted or requested by the Co-operation Partner) will result in the disqualification of all tenders for that contract in which the party is involved. However, this does not limit the inclusion of the same subcontractor in more than one tender.

Consultants shall provide professional, objective and impartial advice and at all times hold the Co-operation Partner's interests paramount, without any consideration for future works, and strictly avoid conflicts with other assignments or their own corporate interests. Consultants or any of their affiliates shall not be engaged for any assignment which, by its nature, may be in conflict with another assignment of the consultant. IA may accept the participation of a consultant in a tender that has been engaged in the preparation of a project if it can be demonstrated that no unfair advantage is given to the consultant and that the tendering process offers equal opportunities to all tenderers.

Procurement Secrecy

The procurement process, generally, is confidential from the time of receipt and opening of tenders to the notification of the award. The handling of the issue of confidentiality may differ depending on whether it is the Co-operation Partner who undertakes the procurement or IA itself. The invitation to tender or the instructions to tenderers shall state the applicable rule for the specific tender.

Green Procurement – Environmental Considerations

The Co-operation Partner shall give preference to environmentally sound products and/or services and shall follow the requirements state in IA's Policy for Green Procurement for Co-operating partners and where appropriate, special requirements stipulated in the Agreement. Environmental demands shall be clearly stipulated in the tender documents.

PROCUREMENT METHODS AND COMMON RULES

(Applicable to all Contracts)

Procurement Planning

Sound and efficient planning of procurement is crucial for the successful outcome of a project. The Co-operation Partner must determine what goods, works and services, including such independent services that may not be procured under Section 5, are required to carry out the project, when they must be delivered, what standards and other considerations are needed, and which procurement and contracting procedure is most suitable for each contract. IA's requirement of a procurement plan shall be specified in the Agreement.

Procurement Methods

The following procurement methods, under the rules and conditions described below, shall be used in the procurement of contracts for goods, works and services, including consultant services that are financed by IA.

Open Tendering

Open Tendering procedures are those procedures under which all interested firms are given adequate notification of contract requirements and all eligible tenderers are given an equal opportunity to submit a tender. The Co-operation Partner must give sufficient public notification of tendering opportunities for potential tenderers to determine their interest and to prepare their tenders. Open Tendering may be conducted with or without prequalification proceedings.

Open Tendering is the principal method for procurement when the individual contract value in Ethiopian Birr (br.) exceeds:

	<u>Birr</u>
Goods	300,000
Consultant Services	300,000
Works	300,000

Co-operation Partners are also encouraged to apply Open Tendering below the above thresholds, but may use other methods where the conditions specified further in this section are met.

Open Tendering with Prequalification

Co-operation Partners may require potential tenderers to prequalify when that is justified by the nature of the contracts and all tenderers that meet the prequalification criteria should be invited to submit tenders.

The notification for prequalification and the evaluation procedure shall be consistent with those for Open Tendering in these rules. In the procurement of consultant contracts, the

prequalification proceedings correspond to the request for "Expressions of Interest" and the short- listing of qualified firms. The prequalification criteria, which shall be specified in the prequalification documents or in the invitation to prequalify, shall be based entirely upon the capability and resources of the prospective tenderers to perform the particular contract satisfactorily and they shall be in the form of pass/fail criteria as regards contracts for goods and works.

Prequalification or shortlisting for consultancy services will use another methodology as further described in 5.9.

Negotiated Procedure

If no tenders or no appropriate tenders are submitted subject to a notification under open tender procedure, the Client may initiate a Negotiated Procedure without further publication of a Procurement Notice provided the contract terms originally laid down in the contract documents have not been substantially altered. Such procedure shall, with the exemption of notification, be carried out in accordance with the procedure stated for Open Tendering, and subject to “No- objection” from IA.

Selective Tendering

Selective Tendering procedures are similar to those for Open Tendering, except that qualified firms are preselected for each tender and invited in writing by a direct invitation. In order to ensure sufficient competition, the number of invited tenderers, normally, should not be less than three (3) firms. A tender from a firm, which is not pre-selected, shall be treated in the same way as a tender from an invited firm.

Selective Tendering may be used for awarding contracts when the value of the contract is less than:

	<u>Birr</u>
Goods	300,000
Consultant Services	300,000
Works	300,000

Selective Tendering includes the preparation of a complete set of tender documents and the use of formal opening procedures.

Single Source Procurement/Selection

Single source procurement for goods or Single Selection for consultant services may be used in exceptional cases or when the contract value is less than:

	<u>Birr</u>
Goods	50,000
Consultant Services	50,000

Single source procurement, when the above thresholds are exceeded, may be justified in the following cases:

- (a) The extension of an existing contract awarded in accordance with the procedures for Open or Selective Tendering for additional goods, works or services of a similar nature would clearly be economic and efficient and where no advantage would be obtained by further competition. In the case of a consultant contract, the contracts maximum value shall not exceed 50% of the original contract, unless otherwise agreed with IA.
- (b) A product or consultant services can only be provided by a single firm because of exclusive capabilities, exceptional worth for the assignment or proprietary rights;
- (c) Standardization with existing equipment is determined to be important and justified and compatible goods cannot be provided by other suppliers;
- (d) It is a case of extreme urgency not foreseeable or attributable to the Co-operation Partner.

List of single source procurement vendors by IA

- Stationary Materials Vendors
 - Helen Woldemariam Sekru
 - Dawit Abraha Asfhah Stationary

- Computer and Electronics Vendors
 - Today Computer Technology PLC
 - Necom Computer Technologies
 - Etu computer trading
 - Kamas Computer System and Trading PLC

Other Rules

Valuation of Contracts and Thresholds

For the purpose of determining the applicable procurement method, Co-operation Partners shall ensure that the estimation of the contract value is made correctly and cover all costs related to the

specific contract, whether it is a so called one-off contract or a time-based contract for a certain period of time.

No procurement requirement for a given quantity or input of a contract may be split-up with the intention of avoiding the application of a formal procurement method.

Notification and Advertising

Timely notification of tendering opportunities is essential in competitive tendering. For this purpose, IA requires Co-operation Partners under Open Tendering to publish invitations to prequalify or to tender and to make known the requirements to the public in the following manner:

- (a) Whenever applicable, in at least one newspaper of national circulation in the country of the Co-operation Partner;
- (b) The Co-operation Partner shall submit a “Procurement Notice” to IA for publication.

The invitation to prequalify or tender may be sent by fax or electronic mail and shall contain all information necessary to guide the prospective tenderers about the requirements, the means and the cost, if any, of obtaining the tender documents, and the place and deadline for submission of tenders.

Only a nominal fee should be charged for the tender documents, solely to cover the costs of reproduction and of dispatching the documents by courier.

Time Limits

Prescribed time limits for the preparation and submission of applications to prequalify or tenders shall be sufficient for all tenderers to prepare and submit applications or tenders. The following minimum time limits apply from the date of publication:

- (a) Open Tendering with Prequalification
 - Prequalification/ “Expressions of Interest” 30 days
 - Submission of Tender 30 days
- (b) Open Tendering 30 days
- (c) Selective Tendering 30 days
- (d) Simplified Tendering 15 days

For large and complex contracts, the time limits under Open Tendering should be extended considerably, normally to not less than 90 days.

Language

Tender documentation, including all published procurement notices, shall be prepared in English and/or Amharic. The chosen and governing language shall be stated in the Agreement between IA and the Co-operation partner. In addition, the Co-operation Partner may prepare a further set of the tender documentation in other languages in order to assist local firms in tendering.

However, the English or Amharic text and the interpretation thereof govern the tender documentation. A text in another language than the governing language is to be regarded only as a translation and as a guide to local firms.

Qualification of Tenderers

In tenders where a prequalification of tenderers has not been carried out, the Co-operation Partner shall assess the qualifications of a tenderer as part of tender evaluation in order to determine whether it is capable of performing a possible contract satisfactorily.

The qualification of tenderers may be undertaken as a post-qualification in the final step of the tender evaluation for goods and works.

Alternatively, the assessment of tenderer qualifications may take place during the preliminary examination of tenders. The qualification of tenderers for consultant contracts should always be undertaken before the detailed technical evaluation of tenders is initiated.

The tender documents for goods and works and the tender dossier for consultant services should state the minimum qualification requirements that have to be met by the tenderers in order to qualify for the award of contract. Such minimum requirements may cover the following aspects, as appropriate:

- (a) Necessary professional, technical and organizational capacity, financial resources and other required facilities to perform a contract;
- (b) Proven experience, including the satisfactory completion of similar contracts;
- (c) Legal capacity to enter into a contract.

To satisfy itself that the firms are qualified in accordance with the criteria referred to in the above section, the Co-operation Partner may, as appropriate, require the tenderers to provide the necessary documentary evidence or other information it may deem useful. The requirements specified shall be relevant for the particular procurement and be based on objective grounds.

Consequently, the evaluation of the qualifications of the tenderers must be carried out in accordance with the criteria and procedures laid down in the tender documents, and nothing else.

Grounds for Disqualification

A firm may be excluded from the evaluation and the award of a contract, who:

- (a) is bankrupt or is being wound up, whose affairs are being administered by court, who has entered into an arrangement with creditors, who has suspended business activities or who is subject of an injunction against running business by court;
- (b) is the subject of proceedings for a declaration of bankruptcy, for an order for compulsory winding up or administration by court, or for an arrangement with creditors or of any other similar proceedings;
- (c) has been convicted of an offence concerning his professional conduct by a court;
- (d) has been found guilty of grave professional misconduct;
- (e) has not fulfilled obligations relating to payments of taxes.

Verification of Qualifications

In addition to the verifications necessary to determine a firm's qualifications according to the various requirements set out above, prior to contract award, the Co-operation Partner, unless deemed unnecessary, shall ensure that a tenderer meets formal requirements as stipulated under national law. A tenderer would normally be required to include in its tender evidence that it:

- (a) is registered by a national Registrars of Companies and a Trade Association;
- (b) is registered for declaration and payment of value added tax or a similar sales tax in accordance with national legislation;
- (c) has declared preliminary taxes for staff and employee contributions; and
- (d) is free from debts regarding taxes.

In case of a request to the tenderer for the information referred to above, it shall be stated in the tender document/tender dossier, the procurement notice or letter of invitation in what manner the tenderer must provide such information. Failure to furnish such information may be a ground for rejection.

Clarifications

Clarification of Contract Documents

Tenderers shall have the right to seek clarifications on any aspect of the Contract documents and receive responses from the Co-operation Partner in good time before the deadline for submission of tenders, normally not less than 14 days prior to the deadline. The responses prepared by the Co-operation Partner shall be sent to all firms that have received the Contract Documents at the same time and without disclosing the names of the prospective tenderers.

Clarification of Tenders

The Co-operation Partner may also request clarification or amplification of a tender, if this can take place without risk of preferential treatment or limitation of competition.

The Co-operation Partner may also request for clarification or amplification of a certificate, written proof or other documentation that has been submitted as laid down in Clauses in classifications section.

Submission of Tenders

Tenders shall be submitted in writing, unless otherwise determined by IA procurement guideline. The Co-operation Partner shall allow enough time for the consultants to prepare their tenders. The time allowed shall depend on the assignment but shall never be less than the minimum time limits set out in Clause 3.8.

For more complex procurements, it may be appropriate to arrange a pre-tender meeting between the invitation and the deadline for submission. This should be stated in the invitation to submit tenders and all firms that have declared their intention to submit a tender shall be invited to attend.

If necessary, the Co-operation Partner may extend the deadline for submission of tenders. If such a decision is taken, the tenderers shall be informed of the decision to extend the deadline, not less than 7 days before the deadline for submission of tenders.

When the procurement relates to consultant services, technical and financial proposals shall be submitted at the same time but in separate envelopes.

Validity of Tenders

The period of validity of the tender should be specified in the tender documents and be sufficient to enable the Co-operation Partner to complete the evaluation of tenders and conclude a contract with the successful tenderer, including receiving IA's "no objection" when so required. This would normally be in the range of 60–90 days. In exceptional circumstances, the Co-operation Partner may request the tenderers to extend the validity of their tenders, subject to IA's "no-objection".

Tender Opening

Goods and Works

Tenders solicited under Open and Selective Tendering procedures for goods and works shall be received and opened under procedures and conditions guaranteeing the regularity of the opening as well as the availability of information from the opening. The following procedures will apply:

- (a) Tenders opened under procedures where the Co-operation Partner is responsible for the procurement.

At the time and place stated in the tender documents, the Co-operation Partner will open all tenders that have been received before the deadline for submission of tenders. Tenders shall be opened in the presence of the tenderers or their representatives that choose to attend. The name of the tenderers and the total price of each tender shall be read aloud and recorded when opened. Minutes of the tender opening shall be distributed to all tenderers that have purchased the tender documents as well as to IA.

IA shall have the right to nominate an observer to attend the meeting

A non-public procedure may be used by the Cooperation Partner for opening of tenders under Simplified Tendering and Single Source Procurement.

Tenders received after the deadline for submission will be rejected and returned unopened, see Clause 5.10, fourth paragraph.

- (b) Tenders opened under procedures where IA is responsible for the procurement.

Opening of tenders shall be carried out in a non-public meeting the second day after the deadline for submission of tenders and all tenders shall be recorded in a protocol issued and signed by two persons appointed by IA.

Consultant services

- (a) Tenders opened under procedures where the Co-operation Partner is responsible for the procurement

The technical proposals shall be opened as soon as possible after the closing time for the submission of the tenders by a committee of at least three officials in a non-public session. The

financial proposals shall remain sealed until the technical evaluation has been completed and thereafter opened, provided they meet the minimum technical score, and recorded in accordance with the same procedure as for the technical proposals above. Tender opening minutes shall be prepared. Any tender received after the closing time for submission shall be returned unopened.

A non-public procedure may be used by the Cooperation Partner for opening of tenders under Simplified Tendering and Single Source Procurement.

(b) Tenders opened under procedures where IA is responsible for the procurement

Opening of tenders shall be carried out in a non-public meeting the second day after the deadline for submission of tenders and all tenders shall be recorded in a protocol issued and signed by two persons appointed by IA.

Rejection of All Tenders

Rejection of all tenders shall only be done in exceptional circumstances. It may be justified when there is a lack of effective competition, where the budget is extensively exceeded, or where there is a lack of responsive tenders.

Joint Ventures

The formation of joint ventures is allowed in tendering for IA-financed contracts when so stated in the pre-qualification or Contract Documents. Any tender shall be signed by all partners of the joint venture, so as to legally bind all partners, jointly and severally, and any tender shall be submitted with a copy of the joint venture agreement providing for joint and several liabilities with respect to the contract, including the nomination of the lead firm of the joint venture. The Co-operation Partner may request the successful joint venture tenderer to establish a special judicial form as a condition for contract execution.

Appeal

Tenderers with the view they have been harmed by an error or irregularity during the award process may file a complaint with the Co-operation partner directly.

The Co-operation Partner shall immediately inform IA of such complaint and must respond to the complainant within a reasonable time as well as send a copy to IA.

If the outcome of above procedure does not satisfy the complainant, the tenderer may have recourse to procedures established under the Co-operation partner's national legislation.

PROCUREMENT OF GOODS AND WORKS

In this section, a number of areas related specifically to the procurement of goods and works will be addressed including such independent services that may not be procured in accordance with section 5.

Tendering Procedures

The selection of procurement methods to be used in the procurement of goods and works are laid down in Section 3. Procurement methods and common rules applicable to all contracts including the thresholds for the various procurement methods and rules on advertising and time limits.

Tender Documents

The tender documents are the focal point in the tendering process and shall furnish all information necessary for a prospective tenderer to prepare a responsive tender for the goods and works to be provided.

While the detail and complexity of these documents may vary with the size and nature of the tender package and contract, they generally should include:

- (a) Invitation to Tender;
- (b) Instructions to Tenderers;
- (c) General and Special Conditions of Contract;
- (d) Technical Specifications;
- (e) Schedule of Requirements;
- (f) Tender Form;
- (g) Contract Form;
- (h) Appendices.

Tender documents shall be drafted so as to permit and encourage the widest possible competition. They shall clearly define the scope of works, goods and associated services to be supplied, the rights and obligations of the purchaser and of suppliers and contractors, and the conditions to be met in order for a tender to be declared substantially responsive, and they shall set out fair and non-discriminatory criteria for selecting the winning tender.

Standards and Specifications

Standards and technical specifications referred to in tender documents shall promote and allow the broadest possible competition, while assuring the critical performance or other requirements for the goods and/or works under procurement. Co-operation Partners should use European (EN) and international standards (ISO) and specifications wherever these are available and appropriate. The use of performance related specifications are encouraged and may be appropriate to include when full comparability for evaluation purposes between the tenders can be achieved. The use of brand names and similar references should be avoided. If it necessary to quote a brand name of a particular manufacturer to clarify an otherwise incomplete specification, the words “or equivalent” shall be added after such reference.

Domestic Preferences

IA does not allow the inclusion of domestic preferences for local firms in the tender documents for evaluation purposes.

Tender Securities

A tender security, in the amount specified in the tender documents, affording the Co-operation Partner reasonable protection against irresponsible tenders may be acceptable, but it shall not be set so high as to discourage tenderers and the amount would normally fall within the range of 2-5% of the estimated contract price.

EVALUATION CRITERIA

The Co-operation Partner shall accept either the tender, which is:

- (a) the economically most advantageous in consideration of the given evaluation criteria, such as price, operating costs, quality, aesthetic and functional characteristics, service and maintenance, environmental impact etc. or
- (b) the lowest price

Only one of these two evaluation principles may be given in the Contract Documents.

The economically most advantageous tender

Tender documents, in the relevant section of the Instructions to Tenderers, shall specify the relevant factors in addition to price to be considered in the tender evaluation and in the manner in which they will be applied for the purpose of determining the most advantageous tender. Factors, which may be taken into consideration, include, inter alia, the time of completion of the construction or delivery, the operating costs, the efficiency and compatibility of the equipment, and the availability of service and spare parts.

Factors other than price to be used for determining the most economically advantageous tender should be quantifiable and expressed in monetary terms, or where that is not practicable, given a relative weight in the evaluation provisions of the tender documents.

Tender with the lowest price

This method may be appropriate for goods and works of a standard or routine nature where well established specifications and standards exist. Under this method, a minimum of technical points for quality is established. Those tenders securing the minimum threshold are determined qualified. Thereafter the firm with the lowest price shall be selected.

Award of Contract

The Co-operation Partner shall award the contract to the tenderer whose tender has been determined to be substantially responsive and has been determined to be the most favourable tender, provided further that the tenderer is determined qualified to perform the contract satisfactorily.

The award decision must be made in writing in an evaluation report and the report shall be distributed to all Tenderers.

Evaluation Procedure

The following steps and considerations should normally be followed and made in the examination and evaluation of tenders:

- (a) Prior to the detailed evaluation, the Co-operation Partner will examine each tender to determine whether it is complete, the documents are properly signed, it is substantially responsive to the tender documents and any computational errors have been made;
- (b) The Co-operation Partner may at this stage undertake an examination of the tenderer's qualifications in accordance with the qualification requirements specified in the tender documents in order to determine whether the tenderer is qualified to perform the contract satisfactorily. Alternatively, the determination of a tenderer's qualifications may be made when the evaluation is completed as a post-qualification of the tenderer whose tender has been determined the lowest evaluated;
- (c) A substantially responsive tender is one that conforms to all the terms, conditions and specifications of the tender documents, without material deviation, reservation or omission. A material deviation, reservation or omission is one (i) which affects in any substantial way, the scope, quality or performance of the goods, (ii) which limits in any substantial way the rights and obligations under the contract, or (iii) the rectification of which would affect unfairly the competitive position of the other tenderers;
- (d) The Co-operation Partner may waive any minor informality, non-conformity or irregularity, provided that such waiver does not prejudice or affect the relative ranking of any tenderer;
- (e) If a tender is not substantially responsive, it will be rejected and may not subsequently be made responsive by any correction of the tender;
- (f) The Co-operation Partner shall thereafter analyze the price and costs for those tenders determined substantially responsive, and the award shall be made to the tenderer that has submitted the most favorable tender

Negotiations

Negotiations on price are not permitted with tenderers prior to the award decision, other than in connection with Negotiated Procedure or single source procurement. Clarifications in writing in respect of a tender may be sought by the Co-operation Partner during the evaluation process.

In the course of concluding a contract with the successful tenderer, the Co-operation Partner may invite the winner for a meeting in order to discuss and agree on outstanding issues related to the contract to the extent that no substantial change is made to the basis on which the award decision was made.

Contract Models

Unless otherwise agreed, all contracts shall be concluded directly between the Co-operation Partner and the selected supplier or contractor. Co-operation Partners may use appropriate international contract models for the delivery of goods and works with associated services, such as the World Bank's sample contracts for goods and works as well as the various FIDIC (the International Federation of Consulting Engineers) contract formats appropriately adapted to IA's requirements as set out in the Agreement.

PROCUREMENT OF CONSULTANT SERVICES

Introduction

The main concern when selecting consultants should be the quality of the services that are provided. The concept of quality in this context covers the entirety of factors subject to evaluation of the technical proposals, such as the qualifications of the consultant's team and the suitability of the approach and methodology indicated by the tenderer in its tender. The procedures for selecting consultants and contracting for their services should be competitive and transparent to ensure that assignments can be efficiently executed in a cost-effective way with high standards of performance, while providing the necessary degree of accountability.

Tendering Procedures

The selection of consultants will fundamentally rest on the same principles and basically follow the same procurement methods as laid down in Section 3. Procurement methods and common rules applicable to all contracts, including the thresholds applicable for the various procurement methods and rules on advertising and time limits. However, there are some significant features associated with the procurement of consultant services which generate the need to design and adopt special procedures to be used in order to ensure the quality of the firms to be retained as well as to secure the observation of requirements of objectivity and transparency in the evaluation and award of contracts. The term "Tender" as used in the following is normally composed of a Technical and Financial Proposal.

The following procurement procedures should be used:

(a) Open Tendering with prequalification

This procedure should normally be used for large and complex consultant contracts where it is necessary to limit the number of tenderers for evaluation purposes.

The first step is the publication of an invitation notice where firms are invited to submit "Expressions of Interest" in order to establish a formal short list of qualified firms. The next step is to determine which firms are to be included in the short list based on the criteria stated in the invitation and thereafter invite those firms short-listed (in the range 3–6 firms) to submit a Tender based on the tender dossier issued by the Co-operation Partner.

(b) Open Tendering

The invitation to tender, which may be combined, with a direct invitation of pre-identified firms, shall be made by the publication of a contract notice. Since no formal short list is

prepared, all eligible firms are invited to submit a tender. However, the invitation to tender and the tender dossier should state the minimum qualification requirements needed in order to determine which firms are qualified to perform the contract satisfactorily. Those firms not meeting the minimum qualification requirements will be rejected as non-responsive and excluded from further participation.

(c) Selective and Simplified Tendering

This involves a direct invitation, normally not less than three firms chosen on objective grounds.

(d) Single Source Selection

A qualified consultant firm or individual may be selected directly, when so justified (see Clause 3.5 Single source procurement/Selection), without the requirement to prepare a short list. The firm shall be asked to prepare a technical and financial proposal on the basis of a ToR furnished by the Co-operation Partner and acceptable to IA, which may then be negotiated.

Selection and Evaluation Variants

The selection and evaluation of tenders will be conducted on the basis of the following variants which will govern the design of the tender dossier, in particular the instructions to tenderers with the application of the evaluation criteria and procedure, and the choice of contract conditions:

(a) Quality and Cost-Based Selection (QCBS)

This process takes into account both the quality of the technical proposal and the cost of the services in the selection of a successful firm. The relative weight to be given to the quality and cost shall be determined for each case depending on the nature of the assignment. Quality must be measurable.

The budget and funds available for the assignment may be stated in the tender dossier, where appropriate.

Normally, Quality and Cost-Based Selection shall be the guiding basis for procurement of consultant services financed by IA.

(b) Least-Cost Selection

This method may be appropriate for assignments of a standard or routine nature (audits and engineering design of non-complex works, and so forth) where well-established practices and standards exist.

Under this method, a minimum of technical points for quality is established. Those tenders securing the minimum threshold are determined qualified. Thereafter the firm with the lowest price shall be selected.

The Procurement Process

The procurement process for consultants under Open and Selective Tendering normally involves the following steps:

- (a) Preparation of Terms of Reference (ToR) by defining the scope, objectives and deliverables, as well as determining the selection method and evaluation basis to be followed;
- (b) Preparation of cost estimate and the budget;
- (c) Preparation of the complete Tender Dossier normally comprising:
 - i. Invitation to Tender,
 - ii. Instructions to Tenderers,
 - iii. Terms of Reference (ToR),
 - iv. Draft Contract;

- (d) Advertising and/or the preparation of a short list of qualified firms (which varies with the selection method chosen);
- (e) Receipt of Tenders (Technical and Financial Proposals);
- (f) Evaluation of Technical Proposals;
- (g) Evaluation of Financial Proposals;
- (h) Preparation of complete Tender Evaluation Report;
- (i) Negotiations and award of contract to the selected firm.

When Simplified or Single Source Procurement is used all the steps as listed in the above process are not needed.

Terms of Reference (ToR)

The ToR shall clearly and comprehensively describe the background, including objectives and scope of the project supported, the objectives, including intended longer-term effects, the scope of the assignment, the tasks to be performed and the time schedule for them, the deliverables, as well as the reporting requirements and other implementation arrangements.

Full harmonization between objectives, tasks, deliverables and time schedule should be obtained. The scope of the services described in the ToR shall be compatible with the available budget.

Cost Estimate (Budget)

Preparation of a realistic cost estimate is essential for the financial planning and IA's allocation of resources to a project and for the specific assignment and contract. Costs shall be divided into two broad categories (a) fees and (b) reimbursable.

Tender Dossier

The Tender Dossier should furnish all information necessary for a prospective tenderer to prepare a responsive and competitive tender for the services to be provided. While the detail and complexity of these documents will vary with the size and nature of the proposed contract, they shall include:

- (a) The Invitation to Tender which shall state the intention of the Co-operation Partner to enter into a contract for the provision of consulting services, the type of tendering method used, eligibility requirements, the source of funds (IA), the details of the Co-operation Partner, any qualification requirements, the date, time and address for submission, and the required validity period of the tenders. The validity period shall be sufficient (normally 60-90 days) to enable the Co-operation Partner to complete the comparison and evaluation of tenders, and to allow for IA's review and "no objection".
- (b) The Instructions to Tenderers which shall contain all necessary information that would help the consultants prepare responsive tenders, and shall bring as much transparency as possible to the selection procedure by providing information on the evaluation process and by indicating the evaluation criteria and factors and their respective weights and the minimum passing quality score.
- (c) The Tender Dossier, which shall normally include a draft contract proposal that takes into account the special conditions and provisions applicable under IA financing. Any changes or amendments to the general conditions should be introduced as special conditions of contract, with the general conditions remaining unchanged.

Advertising

Invitations to tender for consultancy contracts shall be done in accordance with the notification and advertising rules and procedures laid down in Clause 3.7. Notification and Advertising.

In case no formal short list of consultants is prepared, as being the case under Open Tendering without prequalification, the invitation to tender instead shall state the minimum qualification requirements that will be applied to the tender. Tenderers that fail to meet these minimum qualification requirements will be excluded from further participation and evaluation.

Preparation of Short Lists of Consultants

The formal short-listing of qualified firms to be invited to submit a tender is the first step under Open Tendering with prequalification and requires the publication of a notice for “Expressions of Interest”.

Formal short lists of consultants should normally include no less than three and no more than six qualified and experienced consultants.

All relevant expressions of interest and other information on consultants should be collected that would be considered for short-listing. The short-listing criteria should be worked out in advance, preferably in the form of short-listing grids. The three to six consultants having received the highest score then constitute the short list.

When the short-listed consultants have been invited to submit proposals, the other firms shall be informed in writing that they were not short-listed this time.

A short list of firms is also established in connection with the use of Selective Tendering and Simplified Tendering but without the publishing of an invitation notice. Instead, the short-listing will be based on market knowledge of qualified consultant firms and available lists of firms that have declared their interest with IA or the Co-operation Partners to participate in tenders for certain areas of contracts.

Evaluation of Tenders under Quality and Cost-Based Selection

The evaluation of tenders shall be carried out in two stages: first the quality and then the cost. Evaluators of the technical proposals shall not have access to the financial proposals until the technical evaluation is concluded. Financial proposals shall be opened only after the technical evaluation has been completed. The combined evaluation of cost and quality shall be carried out in full conformity with the tender dossier.

The Co-operation Partner shall evaluate each technical proposal, taking into account several criteria such as: the consultant’s experience, the quality of the methodology, the qualifications of key staff, and other factors as needed, all in accordance with the tender dossier. The Co-Operation Partner shall further evaluate each proposal on the basis of its responsiveness to the ToR. A proposal shall be rejected at this stage if it does not respond to important aspects of the ToR or if it fails to achieve a minimum technical score as specified in the tender dossier. In the absence of a formal short listing of the tenderers, the Co-operation Partner shall conclude at this stage whether the tenderers meet the minimum qualification requirements as stated in the tender dossier.

At the end of the process, the Co-operation Partner shall prepare a technical evaluation report of the quality of the proposals. The report shall substantiate the results of the evaluation, describe

the relative strengths and weaknesses of the proposals and indicate the technical scores of each proposal. The Co-operation Partner shall open, under the procedures indicated above, the financial proposals of those proposals that met the minimum technical score, the other financial proposals to be returned unopened see Clause in Appeals. The name of the consultant, the technical score, and the proposed total contract price (including fees and reimbursable costs) shall be recorded. The total score shall be obtained by weighting the quality and cost scores and adding them. The weighting principles for technical and financial merits shall be as specified in the tender dossier and, normally, the weight for cost shall be in the range of 20–40 points out of a total score of 100 points.

Evaluation procedures that include hearings or the presentation of tenders by the tenderers during this phase should not normally be practiced, except for cases where it is determined necessary to conduct interviews with key members of the proposed team to determine their suitability for the positions. The Co-operation Partner shall prepare a final evaluation report and the firm obtaining the highest total score shall be invited for negotiations.

Negotiations and Award of Contract

Negotiations may include discussions of the ToR, the methodology, staffing, Co-operation Partner's input, tax liability and special conditions of contract. These discussions shall not alter the original ToR or the terms of the contract, lest the quality of the final product, its cost, and the relevance of the initial evaluation be affected. The final ToR and the agreed methodology shall be incorporated as an attachment to the contract. Normally, proposed unit rates for fees shall not be negotiated, since these have already been a factor of selection in the cost of the financial proposal.

The selected firm shall not be allowed to substitute key staff, unless both parties agree. If it is established that key staff were offered in the proposal without confirming their availability, the firm may be disqualified and the process continued with the next ranked firm. The key staff proposed for substitution shall have qualifications equal to or better than the staff initially proposed.

If the negotiations fail to result in an acceptable contract, the Co-Operation Partner shall terminate the negotiations and invite the next ranked firm for negotiations. The Co-operation Partner shall consult with IA before taking this step. Once negotiations are commenced with the next ranked firm, the Co-operation Partner shall not reopen the earlier negotiations.

Negotiations with all firms meeting the requirements on technical scoring are not acceptable. The award decision must be made in writing in an evaluation report and the report shall be distributed to all unsuccessful Tenderers.

Confidentiality

Information related to evaluation of tenders and recommendations concerning awards shall not be disclosed to the consultants who submitted the proposals or to other persons not officially concerned with the process, until the award of contract is notified to the successful firm, except as provided in the above paragraph.

Tenders and information concerning tenderers shall be regarded as classified until a contract has been signed or the procurement finalized in another fashion. The Co-operation Partner shall ensure that its employees, its consultants and their personnel and any other person involved respect the provisions regarding confidentiality set out in these IA procurement guideline.

IA's Review of Procurement Decisions

IA reviews the procurement process for the procurement of goods, works and services with respect to its fiduciary responsibility to ensure that tendering and contract management are carried out in accordance with agreed procedures as required by IA Procurement Guidelines and the Agreement. IA will communicate the result of its review in the form of either a “no objection” or a statement that IA is not in a position to issue a “no objection”.

1. IA's prior review is mandatory in the following manner for all IA procurement guidelines procurements with a contract value over the threshold value SEK 500.000 Unless otherwise agreed in the Agreement

Goods and Works

- Prior to an invitation to prequalify or tender, the Co-operation Partner shall submit the complete draft set of prequalification or tender documents to IA for its review;
- Use of Negotiated Procedure in accordance with 3.2.2;
- Prior to finalizing a prequalification list or awarding a contract, a detailed prequalification or tender evaluation report setting forth the specific reasons on which the recommendation to prequalify or award the contract is based shall be submitted, to IA for its review;
- The Co-operation Partner shall submit the draft final contract and any amendments to IA for its review.

Consultant Services

- Prior an invitation to prequalify or tender, the Co-operation Partner shall submit the complete draft set of prequalification or tender documents to IA for its review;
 - Use of Negotiated Procedure in accordance with 3.2.2;
 - Prior to finalizing a prequalification list a detailed prequalification evaluation report setting forth the specific reasons on which the recommendation to prequalify is based shall be submitted, to IA for its review;
 - Prior to opening the financial proposal, a detailed technical evaluation report shall be submitted to IA for its review;
 - Prior to inviting a selected firm for negotiations, a complete tender evaluation report setting forth the specific reasons on which the recommendation to select the successful firm is based, shall be submit- ted to IA for its review;
 - The Co-operation Partner shall submit the final draft contract and any amendments to IA for its review.
2. In addition, IA may require the following prior review actions regarding all types of contracts (goods, works and services):
 - Use of Single source procurement;

GRANT MANAGEMENT POLICY

AUTHORITY

IA awards grants and cooperative agreements under the agreement reached with donors. SIDA in August 4th, 2010 Amendment of the Agreement between Sida and Initiative Africa on Support to the Co-operation with Civil Society Organizations in the area of Human Rights and Democracy (Now Education for All (EFA) during 2004/05-2006/07.

The program focuses on supporting the Education for All campaign which has 6 objectives:

1. Expand early childhood care and education
2. Provide free and compulsory primary Education for All
3. Promote learning and life skills for young people and adults
4. Improve the quality of basic education
5. Promote Green Environment

PURPOSE

This IA GRANT FUNDING guide clarifies the requirements for awarding and administering grants to civic and non-profit organizations.

TYPES OF GRANT PROGRAMS

The IA Grant and Cooperative Agreement guide can be found at: www.initiativeafrica.net

General Program Features

IA identifies the following areas where it can act more effectively:

1. Support to Quality Education for All
2. NGOs/CSOs Capacity Benchmarking
3. Addis International Film Festival
4. Environmental Education
5. All Children Reading Program

The thematic priorities of IA program cover the following:

1. Expand early childhood care and education
2. Provide free and compulsory primary Education for All
3. Promote learning and life skills for young people and adults
4. Improve the quality of basic education
5. Improve Early Grade Students Reading Skills
6. Promote Green Environment

FUNDING CEILING

Any grant awarded under this program must fall between the following minimum and maximum amounts:

Minimum amount: ETB 40,000

Maximum amount: ETB 2,000,000

No grant may exceed 75% of the total eligible costs of the action. The balance must be financed from the applicant's or partners' own resources, or from sources other than the IA budget.

PRE-AWARD REQUIREMENTS

Announcements for grants and cooperative agreements shall be announced through: the IA website and/or letters to NGOs and umbrella organizations, and/or the media. The grants announcements shall include instructions regarding where to obtain the full information for the opportunity.

GRANT AWARDING PROCESS/STANDARD AWARD TERMS AND CONDITIONS

- (a) Consistent with the agreement reached with Sida, IA's policy is to use competitive procedures to award grants whenever possible. A grant can result from:
1. A proposal submitted in response to Grant Request Announcement
 2. An unsolicited proposal.
- (b) The proposal shall contain a detailed narrative description of the work to be undertaken, including the objectives of the project and the applicant's plan for carrying it out. All proposals shall include budget data as prescribed in the –Budget Summary Narrative detail must support the proposed budget.

IA may accept cost sharing when voluntarily offered. However, recipients may be requested to secure a maximum of 10% matching funds.

A Taxpayer Identification Number (TIN) must be included with the address listed on the proposal. If an award is made, advance payments cannot be made without a TIN.

All announcements for grant and cooperative agreement funding opportunities shall require the applicant to submit all required certifications, disclosures, and assurances as part of the proposal.

ELIGIBILITY REQUIREMENT

In order to be eligible for a grant, applicants must:

1. Be registered with a recognized legal status as an Ethiopian Residence NGO or an Association to operate in Ethiopia;
2. Have a Tax Identification Number (TIN) issued by the Federal Inland Revenue Service
3. Have prior program activities in the education sectors or adequate experience [at least 3 years] and organizational capacity to administer, implement, and evaluate the project
4. Propose project activities that are within the NGO ability to manage programmatically, financially and administratively;
5. Propose activities reflecting the need and demand of communities;
6. Focus on activities that can be sustained and maintained beyond and over the funding period;
7. Propose project activities with provisions for participation by communities;
8. Address gender and geographic representation equitably;
9. Use local resources and skills as much as possible;
10. Applicants must provide the last two years' annual reports;
11. Applicants must provide the last two years' external audit reports;
12. Applicants with unmet obligations on prior grants i.e. late/incomplete reports may not apply.

Potential applicants may not participate in calls for proposals or be awarded grants if:

- (a) They are bankrupt or being wound up; are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- (b) They have been declared to be in serious breach of contract for failure to comply with their contractual obligations in connection with a procurement procedure or other grant award procedure financed by the Community budget.
- (c) Applicants are also excluded from participation in calls for proposals or the awards of grants if, at the time of the call for proposals, they:

Are subject to conflict of interests;

1. Are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the call for proposals or fail to supply this information;
2. Have attempted to obtain confidential information or influence the evaluation committee or the contracting authority during the evaluation process of current or previous calls for proposals.

Sub-grant assistance criteria will be widely disseminated throughout the target community across the nation. It will be publicized using a variety of media, including IA's website, meetings of interested NGOs, and advertisement in the print media.

EVALUATION AND SELECTION

Technical evaluation of proposals will be conducted by the cognizant IA technical officer (s) and/or consultants grant request will undergo and may be based on peer reviews using the latest IA Evaluation Manual.

The Project Manager will finally review the budget, and any changes made by subsequent revisions to identify any item which may be unallowable under the cost principles, or which appears unreasonable or unnecessary.

All projects will be assessed according to the following criteria before approval:

Administrative compliance

Verification that the application is complete in accordance with the checklist and the proper (30%) administration and (70%) Programme Budget distribution is maintained.

Eligibility of the applicants, partners and actions

Verification that the applicant, the partners and the project are eligible according to the criteria set out in section 4

Evaluation of the quality of the proposals and financial evaluation

An evaluation of the quality of proposals, including the proposed budget, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid shown below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- Have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;
- Have the professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the objectives and priorities set, and grant to be awarded to projects which maximize the overall effectiveness of the call for proposals. They cover such aspects as the relevance of the project, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

Please note the following important information:

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection must be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good. The applications with the highest scores will be given priority when grants are awarded.

If a total score lower than "adequate" (12 points) is obtained for section 1, the proposal will not be evaluated further. If a total score lower than "good" (20 points) is obtained for section 2, the proposal will not be evaluated further.

Section	Maximum Score	Application Form
1. Do the applicant and partners have sufficient experience of project management?	5	
2. Do the applicant and partners have sufficient technical expertise? (knowledge of the issues to be addressed)	5	
3. Do the applicant have Management Capacity? (including staff, equipment, ability to handle the budget for the action)	5	
4. Does the applicant have stable and sufficient source of finance?	5	
5. How relevant is the proposal to the objectives and on or more of the priorities of the call for proposals? (if the proposal specifically addresses at least one priority)	5	
6. How relevant to the particular needs and constraints of the target region(s), area(s) is the proposal (including avoidance of duplication)	5	
7. How clearly defined and strategically chosen are those involved (beneficiaries, target groups and concerned parties)?	5	
8. Have the needs of the target groups clearly defined and does the proposal address them appropriately?	5	
9. Does the proposal contain specific elements of added value, such as innovative approaches, models for good practice, equal opportunities?	5	
10. Are the activities proposed appropriate, practical and consistent with the objectives and expected results?	5	
11. How coherent is the overall design of the action? (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation)	5	
12. Is the partner's level of involvement and participation in the action satisfactory?	5	
13. Is the action plan clear and feasible?	5	
14. Does the proposal contain objectively verifiable indicators for the outcome of the action?	5	
15. Is the action likely to have a tangible impact on its target groups?	5	
16. Is the proposal likely to have multiplier effects? (including scope for replication and extension of the outcome of the action and dissemination of information)	5	
17. Are the expected results of the proposed action sustainable – financially (how will the activities be financed after the IA funding end?)- Institutionally (will structure allowing the activities to continue to be in place at the end of the action? At the policy level (where applicable, what will be the structural impact of the action e.g. will lead to improved legislation, codes of conduct, methods, etc.)	5	
18. Is the ratio between the estimated costs and the expected results satisfactory?	5	
19. Is the proposed expenditure necessary for the implementation of the action?	5	

CHOICE OF AWARD INSTRUMENT

- (a) A grant shall be used as the legal instrument to reflect a relationship between IA and a recipient whenever the principal purpose is the transfer of fund to the recipient to accomplish a public purpose of support. Grants are distinguished from cooperative agreements in that substantial involvement is not expected between IA and the recipient when carrying out the activity. The major types of grants and cooperative agreements are defined as follows.
1. A project grants to accomplish agreed objectives in advancing quality education for all. A grant may be used to provide funding to an association to hold a conference where the benefits flow primarily to the association and its members, or a specific training to a certain constituency.
 2. A cooperative agreement to accomplish agreed objectives in advancing in advancing quality education for all, with substantial involvement between IA and the recipient during performance of the contemplated activity. Characteristics inherent in a cooperative agreement include those that apply to a grant, plus substantial IA involvement in and contributions to the technical aspects of the effort are necessary for its accomplishment. This could involve an active IA role in collaborative relations, access to an IA site or equipment, or sharing IA facilities and personnel.

AWARD PROCEDURES

Award instruments are classified as follows:

4. Annual grants are grants awarded for a short term (e.g., on an annual basis).
5. Multiple year grants support projects that may span over 2 years. IA policy is to make maximum use of multiple year grants.
6. IA may provide partial support for a project or conference where additional funding is being provided by other agencies.

FORMAT AND NUMBERING

- (a) A contract, containing only those provisions and special conditions necessary to protect the interests of the SIDA/IA.
- (b) Cover page formats shown in the Contract Agreement shall be used for all IA grant and cooperative agreement award documents.
- (c) Grants and cooperative agreements will be sequentially numbered. The Identification Numbering System to be used for all types of IA grants and cooperative agreements will be applied as follows:
 - 1. IA prefix: represented by the characters “IA”.
 - 2. ETA: represented the three digits of the sub grantee e.g. (Ethiopian Teachers Association/ETA).
 - 3. 05: represented by the project year
 - 4. 008: sequential numbers identified by three digits

As an example of the above set forth methodology, the first two project grants awarded are Addis Ababa Youth Association (IA/AYA/05/003) and Ethiopian Economic Association (IA/EEA/05/006).

Distribution

- (a) Copies of grants and supplements will be provided to –
 - 1. Payment offices (original copy);
 - 2. Program Manager;
- (b) In addition to receipt of grants and supplements, the administrative grant officer will receive a copy of the approved budget.
- (c) The file will record the addresses for distribution.

EVALUATION AND SELECTION OF UNSOLICITED PROPOSALS

- (a) Unsolicited proposals are for new and innovative ideas. IA recommends contact with IA technical personnel before submission of an unsolicited proposal to determine if preparation is warranted.
- (b) IA will evaluate unsolicited proposals the same whether awarded as grants.
- (c) All unsolicited proposals recommended for acceptance as grants shall be supported by a Justification for Acceptance of an Unsolicited Proposal (JAUP) prepared by the Program Manger. The JAUP shall be submitted for the approval of the PMU after review and concurrence at a level above the Program Manager.
- (d) If an unsolicited proposal will not be funded, IA will notify in writing the organization or person that submitted it. The method of notification is at the discretion of the Program Manger. Proposals will be returned only when requested.

ALLOWABLE COSTS UNDER SPECIFIED CONDITIONS OR LIMITATIONS FOR SELECTED ITEMS

The following costs are allowable. In the event of uncertainty please contact the IA Program Manager or his/her representative.

Equipment

Cost of purchases for new and replacement equipment with a useful life of more than one year and an acquisition cost of USD \$5,000 or more must be pre-approved by the appropriate grant-approving official(s). The approval is a separate written request describing how the equipment would support the grant project.

Travel

Costs for foreign travel-related expenses are allowable, provided such expenses are for specific services benefiting the grant project.

Training

Costs of training personnel, for HR & D advancement purposes are allowable when the training supports the objectives of the grant project. Development costs of new training curricula and materials are allowable if they will not duplicate materials already developed for similar purposes by other NGOs working in similar areas. Costs are allowable to modify existing materials to meet particular local instructional needs.

Program Cost

Costs are allowable for consultant services from universities, public agencies, non-government organizations and individuals, provided applicable procurement procedures are followed.

Costs are allowable to support a specific grant project with promotional activities, which offer incentives or encourage the general public to advance Quality Education for all practices. Promotional items and activities must directly relate to the project objectives.

Costs of meetings and conferences, where the primary purpose is the dissemination of technical information, are allowable, including meals, transportation, rental of meeting facilities, and other incidental costs. Adequate records must be maintained to document that the primary purpose of the meeting was for dissemination of technical information.

Public Communications

Costs are allowed for the purchase of program advertising space in the mass communication media, for all HR & D grant funds. This includes the purchase of television, radio time, cinema, internet, print media, and billboard space Note: Television public service announcements created with the SIDA/IA funds must contain closed-captioning of the verbal content.

Facilities and Construction

Costs for construction or reconstruction, maintenance and designs of permanent facilities, such as building, paving, towers etc.

Costs for remodeling for any buildings or structures or for purchase of office furnishings and fixtures. The following are some examples of those items:

- | | | |
|-----------|----------------|--|
| Desk | Credenza | Storage Cabinet |
| Chair | Bookcase | Portable Partition |
| Table | Filing Cabinet | Picture, Wall Clock |
| Shelving | Floor Covering | Draperies & Hardware |
| Coat Rack | Office Planter | Fixed Lighting/Lamp, The cost of land. |

UNALLOWABLE COSTS FOR SELECTED ITEMS

The following items are unallowable:

Vehicle

Costs for the purchase of motor vehicle

Training

Costs to pay for an individual's salary while pursuing training or to pay the salary of the individual's replacement, which is considered supplanting.

Costs of training employees of government agencies.

Program Administration

Alcoholic beverages for any consumption purposes. Costs of entertainment, including amusement and social activities and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities).

PRE AWARDS

Forms for applying grants

Special grant or sub-grant conditions for "high-risk" grantees.

A sub-grantee may be considered "high risk" if IA determines a sub-grantee:

- (a) Is not financially stable, or
- (b) Has a management system which does not meet the management standards set forth in this part, or
- (c) Has not conformed to terms and conditions of previous awards, or

Special conditions or restrictions may include:

- (a) Payment on a reimbursement basis;
- (b) Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period;
- (c) Requiring additional, more detailed financial reports;
- (d) Additional project monitoring;
- (e) Requiring the sub-grantee to obtain technical or management assistance; or
- (f) Establishing additional prior approvals.

If and when IA decides to impose such conditions, it will notify the sub grantee as early as possible, in writing, of:

- (a) The nature of the special conditions/restrictions;
- (b) The reason(s) for imposing them;(3) The corrective actions which must be taken before they will be removed and the time allowed for completing the corrective actions; and
- (c) The method of requesting reconsideration of the conditions/restrictions imposed.

POST AWARD REQUIREMENTS

The financial management systems of sub-grantees must meet the following standards:

- (a) **Financial Reporting.** Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the grant.
- (b) **Accounting Records.** Sub-grantees must maintain records which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to sub-grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.
- (c) **Internal Control.** Effective control and accountability must be maintained for all grant and sub-grant cash, real and personal property, and other assets.
- (d) **Budget Control.** Actual expenditures or outlays must be compared with budgeted amounts for each sub-grant. Financial information must be related to performance or productivity data.
- (e) **Allowable Cost.** Applicable terms of sub-grant agreements will be followed in determining the reasonableness, allow ability, and allocability of costs.
- (f) **Source Documentation.** Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract documents, etc.

IA may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award.

Changes

Sub-grantees are permitted to re-budget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project. However, certain types of post-award changes in budgets shall require the prior written approval of IA whenever any of the following changes is anticipated:

- (a) Any revision which would result in the need for additional funding.
- (b) Unless waived by IA, cumulative transfers among separately budgeted lines which exceed or are expected to exceed ten percent of the current total approved budget.
- (c) Transfer of funds allotted for staff allowances (i.e. from. staff budget line to any other budget lines)
- (d) Budget revision which would result in the need for additional funds
- (e) Any revision of the scope or objectives of the project
- (f) Need to extend the period of availability of funds.
- (g) Changes in key persons in cases where specified in an application or a grant award

Requesting prior approval

1. A request for prior approval of any budget revision will be in the same budget form as the grantee used in its application and shall be accompanied by a narrative justification for the proposed revision.
2. A request by a sub-grantee for prior approval will be addressed in writing to IA. IA will promptly review such request and shall approve or disapprove the request in writing.

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IA reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for non-commercial purposes:

- (a) The copyright in any work developed under a grant; and
- (b) Any rights of copyright to which a sub-grantee purchases ownership with grant support.

REPORTS

Monitoring and reporting program performance

1. Grantees shall submit progress and terminal performance reports. However, performance reports will not be required more frequently than bi-annually. Bi-annual reports shall be due 60 days after the grant period, the terminal performance report will be due 90 days after the expiration or termination of grant support. If a justified request is submitted by a grantee, IA may extend the due date for any performance report.
2. Performance reports will contain, for each grant, brief information on the following:
 - (a) A comparison of actual accomplishments to the objectives established for the period. Where the output of the project can be quantified, a computation of the cost per unit of output may be required if that information will be useful.
 - (b) The reasons for slippage if established objectives were not met.
 - (c) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs
 - (d) Significant developments. Events may occur between the scheduled performances reporting dates which have significant impact upon the grant supported activity. In such cases, the grantee must inform IA as soon as the following types of conditions become known:
 - (e) Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.
 - (f) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more beneficial results than originally planned.
 - (g) IA may make site visits as warranted by program needs.
 - (h) IA may waive any performance report required by this part if not needed.

Financial reporting

Sub-grantees will use only the forms specified by IA in

- (i) Submitting financial reports to IA/Sida, or (ii) Requesting advances or reimbursements or report on the status of funds.
- (ii) Each grantee will report program outlays and program income on a cash or accrual basis.
- (iii) IA may prescribe the frequency of the report for each project or program. However, the report will not be required more frequently than quarterly. If the IA does not specify the frequency of the report, it will be submitted bi-annually. A final report will be required upon expiration or termination of grant support.
- (iv) When reports are required on a quarterly or semiannual basis, they will be due 30 days after the reporting period. When required on an annual basis, they will be due 90 days after the grant year. Final reports will be due 90 days after the expiration or termination of grant support period.

CLOSE OUT

- (i) IA will close out the award when it determines that all applicable administrative actions and all required work of the grant have been completed.
- (ii) Within 90 days after the expiration or termination of the grant, the grantee must submit all financial, performance, and other reports required as a condition of the grant. Upon request by the grantee, IA may extend this time frame. These may include but are not limited to:
 - (iii) Final performance or progress report.
 - (iv) Financial Status Report.
 - (v) Final request for payment.
- (vi) IA will, within 90 days after receipt of reports, make upward or downward adjustments to the allowable costs.
- (vii) IA will make prompt payment to the grantee for allowable reimbursable costs.
- (viii) The grantee must immediately refund to IA any balance of unobligated (unencumbered) cash advanced that is not authorized to be retained for use on other activities.

Later disallowance and adjustments.

The closeout of a grant does not affect:

- (i) IA's right to disallow costs and recover funds on the basis of a later audit or other review;
- (ii) The grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions;

Collection of Amounts Due

- (a) Any funds paid to a grantee in excess of the amount to which the grantee is finally determined to be entitled under the terms of the award constitute a debt IA. If not paid within a reasonable period after demand, IA may reduce the debt by:
 - 1. Making an administrative offset against other requests for reimbursements,
 - 2. Withholding advance payments otherwise due to the grantee, or other action permitted by law.
- (b) Except where otherwise provided by statutes or regulations, IA will charge interest on an overdue debt in accordance with the prevailing national bank rate.

APPLICABLE COST

Capacity Building Cost – Under this heading the Sida grant allows IA to allocate of the total budget for direct purchase of goods and services, to support the institutional and technical capacities of grantees.

Technical Assistance - For each published Notice of IA provides a technical assistance workshop to potential grant applicants. The information provided at the covers aspects of factual contents of the theme narrative, including grant parameters, constraints, and elaboration of the Log matrix. General guidance on completing the budget forms is also provided.

Overhead Cost

A lump sum not exceeding 10% of the direct eligible costs of the Project may be claimed as indirect costs to cover the administrative overheads incurred by the Beneficiary for the Project.

APPLICABLE COST

To ensure that all publications representing the Swedish International Development Agency and Initiative Africa Program convey a consistent and accurate message the sub-grantees will review GENERAL STATEMENT materials based upon the guidelines contained in this policy.

Most publications should include an overview paragraph about the Sida/IA program. In some cases, the mission statement is appropriate. The following paragraph is appropriate for most publications:

- Neatness and quality of typography and photography are important. Low-quality computer typesetting and instant photographs generally are unacceptable.
- The purpose of the publication and audiences for whom it is intended should be clear.
- All publications are expected to use accurate, standardized information.
- The publication should leave readers with a positive impact and the impression that warm and friendly people stand ready to serve their needs.
- Printed material should be attractive and well designed. The copy should convey information accurately, concisely. Clearly and in a style that invites readership and avoids jargon.
- The publication should include instructions about how readers can obtain additional information.
- In publications with limited copy areas – e.g., pamphlet-type brochures, fliers, posters-the following statement may be substituted: “This document has been produced with the financial assistance of the “Swedish International Development Agency and Initiative Africa”.
- This line should appear in ALL publications/stories that promote your projects events/programs

PROJECT IMPLIMENTATION POLICY

PROGRAMME MANAGEMENT

PROJECT PLANNING

Planning is essential for the delivery of desired results. Before its inception, a typical IA Project Document already contains plans, although as it is impossible to foresee every aspect at this stage, plans are too general and they are of little use to those executing them – particularly when a project team has had no insight into background planning. Therefore, one of the most important exercises is to develop concrete plans to be used for their execution as well as, ultimately, for monitoring, control and assessment of results achieved.

ANNUAL WORK PLAN (AWP)

Each project document contains an Annual Work Plan (AWP) for each year of its implementation. These are prepared in accordance with a uniform IA format and on MS project or Excel. Usually, AWP's that are attached to project documents are prepared by IA Programme manager and/ or Officers.

AWP REVISION

AWP's are revised quarterly and when a change occurs in project outputs/activities or budgets.

ANNUAL DETAILED WORK PLANS (ADWPS)

Annual Detailed Work Plans (ADWPS) expand on AWP's; they cover more detail by listing sub-activities and identifying annual targets at activity level. Unlike AWP's, they are operational documents, prepared by the Project Manager in close coordination with the respective Programme Officer. They are mapped out just before the start of the planning year; a preliminary draft should be available for authorization by 15 January. Once agreed with the respective Programme Officer, it is signed by the Project's National Coordinator (as appointed by a counterpart government or non- governmental party – National Implementing Agency) and the IA Resident Representative. This must be complete by 15 February at the latest.

ADWP REVISION

ADWPS can be revised without quarterly program if:

1. project activities change;
2. donor funding alters (e.g. additional funds are given or funds are withdrawn);
3. budget revision is significant (i.e. expected expenditure is outside 10% of that planned).

In order to keep the changes in order, the ADWP must be on the server and cloud while every personnel with in the project gets a notification of the changes. Each Change must be approved by the Project Manager, the Executive Director of IA and finally by the Donor before being finalized.

PROJECT REVISION

A project may be revised at any point in response to change, reflecting necessary adjustments in design and resource allocation. It also can be revised if it seems targets are unlikely to be met for justifiable reasons.

Project revision may be initiated by Programme Officers or Project Managers in consultation with the CSO laws and stakeholders. Project revision is usually discussed at a multilateral meeting; in order to proceed, all parties must agree. Decisions are documented in a report and relevant changes are made to the project document and attachments (including AWP and ADWPs). If there is no change in a project except for the timeframe (e.g. extension), this can be formalized through a memorandum (Amharic, English). Likewise, a memorandum will be required if there is a change in the overall funding of the project with no other changes in the project (Amharic, English).

BUDGETING

PEACHTREE AND NON-PEACHTREE BUDGETS

AWP budget details are entered in Peachtree. The latter provides the necessary information on the budgetary status of projects. As it is often slow to respond and has practical limitations, project management may like to use a simple Excel based tracking system for income and expenditure. Formats may vary from project to project but should reflect Peachtree structures in terms of activities, numbering and budget lines, allowing comparisons to be made easily. Project managers may use any tool they deem appropriate.

BUDGET REVISION

To ensure sound financial management, budgets must be kept up to date. Budgets are revised, if there are changes in expected expenditures with no actual changes in outputs or activities. If outputs or activities need to be changed, this is referred to as project revision.

Budget revision (except for technical reasons) may be initiated by a Programme Officer or Project Manager. Budget revision must be accompanied by valid justification - explaining why it is necessary. If a revision is initiated by a Project Manager, a form needs to be submitted to their Programme Officer for approval. Action will then be undertaken by Programme Assistants. Budgets may also be revised for technical reasons: correction of budget codes, elimination of minor discrepancies, etc. Programme Assistants may undertake such revision as long as they notify respective Project Managers and Programme Officer.

SPECIAL BUDGET ITEMS AND THEIR CALCULATION

In order to recover its expenses, the IA HQ Office charges fees for various services. It also charges for administering resources - regulated by cost-sharing agreements. IA's Cost Recovery Policy provides a background for this. General Management Services (GMS) are levied at a percentage (identified by the cost sharing agreement attached to a Project Document). While such agreements are managed by the HQ Office, project personnel need to be aware - in order to calculate revisions. It's important to know when GMS charges are being made, how much they are for and when they will appear in actual project budget expenditure. Project personnel are encouraged to seek advice from their respective Programme officers and finance department on this.

REPORTING

ANNUAL REPORTING

Since the reporting periods differ based on the donor's preference and project agreement:

- IA must highlight these dates on the ADWP.
- IA service providers and partner's must send in their reports 60 – 45 days before IA annual report deadline
- IA Program team and Finance team must submit the reports both financial and narrative reports 15 days before deadline.

All documents regarding annual reports must and need to be submitted to respective Programme team and Executive director for review before submitting to donors for final approval.

PROJECT BRIEFS

Project briefs should be prepared during the first month of the project implementation and be updated on a quarterly basis by Project Managers or designated project personnel. Project briefs should include the following information:

- | | |
|---|--|
| <ul style="list-style-type: none"> • project background, • objectives, • activities and • expected results, • duration, • location, • National Implementing Agency and | <ul style="list-style-type: none"> • main partners, • total budget, • contact details. • Other information may also be added, if deemed necessary by project management. |
|---|--|

PEACHTREE REPORTS

Peachtree generates reports for verification and monitoring. The most useful are:

Combined Delivery Reports (CDRs): These are official expenditure reports, detailing all expenditure and encumbrances for all concerned (government, IA, donors and so on) over a given period. Once the financial year has closed, Finance department send end-of-year CDRs to Project Managers and Executive Director for verification.

Project Budget Balance Reports: These show each project's detailed financial situation, including pre- encumbrances (requisitions entered into the system), encumbrances (purchase orders) and actual expenses at activities level. It can also summarize data by project, fund and donor. Available resources are defined as budget less encumbrances (POs) and expenses.

Expenditure Detail Reports: These give a very detailed picture of expenditures by activity. They include vendors, vouchers (with description), purchase orders, accounting dates, Implementing Agents, funding, donors, accounts, analysis groups and types, invoices and payment information, payment currencies and the exchange rates.

Purchase Orders Budgetary Activity Reports: These can be used to look at open (not fully paid) and fully matched (fully paid) encumbrances charged against the project. If a Purchase Order is fully paid, then it should be closed by the HQ Office; if not, the report shows the original amount of the created PO, the amount already paid against this PO (liquidated amount), the vouchered amount (usually equal to the liquidated amount) and the remaining amount. Project Managers

should regularly review this report to identify the status of POs and, where open POs exist, decide on relevant action.

Payment ledger Report: These can be used to verify and look at the different receipts and payment orders out for a given project organized in each administration sub budgets and project sub budgets. All necessary receipt codes or copies must be filed accordingly for easier tracking and verification purposed.

FINANCIAL MANAGEMENT AND REPORTING

FINANCIAL ACCOUNTABILITY

The IA HQ can advance funds to designated institutions; the latter are responsible for ensuring spent funds fulfill agreed targets.

Designated institutions must maintain records to ensure accurate and reliable reports. Advances received and disbursed must be tracked so that budget categories are not exceeded.

They must also maintain inventories of acquired property, containing information on all property and equipment purchased directly by the designated institution from funds advanced by IA.

ADVANCED FUNDS

Advances must be based on annual and quarterly work plans with a corresponding budget. They require planning and close consultation between the partner's ad service providers involved. IA provides funds in line with progress towards meeting targets.

A designated institution may request that IA distribute advances to other institutions - such as regional sub-recipients or service providers undertaking project activities in line with the work plan and budget. Fund distribution has to be approved by the IA HQ with line to the Agreement with each service provider or partner.

Advances are given on a quarterly basis and are forecast on quarterly or monthly expenditures, in accordance with the project work plan. Advances must not exceed the funds set out for the next quarter.

A designated institution may initially request an advance on the basis of the Project Cooperation Agreement (Amharic, English), an Agreement on Advances and an Appendix to Agreement on Advances with the amount of requested advance and the indication of budget lines, signed by IA and the designated institution.

Subsequent requests for advances are submitted to the IA HQ by the designated institution through the Financial Report, a Letter and the Appendix to Agreement on Advances mentioned above.

The Financial Report details two reasons for advances:

- Outstanding obligations: costs are contracted for but as yet unpaid. Only obligations to be paid in the next period are eligible;
- Planned expenditures: new input is to be procured and paid for during the next period.

Advances are usually made in the local currency. Requests for foreign currency must be previously approved by IA in accordance to a strict consideration to the request.

IA pays advances into the bank account or by check after of the designated institution after the institution provides with a legible receipt for the amount; this can be recorded on a special transit budget line until the Financial Report is submitted to IA by the designated institution.

At the end of every financial report, project or Project Cooperation Agreement, the designated institution returns any unused advances to the bank account of the IA before closing that period or agreement.

FINANCIAL REPORTS FOR ADVANCES

Each quarter, the designated institution prepares a Financial Report (mentioned above), recording expenditures from the current quarter against advances, calculating the remaining advance and requesting advances for the next quarter (based on the project budget). The designated institution submits the signed Financial Report, including the Appendix, to the IA HQ within 15 days of the end of the quarter.

Advances will be made to the designated institution by IA on receiving a signed and completed Financial Report containing all details of expenditures made against the previous quarter's advance. Before submitting the Financial Report, the project management must ensure that resources are available in the budget and that the requested advance does not exceed the funds reasonably required to cover costs for the next three months.

IA also reviews the financial report and verifies that resources are available and correspond to the work plan. It verifies the use of funds for the previous period and whether progress is being made towards the achievement of targets.

The designated institution should be contacted if a financial report has not been received within 15 days of the end of the reporting period, and after 2 warnings, the advance payment received by the institution and also the project will be terminated with the respective institution

PETTY CASH

Where possible, payments should be made by cheque or bank transfer. If this is impractical, petty cash can be advanced for minor expenditures. However, advances, salaries, overtime and allowances must not be made from petty cash.

A cheque for petty cash can be drawn in Ethiopian Birr (ETB) for an amount not exceeding USD 200 in ETB equivalent. All cash payments from this source should be made in local currency up to the equivalent of USD 40 per individual payment. A clear payment ledger must be kept by the Finance assistant or Petty Cash Custodian, nominated by the Executive Director, showing all petty cash transactions. All payments must be clearly recorded in sections in which the payment has been made for (Administrative or project sub-parts).

When submitting a request for replenishment, the Finance Assistant/Petty Cash Custodian must submit the original petty cash ledger as supporting documentation alongside official receipts and invoices for each transaction. Replenishment is given in ETB. The amount needed must be indicated with the name of the Finance Assistant or Petty Cash Custodian (his/her data should be presented). The budget account used for petty cash advances must be indicated.

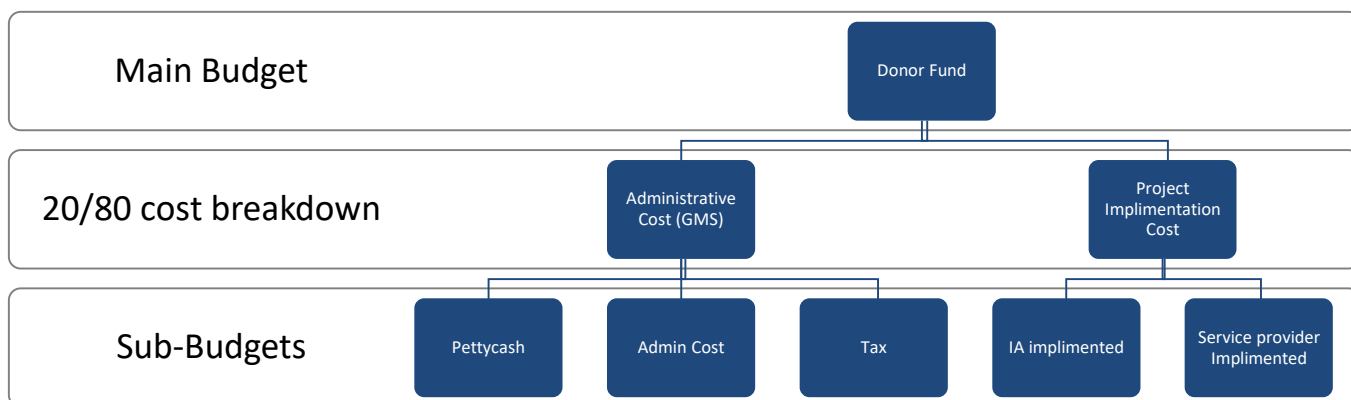
Petty cash is advanced for a period of 15 days; a financial report should be submitted to the HQ at the end of 15 days. No further resources can be advanced until the petty cash book/ ledger is submitted with supporting documents for the previous advance. If a custodian doesn't submit their petty cash report in time, the Finance head has the right to deduct the advanced money from the Custodian's (whoever relevant) salary. The petty cash report should be provided to respective

department for verification and signature. If someone is receiving petty cash for the first time, the Custodian should provide an internal memo, describing the rules and procedures.

CHART OF ACCOUNTS

The Chart of Accounts provides the foundation of the PEACHTREE financial system - for control, budgeting and reporting. It must be used correctly to ensure accurate financial, management and donor reporting. Project staff dealing with financial aspects of projects should have a good understanding of the chart-fields and their purpose.

The chart-field structure of the PEACHTREE Chart of Accounts is described in the following chart:



ASSET MANAGEMENT

ASSET DESCRIPTION

Equipment refers to manufactured and semi-manufactured goods, raw materials and other supplies that are needed to meet IA project targets. They can be categorized as follows:

- Non-expendable equipment is valued at USD 50 or more and has a life of more than 1 year.
- Expendable equipment is worth less than USD 50 and has a life of less than 1 year.

ASSET ACQUISITION AND TRANSFER

Equipment can be acquired by purchase, transfer or donation. That financed or provided by IA belongs to IA unless and until such time as ownership is transferred to the government or to an entity nominated by it. Ownership of equipment purchased with IA funds is usually transferred to the recipient nominated in the Project Document. Otherwise, transfer can be made upon a decision by the Multilateral Review Meeting.

If an agreement has been reached regarding transferal, an Exchange of Letters will be prepared for signature by IA and the designated entity to have copies distributed to stakeholders and office of government overseeing assets depending on the size and type of equipment.

Before equipment is transferred, depreciation (when equipment is not new) must be calculated on a case by case basis. The lifespan of common items is categorized as follows:

- Typical office items that run on electricity (computers, printers, scanners, copiers and fax machines) – 3 years
- Large machinery (generators and air conditioners) – 20 years
- Furniture – 10 years
- Vehicles – 5 years or 100,000 kilometers, whichever comes first

Equipment may be temporarily transferred to a designated institution for project activities. Normally, designated institutions are nominated in the Project Document; however, they may be additionally identified during implementation, in line with work plans.

Temporary equipment transfer requires the following documents: An Agreement on Temporary Equipment Transfer and an Exchange of Letters signed and stamped by IA and the designated entity. For inventory purposes, all equipment provided by IA should be clearly and visibly marked “IA” and have a special inventory number -automatically generated by the IA Inventory guideline. Equipment which has not been transferred from IA’s ownership will remain so until formally disposed of in one of the following ways:

- Transfer to entities identified in the Project Document or otherwise
- Transfer to another project - with confirmation from IA and National Implementing Agencies on the basis of an Internal Exchange of Letters.

Equipment may be temporarily kept under IA custody for no more than nine months - after which, a final decision should be made on its disposal or transfer.

ASSETS DISPOSAL

Assets procured under IA projects, may be disposed due to its destruction, obsolescence or normal wear and tear confirmed by technical documents from customer service centers:

For equipment valued less than USD 2,500 or equivalent to it in ETB, this can be done by using a Letter of Equipment Disposal duly certified by the respective Office Administration and approved by the Executive Director.

For equipment valued over USD 2,500 or equivalent to it in ETB, any disposal should be cleared by the board of directors. In such cases, a special request for asset disposal is prepared by the office administration and submitted to the IA Executive Director for approval. Once the case is cleared by CAP, the Project management will receive an appropriate communication (a copy of the original request duly signed by the UNDR Resident Representative). The equipment concerned then is moved to IA's custody to execute the decision of the CAP.

MANAGEMENT OF EQUIPMENT

The project is responsible for ensuring equipment and supplies procured with IA funds are used strictly for the purposes of the programme or project, as described in the Project Document. Each project is responsible for maintaining complete and accurate records of all expendable and non-expendable equipment.

Projects must ensure that equipment is kept in good working order. In case of damage, theft or loss, the project must provide IA with a report (including a police report) giving full details of the events leading to the damage and/or loss of the equipment. The report will be used for an insurance claim and/or for disciplinary action if necessary.

PROJECT AUDIT

INTERNAL AUDIT

Internal audits aim to examine the accuracy of financial data within a project over a certain period. Usually, it is undertaken by IA Finance Department staff at least once within a project's implementation period.

During an internal audit, the following will be checked:

- cash advances;
- equipment;
- inventory records;
- document archiving;

Project personnel should provide access to all documents and materials requested during the audit. Internal audit reports must be kept in files on the project. In assessing a Project Manager's performance, an assessor should refer to the conclusions of the internal audit, if available – since these help determine the quality of management over the project.

EXTERNAL AUDIT

External audits aim to check that project resources advanced to organizations and entities are spent as agreed – to meet targets in the Project Document and Annual Work Plans. Project Managers should ensure that, if an external audit is necessary, costs are allocated for this in the project budget. Programme Assistants can supply estimates.

An external auditor is designated by the proposal they submit according to the ToR IA releases. Executive Director is notified accordingly and they must take responsibility for ensuring necessary documents and materials are available with the finance team. Once an external audit is completed, a copy of the report will be sent to the program team, donor and relevant government office for necessary action, if any, and inclusion in the files of the project.

PROJECT CLOSURE

OPERATIONAL COMPLETION

A project is operationally complete when the final IA-financed inputs have been provided and all planned activities have been completed in accordance with the Project Document and AWP/ADWPs. In order to operationally close a project, project managers must ensure that the following reports are submitted to the IA Programme Unit:

Final Project Review is conducted in the final quarter before project closure; this includes a results assessment and progress made towards targets. The Executive Director, the Project Manager, and Programme Officer are responsible for submitting this report in a timely manner using Progress Report as a template.

Lessons Learnt Report assesses the bottom-line results and progress. The Project Manager should log lessons in a specially designed form and submit a brief overview of any problems which arose within the project and how they were resolved. They can also list successful outcomes and give suggestions for future improvement. The respective Programme Manager is responsible for ensuring the report is submitted in a timely manner.

FINANCIAL COMPLETION

A project is considered to be financially complete when all financial transactions have been reported. In order to financially close a project, Project Managers should ensure the following are done:

Payment advances: if a project was financed through advances, a final Financial Report has to be submitted to the Programme Manager. An unused balance against received advances must be returned to IA's project balance from service providers / Institutions.

Petty cash: if a project used petty cash advances, a final Petty Cash Report/ ledger has to be submitted to the Finance department head for verification. An unused balance against petty cash advance must be returned to IA's project balance.

Transfer of Assets: equipment purchased for the project is usually transferred to the ownership of recipient institutions nominated in the Project Document. Alternatively, equipment transfer can be agreed by a Multilateral Review Meeting.

Donor Report: if a project was financed by donors, a Final Donor Financial Report must be submitted to Programme Assistants for certification. The unused cost sharing balance must be re-funded to the donor by IA HQ Office.

Project Documents/Files: documents, files and other materials kept on project premises must be transferred to the IA HQ from service providers and offices in accordance with the check list. A list of transferred documents, files and materials must be certified by the Project Manager and Programme officer.

Final CDR: this report is generated by the IA HQ to ensure that all financial transactions are recorded against the project and incurred expenditures are in compliance with approved AWP/ADWPs. The final CDR must be signed by the Executive Director and submitted to the respective Donor.

The Executive Director, the Project Manager, and Programmed Officer are responsible for the timely preparation and submission of all reports. Finance Department will be overlooked by the program department to submit the financial report in time.

A project must be financially closed within one month of being operationally completed. The Project Manager should ensure personnel contracts are extended to cover this period, enabling completion to be finalized. A contingency reserve should be included in the project budget to cover such costs.

PROTESTING GRANT PROCEDURE

PROTEST PROCEDURES

Any applicant aggrieved by the process, may file a protest with IA. Such letters should be addressed to the IA Head Office. Letters will be kept on file.

It is the Executive director and Program manager to act on complaints. This process is governed by the IA Procurement Manual. The Executive director and Program manager may suspend or terminate a contract pending investigation. Project personnel are notified accordingly.

MONITORING

Project personnel need to monitor contract performance, ensuring that terms and condition of procurement are met. If a serious deviation from contractual terms occurs (such as delivery or quality), this should immediately be communicated in writing to the service provider which will turn into a termination of the contract if no change is seen by the revised deadline.

PAYMENT

In accordance with IA general procurement guidelines, payments are made on delivery. All Requests for Direct Payment (RDP) must be supported by an original Acceptance Receipt and Payment request.

Programme officers must screen all RDPs to ensure a signed payment requests and legal Acceptance receipts exists. RDPs for advance payment can be accepted where unavoidable. However, advance payments should be minimized; in such cases, Project Managers are responsible for the prompt submission of Acceptance Receipt and Payment request to Programme Assistants on receipt of goods/services.

Finance Unit staff have final control over Acceptance Receipt and Payment request. A monitoring table, containing a list of missing receipts and reports, can be found at Documents / Finance / Missing Documents. Any exceptions must be requested and reviewed on an individual basis.

WORKSHOP/ EVENT ORGANIZATION GUIDELINE

STEPS IN ORGANIZING PROJECT LAUNCHING WORKSHOPS

STEP 1: DESIGN YOUR PROJECT LAUNCHING WORKSHOP

OK, this step has a lot built into it. It is important to get together with your team that wants to organize the Launching workshop with you right at the beginning to answer the following important questions to guide the vision and organizing of the workshop:

- What are our goals of the workshop?
- Who do we want our workshop to reach? How will we get them there? How many people?
- What skills and sessions are most important to our participants?
- How long of a workshop do we want to/can we organize?
- What is our budget for the workshop?

Once you have the answers to these key questions in place and a basic vision, it's time to start reaching out and nailing down the details.

STEP 2: CHOOSE A VENUE

The primary factor in selecting a venue is likely going to be where you have free access or affordable price. If you do have some flexibility or choice in the matter, we have a few recommendations to consider:

- Look for venues that provide all the services (refreshment, lunch and meeting hall with the necessary materials) are available at the same compound.
- If there is an available and affordable venue, being away from the city in a natural setting can go a long way in providing focus, quiet for reflection, and inspiration to the group. Don't forget the costs associated! The further you go the greater is your expense.
- If you're organizing a multi-day workshop, we recommend trying to have people stay overnight in the same place together (if your budget allows you!), as evening free time often becomes important bonding time.
- Finally, most workshops benefit from having slideshows or power points or videos displayed during the workshop, so having an LCD projector, sound system, and microphone is pretty important.
- Ideally, the following conditions should be met in respect to the location for a training workshop:
 - The workshop should be held in a location away from the normal place of work of the participants
 - The room used should be large enough to hold all participants comfortably
 - Seating facilities should be comfortable

It is advisable to check the training venue in advance for the availability of relevant resources. Check for:

AC	Does it exist and who is responsible for turning it on / off?
Lighting	Is this adequate and are there blackout facilities if you need to show a film?
Electricity	Where are the electrical outlets, will you need an extension cord and an adapter?
Furniture	Are there enough chairs and tables and is it possible to move them around?
Walls	Is it possible to post materials on the walls or will you have to bring flip chart stands/use blackboard?
Equipment	What equipment is available, is it working, are there Flip Chart Stands, LCD projector? TV antenna (if needed)?
Kitchen	Can food be prepared at the venue (are there cups, etc.) or will it have to be brought in (i.e. Tea/coffee/water/lunch...)?
Toilets	Do they exist, are they clean, will they be open? Is there a toilet paper?
Access	Is it easy to find or will participants need a map? Car parking? Disabled access?

After you decided on which venue, get confirmation, in writing, from the venue providers that they have agreed on the terms and conditions (See Appendix VIII for Venue Confirmation Sample). Letter if there is a prepayment schedule, make sure that you have covered it. Remember your procurement policy! (Services that might be larger than ETB 1,000 need Performa invoice.)

STEP 3: CHOOSE WORKSHOP DATES

We often find workshops have some of the best results when there is a clear, short-term trajectory for the group's work following the workshop. By timing the workshop shall be organized 2 – 4 weeks prior to the major project activities, just in case the participants might want to change the types of the project activities or their duration or the extent of the activities, so that you will have time to adjust the activities and the budget with the major partners (Initiative Africa or the signatories). You can provide a powerful opportunity for collaboration following the workshop that will help cement the bonds formed by participants.

The only other major thing to consider is to choose dates that work for your target audience, to make sure you get the people there that you want to reach.

STEP 4: SELECT APPROPRIATE PARTICIPANTS

Ensuring highly motivated participants in your target audience is possibly the most important step in organizing your workshop – here are our recommendations for making sure you get great participants:

- In our experience for workshops, anywhere from 20 – 25 participants can be a good size. It's enough people to have a diversity of perspectives and quality discussions, but still small enough to have more intimate experiences and develop real, lasting relationships and bonds in the group.

- In case of events, the size is determined by the theme and exclusivity of the program. (Always note that amount of participants present may vary from paper so always have a contingency ready).
- We recommend using the answers to the following questions
 - Which government offices are the signatories to this project?
 - Who has stake in this project?
 - Who can influence the implementation of the project activities?
 - Who can be representatives of beneficiaries?
- Seek to get a diverse set of perspectives into the room – it will make for a richer and more educational experience for everyone!

Sending Invitations

Invitation letters to the selected workshop participants shall be sent a week earlier to the workshop date (See Appendix I for sample invitation letter). It shall be sent in writing to be handed personally or via postal service or via email. Invitations through telephone calls or SMS messages are also possible. In any case, what is important is the selected participants have clear messages on the following:

- the workshop date(s)
- workshop objectives
- what is expected of them

Your letter must clearly state the number of representatives and the qualifiers if you are requesting an office to delegate concerned participants. You may send the agenda along with the invitation letter if you want your participants to come prepared to the workshop on the topics planned for discussion. Remember! You need to request for their confirmation of attendance.

STEP 5: DESIGNATE THE FACILITATORS/ SPEAKERS

Having effective, energizing facilitators are keys for running a successful workshop. Here are some recommendations for considering your facilitation team:

- You'll want more than one facilitator so you don't get totally exhausted. For small groups (15-20 participants) 2-3 facilitators is sufficient. A couple more is also usually fine especially for large groups, though you want to be sure that facilitators don't overwhelm the group dynamic.
- It can be helpful to make sure facilitators don't have logistical considerations on their plate as well – this will distract from their ability to be able to prepare sessions appropriately.
- It can be important to have at least one facilitator with workshop facilitation experience.
- Make sure your facilitators know they are responsible for keeping the workshop on time, for preparing and covering all the material and group exercises, and making sure everyone participates. Be sure to design how to present the project objectives, results and activities as well as how each participant can get his/her role in the implementation of the project. Also check out how to answer possible questions as well.

Facilitators are not teachers in the traditional sense; their role is rather to facilitate the process of learning by the participants, to be an intermediary between new knowledge, fresh ideas and the group. The responsibility of a facilitator is to build a relationship with the group participants. To this

end, while working with the group, the facilitator should demonstrate in practice her/his belief in the principles of non-violence and gender equality. In most cases, facilitators work in pairs – as a training team.

Facilitators can either be from outside or inside of the organization requesting the training/workshop. Combining inside and outside facilitators as a team creates an especially effective training/workshop, as each facilitator brings different skills and knowledge to the sessions. For example, an outside consultant facilitator can bring the overall knowledge and skills for facilitating a training workshop on a particular issue, while the internal facilitators bring knowledge of the organization and the country specifics in relation to the training issue.

It is important that the selection of facilitators be based on the following criteria:

The facilitator(s) must have:

- expertise in the subject matter;
- ability to use interactive presentation methods;
- professional credibility and appropriate reputation;
- awareness of their own values, biases, and comfort with diversity;
- understanding of group learning processes;
- flexibility while conducting exercises and the unanticipated situations that arise in them;
- ability to establish an informal, warm, and supportive atmosphere using a relaxed approach;
- ability to handle participant resistance and denial and to deal with highly-charged emotional issues;
- ability to remain open to the feedback of participants.

STEP 6: PREPARE THE BUDGET AND ORGANIZE THE LOGISTICS

DETAILED BUDGET PLAN

Securing the venue, knowing the dates, having the number of participants and referring the budget line you agreed with the lead partner/donor (Initiative Africa) and the procurement policy, leads you to have a detailed budget plan. (See Appendix II for Sample Budget Template)

Alongside, the budget plan you shall make ready the payment sheets (Per Diem Sheet, Transport Reimbursement Sheet ...) (sample formats are attached in Appendix VII)

LOGISTICS

Making sure things run smoothly is an important part in setting participants up to focus on learning and bonding with their fellow organizers.

- **Food:** Providing food on site will enable participants to focus, and keep them from getting hungry and distracted. Meal times are also a valuable, informal team-building time and it is usually best to have group meals together. Providing tea and coffee to keep people awake, and for breaks is very helpful as well. Make sure to ask people about food allergies!
- **Travel:** Make sure you know when people are arriving and communicate to them about what support you can provide, and where to go when they arrive.
- **Lodging:** Let participants know what type of lodging they'll be staying in, whether they need to bring bedding, if there will be showers, etc.

The necessary materials and equipment will depend on the training methods that are used. Some might be needed for preparation (e.g. computer, printer & photocopiers) and others during the workshop itself. No list of materials would ever be complete but here are some ideas to begin with - you can brainstorm and create your own checklist!

Materials

- large papers/flip chart papers
- small sheets of paper/ notebooks
- pens, markers of different colors
- scotch tape
- chalk
- overhead transparencies/videos/cassettes/slides

Equipment

- adequate number of chairs and tables (including extras)
- video equipment (if necessary), overhead projector, etc.
- board, tripod or stand, or somewhere to put large sheets of paper on the walls. An option is a flip chart by the wall where there is open access (flip-charts are the large white writing pads with holes that allow them to be fixed to the special stand) (see Picture 1).

In case some resources are unavailable, make necessary arrangements ahead of time, or use your creativity to find substitutes to support the workshop/ training exercises.

After identifying the type of costs your project covers and based on the budget line you agreed with the donor, you need to prepare a budget and secure it to cover the costs.

PRINTED MATERIALS

Prepare adequate time with your facilitators to decide on the type of printed materials workshop participants should be offered (could be project summary, excerpts from related research papers, power point presentations...). We recommend printing out all necessary materials per participant so that people can follow along, make notes, and refer to the agenda throughout the workshop sessions.

STEP 7: CRAFT THE AGENDA

Once you have the logistics together and your participants selected, it's time to map out exactly how you'll use your time together. Look at the sessions on this site for ideas. Here are some things to consider:

- Less is more: the more you pack in, the more you'll need to rush and the fewer participants will actually learn. Cut back as much as you can so you can learn things in greater depth.
- Ask your participants: survey your participants to see what they most want to prioritize learning
- Build in breaks: Free time, breaks, and informal socializing is key for bonding and to keep up motivation and focus. If you don't give your participants breaks, they will rebel!
- Plan an open session: Let your participants plan their own session, whether it's a skill share, a chance to share their work, or a discussion they'd like to have as a group.
- Know that you'll go overtime: It just happens – plan to be flexible.

STEP 8: MEDIA COVERAGE

Once the venue and participants are confirmed, the organizing team must contact the media house by phone or either a formal invitation letter to attend and cover the event.

Contact addresses for the media houses are included in the organization cloud storage and will be updated in any change.

STEP 9: RUN YOUR WORKSHOP/ EVENT

Have a great time, remember to breathe, and spend time getting to know the people who come – they're who you're building this movement with! A few other reminders:

- Stay energized – make sure to play plenty of games and energizers throughout the training to keep people's spirits up
- Document – make sure to take photos and videos to remember the workshop – and send them to us too!

DURING THE WORKSHOP:

1. Deliver brief presentations; adhere to time limits and to the assigned topic;
2. Make practical recommendations;
3. Use examples. Newspaper articles and hypothetical examples to help illustrate your point more clearly.
4. Use visual aids, such as handouts, flipchart with textual graphics, charts, maps, films, videotapes, posters, photographs, audio-visual equipment, etc.
5. Encourage active group participation withholding your judgments.
6. Build on the Ideas Put Forward by Others
7. Encourage participants to bring out their ideas with emphasis made on the quantity of suggestions, not quality

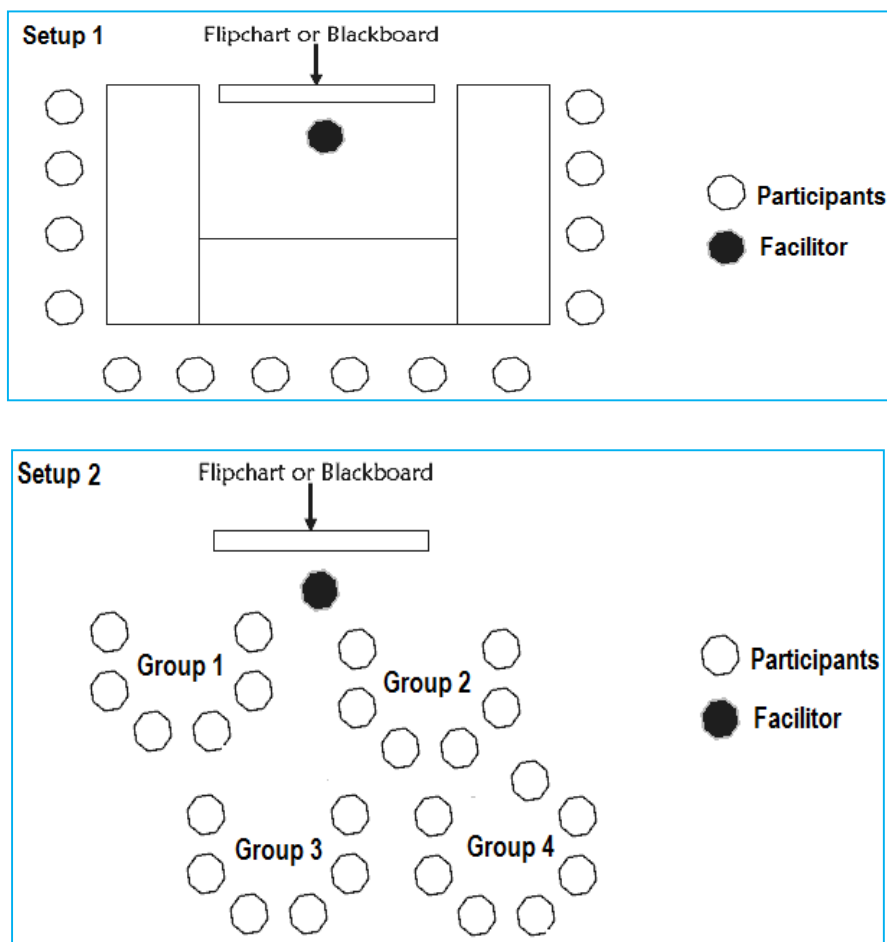
SUGGESTIONS FOR SET-UP

Certain ways of arranging a room facilitate an open and equal learning environment for all the participants of the training session (including the training team).

It is advisable to arrange the furniture so that the participants are able to face one another. This kind of set-up promotes open communication and the sharing of ideas. One common way to facilitate this is to organize the table and chairs in a U-shape, with the facilitator and visuals located in the front, as seen below in Picture 1.

Another effective arrangement for smaller groups is a circle, as seen in Picture 2. Chairs should be easily moveable around the room, depending on the conditions and types of training activities (for example, to conduct smaller working groups).

Facilitators should use their own judgment for whether or not tables are necessary in the set-ups presented in setup 1 and setup 2. A traditional classroom set-up with tables in rows, however, is generally not effective. A more relaxed set-up is better for encouraging open communication. Two of the most common schemes for arranging tables and participants are illustrated below:



CONDUCTING GROUP EXERCISES

The purpose of the group exercises and activities is to facilitate the learning process. For the group exercises to be successful they should meet the following requirements:

The exercises should:

- have an objective;
- a topic to discuss with and share ideas or strategies;
- be strategically placed within the training;
- occur within a specific time frame.

Therefore, besides a general workshop facilitation plan, it is necessary to develop a more detailed plan of how each exercise will be conducted.

While planning a group exercise, it is advisable to take in account priorities, i.e. all important issues should be addressed at the beginning of the session, and secondary issues may be combined and summarized for the remainder of the time.

Each exercise is divided into specific consistent logical steps:

1. Facilitator's introduction leads the participants to form groups and into the main topic of the exercise (could be approaches to the project activities implementation).
2. Then, through various techniques, the facilitators gradually facilitate reaching the goal of the exercise.
3. The exercise concludes with the Facilitator's commentary or debriefing, which allows the training team to summarize the results of the discussion, briefly review the group's accomplishments and emphasize the most important points regarding the subject of the exercise. The facilitator's commentary is a response to the objectives set forth for the exercise.

Some flexibility is necessary, however, to ensure active participation, otherwise the group's grasp of the subject matter may be insufficient and they will not master any new information.

STEP 10: EVALUATE THE WORKSHOP

At the end of the workshop thank participants for their participation and time. Then, ask them to reflect on the overall proceeding of the workshop and get some feedback orally. But, it is better to use a questionnaire to get all participants' feedback in detail (See Appendix III for Sample Evaluation Sheet). The aim of the evaluation is to learn from the current workshop and improve the coming ones. The following three are the areas that need evaluation:

1. Quality of the Workshop
2. Facilitators' Skill
3. Services Provided

The responses from the evaluation questions can be summarized in the form of tables or charts and can be included with the workshop report or be developed as a separate document.

STEP 11: MINUTES/REPORT OF THE WORKSHOP

Within two days of the workshop you must have either the minutes or the report of the workshop. As time goes on, notes might be lost and ideas proceedings of the workshop might disappear from our mind. Thus, consulting the notes you have taken and the video recordings (if any) you should produce the report immediately with the flavor of the incidences of the workshop (See Appendix IV for Sample Workshop Report Format).

1. Minutes of the Workshop

The minutes should be organized according to the following structure. The minutes should be included in one single document.

Section	Contents
Programme	Please provide the list of contents of the programme of the workshop together with the information about the experts delivering the contents
List of Experts	Please provide the list of experts delivering the workshop programme together with their affiliations
List of Participants	Please provide the list of participants together with their affiliations.
Minutes	For EVERY item listed in the programme please report what happened during the workshop in terms of: <ul style="list-style-type: none"> - Contents delivered - Feedbacks - Conclusions

2. Template for the production of the Report of the Workshop

The report should be organized according to the following structure. Please provide a separate folder for each section indicated below

Section	Contents
Introduction	Please provide an introduction document with the following information: <ul style="list-style-type: none"> ▪ Description of the strategy used in order to involve the participants (e.g. direct telephone contacts, mailing, publication of newsletter etc) ▪ Type of target groups addressed (e.g. experts in the field, directors of prisons, etc) ▪ Geographical areas where the information about the workshops was promoted ▪ What material did you use for informing the potential participants? (e.g. power point presentations; leaflets; brochures etc.)
External Experts involved	For every expert in charge of delivering the workshops please provide a short CV (about 8 lines each) detailing their expertise and experience as well as their affiliation.

Participants involved	Please provide the list of participants involved and their affiliations
Proof of Participation	Please provide a scanned document collecting the signatures of each of the participants
Materials	Please provide materials used and delivered during the workshop (e.g. PPT used, documents distributed etc.)
Photos	Please provide pictures taken during the workshop (6-10 pictures)
Conclusions	Please describe the overall conclusions and final decisions adopted
Evaluation	Please write one page describing the results of the evaluation. In order to do so, at the end of every workshop please deliver the evaluation form attached at the end of this document. The form may be changed and adapted.

STEP 11: PRESS-RELEASE

After the workshop, press release is mostly recommended. Draft the main highlights of the event and send to the respected media's to compile and rewrite them for their programs and print media's.

STEP 11: FOLLOW UP

After the workshop, aside from providing time for people travel home, rest, and digest the material, it's good to build off the positive energy and momentum created in the workshop experience to continue engaging everyone, and ideally transitioning into real action. This requires creating clear and efficient communications channels — email list serves, face book groups, Google groups etc — and it requires modeling constructive use of those tools. When a workshop ends, no matter how tired you are, try not to disappear. Take a deserved rest, but capitalize on the moment and both model continued leadership by initiating more work, and also continue in your role as a facilitator, attempting to draw out and support other's leadership, not simply falling back to the same organizing team you began with when you started.

Go through the report, the feedbacks and your notes and see if there is anything that changes your project activities, schedule or budget. If there is, prepare a justified revision plan and discuss with IA's PMT. If there is no major change that brings a change of plan or budget submit your report and move on for your project implementation capitalize on the success report.

APPENDIX I: INVITATION LETTER SAMPLE



Tel. 251-11-662 2640/662 2641
 Fax. 251-11-662 2642
 P.O. Box 1123 Addis Ababa, Ethiopia
 E-Mail: info@initiativeafrica.net
 Web: www.initiativeafrica.net

Ref:
 Date:

- ለሶዶ ሁለተኛ ደረጃና መሰናዶ ት/ቤት
- ለሾላ ኮዶ ሁለተኛ ደረጃና መሰናዶ ት/ቤት
- ለሶዶ ሁለተኛ ደረጃ ት/ቤት
- ለቢጠና ሁለተኛ ደረጃና መሰናዶ ት/ቤት
- ለበዴሳ ሁለተኛ ደረጃና መሰናዶ ት/ቤት
- ባሉበት

ጉዳዩ ፦ የፕሮጀክት ማስተዋወቂያ አውደጥናት ጥሪን ይመለከታል

ድርጅታችን እ.ኋላ ለአፍሪካ የሁለተኛ ደረጃ ት/ቤቶች የወጣቶችን የበጎ ፈቃደኝነት እገልግሎት እና በአካባቢ ልማት ተሳትፎ ማሳደግ ላይ ያተኮረ "Making Sure Girls Complete Secondary School" የተሰኘ ፕሮጀክት ክት/ቤታችሁ ጋር በመተባበር ለመተግበር ከሚመለከታቸው የክልሉ ቢሮዎች የፕሮጀክት ትግበራ ስምምነት ማግኘቱ ይታወቃል።

በዚህም መሠረት የፕሮጀክቱን ምንነት ለባለድርሻ አካላት የማስተዋወቂያና የምክክር መድረክ የካቲት 4 ቀን 2008 ዓ.ም በጉተራ አዳራሽ አዘጋጅቷል።

ስለሆነም የት/ቤቱ ርዕሰ መምህር እና የተማሪዎችን ተቆሪያል ፕሮግራም የሚያስተባብር አንድ መምህር ከጠዋቱ 2:30 ጀምሮ ከፍ ብሎ በተጠቀሰው ቀንና ቦታ በመገኘት የምክክር ስብሰባው ተሳታፊ እንዲሆን እንጠይቃለን።

ከሰላምታ ጋር

አገልግሎት ካላ
 የፕሮጀክት ሥራ አስኪያጅ

APPENDIX II: Workshop Budget Sample

Capacitating the Youth to Get Engaged in Social Action Projects



HOLLA

Horn of Africa Leadership and Learning For Action

Launching Workshop in Addis Ababa

Venue: Monarch Hotel

Date: December 18, 2015

Participants: On this consultative meeting, there will be about 30 participants drawn from concerned bodies of this project. Their composition will be:

- Representatives of AA Finance, Education and Youth & Sports Bureaus (3)
- Representatives of Sub-cities (6)
- School Directors and Teachers (16)
- Representatives British Council (2)
- Project staff and documentation (IA) (4)

Budget Estimate

The following table shows suggested budget estimate which could be covered by IA from its World Vision account.

S. No	Budget Title	Budget Estimation	Total Amount
1.	Venue Rent	Birr 280/half day/person	9,800.00
2.	Transport for participants	30 participants x Birr 150	4,500.00
3.	Rollup Banner	Birr 1200 (lump sum)	1,500.00
Sub Total			15,800.00
Contingency (5%)			790.00
Total Budget			16,590.00

APPENDIX III: Workshop Evaluation Sheet Sample (English Version)


HORN OF AFRICA LEADERSHIP AND LEARNING FOR ACTION
Training Feedback Questionnaire for Trainees

Dear Participant, this questionnaire helps us to evaluate the training offered by HOLLA in collaboration with Initiative Africa. Please use the following rating scale below and put \surd in the cells.

5 – Very high

4 – High

3 – Moderate

2 – Low

1 – Very low

 I – Quality of Training

Characteristics	1	2	3	4	5
Motivating / Interesting to participants					
Participant's involvement					
Relevance to participant's training expectations					
Relevance of the training material					
Usefulness of training contents					
Adequacy of time					

 II – Ability of Trainers

Aspects of evaluation	1	2	3	4	5
Presentation skill					
Facilitation					
Language usage					
Time management					

 III – Training Service and Coordination

Type of Service	1	2	3	4	5
Venue (training place & hall)					
Refreshment					
Lunch					
Stationery					
Program Promotion kit					

IV – General Comment(s)

A/ Write three ideas you learnt from this training

1. _____
2. _____
3. _____

B/ Write two things that interest you from this training

1. _____
2. _____

C/ Write two things that disappointed you during this training

1. _____
2. _____

Any other comments for further improvement:

Thank You!

Workshop Evaluation Sheet Sample (Amharic Version)

የሥልጠና ውጤታማነት መገምገሚያ ቅጽ



ውድ ተሳታፊዎች ይህ መጠይቅ በኢ.ኒ.ጄ.ቲ.ቫ አፍሪካ የተሰጠውን ሥልጠና ለመገምገምና ለወደፊት ማሻሻያ ማድረግ እንዲያስችለን ነው። ስለዚህም በሚከተለው መለኪያ መሰረት በሣጥኖቹ ውስጥ የፍጥነት ስኬት በማድረግ ሃሳባችሁን እንድትገልጹ እንጠይቃለን።

- 5 - በጣም ከፍተኛ
- 4 - ከፍተኛ
- 3 - መካከለኛ
- 2 - ዝቅተኛ
- 1 - በጣም ዝቅተኛ

፩ - የሥልጠናው ጥራት

ባህርያት	1	2	3	4	5
ለተሳታፊዎች አነቃቂና ፍላጎት ማሳደራ					
አሳታፊነቱ					
የሥልጠናው አግባብነት					
የማሰልጠኛው ጽሁፍ ጠቀሜታ					
ለሥልጠናው የተመደበው ጊዜ በቂነት					

፪ - የአሰልጣኞች ችሎታ

የመገምገሚያ ነጥቦች	1	2	3	4	5
አቀራረብ					
የማመቻቸት ችሎታ					
የቋንቋ አጠቃቀም					
የጊዜ አጠቃቀም					

፫ - የሥልጠና አገልግሎት

የአገልግሎት ዓይነት	1	2	3	4	5
የሥልጠና ቦታና አዳራሽ					
የሻይና ቡና መስተንገዶ					
የጽህፈት መሳሪያና ቁሳቁሶች አቅርቦት					

የሥልጠና ውጤታማነት መገምገሚያ ቅጽ

፬ — ጥቅል ግምገማ

ሀ/ በዚህ ሥልጠና ከተማሩት ነገሮች ውስጥ ዋና ናቸው የሚሏቸውን ሶስት ሃሳቦች ይጻፉ።

1. _____
2. _____
3. _____

ለ/ ከዚህ ሥልጠና ከተደሰቱባቸው ጉዳዮች ውስጥ ሁለት ነገሮችን ይጻፉ።

1. _____
2. _____

ሐ/ ከዚህ ሥልጠና ከተበሳጨባቸው ጉዳዮች ውስጥ ሁለት ነገሮችን ይጻፉ።

1. _____
2. _____

የማጠቃለያና የወደፊት ማሻሻያ ሃሳብ ካለዎት አጠር አድርገው ያስፍሩ።

እናመሰግናለን!

APPENDIX IV: Workshop Minutes Sample (Amharic Version)

ኢ.ኒ.ሸ.ፎ.ቫ አፍሪካ

በኢ.አ ህ.ሉ.ም ህፃናት ያንብቡ። በሚለውና በሚያካሂደው ፕሮጀክት ዙሪያ የወላጆችን ተሳትፎ ለማሳደግ የተዘጋጀ የ1 ቀን አውደ ጥናት ጭማቂ ሪፖርት

ቀን.. ህዳር 15 ቀን 2006 ዓ.ም

ቦታ በአራት ኪሎ ጉምህርት ተቋም አዳራሽ

የሰልጠናው ፕሮግራም ከዚህ ጋር የተያያዘውን ይመልከቱ ::

በሰልጠናው የተሳተፉ:-

1. ከት/ጽ/ቤት ኃላፊዎችና ባለሙያዎች /ከኮልጌና ጉለሌ ከ/ከተማ እና ወረዳ /.... 11/ወ 8፣ ሴ 3/
2. ከወላጅ መምህር ሀብረት 3/ ወ 3 /
3. ርዕሰ መምህራን 6/ ወ 5፣ ሴ 1/

ሲሆኑ ዝርዝሩ ከዚህ ጋር ተያይዟል::

ከላይ በተጠቀሰው ቀን በአውደ ጥናቱ ዙሪያ ሰፊ ማብራሪያ የሰጡትና ፕሮግራሙን የመሩት የፕሮጀክቱ ሥራ አስኪያጅ አቶ የኋላሸት ገ/ሚካኤል ሲሆኑ ሪፖርቱን ያጠናቀሩት ደግሞ አቶ እሸቱ ደስታ ናቸው::

በትድሚያ አቶ የኋላሸት ገ/ሚካኤል ኢ.ኒ.ሸ.ፎ.ቫ አፍሪካ የህፃናት ተማሪዎችን የንባብ ክህሎት በተግባራዊ ምርምር ማሻሻል ዙሪያ የሚያካሂደው ፕሮጀክት ተጠቃሚዎቹን ሲገልጹ ከኮልጌ ተራኒዮ 6 ከጉለሌ ከ/ከተማ ደግሞ 4 የአንድኛ ደረጃ ትምህርት ቤቶች መሆናቸውን አስታውሰዋል::

በመተጠልም የፕሮጀክቱን ተግባራት ሲገልጹም በት/ቤቶች የቀሳቀስ ድጋፍና ንባብን ማስተዋወቅ፣ ለትምህርት አመራር ስልጠና መስጠት፣ በተግባራዊ ምርምር ዙሪያ የመምህራንን እቅድ ማሳልበት፣ የተማሪዎችን የንባብ ክህሎት ማሻሻል ፣ አጋዥ የሆኑ የንባብ መግራት ስርጭትና በወላጆች ድጋፍ ላይ አውደ ጥናት ማካሄድ እንደሆነ አብራርተዋል::

የማስፈጸሚያ ዘዴዎቹንም ሥራ አስኪያጁ ሲናገሩ መተጋገዝና መተባበር፣ ቁርጠኝነትና የቡድን ሥራ እንደሆነ ገልጸው ድርጅቱ እስካሁን ካካሄዳቸው ተግባራት መካከል ለትምህርት አመራሮች፣ ለርዕሰ መምህራንና መምህራን ተከታታይ የአቅም ማሳልበት ስልጠናዎች ተሰጥተዋል:: አጋዥ የሆኑ የሰልጠና ማንግሎትና የንባብ መጽሐፍት ለየት/ቤቶች ተሰራጭተዋል:: በዚህም በየት/ቤቶቹ የተግባራዊ ምርምር ሥራዎች ተጀምረው በጥሩ ደረጃ ላይ ይገኛሉ ብለዋል::

አቶ የኋላሸት ይህ አውደ ጥናትም የፕሮጀክቱ አንድ አካል መሆኑን ገልጸው ወላጆች በህፃናት የንባብ ክህሎት መሻሻል ድጋፍ እንዲያደርጉ ምን መደረግ አለብት የሚለው ሃሳብ እንዲንሸራሸር ሆኖ በዚህ የእድገት ፈተና በሆነው የማንበብ ክህሎት መሻሻል የሙከራ ፕሮጀክት ወላጆች ከትምህርት አመራሮች፣ ርዕሰ መምህራንና መምህራን ጋር በጋራ እንዲንቀሳቀሱ ለማስቻል ታስቦ መሆኑን ጠቁመዋል::

የፕሮጀክቱ ሥራ አስኪያጅ ተሳታፊዎቹ በሁለት ቡድን እንዲከፋፈሉ ካደረጉ በኋላ በሚከተሉት ጥያቄዎች ዙሪያ እያንዳንዱ ቡድን ተወያይቶ ምላሹን በተወካዮቹ አማካይነት ለመድረኩ እንዲቀርብ አድርገዋል:: ምላሽ የሚያስፈልጋቸው ጥያቄዎችም የሚከተሉትን ይመስላሉ::

1. ወላጅ /ማንበብ የሚችሉም ሆነ የማይችሉ/ በቤተሰብ ደረጃ ምን ማድረግ ይችላሉ?
2. ወተመሀ ምን ማገዝ ይችላል?

3. የወረዳ ትምህርት ባለሙያዎቹስ ምን ሊሰሩ ይችላሉ?

4. የወላጆችና የትምህርት ቤት ግንኙነት ምን ይመስላል? ምን መሆንስ ይገባዋል?

ከላይ ለቀረቡት ጥያቄዎች በሁለት ቡድን የተከፈሉት ተሳታፊዎች በዝርዝር ከተወያዩ በኋላ በየቡድን ተወካዮቻቸው እማካይነት ምላሻቸውን አትርበዋል። ከቀረበው መካከልም ጥቂቱን እንሆ።

ጥያቄ:- ወላጆች በቤተሰብ ደረጃ ምን ማድረግ ይችላሉ ?

መልስ :- የግብዓት መሟላት /መጸሀፍት-ማራኪ እና ከለርድ የሆኑ እንዲሁም በስዕል የተደገፉ/ ግብዓት ማሟላት የማይችል ወላጅ ከሆነ ወደ ቤተመጻሕፍት እንዲሄዱ መገፋፋት እንዲፈጠር ለወላጆች ግንዛቤ መፍጠር። ከትትል ማድረግና ማገዝ፣ ፍላጎቱ ምን ላይ እንደሆነ መለየት፣ የንባብ እና የሚዘናናበትም ጊዜ መወሰን፣ የተማሩ ወንድምና እህት ካሉ እንዲያገዙ ማድረግ እና ምቹ የጥናት ቦታ መለየት እንዲሁም የማበረታቻ ሥራ መስራት፣ ከማባረር ይልቅ ወደ ትክክለኛ መስመር እንዲገቡ ማድረግ።

ጥያቄ:- ወተመሀ ምን ማገዝ ይችላል ?

መልስ :- የንባብ ፕሮግራም እንዲዘጋጅ በማድረግ የንባብ ውድድር ማካሄድና እውቅና ሰጥቶ ሽልማት መሸለም። እንዲሁም በቋንቋ እማካይነት የንባብ ፈተና ጥናት ተደርጎ ነጥብ እንዲሰጠው ማድረግ። ግብዓት እንዲሟላ ከተለያዩ እካላት ማፈላለግ በተጨማሪ ሀብረተሰቡ ላይ የህዝብ ግንኙነት ሥራ መስራት /በሪፖርት መልክ ፣ የተለያዩ ፖስተሮች በመለጠፍ፣ በመረጃ ትንተና ተመርኩዞ ስለ ልጆቹ ከወላጆች ጋር ውይይት ማድረግ። ሌላው ምቹ ሁኔታን /ውስጣዊም ሆነ ውጫዊ / መፍጠር፣ በእቅድ መመራት ፣ ከት/ቤቱ ማህበረሰብ ጋር የጠነከረ ግንኙነት መፍጠር ፣ ቅርንጫፎቹን ማስፋት /ከክፍል እስከ ምክር ቤት ድረስ/።

ጥያቄ:- የወረዳ ባለሙያዎች ምን ማድረግ ይችላሉ ?

መልስ :- ድጋፍና ከትትል ማድረግ / በእካል እየወረዱ መፈተሽ፣ ግብረ መልስ መስጠት/፣ ያሉትን ችግሮች መለየትና መረጃ ማጠናቀር ፣ መፍትሄ መፈለግ እና በእክሽን ፕላን መመራት መቻል። እንዲሁም ስልጠና መስጠት፣ ከተለያዩ ባለድርሻ እካላት ግብዓት የማፈላለግ ሥራ መስራት ፣ እክሽን ሪሶርሽ መስራት፣ ሁለገብ የሆነ ድጋፍ መስጠት።

ጥያቄ:- የወላጅና የት/ቤት ግንኙነት ምን መምሰል አለበት ?

መልስ:- በቅርበት አጀንዳ ቀርጾ መወያየትና በአዎንታዊ ሥራና ውጤታማ ተግባራት ላይ አብሮ መስራት።

የፕሮጀክቱ ሥራ አስኪያጅ አቶ የኋላሽት ገሚካኤል በሁለቱ ቡድኖች በቀረበው ጥያቄ የሰጡት ምላሽ ለፕሮጀክቱ ስኬታማነት ትልቅ አጋዥ እንደሆነ ገልጸዋል።ምንም እንኳን አቶ የኋላሽት ሁሉንም በዝርዝር ሁለቱ ቡድኖች ምላሽ የሰጡበት ቢሆንም ለማጠቃለል ያህል ለቀረቡት ጥያቄዎች መሆን የሚገባውን አስተያየት የሚከተለው ነው ብለዋል።

ወላጆች ማድረግ የሚገባቸውን በተመለከተ:-

- ✓ በቂ ትኩረት መስጠት
- ✓ አስፈላጊ ቁሳቁሶቹን ማሟላት
- ✓ በሀገናቱ ለውጥ ላይ ከትትል ማድረግ
- ✓ ቦታ ጊዜና አስፈላጊውን ድጋፍ መስጠት

- ✓ ከመምህራን ጋር የጠበቀ ግንኙነት መፍጠር
- ✓ በጎልማሶች ትምህርት መሳተፍ
- ✓ ከ4-6 ዓመት እድሜ ያላቸውን ህፃናት በመዘጋጃ ት/ቤቶች እንዲገቡ ማድረግ
- ✓ በአግባቡ አለማንበብ የሚያስከትለውን ችግር መረዳትና ማስረዳት

የወላጅ መምህር ሀብረት ማድረግ የሚገባቸውን በተመለከተ:-

- ✓ በቂ ትኩረት በመስጠት የመወያያ አጀንዳ ማዘጋጀት
- ✓ ለት/ቤቶች አስፈላጊ የሆኑ ድጋፎች የሚገኙበትን መንገድ መፈለግ
- ✓ ከመምህራንና ከት/ቤት አመራር ጋር ጠቃሚ ማድረግ
- ✓ የጎልማሶች ትምህርትን ማጠናከር
- ✓ የህፃናት የመዘጋጃ ት/ቤቶችን ማበረታታት
- ✓ ህፃናት በሚጠበቀው ደረጃ በአግባቡ አለማንበባቸው የሚያስከትለውን ችግር ለወላጆች ማስገንዘብ
- ✓ ምቹ የገባብ አካባቢ መፍጠር ወይም ማመቻቸት

የወረዳ ትምህርት ባለሙያዎችን በተመለከተ:-

- ✓ በቂ ትኩረት በመስጠት የክትትልና የድጋፍ አትሞጫ ማድረግ
- ✓ ከመምህራን፣ ከት/ቤት አመራርና ከወላጆች ጋር በመፍትሄዎች አተገባበር ላይ ጠቃሚ ማድረግ
- ✓ የህፃናት የመዘጋጃ ት/ቤቶች ማስፋፋት እና አገልግሎታቸውን እንዲያሻሽሉ መርዳት
- ✓ የወላጆች ድርሻ ላይ ምላሴ መሆን
- ✓ ህፃናት በሚጠበቀው ደረጃ በአግባቡ አለማንበባቸው የሚያስከትለውን ችግር በየጊዜው ለሀብረተሰቡ ማስገንዘብ
- ✓ ለት/ቤቶች አስፈላጊ የሆኑ ድጋፎች የሚገኙበትን መንገድ ማፈላለግ ፣
- ✓ የልምድ ልውውጥ ማድረግ

የወላጆችና የት/ቤት ግንኙነትን በተመለከተ:-

- ✓ ሁሉንም ጉዳይ ለት/ቤት ወይም በውጭ ሰዎች ለትስቦ አለመተው
- ✓ የባለቤትነት ስሜት ማዳበር
- ✓ በየወቅቱ መገናኘትና በትምህርት ጥራት ላይ መወያየት
- ✓ የግንኙነት ጊዜ እና የማበረታቻ ሥርዓት መዘርጋት

በመጨረሻም አቶ የኃላፊት ኢንሹየቲቭ አፍሪካ "ሁሉም ህፃናት ያንብብ" በሚል መርህ እየተገበረ ያለው ፕሮጀክት የህፃናት በሚጠበቀው ደረጃ አለማንበብ የእድገት ፈተና መሆኑን ሁላችንም ትኩረት ሰጥተን መንቀሳቀስ ይገባናል ካሉ በኋላ ይህ የሙከራ ፕሮጀክት በሁሉም የጋራ ጥረት ስኬታማ ከሆነ ፕሮጀክቱን የማስፋፋት ሥራ እንደሚከናወን ገልጸዋል። በዚህም አውደ ጥናቱ ተጠናቋል።

Workshop Report Sample (English Version)



ALL CHILDREN READING PROJECT: An Action Research Approach to Improve Reading Skills of Students Using EGRA Results

Report on the School Leadership Training

1 – General Information

1.1 Introduction

In November 2012, Initiative Africa has got a grant from World Vision for the “All children Reading Project” to be implemented in three regions, namely: Amahara, Oromia and Addis Ababa. Consequently, Initiative Africa (IA) has signed operational agreements with North Shewa Department of Finance and Economic Development of Amahra Region, East Shewa Department of Finance and Economic Development of Oromia Region and Department of Finance and Economic Development of Addis Ababa on the project titled “An Action Research Approach to Improve Children Reading Using EGRA Results”. With these agreements, Initiative Africa has started to implement the project in 30 selected schools of the three target regions. The project is a two year project and aims at improving the reading skill of Grade 2 and 3 students in the selected target schools.

One of the activities listed on the project document is organizing capacity building trainings for teachers and school leaders. Hence, this report presents the practices of the two days training on “how to support teachers in classroom action research” organized by the project staff.

1.2 Training Objective

The major objective of this training was to build the capacity of school leaders of the selected schools in supporting classroom action research and on some methods of teaching reading to improve reading skills of children.

1.3 Training Period and Venue

The training was conducted at Arat Kilo Sports and Education Center (Former YMCA) and the training dates were June 15 –16, 2013

1.4 Trainers and Participants

1.4.1 Trainers

The training was given in collaboration with Thinking Schools International. The training manual was developed by the Thinking Schools International via Eminence Social Entrepreneurs and Thinking Schools Ethiopia. In this training the following capable and professional trainers were selected by the Institution.



1. Mr. Robert Price
2. Ato Bereket Awoke (Coordinator)
3. Ms. Atsede Tsehay (Amharic)
4. Ms. Ruth Menbere (Oromiffa)

1.4.2 Participants

Out of the invited 44 school directors, supervisors and woreda education experts 43 of them attended the training. (See Appendix A for the list of participants). The participants were drawn from the 30 selected schools and their respective woredas of the three target regions. The following table shows the participants by region by gender.

Initiative Africa, June 20130

Table 1: Number of participants by region

Region	No. of Participants		
	M	F	Total
Addis Ababa	18	3	21
Angolela (Amhara)	8	2	10
Boset (Oromia)	9	3	12
Total	35	8	43



1.5 Summary of the Training

After the registration of participants that arrived in the training venue, Ato Eshetu Desta, from IA explained about the project in general and the training objectives and introduced the program of the training (See Appendix C for the training schedule). The opening speech was given by Ato Yehualashet, ACR Project Manager at IA. After the keynote speech, Mr. Robert Price, founder of Thinking Schools International, expressed his gratitude of being invited to facilitate the training and the actual training commenced.

The training program was conducted according to the training guide (adopted for this training) which was categorized into the following three broad sections:

- Section 1: Introducing New Language for Leading and learning
- Section 2: Learning the New Language
- Section 3: Communicating with the New Language

On the introduction session, the trainers focused on how the training helps in improving the reading skills of students explaining the following six points in brief.

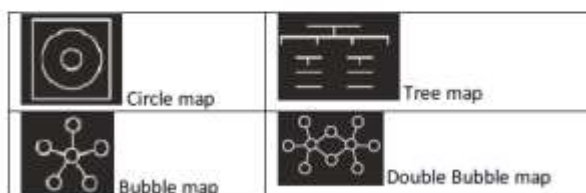
1. Visual Tools,
2. Reflective Questioning,
3. Collaborative Networking
4. Developing Dispositions,
5. Thinking Skills,
6. Structuring Environment

Then, the three categories of visual tools (**brainstorming webs, graphic organizers and conceptual mapping**), each with specific purposes and visual configurations were subjects of the discussion on the first part of the training. In section 1, Introducing New Language for Leading and learning, the following points were considered with the participants' full participation.

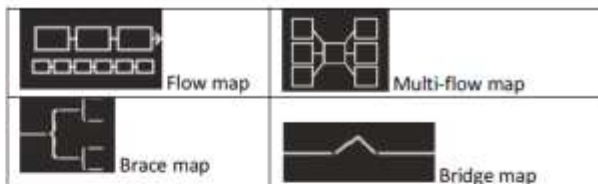
- Building personal and professional fluency with thinking process
- Facilitating organizational change processes and student achievement
- Facilitating communication, problem solving and decision making across a range of leadership areas

In section 2, about Learning the New Language, the trainers facilitated the group and plenary discussions on the following important ideas.

- Essential leadership questions
- Thinking processes facilitated
- Thinking maps as tools



The eight thinking maps were practiced by participants associating the maps with the language teaching in general and reading in particular. The participants also practiced the action research cycle. Using the thinking maps participants tried reflective questioning and narrowing action research questions.



In section 3, Communicating with the New Language,

- Collaborative problem solving and decision making
- Creating action plans using maps
- Using thinking maps for supervision and coaching

Towards the end of the training, the project staff presented on the action research selection criteria which will be used to evaluate the individual action research whereby the winners will be awarded and published as a model for sharing to other teachers. The project staff also introduced the coming action research activities schedule as was done in the teachers training. Then, the training concluded asking the participants to give their feelings about the quality of the training, the trainers' ability and the training service that was offered. Finally, the closing remarks were given by Ato Yehualashet, ACR Project Manager at Initiative Africa. In his remarks he thanked the trainees for their active participation attending the training eagerly in their weekends and for the desire they showed to change the existing problems students faced regarding reading skills. He also stressed that school leaders should help teachers on the action research using the knowledge and skills gained from this training.

1.6 Achievement and Challenges

1.6.1 Achievements

- The selection of the Institution that offered the training (Thinking Schools International) was found to be worthwhile.
- Training guide and its contents were well thought of. Thus, the quality and relevance of the training materials were maintained.
- Arrangement of the training venue at Arat Kilo Sports and Education Center is appreciated
- 98 % of the invited school leaders attended and completed the training.
- The participants became familiar with "Thinking Maps", "Classroom Action Research", and "Methods of Teaching Reading".
- Trainees were not reserved due to language barriers as they were using three languages - Amharic, Oromiffa and English

1.6.2 Challenges

- Finding accommodation for all participants in the same place and not far from the training venue
- Some irregularities in the distribution of the training guide
- There was a shortage of time for all the activities in the training guide

2. Training Evaluation

The trainees responded by indicating the extent to which they felt about the quality of the training, the trainers' ability and the training service. The scoring was on a scale of 1 to 5, where 1 = Very low; 2 = Low; 3 = Moderate; 4 = High; and 5 = Very high.

2.1 Quality of Training

The quality of the training was rated using the following five characteristics:

1. Motivating / Interesting to participants
2. Participant's involvement
3. Relevance to participant's training expectations
4. Relevance of the training material

Initiative Africa, June 20132

5. Adequacy of time

The following chart shows the summary of trainees' feedback regarding the quality of the training.



Observation

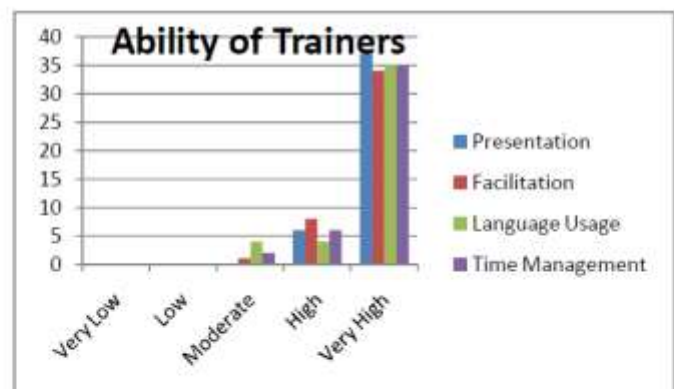
As can be seen from the above chart, the majority of participants rated the quality of the training high and very high in four of the characteristics except the adequacy of time. Concerning the adequacy of time for the training, the number of participants who rated it as low, moderate and high is almost same. Those who rated "moderate" might have thought that there wasn't enough time to complete their expectations. They needed the training to continue for some days. This shows that participants were satisfied with the training quality.

2.2 Ability of Trainers

The ability of the trainers was rated according to the following four features

1. Presentation skill
2. Facilitation
3. Language usage
4. Time management

The following chart shows the summary of trainees' feedback regarding the ability of trainers.



Observation

As can be seen from the above chart, the majority of participants rated the ability of the trainers as very high in all the five of the features stated (only some rated them as high) which shows the level of satisfaction of the trainees with the trainers.

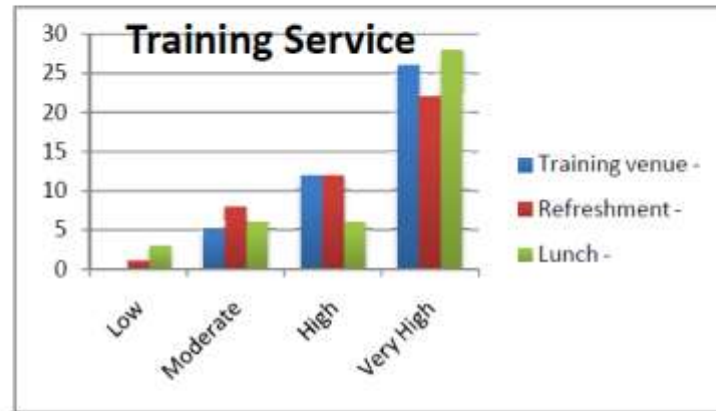
Initiative Africa, June 20133

2.3 Training Service and Coordination

The training service offered by the coordinators was rated according to the following four aspects

1. Venue (training place & hall)
2. Refreshment
3. Lunch

The following chart shows the summary of trainees' feedback regarding the training services and coordination



Observation

As can be seen from the above chart, the majority of participants (34 to 38 participants) rated the training service as high and very high. About 4 participants rated the refreshment service as low. This shows there is improvement from the previous training in the arrangement of the refreshment properly.

...//end

Appendix A: Participants' List

Appendix B: Schedule

