



# Cooperation Committee for Cambodia (CCC)

## NGO Good Practice Project (NGO GPP)

### Guidelines for Application of NGO Code and Voluntary Certification System

(2nd Revision, May 2008)

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## **Introduction**

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The objectives of this guideline are:

1. To support interested NGOs who want to become role model NGOs with good organizational practices and wish to participate in the NGO Certification System. It is aimed to assist NGOs to prepare their organizational practices to meet the standards in the Code of Ethical Principles and Minimum Standards for NGOs in Cambodia.
2. To be used as a guideline by the certification committees to review the applicant NGOs and their application materials at desk reviews and field checks to ensure the quality of the system.

NGO GPP would like to thank WG members, NGO community and other stakeholders who have contributed to this booklet.

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# 1. Mission and Values

## **Standard1.1: The NGO has a clearly defined mission statement and set of organisational values.**

### **Guidelines:**

A mission statement should:

- express the NGO's identity
- be a broad, strategic statement of the NGO's goals, attitudes and outlook
- be clearly defined to serve as a focus point to encourage others (stakeholders) to identify with the NGO's purpose
- be brief and to the point
- distinguish the NGO from other NGOs and shows what makes it different

A values statement should:

- express what an NGO believes in
- guide the staff, management and leadership of the NGO in performing their duties

### **Indicators:**

- The mission statement and organisational values statement are clearly expressed in key documents such as charter/bylaws, project proposal, annual report, and strategic plan.

## **Standard1.2: The staff are aware of the organisation's mission and values.**

### **Guidelines:**

- The organisation's mission and values are promoted through orientation to new staff members, staff meetings, and performance appraisals
- The staff members and board members are involved in development and approval the organisation's mission and values

### **Indicator:**

- Staff members are able to clearly describe the organisation's mission and values and use them to guide their decisions and activities.

## **Standard1.3: The NGO's activities are consistent with its stated goal.**

### **Guideline:**

- NGO designs its strategies and activities for their projects in line with the stated goal

### **Indicators:**

- Project proposals and annual report reflect that the NGO's regular activities match the stated goal
- Beneficiaries can describe activities in which they have been involved and these support the organisation's goal

**Standard1.4: The NGO regularly reviews its mission statement to determine if the programme activities are consistent with the stated mission.**

**Guidelines:**

- The staff members meet to review their mission statement, to determine if the current activities are consistent with the mission statement, annually.
- Strategic planning is conducted to look at internal and external factors to determine the future direction of an organisation.
- The mission is reviewed by all staff members, with board involvement during the strategic planning process and/or strategic plan review.

**Indicators:**

- The staff members meeting minutes must reflect an annual review of their mission statement, to determine if the current activities are consistent.
- The 3- 5 year strategic plan for an organisation is developed and implemented

**Standard1.5: The NGO is nonprofit.**

**Guidelines:**

- The organisation's by-laws/charter describes the status of an organisation including position and specification that the organisation is nonprofit.
- The nonprofit statement is recognised by the board members of an organisation and authorized ministries.
- The earnings from the activities or services of an organization must only be used for supporting subsidized needs of administration, personnel and programs.

**Indicators:**

- The governing document must state that it is prohibited to distribute profits or assets for the benefit of particular individuals within the organisation
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## **2. Governance**

**Standard2.1: The NGO is registered with relevant ministries.**

**Guidelines:**

- The NGO must ensure that they fulfill all legal requirements and are legally registered with the appropriate government ministry or department.
- The recognition letter(s) from the relevant ministries should be shared with local authorities and informed to the organisation's beneficiaries.

**Indicators:**

- The NGO must have a valid document from local authorities and a government department or ministry that acknowledges the organisation as registered.
- The valid registration documents and/or certification are made available at the office and to the public as requested.

## **Standard2.2: The NGO has a functioning governing body by whatever name.**

### **Guidelines:**

- The governing body should be formed with minimum 5 people, with consideration for members experience and background to meet the needs of an organization
- The NGO must have By-laws or other documents for internal regulation that explain the functioning of the governing body: how many members, quorum, how often they should meet; the main responsibilities of the Board (eg the Board recruits, supervises and evaluates the Executive Director; the Board establishes policies for the organisation, the Board should regularly review progress reports and ensure periodic assessments of the organisation's operations).
- A conflict of interest policy for the board members must be in place and implemented.

### **Indicators:**

- The governing documents define the process for selecting the governing body, how often the governing body meets and quorum for decision making.
- The role and responsibilities of the board members are defined clearly and a copy given to all board members, also available to staff and other stakeholders upon request.
- Board members are able to explain their roles and responsibilities
- The governing body meets a minimum of two times per year with clear agendas and minutes.
- The decisions from the board meeting are acted upon timely.

## **Standard2.3: The NGO adheres to clear written statutes or by-laws.**

### **Guidelines:**

Statutes or by-laws:

- forms the core of an NGO's identity and structure
- provides a basis for building the NGO's identity
- provides a basis for trustworthy relationships with other organisations
- are a critical pre-requisite for an NGO's registration with official authorities
- are internal documents, a set of rules that enables each organisation to conduct its activities
- should be written clearly and in language that is easily understood by all of the organisations stakeholders

Typical items addressed in the by-laws are:

- Name and purpose of the NGO. The purpose is usually a statement of the NGO's Mission, but can contain additional details
- The frequency, notice, and quorum requirements for organisational meetings. These can be internal or regular meeting of the NGO, or external meetings such as those for the general public, with other stakeholders etc.
- Voting qualifications and procedures for approval of boards. This is related to the governance structure of the NGO's board.
- The number and term for members of the board, scope of authority, method of nomination and election to the board, and provision for filling vacancies.
- Title and scope of authority for the executive director and other staff members who are responsible for the day to day functioning of the NGO.
- Record-keeping and financial reporting responsibilities.

- Amendment procedures for the by-laws and provisions for dissolution of the organisation.

**Indicators:**

- Statutes or by-laws are developed with participation by staff and board members and used as governing documents.
- The statutes or by-laws are used for registration documents with local authorities and relevant ministries.

**Standard2.4: The NGO develops all organisational policies, procedures and guidelines based on a participatory approach with staff members, reviewed and approved by the governing body.**

**Guidelines:**

- Key organizational documents such as human resource policies, financial management and administrative policies, procedures and guidelines are in developed and implemented fairly
- The NGO ensures that staff participation in the development of organisational policies and procedures.
- The staff members have shared their concerns and been involved in development of policies and procedures.
- The board members provide feedback and approval on the organizational policies and procedures.

**Indicators:**

- The meeting minutes indicating staff participation in the development of organizational policies, procedures and guidelines must be available
- The board meeting minutes on the organizational policies review and approval are in place.
- The staff members and board members are able to talk about the process of organizational policies development in which they have been involved.

### **3. Relationships/Communication**

**Standard3. 1: The NGO conducts and documents regular information-sharing meetings.**

**Guidelines:**

- NGO ensure that regular staff meetings are conducted with participation of all staff members, at least every three months and documented
- Annual general meeting with staff members and other stakeholders is conducted with clear agenda and minutes.

**Indicators:**

- NGO must have meeting minutes and annual general meeting minutes that show information sharing meetings within the organisation. The meeting minutes are circulated to all staff members.
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**Standard3.2: Management staff meet regularly for decision-making purposes, and meetings are documented.**

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**Indicators:**

- The meeting minutes are available and indicate that management meetings, involving management level staff, are held at least every three months.
- All management staff members are able to describe about management meeting's agenda, decisions made and actions taken following the decisions.

**Standard3.3: An annual report is to be produced and made available.**

**Guidelines:**

**What should the report contain?**

The main body of the annual report should be a concise but comprehensive summary of the main activities and achievements of the organisation during the year and how it has worked to achieve its aims and objectives.

Include the basic information about the organisation, i.e. name of organisation, the registration number, the financial year to which the reports relates, contact details, i.e. the address phone and fax number, email address and website address.

The report should include:

- a description of the vision, mission and values of the organisation
- a description of the objectives of the organization
- the name of the management committee or Board members and the names of anyone who has served on the management committee during the period covered by the report
- a review of all activities, including: achievements of the organisation during the year in relation to its objectives, any significant changes in those activities during the year, any important events affecting those activities which have occurred since the end of the year and any likely future developments in those activities
- a description of the organisational structure
- a summary financial report (revenues, expenditures and remaining balance)
- The annual report should be signed and dated by the Executive Director

**Indicators:**

- An organisational annual report is produced in a timely manner (within 3 months of end of each year).
- A single annual project report is produced accordance with agreement between the organisation and donor (s).
- The reports are available at organisation's information sources such as website, resource center, office, etc.

**Standard3.4: Fundraising communication will accurately describe the NGO's identity, purpose, programmes and scope of achievement.**

**Guidelines:**

- Descriptions of the NGO's identity, purpose, programmes and scope will provide an accurate and honest representation which matches the current planned activities.
- Fundraising communication should be done in a professional manner including these details

**Indicators:**

- Project proposals and other relevant documents should state goal and purpose that is consistent with program plan and objectives.
- Project staff members are able to describe the goal, objectives, outputs, strategies, activities, and budget in their project proposals

**Standard3.5: NGOs will participate in networks to improve coordination, disseminate information, share experiences and good practices.**

**Guideline:**

- The NGO will describe, in reports and other relevant documents, how and why it participates in networks, and the benefits of doing so.

**Indicators:**

- Annual report and other documents should contain descriptions of meetings, or activities, with other NGOs.
- Minutes of network meetings are available at an organisation's office.

## **4. Financial**

**Standard4.1: The NGO has an annual global financial audit by a qualified and recognised auditor.**

**Guidelines:**

The report usually includes the following:

- A cover letter, signed by the auditor, stating the opinion
- The financial statements, including the statement of financial position (balance sheet), statement of financial activity (income statement), and statement of cash flow. Many audits show comparative information between fiscal years.
- Notes to the financial statements, as required, which might include information about functional expenses, a depreciation schedule, further information about contributions, volunteer services, and other significant information not obvious in the financial statements.
- The recommendations from the auditors should be followed up and improvements made as appropriate.

**Indicators:**

- The NGO ensures an annual global financial audit is conducted which is documented
- Audit report, including management report and financial statement, must be available.

- The recommendations of the auditors are, where feasible, incorporated into organisations working practices

**Standard4.2: The NGO implements clear written financial management policies, procedures and systems.**

**Guidelines:**

The financial management manual should include details as the following:

- Systems in place to provide the appropriate information needed by staff and board to make sound financial decisions.
- Processes for budget planning, review, and approval, including who is responsible for each part of the process.
- Source of income and how to manage it.
- A written fiscal policy and procedures manual and follows it.
- A set of internal controls, including the handling of cash and deposits, approval over spending and disbursements.
- Identifies authorised check signers and the number of signatures required on checks in excess of specified amounts.
- All expenses of the organisation are approved by a designated person before payment is made.
- An annual, independent audit of their financial statements, prepared by a certified public accountant.
- The Board of Directors, or an appropriate committee, reviews and approves the audit report and management letter and with staff input and support, institutes any necessary changes.
- The annual report includes financial statements, and is made available to service recipients, volunteers, contributors, funders and other interested parties.

**Indicators:**

- The NGO develops financial management policies and procedures, which are documented
- The financial policies and procedures are available to all staff members and the members can describe the contents of the policies and procedures.

## **5. Accountability and Transparency**

**Standard5.1: The NGO provides members of the public, the target population, donors and governments with accurate information about their activities, finances and other relevant information.**

**Guidelines:**

- The NGO presents their annual report and summary financial statement to key stakeholders.
- The NGO conducts an annual progress update briefing meeting with its target communities and other stakeholders.

**Indicators:**

- List of information distribution is available to check
- Public, beneficiaries, donors and relevant government can explain what kind of information and documents they receive from the NGO.

**Standard5.2: The NGO has a written conflict of interest policy that applies to all Board members and staff members.**

**Guidelines:**

Organisational policies and/or other relevant documents must contain conflict of interest policy statement.

A conflict of interest statement should:

- Define conflict of interest
- Specify the persons who will be covered by the policy
- Require regular disclosure of information related to conflicts of interest
- Specify procedures for handling potential or actual conflicts of interest when they arise

**Indicators:**

- Governing documents define conflict of interest and clearly express the NGO's policy which applies to all staff members and board members
- The policy includes procedures for addressing a conflict of interest

## **6. Quality**

**Standard6.1: The NGO conducts regular monitoring and evaluation of the organisational management and the programme.**

**Guidelines:**

- NGO produces evidence that their organisational management has been monitored and reviewed
- NGO produces evidence that programmes have been monitored and reviewed
- NGO is encouraged to conduct internal evaluation on program and organizational management with participation from beneficiaries and other relevant stakeholders
- NGO must conduct the external evaluation on its program and organization
- NGO should make improvement to its program and organization based on findings and recommendations from the monitoring and evaluation report.

**Indicators:**

- Monitoring tools and system for organization and program are developed and implemented with participation from staff members and available to check
- Internal and external evaluation on organization and program management reports are produced and made available

**Standard6.2: The NGO ensures the participation of the target groups/population in development processes.**

**Guidelines:**

- Proposals, annual report and other relevant documents should contain descriptions of how the NGO involves the community in development processes.
- The target beneficiaries participate in initial assessment of community needs and are involved in developing program's objectives and activities.
- NGO encourage the target beneficiaries participate in program monitoring and provide opportunities to them to raise questions

**Indicators:**

- Target community participation is described in the annual report, project proposals and meeting minutes, etc
- The beneficiaries can describe their involvement in development processes

## 7. Human Resources

**Standard 7.1: The NGO has clear and fair written staff policies and procedures which are implemented.****Guidelines:**

- The labor law of Cambodia should be considered when developing policies to ensure the NGO is compliant with the law.
- A staff policy document is produced, which includes provisions covering key areas as in guidelines below

**Sample List of Personnel Policies**

The following is a sample list of policies. Consider the following list to get an impression of some of the major policies in an organisation. This list is by no means definitive for every organisation. The policies developed by one organisation depend on the nature and needs of the organisation.

**Organisational Profile:**

- History of organisation, Values, Vision, Mission, Goal, and Objectives

**Code of Conduct****Work Schedule**

- Work day hours and Lunch periods
- Leave Entitlement (annual holidays, vacation, sick, personal, maternity, paternity, and leave without pay, etc)

**Recruitment:**

- Recruitment procedures
- Job description
- Contracts
- Probation
- Orientation

**Compensation**

- Paydays
- Overtime and compensation time
- Salary ranges/scale
- Positioning pay within a salary range
- Maintaining competitive salary information
- Reclassifying positions
- Salary review policy
- Promotional increases
- Taxations

**Payroll Information**

- Payroll information -- Required and voluntary payroll deductions

**Benefits**

- Eligibility and general information
- Types of available benefits
- Medical insurance
- Pension plan

**Training and Development**

- On the job training policies
- Out of the job training policies

**Staff Compensation Information and Procedures**

- When there is an injury or accident on the job
- What is covered under Staff Compensation
- Medical expenses resulting from a work-related injury
- Resources available

**Performance Assessment Procedures**

- Performance assessment cycle
- Review Job Description
- Dealing with performance issues
- Discipline: when the positive approach does not work
- Separation from employment

**Supplementary Information**

- Harassment and discrimination policies
- Grievance policy
- Conflict of interest
- Gender Equity or Equal opportunity
- Confidentiality note
- HIV/AIDS policy
- Child protection policy
- Occupation health and safety

**Termination**

- Minor misconduct
- Gross misconduct

**Data Practices**

- Definitions
- Security of Records
- External releases
- Internal releases
- Use of data
- Legal procedures
- Destruction of records
- Staff access

**Indicators:**

- A personnel policy manual must be in place, accessible and applied to all staff members.
- Staff members must be able to describe the policies contained in manual and their involvement in the policies development

**Standard 7.2: Management and staff roles and responsibilities are clearly defined and written.****Guidelines:**

- NGO should produce contracts for all staff members and regularly renew based on the result of performance appraisal
- NGO must develop clear job descriptions for all staff members
- The job description should include job title, location, reporting and management line, term of contract, salary range, job summary, responsibilities, and qualification, etc.

**Indicator:**

- Job descriptions are in place for each position and staff members are able to clearly describe their roles and responsibilities.

**Standard 7.3: Each staff member has an annual performance appraisal.****Guidelines:**

- Performance appraisal (PA) form and procedure must be developed with participation from staff members.
- Performance appraisals are formal review and assessment of employees work performance and achievement, frequently leading to development plans for future. PA must be conducted for all employees and kept in confidential files.
- Performance appraisal of employee's performance must be conducted by the line manager with participation from staff member following the performance appraisal form and procedure.
- Performance appraisal conducted for the Executive Director by appropriate person (usually conducted by board)

**Indicators:**

- Performance appraisal form and procedure is in place and used for all staff members
- Staff members can describe the process of performance appraisal and the purpose of the appraisal
- The result of performance appraisals are available

**Standard 7.4: The NGO has policies and procedures to promote gender and minority equity.****Guidelines:**

A gender and minority equity policy:

- supports the achievement of equality between women and men, and minorities, to ensure sustainable development

- advances the equal participation of men, women and minorities as decision-makers in shaping the sustainable development of their societies
- reduces gender or minority inequalities in access to and control over the resources and benefits of development

**Indicators:**

- A gender and minority equity statement is developed and included in organisational policy documents.
- The policy is applied to both organisational level and program level of the organisation.

**Standard7.5: The NGO has a clear, written grievance policy and procedures that protects the interests and rights of all staff members.**

**Guidelines:**

The organisational policy manual should include a clear grievance procedure to address issues that arise in the workplace.

The grievance procedure should:

- Encourage individuals to work together to solve difficulties
- Provide a clear path of reconciliation if possible (ie. Line manager, line manager supervisor, Director, Board of Director, etc)
- Include clear timeframes within which issues must be raised and responded to
- Allow the individual to have a support person through the process

**Indicators:**

- Staff policy document includes a grievance policy and clearly explains procedures
- The problem (s) are addressed fairly and satisfactorily
- Staff are aware of and able to describe the grievance procedure

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- a description of the objectives of the organization
- the name of the management committee or Board members and the names of anyone who has served on the management committee during the period covered by the report
- a review of all activities, including: achievements of the organisation during the year in relation to its objectives, any significant changes in those activities during the year, any important events affecting those activities which have occurred since the end of the year and any likely future developments in those activities
- a description of the organisational structure
- a summary financial report (revenues, expenditures and remaining balance)
- The annual report should be signed and dated by the Executive Director

**Indicators:**

- An organisational annual report is produced in a timely manner (within 3 months of end of each year).
- A single annual project report is produced accordance with agreement between the organisation and donor (s).
- The reports are available at organisation's information sources such as website, resource center, office, etc.

**Standard3.4: Fundraising communication will accurately describe the NGO's identity, purpose, programmes and scope of achievement.**

**Guidelines:**

- Descriptions of the NGO's identity, purpose, programmes and scope will provide an accurate and honest representation which matches the current planned activities.
- Fundraising communication should be done in a professional manner including these details

**Indicators:**

- Project proposals and other relevant documents should state goal and purpose that is consistent with program plan and objectives.
- Project staff members are able to describe the goal, objectives, outputs, strategies, activities, and budget in their project proposals

**Standard3.5: NGOs will participate in networks to improve coordination, disseminate information, share experiences and good practices.**

**Guideline:**

- The NGO will describe, in reports and other relevant documents, how and why it participates in networks, and the benefits of doing so.

**Indicators:**

- Annual report and other documents should contain descriptions of meetings, or activities, with other NGOs.
- Minutes of network meetings are available at an organisation's office.

## **4. Financial**

**Standard4.1: The NGO has an annual global financial audit by a qualified and recognised auditor.**

**Guidelines:**

The report usually includes the following:

- A cover letter, signed by the auditor, stating the opinion
- The financial statements, including the statement of financial position (balance sheet), statement of financial activity (income statement), and statement of cash flow. Many audits show comparative information between fiscal years.
- Notes to the financial statements, as required, which might include information about functional expenses, a depreciation schedule, further information about contributions, volunteer services, and other significant information not obvious in the financial statements.
- The recommendations from the auditors should be followed up and improvements made as appropriate.

**Indicators:**

- The NGO ensures an annual global financial audit is conducted which is documented
- Audit report, including management report and financial statement, must be available.

- The recommendations of the auditors are, where feasible, incorporated into organisations working practices

**Standard4.2: The NGO implements clear written financial management policies, procedures and systems.**

**Guidelines:**

The financial management manual should include details as the following:

- Systems in place to provide the appropriate information needed by staff and board to make sound financial decisions.
- Processes for budget planning, review, and approval, including who is responsible for each part of the process.
- Source of income and how to manage it.
- A written fiscal policy and procedures manual and follows it.
- A set of internal controls, including the handling of cash and deposits, approval over spending and disbursements.
- Identifies authorised check signers and the number of signatures required on checks in excess of specified amounts.
- All expenses of the organisation are approved by a designated person before payment is made.
- An annual, independent audit of their financial statements, prepared by a certified public accountant.
- The Board of Directors, or an appropriate committee, reviews and approves the audit report and management letter and with staff input and support, institutes any necessary changes.
- The annual report includes financial statements, and is made available to service recipients, volunteers, contributors, funders and other interested parties.

**Indicators:**

- The NGO develops financial management policies and procedures, which are documented
- The financial policies and procedures are available to all staff members and the members can describe the contents of the policies and procedures.

## **5. Accountability and Transparency**

**Standard5.1: The NGO provides members of the public, the target population, donors and governments with accurate information about their activities, finances and other relevant information.**

**Guidelines:**

- The NGO presents their annual report and summary financial statement to key stakeholders.
- The NGO conducts an annual progress update briefing meeting with its target communities and other stakeholders.

**Indicators:**

- List of information distribution is available to check
- Public, beneficiaries, donors and relevant government can explain what kind of information and documents they receive from the NGO.

**Standard5.2: The NGO has a written conflict of interest policy that applies to all Board members and staff members.**

**Guidelines:**

Organisational policies and/or other relevant documents must contain conflict of interest policy statement.

A conflict of interest statement should:

- Define conflict of interest
- Specify the persons who will be covered by the policy
- Require regular disclosure of information related to conflicts of interest
- Specify procedures for handling potential or actual conflicts of interest when they arise

**Indicators:**

- Governing documents define conflict of interest and clearly express the NGO's policy which applies to all staff members and board members
- The policy includes procedures for addressing a conflict of interest

## **6. Quality**

**Standard6.1: The NGO conducts regular monitoring and evaluation of the organisational management and the programme.**

**Guidelines:**

- NGO produces evidence that their organisational management has been monitored and reviewed
- NGO produces evidence that programmes have been monitored and reviewed
- NGO is encouraged to conduct internal evaluation on program and organizational management with participation from beneficiaries and other relevant stakeholders
- NGO must conduct the external evaluation on its program and organization
- NGO should make improvement to its program and organization based on findings and recommendations from the monitoring and evaluation report.

**Indicators:**

- Monitoring tools and system for organization and program are developed and implemented with participation from staff members and available to check
- Internal and external evaluation on organization and program management reports are produced and made available

**Standard6.2: The NGO ensures the participation of the target groups/population in development processes.**

**Guidelines:**

- Proposals, annual report and other relevant documents should contain descriptions of how the NGO involves the community in development processes.
- The target beneficiaries participate in initial assessment of community needs and are involved in developing program's objectives and activities.
- NGO encourage the target beneficiaries participate in program monitoring and provide opportunities to them to raise questions

**Indicators:**

- Target community participation is described in the annual report, project proposals and meeting minutes, etc
- The beneficiaries can describe their involvement in development processes

## 7. Human Resources

**Standard 7.1: The NGO has clear and fair written staff policies and procedures which are implemented.****Guidelines:**

- The labor law of Cambodia should be considered when developing policies to ensure the NGO is compliant with the law.
- A staff policy document is produced, which includes provisions covering key areas as in guidelines below

**Sample List of Personnel Policies**

The following is a sample list of policies. Consider the following list to get an impression of some of the major policies in an organisation. This list is by no means definitive for every organisation. The policies developed by one organisation depend on the nature and needs of the organisation.

**Organisational Profile:**

- History of organisation, Values, Vision, Mission, Goal, and Objectives

**Code of Conduct****Work Schedule**

- Work day hours and Lunch periods
- Leave Entitlement (annual holidays, vacation, sick, personal, maternity, paternity, and leave without pay, etc)

**Recruitment:**

- Recruitment procedures
- Job description
- Contracts
- Probation
- Orientation

**Compensation**

- Paydays
- Overtime and compensation time
- Salary ranges/scale
- Positioning pay within a salary range
- Maintaining competitive salary information
- Reclassifying positions
- Salary review policy
- Promotional increases
- Taxations

**Payroll Information**

- Payroll information -- Required and voluntary payroll deductions

**Benefits**

- Eligibility and general information
- Types of available benefits
- Medical insurance
- Pension plan

**Training and Development**

- On the job training policies
- Out of the job training policies

**Staff Compensation Information and Procedures**

- When there is an injury or accident on the job
- What is covered under Staff Compensation
- Medical expenses resulting from a work-related injury
- Resources available

**Performance Assessment Procedures**

- Performance assessment cycle
- Review Job Description
- Dealing with performance issues
- Discipline: when the positive approach does not work
- Separation from employment

**Supplementary Information**

- Harassment and discrimination policies
- Grievance policy
- Conflict of interest
- Gender Equity or Equal opportunity
- Confidentiality note
- HIV/AIDS policy
- Child protection policy
- Occupation health and safety

**Termination**

- Minor misconduct
- Gross misconduct

**Data Practices**

- Definitions
- Security of Records
- External releases
- Internal releases
- Use of data
- Legal procedures
- Destruction of records
- Staff access

**Indicators:**

- A personnel policy manual must be in place, accessible and applied to all staff members.
- Staff members must be able to describe the policies contained in manual and their involvement in the policies development

**Standard 7.2: Management and staff roles and responsibilities are clearly defined and written.****Guidelines:**

- NGO should produce contracts for all staff members and regularly renew based on the result of performance appraisal
- NGO must develop clear job descriptions for all staff members
- The job description should include job title, location, reporting and management line, term of contract, salary range, job summary, responsibilities, and qualification, etc.

**Indicator:**

- Job descriptions are in place for each position and staff members are able to clearly describe their roles and responsibilities.

**Standard 7.3: Each staff member has an annual performance appraisal.****Guidelines:**

- Performance appraisal (PA) form and procedure must be developed with participation from staff members.
- Performance appraisals are formal review and assessment of employees work performance and achievement, frequently leading to development plans for future. PA must be conducted for all employees and kept in confidential files.
- Performance appraisal of employee's performance must be conducted by the line manager with participation from staff member following the performance appraisal form and procedure.
- Performance appraisal conducted for the Executive Director by appropriate person (usually conducted by board)

**Indicators:**

- Performance appraisal form and procedure is in place and used for all staff members
- Staff members can describe the process of performance appraisal and the purpose of the appraisal
- The result of performance appraisals are available

**Standard 7.4: The NGO has policies and procedures to promote gender and minority equity.****Guidelines:**

A gender and minority equity policy:

- supports the achievement of equality between women and men, and minorities, to ensure sustainable development

- advances the equal participation of men, women and minorities as decision-makers in shaping the sustainable development of their societies
- reduces gender or minority inequalities in access to and control over the resources and benefits of development

**Indicators:**

- A gender and minority equity statement is developed and included in organisational policy documents.
- The policy is applied to both organisational level and program level of the organisation.

**Standard7.5: The NGO has a clear, written grievance policy and procedures that protects the interests and rights of all staff members.**

**Guidelines:**

The organisational policy manual should include a clear grievance procedure to address issues that arise in the workplace.

The grievance procedure should:

- Encourage individuals to work together to solve difficulties
- Provide a clear path of reconciliation if possible (ie. Line manager, line manager supervisor, Director, Board of Director, etc)
- Include clear timeframes within which issues must be raised and responded to
- Allow the individual to have a support person through the process

**Indicators:**

- Staff policy document includes a grievance policy and clearly explains procedures
- The problem (s) are addressed fairly and satisfactorily
- Staff are aware of and able to describe the grievance procedure