

# **INDEPTH Network**

*Secretariat*

***POLICIES***

*Written, Developed and Agreed by  
INDEPTH Staff  
Through a Consultative Process in 2009*

*Reviewed and endorsed by the  
INDEPTH Board*

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# INDEPTH Network

## Grievance Procedure

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The grievance procedure is intended as the tool by which an employee may formally have a grievance, regarding any condition of their employment, heard by the management of the INDEPTH. The aggrieved employee should be heard in person, and if necessary accompanied by a colleague who is also an employee of INDEPTH or where the employee desires he/she may be represented by a solicitor.

In the event of an employee wishing to raise a grievance, it is preferable for the grievance to be satisfactorily resolved as close to the employee and his/her line manager as possible. It is understood however that this is not always possible and that a formal procedure is required to ensure the swift and fair resolution of matters which aggrieve INDEPTH's employees.

Time scales have been fixed to ensure that grievances are dealt with quickly, however these may be extended if it is agreed upon by both parties.

This procedure is not intended to deal with:

1. Dismissal or disciplinary matters which are dealt with in a separate procedure.
2. Disputes which are of a collective nature and which are dealt with in a separate procedure.

### Stage 1

An employee who has a grievance, should raise the matter with his/her manager immediately either verbally or in writing. If the matter itself concerns the employee's immediate manager, then the grievance should be taken to their superior.

If the manager is unable to resolve the matter then a formal written grievance form should be submitted (see appendix 1). The manager should then respond within **2 working days** (i.e. the manager's normal working days) to the grievance unless an extended period of time is agreed upon by both parties. The response will give a full written explanation of the manager's decision and who to appeal to if still aggrieved.

### Stage 2

Ordinarily, the decision of the manager should be final and the matter should be closed. However, in some circumstances the employee may remain aggrieved and can appeal against the decision of the manager concerned.

The appeal, to the manager next in line, must be made within ten working days of the original response to the employee's grievance. The appeal must be in writing (see appendix 2) and should contain the original formal Grievance form. The manager appealed to should use his/her best endeavours to resolve the grievance. A formal response and full explanation will be given in writing, as will the name of the person to whom they can appeal if still aggrieved, **within 7 days**.

Where the 'next in line' manager at this stage is the Head of Section with responsibility for the employee's function, then the grievance should immediately progress to stage 3.

### Stage 3

If the employee remains aggrieved there will be a final level of appeal to the Head of Section responsible for the employee's function. This appeal must be made in writing (see appendix 3), enclosing a copy of the original Formal Grievance form within ten working days of receipt of the Stage 2 response. The Head of Section will arrange and hear the appeal with a member of the management team and respond formally with a full explanation **within 20 working days**. The decision of the Head of Section is final and the matter will be closed.

Where a grievance is raised against a Head of Section then the grievance will be heard by the Executive Director.

There is no further right of appeal. Where however **both** parties agree that there would be some merit in referring the matter to a third party for advice, mediation or arbitration, arrangements will then be made to find a mutually acceptable third party.

If the grievance is against INDEPTH itself, then INDEPTH should be responsible for the expenses in the mediation or arbitration process.

If, however, the grievance is between workers, they would be responsible for the expenses in the mediation or arbitration process.

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**Appendix 1**

*To:*

*From:*

*Dept:*

*Date:*

*Immediate Superior:*

Dear

I wish to take a formal grievance out against:

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in line with the INDEPTH Grievance Procedure. The details of my grievance are shown below:

Yours sincerely,

***(Manager should respond to this formal written grievance within 2 working days unless an extended period for response is mutually agreed)***

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**Appendix 2**

*To*

*From*

*Dept*

*Date*

*Immediate Superior*

Dear

On (within 10 days of the response to the initial formal grievance) my grievance against was heard by

I am not satisfied with the outcome of this meeting and would like to appeal to your good self for a further hearing of my grievance, in line with the INDEPTH Grievance Procedure.

My grounds for this appeal are:

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I enclose a copy of the original letter regarding this matter and any other correspondence and information related to it.

Yours sincerely

***(Manager should respond to this formal written grievance within 7 days unless an extended period for response is mutually agreed)***

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**Appendix 3**

To (Director):

From:

Dept:

Date:

Immediate Superior:

Dear

On (within 10 days of the response to the second stage of the formal grievance) I appealed against the decision made in my initial grievance against.....

I remain dissatisfied with the outcome of this meeting and would like to appeal to your good self for a further hearing of my grievance, in line with the INDPETH Grievance Procedure.

My grounds for this appeal are:

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I enclose a copy of the original letter regarding this matter and any other correspondence and information related to it.

Yours sincerely

***(Head of Section should respond to this formal written grievance within 20 working days unless an extended period for response is mutually agreed)***

# INDEPTH Network

## Industrial Disputes Procedure

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### 1. POLICY

An industrial dispute is a collective grievance raised by more than one employee, for instance, dispute over terms and conditions of service, physical condition in which workers are required to work, the employment and non-employment or termination, or suspension of employment of one or more workers and the social and economic interest of workers, but does not include any matter concerning the interpretation of the administrative manual.

INDEPTH attaches great importance to the establishment of clear procedures for settling disputes with employees which cannot be resolved through normal management processes.

### 2. DISPUTES PROCEDURE

Disputes should be settled by negotiation at INDEPTH. For the purposes of negotiation INDEPTH shall be represented by

- The Executive Director,
- Chair of the Administration Subcommittee of the Board
- The Administration Manager or a member of the senior managerial team
- A member of the non-managerial team
- Solicitor to INDEPTH

Where the dispute remains unresolved the dispute shall be referred to the Board which shall decide the dispute as a committee of the whole and the decision of the Board shall final and the disputed will be declared resolved.

Representatives of employees shall be present at all hearings but shall not be present when the INDEPTH Negotiating Team or the Board is considering their decision.

Where in exceptional circumstances the employees are not satisfied with the decision of the Board, the employees shall petition the National Labour Commission of Ghana for mediation and arbitration under the rules of the National Labour Commission of Ghana.

The parties to the dispute shall settle their own costs at the mediation and arbitration at the National Labour Commission of Ghana.

### 3. STATUS QUO WORKING

The status quo working arrangements, that is, the conditions in place immediately before the dispute was raised, shall operate until the agreed disputes procedures have been exhausted.

### 4. TIME LIMITS

It is in the interest of both INDEPTH and its employees that disputes should be resolved quickly. INDEPTH believes that a dispute should be resolved within six weeks of the date it was lodged.



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**APPENDIX A****NOTICE OF A DISPUTE**

This form should be completed by an employee(s), to register that a dispute exists. It should be handed to the Executive Director, copied to the Chair of the Admin Subcommittee of the Board.

**PARTIES**

Employees (names):

Manager (name):

Designation:

**NATURE OF DISPUTE**

What are the points of disagreement between management and employees.

# INDEPTH Network

## Harassment and Bullying Policy & Procedure

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### 1. POLICY

- 1.1 INDEPTH recognises that all employees have a right to work in an environment in which the dignity of individuals is respected and which is free from harassment and bullying. It is committed to eliminating intimidation in any form.
- 1.2 The Policy applies to harassment on the grounds of disability, gender, marital status, sexual orientation, age, creed, colour, race or ethnic origin.
- 1.3 Harassment breaches INDEPTH's Equal Opportunities Policy and it is classified as a serious offence which may result in summary dismissal under the Disciplinary Procedure.
- 1.4 The Policy applies to all staff employed by the INDEPTH.

### 2. DEFINITION

- 2.1 Harassment has no definition in law but is generally described as "unwanted conduct which affects the dignity of women or men at work; it encompasses unwelcome physical, verbal or non-verbal behaviour which denigrates or ridicules or is intimidatory". The essential characteristic of harassment is that the action(s) is unwanted by the recipient.
- 2.2 The following interpretations and examples of harassment may be helpful in determining whether harassment has taken place.

#### • General Harassment

"Harassment can take many forms and may be directed against people because of their age, status, sex, sexual orientation, physical or mental disability or some other characteristic. It may involve action, behaviour, comment or physical contact which is found objectionable or which causes offence; it can result in the recipient feeling threatened, humiliated or patronised and it can create an intimidating work environment."

#### • Sexual Harassment

"Sexual harassment can be defined as an uninvited, unreciprocated and unwelcome behaviour of a sexual nature which is offensive to the person involved and causes that person to feel threatened, humiliated or embarrassed. Examples of sexual harassment are:

- requests for sexual favours, including implied or overt promises of preferential treatment or threats concerning present or future employment status;
- offensive gestures or comments;
- sexually-orientated jibes, innuendo or jokes;
- unwanted physical contact;
- the display of sexually offensive visual material such as calendars, photographs, books or videos.

Sexual harassment may be experienced by men or women as a result of the conduct of men or women. It applies equally regardless of grade or level of job and may also occur when dealing with external clients and/or members of the public".

#### • **Racial or Sectarian Harassment**

"In the workplace, racial or sectarian harassment may take the form of actual or threatened physical abuse or it may involve offensive jokes, verbal abuse, language, graffiti or literature of a racist or sectarian nature or offensive remarks about a person's skin colour, physical characteristics or religion. It may also include repeated exclusion of a person from an ethnic or religious minority from conversations, patronising remarks, unfair allocation of work or pressure about the speed and/or quality of their work in a way which differs from the treatment of other employees."

Bullying is the intimidation or belittling of someone through the misuse of power or position which leaves the recipient feeling hurt, upset, vulnerable or helpless. It is often inextricably linked to the areas of harassment described above.

The following are examples of bullying:

- Unjustified criticism of an individual's personal or professional performance, shouting at an individual, criticising an individual in front of others.
- Spreading malicious rumours or making malicious allegations.
- Intimidation or ridicule of individuals with disabilities and /or learning difficulties.
- Ignoring or excluding an individual from the team and group

### **3. RESPONSIBILITIES OF MANAGERS**

- 3.1 Every manager has an obligation to prevent harassment and bullying and to take immediate action once it has been identified, whether or not a complaint has been made.
- 3.2 Allegations of harassment or bullying, received either informally or formally through the Grievance Procedure, must be dealt with promptly and sensitively.
- 3.3 It is important that managers recognise that sexual harassment is any sexual advance unwanted by the recipient or behaviour which causes offence to the recipient. Similarly, racial harassment is behaviour which is racially offensive to the recipient. Managers must therefore take care to ensure that they do not pre-judge situations based on their own sexual or racial attitudes and perceptions.
- 3.4 It may not always be appropriate for a line manager to be involved with specific complaints. For example, if the complainant is male and wishes to speak to a male, but the line manager is female, or, if the complaint relates to the conduct of the line manager. The procedure in Section 6 sets out the alternatives for such instances.

### **4. RESPONSIBILITIES OF ALL EMPLOYEES**

- 4.1 Every employee has a personal responsibility **NOT** to harass or bully other members of staff.

- 4.2 An employee who becomes aware of harassment or bullying occurring should bring the matter to the attention of his/her manager.

## 5. REDRESS

- 5.1 An employee who feels that he/she has been harassed or bullied has a right to seek redress via the procedures set out in Section 6.

## 6. PROCEDURE FOR DEALING WITH HARASSMENT

- 6.1 An employee who feels that he/she is being subjected to harassment or bullying may attempt to resolve the matter informally in the first instance. In some cases it may be possible and sufficient for him/her to explain clearly to the person(s) engaged in the unwanted activities that the behaviour is unwelcome, that it offends or makes him/her uncomfortable.

- If at the initial informal discussion stage the circumstances are too difficult or embarrassing to approach the harasser alone, the complainant may wish to be accompanied by a friend or colleague;
- the complainant may wish to write a letter to the harasser (research has shown this to be very effective);
- the complainant should keep a record of any incidents, detailing when, where, what occurred, and witnesses (if any);
- in some cases victims of harassment or bullying may not be sufficiently confident to tell the harasser that his or her behaviour is unacceptable. INDEPTH emphasises, therefore, that employees **are not required** to approach the harasser in an attempt to resolve the problem informally, and are entitled to report the matter immediately if they so wish.

- 6.2 Where the steps outlined in 6.1 above are unsuccessful or inappropriate, the complainant should raise the matter informally and in confidence with his/her line manager. Alternatively, the matter may be raised with the Administrative Manager or a senior manager of the same sex as the complainant.

- 6.3 If the complaint relates to the conduct of the complainant's manager, the complainant may choose to discuss the matter with his/her manager's line manager.

- 6.4 The Administrative Manager will discuss the matter with the complainant and agree a course of action. The complainant may be accompanied by a colleague at these meetings. The alleged harasser will also have the right to state his/her version of events to the manager and to also be accompanied by a colleague.

- 6.5 The complainant must be assured that he/she will not be discriminated against or victimised for raising the complaint. Confidentiality will be observed throughout and the need for any disclosure of the details of the case will be discussed and agreed.

- 6.6 If at any stage in the process the complainant, the manager dealing with the complaint or the accused may feel that they need the help of an independent person before deciding on the best course of action, INDEPTH will provide a network of trained persons who can give confidential advice and assistance, including:

- advising on the nature of harassment;
- offering guidance on resolving harassment problems, including acting as an independent broker
- advising on the use of the INDEPTH's Grievance Procedure.

These individuals will generally be employees of the INDEPTH trained in harassment matters, however the INDEPTH will also maintain an individual who is external to the INDEPTH should that be more appropriate for the individual who requires assistance. The name and method of contact for these trained individuals can be supplied confidentially from the HR Section.

- 6.7 If the situation cannot be resolved informally then the complainant has the right to pursue his or her complaint formally via the INDEPTH's Grievance Procedure.
- 6.8 Where management considers that there may be evidence of harassment, it may consider it appropriate to undertake a full investigation of the circumstances. In this case a manager not connected with the department involved, or an individual external to the INDEPTH will be commissioned to undertake this investigation. Best practice in relation to confidentiality will be maintained during this investigation; and both the complainant and alleged harasser will have the opportunity to have their say. The investigator will also interview and take statements from any appropriate witnesses to the alleged harassment.
- 6.9 Where there is evidence that harassment has occurred, prompt and corrective action will be taken, including disciplinary action where appropriate. Harassment is a serious offence which may result in summary dismissal.

## **7. COMMUNICATION**

- 7.1 All staff will be informed of the Harassment Policy and Procedure. They must be re-assured regarding:
- fear that others will consider the behaviour trivial and not take complaints of harassment seriously;
  - fear that no action will be taken against a person guilty of harassment;
  - fear of retaliation or victimisation in registering a complaint either informally or formally through the Grievance Procedure.
- 7.2 The Harassment Policy and Procedure will be in staff induction programmes, with a summary in the Staff Handbook.

## **8. TRAINING**

- 8.1 Training will be provided for those employees who have a specific responsibility for implementing the Procedure or who may be involved in dealing with complaints which arise. In particular, training will be provided for the network of advisers referred to above.

## **9. MONITORING AND REVIEW**

- 9.1 In order to assess the effectiveness of the Procedure, statistics will be maintained in respect of the complaints of harassment. Strict confidentiality will be maintained.
- 9.2 The Administrative Manager/appropriate Line Manager will be responsible for reviewing the Policy and Procedure one year after implementation and bi-annually thereafter.

# INDEPTH Network

## Whistleblowing Policy

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### Introduction

The INDEPTH Network is committed to the highest standards of openness, probity and accountability.

An important aspect of accountability and transparency is a mechanism to enable employees of INDEPTH to voice concerns in a responsible and effective manner.

It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. Nevertheless, where an individual discovers information which he/she believes reveals serious malpractice or wrongdoing within INDEPTH then this information should be disclosed internally without fear of reprisal, and there should be arrangements to enable this to be done independently of line management (although in relatively minor instances the line manager would be the appropriate person to be told).

INDEPTH Network guarantees that employees will not be dismissed or penalised by because they have publicly disclosed certain serious concerns. INDEPTH has endorsed the provisions set out below so as to ensure that no employee would feel threatened in raising legitimate concerns.

It should be emphasised that this policy is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial or business decisions taken by INDEPTH in accordance with established procedure, nor should it be used to reconsider any matters which have already been addressed under harassment, complaint, disciplinary or other procedures.

Upon the adoption of these procedures, it is expected that employees will resort to them rather than to air their complaints outside INDEPTH.

This policy will be used jointly with the laws on whistle blowing in Ghana and in any country in which INDEPTH has a satellite office.

### Scope of Policy

This policy is designed to enable employees of INDEPTH to raise concerns internally and at a high level and to disclose information which the individual believes shows malpractice or impropriety or misuse of INDEPTH assets, and especially so when a trend of these is shown. This policy is intended to cover concerns which are in the interest of INDEPTH and may at least initially be investigated separately but might then lead to the invocation of other procedures e.g. disciplinary. These concerns could include:

- Financial malpractice or impropriety or fraud;
- Failure to comply with a legal obligation or Statutes;
- Dangers to Health & Safety or the environment ;
- Criminal activity;
- Misuse of INDEPTH assets;
- Improper conduct or unethical behaviour; and
- Attempts to conceal any of these.

## **Safeguards**

### **i. Protection**

This policy is designed to offer protection to those employees of INDEPTH who disclose such concerns provided the disclosure is made:

- in good faith;
- in the reasonable belief of the individual making the disclosure that it tends to show malpractice or impropriety and if they make the disclosure to an appropriate person (see below); and
- *It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure. In an extreme case malicious allegations could give rise to legal action on the part of the persons complained about.*

### **ii. Confidentiality**

INDEPTH will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, where necessary for a successful investigation, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.

### **iii. Anonymous Allegations**

This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously may not be given credibility, but they may be considered at the discretion of INDEPTH.

In exercising this discretion, the factors to be taken into account will include:

- The seriousness of the issues raised;
- The credibility of the concern; and
- The likelihood of confirming the allegation from attributable sources.

### **iv. Untrue Allegations**

If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against that individual. In making a disclosure the individual should exercise due care to ensure the accuracy of the information.

If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against that individual.

## **Procedures for Making a Disclosure**

All complaints of malpractice should be directed to the Chairman of the Board of Directors who would as soon is reasonably possible, pass on the complaint to an investigating officer designated by the Board who would report to the Board.

No employee should make a complaint to an organisation outside INDEPTH as a matter of first course.

Where investigation of the complaint reveals criminality, the Board must inform the police. INDEPTH will ensure that any internal investigation does not hinder a formal police investigation.

### **Timescales**

Due to the varied nature of these sorts of complaints, which may involve internal investigators and/or the police, it is not possible to lay down precise timescales for such investigations. The investigating officer should ensure that the investigations are undertaken as quickly as possible without affecting the quality and depth of those investigations.

The investigating officer, should as soon as practically possible, send a written acknowledgement of the concern to the complainant and thereafter report back to him/her in writing indicating whether or not the investigations have been concluded and whether or not a report thereon has made to the Board. If the investigation is a prolonged one, the investigating officer should keep the complainant informed, in writing, as to the progress of the investigation and as to when it is likely to be concluded.

All responses to the complainant should be in writing and sent to the address indicated by the complainant.

### **Investigating Procedure**

The investigating officer should follow these steps:

- Full details and clarifications of the complaint should be obtained.
- The investigating officer should inform the member of staff against whom the complaint is made as soon as is practically possible. The member of staff will be informed of their right to be accompanied by a colleague at any future interview or hearing held under the provision of these procedures.
- The investigating officer should consider the involvement of INDEPTH auditors and the Police at this stage and should consult with the Chairman of the Board.
- The allegations should be fully investigated by the investigating officer with the assistance where appropriate, of other individuals/bodies.
- A judgement concerning the complaint and validity of the complaint will be made by the investigating officer. This judgement will be detailed in a written report containing the findings of the investigations and reasons for the judgement. The report will be passed to the Chairman of the Board as appropriate.
- The Chairman of the Board will decide what action to take. If the complaint is shown to be justified, then they will invoke the disciplinary or other appropriate INDEPTH procedures.
- The complainant should be kept informed of the progress of the investigations and, where concluded notified of the outcome.
- If appropriate, a copy of the outcomes will be passed to the INDEPTH Auditors by the Board to enable a review of the procedures.

If the complainant is not satisfied that their concern is being properly dealt with by the investigating officer, they have the right to raise it in confidence with the Chairman of the Board.

If the investigation finds the allegations unsubstantiated and all internal procedures have been exhausted, but the complainant is not satisfied with the outcome of the investigation, INDEPTH recognises the lawful rights of employees and ex-employees to make disclosures, within the limits of the appropriate laws of Ghana and any country in which there is an INDEPTH satellite office to prescribed persons, or, where justified, elsewhere.



# INDEPTH Network

## CONFLICT OF INTEREST Policy

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### SECTION 1.

#### PURPOSE:

INDEPTH Network hereinafter referred to as INDEPTH is a nonprofit, tax-exempt organization. Maintenance of its tax-exempt status is important both for its continued financial stability and for public support. Therefore, the IRS as well as state regulatory and tax officials view the operations of INDEPTH as a public trust, which is subject to scrutiny by and accountable to such governmental authorities as well as to members of the public. Consequently, there exists between INDEPTH and its board, officers, and management employees and the public a fiduciary duty, which carries with it a broad and unbending duty of loyalty and fidelity. The board, officers, and management employees have the responsibility of administering the affairs of INDEPTH honestly and prudently, and of exercising their best care, skill, and judgment for the sole benefit of INDEPTH. Those persons shall exercise the utmost good faith in all transactions involved in their duties, and they shall not use their positions with INDEPTH or knowledge gained there from for their personal benefit. The interests of the organization must be the first priority in all decisions and actions.

### SECTION 2.

#### PERSONS CONCERNED:

This statement is directed not only to directors and officers, but to all employees who can influence the actions of INDEPTH. For example, this would include all who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning INDEPTH.

### SECTION 3.

#### AREAS IN WHICH CONFLICT MAY ARISE:

Conflicts of interest may arise in the relations of directors, officers, and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to INDEPTH.
2. Persons and firms from whom INDEPTH leases property and equipment.
3. Persons and firms with whom INDEPTH is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting INDEPTH.
6. Agencies, organizations, and associations which affect the operations of INDEPTH.
7. Family members, close relations, friends, and other employees.

**A director or an employee of INDEPTH who finds himself/herself in any such position will have to declare his/her interests to INDEPTH and would have to await the decision of INDEPTH as to whether he/she should continue to deal on behalf of INDEPTH in the matter in issue.**

## **SECTION 4.**

### **NATURE OF CONFLICTING INTEREST:**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interests in any third party dealing with INDEPTH. A director or an employee of INDEPTH will have to declare his/her interest in any such company as soon as he becomes aware that INDEPTH intends to deal with or is dealing with the company.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with INDEPTH.
3. Receiving remuneration for services with respect to individual transactions involving INDEPTH.
4. Using INDEPTH's time, personnel, equipment, supplies, or good will for other than INDEPTH - approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with INDEPTH. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

## **SECTION 5.**

### **INTERPRETATION OF THIS STATEMENT OF POLICY:**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the directors, officers, and management employees will recognize such areas and relation by analogy. The fact that one of the interests described in Section 4 exists does not necessarily mean that a conflict exists, or that the conflict, if it exists, is material enough to be of practical importance, or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of INDEPTH. However, it is the policy of the board that the existence of any of the interests described in Section 4 shall be disclosed before any transaction is consummated. It shall be the continuing responsibility of the board, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

## **SECTION 6.**

### **DISCLOSURE POLICY AND PROCEDURE:**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed;
2. The person with the conflict of interest is excluded from the discussion and approval of such transaction;
3. A competitive bid or comparable valuation exists; and
4. The [board or a duly constituted committee thereof] has determined that the transaction is in the best interest of the organization. Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the board chair), who shall bring the matter to the attention of the [board or a duly constituted committee thereof]. Disclosure involving directors should be made to the board chair, (or if she or he is the one with the conflict, then to the board vice-chair) who shall bring these matters to the [board or a duly constituted committee thereof]. The [board or a duly constituted committee thereof] shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to INDEPTH. The decision of the [board or a duly

constituted committee thereof] on these matters will rest in their sole discretion, and their concern must be the welfare of INDEPTH and the advancement of its purpose.

## INDEPTH NETWORK

### CONFLICT OF INTEREST DISCLOSURE STATEMENT

Preliminary note: In order to be more comprehensive, this statement of disclosure/questionnaire also requires you to provide information with respect to certain parties that are related to you. These persons are termed "affiliated persons" and include the following:

- a. your spouse, domestic partner, child, mother, father, brother or sister;
- b. any corporation or organization of which you are a board member, an officer, a partner, participate in management or are employed by, or are, directly or indirectly, a debt holder or the beneficial owner of any class of equity securities; and
- c. any trust or other estate in which you have a substantial beneficial interest or as to which you serve as a trustee or in a similar capacity.

1. NAME OF EMPLOYEE OR BOARD MEMBER: (Please print)

\_\_\_\_\_

2. CAPACITY: \_\_\_\_\_ board of directors

\_\_\_\_\_ executive committee

\_\_\_\_\_ officer

\_\_\_\_\_ committee member

\_\_\_\_\_ staff (position): \_\_\_\_\_

3. Have you or any of your affiliated persons provided services or property to INDEPTH in the past year?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If yes, please describe the nature of the services or property and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Have you or any of your affiliated persons purchased services or property from INDEPTH in the past year?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If yes, please describe the purchased services or property and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Please indicate whether you or any of your affiliated persons had any direct or indirect interest in any business transaction(s) in the past year to which INDEPTH was or is a party?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If yes, describe the transaction(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Were you or any of your affiliated persons indebted to pay money to INDEPTH at any time in the past year (other than travel advances or the like)?

\_\_\_\_ YES \_\_\_\_ NO

If yes, please describe the indebtedness and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

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7. In the past year, did you or any of your affiliated persons receive, or become entitled to receive, directly or indirectly, any personal benefits from INDEPTH or as a result of your relationship with INDEPTH, that in the aggregate could be valued in excess of \$1,000, that were not or will not be compensation directly related to your duties to INDEPTH?

\_\_\_\_ YES \_\_\_\_ NO

If yes, please describe the benefit(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

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8. Are you or any of your affiliated persons a party to or have an interest in any pending legal proceedings involving INDEPTH?

\_\_\_\_ YES \_\_\_\_ NO

If yes, please describe the proceeding(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

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9. Are you aware of any other events, transactions, arrangements or other situations that have occurred or may occur in the future that you believe should be examined by INDEPTH's [board or a duly constituted committee thereof] in accordance with the terms and intent of INDEPTH's conflict of interest policy?

\_\_\_\_ YES \_\_\_\_ NO

If yes, please describe the situation(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

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I HERBY CONFIRM that I have read and understand INDEPTH's conflict of interest policy and that my responses to the above questions are complete and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this disclosure is inaccurate or that I have not complied with this policy, I will notify [designated officer or director] immediately.

\_\_\_\_\_  
Signature Date

## **INDEPTH NETWORK**

### **GIFT POLICY AND DISCLOSURE FORM**

As part of its conflict of interest policy, INDEPTH requires that directors, officers and employees decline to accept certain gifts, consideration or remuneration from individuals or companies that seek to do business with INDEPTH or are a competitor of it. This policy and disclosure form is intended to implement that prohibition on gifts.

**Section 1.** "Responsible Person" is any person serving as an officer, employee or a member of the board of directors of INDEPTH.

**Section 2.** "Family Member" is a spouse, domestic partner, parent, child or spouse of a child, or a brother, sister, or spouse of a brother or sister, of a Responsible Person.

**Section 3.** "Contract or Transaction" is any agreement or relationship involving the sale or purchase of goods, services or rights of any kind receipt of a loan or grant, or the establishment of any other pecuniary relationship. The making of a gift to INDEPTH is not a "contract" or "transaction."

**Section 4.** Prohibited gifts, gratuities and entertainment. Except as approved by the Chairman of the Board or his designee or for gifts of a value less than \$50 which could not be refused without discourtesy, no Responsible Person or Family Member shall accept gifts, entertainment or other favors from any person or entity which:

1. Does or seeks to do business with INDEPTH or,
2. Does or seeks to compete with INDEPTH or,
3. Has received, is receiving, or is seeking to receive a Contract or Transaction with INDEPTH.

### **GIFT STATEMENT**

I certify that I have read the above policy concerning gifts, and I agree that I will not accept gifts, entertainment or other favors from any individual or entity, which would be prohibited by the above policy. Following my initial statement, I agree to provide a signed statement at the end of each calendar year certifying that I have not received any such gifts, entertainment or other favors during the preceding year.

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Signature Date

# INDEPTH Network

## Document Retention and Destruction Policy

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### SECTION 1.

#### PURPOSE:

INDEPTH Network shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference or to comply with contractual or legal requirements. Records and documents outlined in this policy include paper, electronic files (including e-mail) and voicemail records regardless of where the document is stored, including network servers, desktop or laptop computers and handheld computers. The policy is designed to ensure compliance with company laws and regulations, to eliminate accidental or innocent destruction of records and to facilitate **INDEPTH Network** operations by promoting efficiency and freeing up valuable storage.

### SECTION 2.

#### II. Document Retention

INDEPTH Network follows the document retention procedures outlined below. Documents that are not listed, but are substantially similar to those listed in the schedule will be retained for the appropriate length of time.

### SECTION 3.

#### AREAS IN WHICH CONFLICT MAY ARISE:

#### III. Corporate Records

|   |           |
|---|-----------|
| Annual Reports to Attorney General                | Permanent |
| Articles of Incorporation                         | Permanent |
| Board Meeting and Board Committee Minutes         | Permanent |
| Board Policies/Resolutions                        | Permanent |
| Bylaws  | Permanent |
| Secretariat/Retreat Minutes                       | Permanent |
| Fixed Asset Records                               | Permanent |
| IRS Application for Tax-Exempt Status (Form 1023) | Permanent |
| IRS Determination Letter                          | Permanent |
| State Sales Tax Exemption Letter                  | Permanent |
| Contracts (after expiration)                      | 12 years  |
| Correspondence (general)                          | 6 years   |

### SECTION 4.

|  |           |
|--|-----------|
| IV. Accounting and Corporate Tax Records |           |
| Annual Audits and Financial Statements   | Permanent |
| Depreciation Schedules                   | Permanent |
| General Ledgers                          | Permanent |
| IRS 990 Tax Returns                      | Permanent |
| Business Expense Records                 | 7 years   |
| IRS 1099s                                | 7 years   |

|                      |         |
|----------------------|---------|
| Journal Entries      | 7 years |
| Invoices             | 7 years |
| Sales Records        | 6 years |
| Credit Card Receipts | 6 years |

**SECTION 5.**

|                                    |           |
|------------------------------------|-----------|
| V. Bank Records                    |           |
| Check Registers                    | Permanent |
| Bank Deposit Slips                 | 7 years   |
| Bank Statements and Reconciliation | 7 years   |
| Electronic Fund Transfer Documents | 7 years   |

|  |           |
|--|-----------|
| VI. Payroll and Employment Tax Records |           |
| Payroll Registers                      | Permanent |
| Earnings Records                       | 7 years   |
| Payroll Tax returns                    | 7 years   |
| Social Security deductions             | 7 years   |

**SECTION 6.**

VII. Employee Records

|  |                           |
|--|---------------------------|
| Employment and Termination Agreements                          | Permanent                 |
| Retirement and Pension Plan Documents                          | Permanent                 |
| Records Relating to Promotion, Demotion or Discharge           | 7 years after termination |
| Accident Reports and Worker's Compensation Records             | 6 years                   |
| Salary Schedules   | 6 years                   |
| Employment Applications (where the applicant was not employed) | 3 years                   |

|   |                           |
|---|---------------------------|
| VIII. Donor Records and Acknowledgement Letters | 7 years                   |
| Grant Applications and Contracts                | 12 years after completion |

IX. Legal, Insurance and Safety Records

|                         |                            |
|-------------------------|----------------------------|
| Copyright Registrations | Permanent                  |
| Insurance Policies      | Permanent                  |
| Trademark Registrations | Permanent                  |
| Leases                  | 12 years after expiration  |
| General Contracts       | 12 years after termination |

X. Electronic Documents and Records

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an email message, the message should be printed in hard copy and kept in the appropriate file or moved to an "archive" computer file folder. Backup and recovery methods will be tested on a regular basis.

V. Emergency Planning

**INDEPTH Network** records will be stored in a safe, secure and accessible manner. Documents and financial files that are essential to keeping **INDEPTH Network** Organization operating in an emergency will be duplicated or backed up at least every month and maintained off site.

## VI. Document Destruction

**INDEPTH Network's** Executive Director is responsible for the ongoing process of identifying its records, which have met the required retention period and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by incineration. A certificate of destruction should be kept.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

## VII. Compliance

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against **INDEPTH Network** and its employees and possible disciplinary action against responsible individuals. The Executive Director will periodically review these procedures with legal counsel or the organization's certified public accountant to ensure that they are in compliance with new or revised regulations.



# INDEPTH Network

## Absence Control Policy

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### Section 1

#### POLICY

It is recognised by INDEPTH that from time to time employees may require to be absent from their place of work due to illness.

The length of time lost by employees through illness must however be monitored to ensure that every employee is able to do his/her job, effectively and without putting himself/herself or others at risk.

It is not the intention of INDEPTH to penalise the genuinely sick, however it must be recognised that an employee who is medically unfit to carry out his/her contractual duties may not be able continue in employment.

Managers will consider cases of sickness absence on an individual basis and ensure the provision of appropriate support, advice and Occupational Health / INDEPTH Approved Doctor input where appropriate. However, it is recognised that in some cases, patterns/levels of absence will be unacceptable and formal management action will be required.

Employees who become aware that they have an illness problem are encouraged to inform their manager at the earliest opportunity. All such requests will be dealt with as speedily and compassionately as possible.

Where, however, the illness is due to pregnancy certified by a medical doctor, the worker would be entitled to absence as directed by the medical doctor. Where a worker takes a pregnancy-related leave for more than 6 months, the worker will be entitled to be paid at a quarter of her salary after the 6<sup>th</sup> month until she returns to work.

Any worker who is ill for 6 months and is certified as such by a medical officer shall be entitled to full salary for 6 months and thereafter a quarter of the salary.

### Section 2

#### OVERVIEW OF PROCEDURAL STAGES

On return from absence on sick leave the employee shall be interviewed by his/her immediate line manager. At this interview the employee and the line manager shall complete a **'Return to work interview'** form agreeing the reason for the absence, the period of absence and, where appropriate, what course of action required as a result of the absence. This form must be signed by both parties before being forwarded to the employee's personnel file

## **Stage 1**

In the situation where an employee's sickness record gives some cause for concern, the employee's Line Manager will discuss those concerns with the employee, providing support and counselling where appropriate. It is essential that any message conveyed in this manner is clear and unambiguous.

## **Stage 2**

If there is no obvious improvement in the health of the employee then the line manager would arrange for the employee to meet the next-in-line manager who would 'formally' review the employee's case. At this formal stage the employee must be offered the opportunity for appropriate representation by a medical doctor of his/her choice and at his/her cost unless he/she does not object to his/her representation by the medical doctor provided by INDEPTH.

The employee must be given the outcome of this meeting in writing and where appropriate he/she must be given notice that his/her level of absence is unacceptable and must also be given a period of time to improve on his/her attendance at work.

## **Stage 3**

If the employee fails to improve in the given time scale then a formal second Review must be undertaken. If possible, a more senior manager should chair this meeting. The employee must be offered the opportunity for appropriate representation at this time.

Prior to the Meeting the employee must be seen by the Occupational Health / INDEPTH Approved Doctor who will give his opinion on the employee's health. The employee must be given the results of this meeting in writing. Where appropriate they must be given notice that their level of absence is unacceptable and that they are given a period of time during which to reduce their level of absence. The employee must also be informed at this stage if any further absences may result in their employment being terminated due to incapacity.

## **Stage 4**

If there is still no improvement within the laid down time scale a Review will be held with the appropriate Executive Director in the chair. The employee must be offered the opportunity for appropriate representation at this meeting. The Executive Director will review all the available evidence including the Doctor's report.

If there are no special circumstances the employee will be dismissed on the grounds of incapacity and their inability to meet the acceptable standards of attendance required by INDEPTH.

In the case of the Executive Director, the review will be a one time process to be undertaken by the Board with a medical doctor appointed by the Board providing expert opinion on the health of the Executive Director and his ability to continue in office.

Where the review of the Executive Director leads to a termination of his/her employment on medical grounds, he/she would be paid his/her basic salary in full (without allowances) for the residue of the unexpired term of his/her contract

### **Section 3**

#### **APPEALS**

Every employee, except the Executive Director, has the right to appeal against the outcome of any formal review stage of the absence procedure. The basis of an appeal should normally relate to one of the following areas:

- (i) that the Code of Procedure had not been followed correctly;
- (ii) that the resulting action was inappropriate;
- (iii) that the need for action was not warranted.

#### **Appeals against the formal stages of the Absence Procedure**

An appeal should be put in writing to the appropriate Senior Manager. The letter of appeal may be constructed by the employee or his/her representative. The letter should contain the grounds for appeal and should be lodged within 7 days of receipt of the decision on the review of his/her case. An appeal hearing should be arranged within 7 days of receipt of the appeal letter. An appeal against Dismissal will be considered in the same way, but should be heard by a Senior manager who has not previously been involved in the case.

### **Section 4**

#### **PROCEDURES CHECK LIST**

##### **Stage 1**

##### **Return to Work Interview**

This is an informal part of the Procedure, however in order to give the process credibility the following rules should be followed:

- Every employee should complete a 'Return to work interview' form with their immediate line manager.
- Interviews should be carried out in an area where there will be no interruptions and where both parties may feel at ease.
- The employee should always be informed of the reason for the meeting.
- The meeting should be prefaced by an indication of concern for the employee as well as the need for the Manager to be aware of the health of his/her employees.
- The employee should be encouraged to discuss any problems he/she may be having with their health and to actively contribute to the solution to the problem.
- Any apparent problem or patterns of absence should be brought to the attention of the employee.
- All relevant absence documentation **must** be recorded on the employees personnel file.

##### **Counselling**

As the first step in procedure it is vital that the message conveyed is clear and unambiguous.

Prior to counselling, full details of the absence record of the employee along with reasons should be made available to both the employee and the counsellor.

The employee should be made aware of the date and location of the Meeting and the reasons for it.

The employee should be given the opportunity to explain absence records and present any evidence required.

If there are medical problems it may be necessary to adjourn the Meeting for medical advice.

The Manager/Supervisor will advise the employee of the outcome of the meeting and where appropriate of the need for improvement of their current absence level. Written confirmation of the outcome of the meeting will be given to the employee and a copy recorded on the personnel file of the employee.

## **Stage 2**

- Prior to calling a hearing, full details of absence record along with reasons should be made available to both the employee and the counsellor.
- The employee should be made aware of the date and location of the Review and the reasons for it.
- In addition they should be informed of the right to be represented at the Review.
- The employee should be given the opportunity to explain absence records and present any evidence required.
- If there are medical problems it may be necessary to adjourn the Meeting for medical advice.
- The Manager should set out clearly the improvements expected and the time scale over which these improvements must be achieved.
- The employee should be informed in writing of the requirements and the time scale and advised if the warning is to be recorded on his record.
- Any warning letter should be copied to the colleague who accompanied the employee to the hearing. The employee must be informed of their right to appeal against this decision.
- Any warnings issued will remain on the record for 12 months.

## **Stage 3**

- If there has been no improvement in the absence record in the period set at the first Review or there has been a further breach of policy during the lifetime of a written warning then the employee must be informed and asked to attend a Second Review. In addition he/she should be informed of the right to be represented at the Review.
- Medical reports must be sought prior to the date of the Meeting and results made available to both parties.
- The employee should be given the right to present any evidence in mitigation.
- The employee should be informed of the need to improve his/her record and the possibility of dismissal if he/she does not do so. The employee must be informed of their right to appeal against this decision. (See Appeals). This should be confirmed in writing to the employee and held on their personnel file for 18 months.

## **Stage 4**

- The employee must be given full details of the case and the possible consequences prior to attendance. The employee must also be informed of his/her right to representation at this meeting.

- All medical evidence should be taken and considered before a final decision is taken.
- If the decision is taken to dismiss the employee then this should be done by giving full entitlement to notice (even if sick pay is exhausted).
- The employee must be informed of his/her right to appeal against this decision. (See appeals).

**INDEPTH Network**

**RETURN TO WORK INTERVIEW FORM**

Name

Designation

Department

First Day of Absence \_\_\_\_/\_\_\_\_/\_\_\_\_

Last Day of Absence \_\_\_\_/\_\_\_\_/\_\_\_\_

Total number of days absent \_\_\_\_

Total number of days off work \_\_\_\_

Is absence due to an injury at work? YES/ NO

Have you seen a doctor? YES/ NO

Reason for absence

(Please give a brief description of the illness or other reason for absence)

Action Taken

(please give a brief description of any action taken to date)

Proposed Course of Action

I understand that if I knowingly provide inaccurate or false information regarding my absence it may result in disciplinary action

Employees Signature

Manager's Signature

# INDEPTH Network

## Recruitment and Selection Policy and Procedure

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### POLICY

The recruitment and selection decision is of prime importance as the vehicle for obtaining the best possible person-to-job fit which will, when aggregated, contribute significantly towards INDEPTH's effectiveness. It is also becoming increasingly important, as INDEPTH evolves and changes, that new recruits show a willingness to learn and adaptability and ability to work as part of a team. The Recruitment & Selection procedure should help managers to ensure that these criteria are addressed.

INDEPTH's Recruitment and Selection Policy will:

- be fair and consistent;
- be non-discriminatory on the grounds of sex, race, age, religion or disability, and;
- conform to statutory regulations and agreed best practices.

### PROCEDURE

#### THE RECRUITMENT PROCESS

The following procedure should be used when a post is to be filled. The appointing manager must:

**Define the job.** If it is an existing post, is an exact replacement required or is it an opportunity to revise the requirements? If it is a newly established post there must be clarity on the exact requirements, draw up a job description and consult the appropriate Human Resources Section in relation to the appropriate grade and salary.

**Complete a Job Vacancy Form** which confirms:

- details of the post;
- final approval from the appropriate Head of Section;
- in the event of the job being newly established, the approval of the Executive Director; and confirmation from the Head of Finance, that funding is available.

Send the Job Vacancy Form to the Human Resources Section/Administration Office. No vacancy can be processed without this authorisation.

**Ensure the Job Description and person specification are up-to-date.** Contact the Human Resources/Administration Section for advice/any assistance in completing these.

**Collate an information package appropriate for the post.** This package should include:

- job description and if appropriate, the person specification;
- information on the Section;
- information on INDEPTH and;
- terms and conditions of employment.

It is important that this pack is carefully put together in order to present a professional image of INDEPTH, therefore out-of date or poorly presented information is not suitable.

Discuss with the Human Resources Section/Admin Office/appropriate Head of Section the most effective means of obtaining suitable candidates. The following options should be explored (order of priority):

- Internal advert within INDEPTH;
- Examination of previous applications, or those held on file within the Human Resources Section/Administration Office;
- External advert in the National/International media as appropriate;
- External advert in the appropriate technical/professional Journal; and
- In senior posts the use of a recruitment agency.

**Design the advertisement.** All advertisements must contain as much information as possible to ensure the correct recruitment group is targeted and reduce unsuitable applications, while remaining as cost-effective as possible.

External adverts will be submitted to the appropriate Head of Section/Senior Manager/Executive Director for approval before being placed.

## THE SELECTION PROCESS

Appropriate selection procedures must be used for each post. Procedures may vary, at its simplest this may involve a straight forward interview and skills testing. For more senior posts psychometric testing, presentations to the interview panel on a chosen topic and/or a series of individual interviews on various topics may be included.

The appointing manager will approach relevant people to assist with short listing and interviewing. At least two people should be involved in short listing and sit on the Interview Panel.

The application forms received by the closing date will be forwarded to the appointing managers for short listing. Applicants **must** be chosen against the Person Specification. It is the responsibility of the appointing manager at this stage to record (in writing) the reasons why an applicant is not shortlisted. All papers must be returned to the Human Resources Section / Administration Office, who will invite the candidates for interview, obtain references and make the necessary housekeeping arrangements for the interview. This will include timetabling the interviews. Candidates who have not been shortlisted will also be informed.

At least one week prior to the interview, each panellist will receive an interview pack containing:

- copies of application forms/CVs
- blank interview report forms;
- a copy of the job advertisement;
- a copy of the job description;
- a copy of the person specification

The appointing manager will:

- decide on the interview format and determine which areas to concentrate on with the questioning;
- decide on who will chair the Interview Panel;



- receive the references for candidates from the Human Resources Section/ Administration Office, and be responsible for ensuring the confidentiality of these, and for their safe return to the Human Resources Section/ Administration Offices for destruction.

At the interview, the appointing manager will ensure that the Interview Report Form is completed as fully as possible. When interviewing, they will ensure that Equal Opportunities legislation is strictly adhered to, with no discrimination shown on the grounds of sex, religion, age, disability or ethnic origin.

When all candidates have been interviewed, the panel will decide on the best person for the post. The appointing manager will arrange to inform the successful candidate as soon as possible, agreeing a commencement date and starting salary.

All interview packs should be returned marked "private & confidential" to the Human Resources Section/Administration Offices.

Upon return of the Interview Report Form, the Human Resources Section/ Administration Offices will:

- telephone all unsuccessful candidates with outcome of interview within one working day, this will be confirmed in writing;
- write to the appointee, offering the post subject to health clearance;
- initiate a personnel file and computer entry for the new employee;
- notify the Manager if the appointee refuses the offer, or if there are any other details to be cleared and;
- deal with any requirements for removal expenses or the finding of temporary accommodation for the appointee.

The Human Resources Section/Administration Offices will arrange, in conjunction with the appointing manager an individual programme of induction for the new start which will be arranged and agreed at least one week before the appointee commences.

**INDEPTH Network**

**Job Vacancy Form**

Is this an established post:

Title of Post:

Department:

Date when post becomes vacant:

Who will this be replacing:

Is the post permanent / temporary / fixed-term / contractor  
(Give details e.g. length of fixed-term contract)

Grade of Post (if applicable)

Salary range:

Full Time / Part-Time (give number of hours)

Comments:

Signed (Appointing Manager) \_\_\_\_\_ Date: \_\_\_\_\_

Authorised By (Appropriate Director) \_\_\_\_\_

I confirm availability of funding  
Head of Finance \_\_\_\_\_

Date: \_\_\_\_\_

**INDEPTH Network  
INTERVIEW RECORD**

Post Title:

Date of Interview:

Panel Members:

Summary of Panel's comments on interviewees (including recommendation(s) to appoint).

| Name | Comments |
|------|----------|
|      |          |
|      |          |
|      |          |
|      |          |
|      |          |

Signed .....Appointing Manager/Panel Chairperson

# INDEPTH Network

## Appointing Manager's Checklist

### RECRUITMENT

- 1 Review the post - is it necessary, does it need to be changed, and can the duties be adequately covered elsewhere. If significant changes are required or it is a new post please discuss the details in relation to grade and salary with the HR Section/appropriate Head of Section.
- 2 Complete a Job Vacancy Form ensuring approval of appropriate Line Manager. If post is newly established then, there must be confirmation of funding from the Head of Finance.
- 3 Review and complete the job description and person specification.
- 4 Put together an information pack for the vacancy.
- 5 Decide the most effective way to recruit to the post. For example internal advert/job centre/national press etc.
- 6 Design the advert. This should be done in conjunction with the HR Section/Admin Office. Decide on a closing date, method of application (e.g. C.V. or application form), whether a pre-interview visit will be required and who should be contacted for applicant enquiries.
- 7 The HR Section/Admin Office will process the advert, send out information packs and collate applications ready for short-listing.

### SELECTION

- 8 Decide on the interview panel as soon as possible and arrange a suitable date with them.
- 9 Applications will be forwarded to you from the HR Section/Admin Office on the closing date. These may be inspected at any time prior to this.
- 10 With at least one other member of the interview panel shortlist for the post using the person specification.
- 11 Decide whether it would be appropriate to use alternative selection methods, for example psychometric or skill testing.
- 12 Let HR Section/Admin Office have short-list, they will arrange to contact the candidates and set up the interviews/tests etc. They will also contact unsuccessful applicants.
- 13 At least one week before the interviews, the panel will receive an interview pack containing the applications and other details.
- 14 References should be collected from the HR Section/Admin Office immediately prior to the interviews.

- 15 Ensure arrangements are in hand to welcome candidates as they arrive, to escort them to the interview and to the medical if appropriate.
- 16 Complete the interview, and taking account of the outcome of any testing, decide on the most suitable candidate. Contact them by phone and offer the post (conditionally when details such as references, medical etc. have to be confirmed) agreeing verbally the salary and start date.
- 17 Return all interview packs and references to the HR Section/Admin Office with the Interview Report Form. They will contact all other unsuccessful candidates by phone the same day if possible, and undertake the necessary administration.
- 18 Set up an individual induction programme for the new appointment.

# INDEPTH Network

## Disciplinary Procedure

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### SCOPE

The INDEPTH Disciplinary Procedure will be used only when necessary and as a last resort.

Where possible formal counselling or other good management practices will be used to resolve matters prior to any disciplinary action being taken. The procedure is intended to be positive rather than punitive but takes cognisance of the fact that sanctions may be necessary in some circumstances.

An employee can discuss any part of this policy with his/her Line Manager and seek clarification of his/her rights. The employee will also be given guidance and support where it may be needed. Every employee has the right to representation at any point during the disciplinary process.

### SUSPENSION

The purpose of suspension is manifold and can be used when it is necessary to remove an employee from the workplace, for example, pending an investigation, to allow time for a 'cooling down period' for INDEPTH and the employee, for their own or others protection, to prevent them influencing or being influenced by others or to prevent possible interference with evidence. All cases of suspension will be referred to the INDEPTH Disciplinary Committee for the case against the employee to be heard and also for the response of the employee to be taken.

#### Procedure for the Disciplinary Committee:

An employee who subject to disciplinary hearings will appear before the Disciplinary Committee in person and if he/she desires will be accompanied by a colleague of his choice;

The disciplinary will inform the employee orally and in writing the case against him/her.

All witnesses who would testify in the case against the employee shall do so in his/her presence and the employee shall be afforded the opportunity to cross-examine them.

The employee shall put up his/her defence before all witnesses who testified against him/her and the witnesses shall be afforded the opportunity to cross-examine the witness on his/her evidence.

The employee shall attend all meetings of the Disciplinary Committee except when the Disciplinary Committee meets to consider its decision.

An employee suspended from duty will NOT receive remuneration for the period of suspension but will receive written confirmation within three days of:

- the reason for the suspension; and
- the date and time from which the suspension will operate.

## **INTERDICTION**

An employee who is suspected of having committed misconduct which requires further investigation will be interdicted for the period of the investigation. Unlike suspension, an employee on interdiction will receive one half of his/her salary. If a strong suspicion of wrongdoing is not established against the employee, the employee shall be paid the remaining one half salary that was withheld during the period of interdiction. Where, however, a strong suspicion of wrongdoing is established against the employee, the employee shall be suspended without pay and subjected to disciplinary proceedings. The time of interdiction will initially be 2 weeks but it could be up to a maximum of 4 weeks within which the investigation should have been concluded.

## **COUNSELLING**

Counselling is an attempt to correct a situation and prevent it from getting worse without having to use the disciplinary procedure.

Where improvement is required, the employee must be given clear guidelines as to:

- what is expected in terms of improving shortcomings in conduct or performance;
- the time scales for improvement;
- when this will be reviewed; and
- the employee must also be told, where appropriate, that failure to improve may result in formal disciplinary action.

A record of the counselling should be given to the employee and a copy retained in their personnel file. It is imperative that any counselling should be followed up and improvements recognised and recorded. Once the counselling objectives have been met, any record of the counselling will be removed from the employees file.

If during counselling it becomes clear that the matter is more serious, then the discussion should be adjourned, and pursued under the formal disciplinary procedure.

## **PROCEDURE FOR FORMAL INVESTIGATION**

Formal investigations should be carried out by the most appropriate manager who is not directly involved with the incident being investigated. This manager may involve others to assist with the investigation process. All the relevant facts should be gathered promptly as soon as is practicable after the incident. Statements should be taken from witnesses at the earliest opportunity. Any physical evidence should be preserved and/or photographed if reasonable to do so.

A report should be prepared which outlines the facts of the case. This should be submitted to the appropriate senior manager who will decide whether further action is required. Where appropriate, this report may be made available to the individual and their representative.

In any circumstances where misconduct or serious misconduct is suspected, it will be appropriate to set up an investigatory hearing. This would be chaired by the appropriate Senior Manager, who would be accompanied by another manager. The investigating manager would be asked to present his/her findings in the presence of the employee who has been investigated. Witnesses should be called at this stage, and the employee allowed to question these witnesses. The employee has a right of representation at this hearing.

Following the full presentation of the facts, and the opportunity afforded to the employee to state his side of the case, the hearing should be adjourned, and everyone would leave the room except the senior manager hearing the case, and the other manager. They would discuss the case and decide which of the following option was appropriate:

1. take no further action against the employee;
2. recommend counselling for the employee; and;
3. proceed to a disciplinary hearing.

All parties should be brought back, and informed as to which option has been chosen.

Should the decision be taken to proceed to a disciplinary hearing, then this may follow on immediately from the investigatory hearing. The Disciplinary Hearing will be done by the Disciplinary Committee.

At the Disciplinary Hearing:

- The employee will be told in advance what the nature of the complaint is, and will be given time to consult with a lawyer or with colleague;
- At the hearing itself the employee will be informed again orally and in writing the case against him/her;
- the employee will be informed of his right to legal representation or be accompanied by a colleague of his choice;
- the employee will be informed of all the facts that have been produced at the investigatory hearing, and the Disciplinary Committee is empowered to decide on disciplinary action; and
- The Chair of the Disciplinary Committee should inform the employee and his/her representative or the colleague who accompanied him that the Disciplinary Hearings would be formal and records would be kept of the proceedings and they would be required to be present throughout the proceedings and to cross examine all witnesses. The employee would also be cross examined on his/her evidence. The employee and his/her representative or companion will however not be present at the consideration of the decision of the Disciplinary Committee.
- Should anyone who is subject to disciplinary action resign during the course of it, the action will cease unless there are extenuating circumstances which require its continuance. The subject of the discipline may also request that the disciplinary action continue.

## **WARNINGS**

### **Examples of Minor Misconduct**

Below are listed examples of misconduct which may warrant either a Verbal Warning or a First Written Warning. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issue of a warning.

- Persistent lateness and poor time-keeping.
- Absence from work, including going absent during work, without valid reason, notification or authorisation.
- Smoking within INDEPTH premises.
- Failure to work in accordance with prescribed procedures.
- Unreasonable standards of dress.



- Failure to observe INDEPTH regulations and procedures.

### **Verbal Warning**

A Verbal Warning is appropriate when it is necessary for the manager in charge to take action against an employee for any minor failing or minor misconduct.

### **First Written Warning**

A First Written Warning is appropriate when:

- a verbal warning or counselling has not been heeded and the misconduct is either repeated;
- an offence is of a more serious nature for which a written warning is more appropriate;
- the recurrence or accumulation of an offence/offences, if left, will lead to more severe disciplinary action.

### **Examples of Gross - Misconduct**

Listed below are examples of misconduct which may be considered to be Gross Misconduct and may warrant a Final Warning, Demotion or Dismissal. It is stressed however that this list is not exhaustive and that on all occasions a full and proper investigation must take place prior to the issuing of a Final Warning, Demotion or Dismissal.

1. Theft, including unauthorised possession of INDEPTH property.
2. Breaches of confidentiality, prejudicial to the interest of INDEPTH.
3. Being unfit for duty because of the misuse/consumption of drugs or alcohol.
4. Refusal to carry out a management instruction which is within the individual's capabilities and which would be seen to be in the interests of INDEPTH.
5. Breach of security procedures.
6. Physical assault, breach of the peace or verbal abuse.
7. False declaration of qualifications or professional registration.
8. Wilful failure to observe INDEPTH rules, regulations or procedures.
9. Wilful damage of property at work.
10. Intercepting emails of other staff members to read their contents without consent.

### **Final Written Warning**

A Final Written Warning is appropriate when:

- an employee's offence is of a serious nature falling just short of one justifying dismissal;
- an employee persists in the misconduct which previously warranted a lesser warning.

### **Downgrading or Transfer to a lower Post**

This action is appropriate when:

- previous attempts, via the disciplinary procedure, to rectify a problem have failed and this is a final attempt to solve a problem without having to dismiss an employee;
- an employee is considered by the Manager of the department to be incompetent or otherwise unfit to fulfil the duties for which he is employed but where dismissal is not thought to be appropriate.

## **Dismissal**

Dismissal is appropriate when

- an employee's behaviour is considered to be Gross Misconduct; and;
- an employee's misconduct has persisted, exhausting all other lines of disciplinary procedure.

## **Time Scales for the expiry of Warnings**

Warnings issued to employees shall be deemed to have expired after the following periods of time.

- Verbal Warnings: 6 months
- First Written Warnings: 12 months
- Final Written Warnings: 18 months (or as agreed and recorded at the hearing)

These time scales remain provided that during that period, no further warnings have been issued in respect of the employee's conduct.

## **LETTER OF WARNING**

The letter must be issued within 7 days of the date of the disciplinary hearing.

All warnings must contain the following information:

- The nature of the offence and where appropriate, that if further misconduct occurs, more severe disciplinary action will be taken.
- The period of time given to the employee for improvement.
- The employee's right to appeal to the manager directly above that of the one issuing the warning.
- A copy of the warning and any supporting documentation must be attached to the individual's personnel file.
- The employee must also receive a copy of the warning which in the case of any written warning will be sent to their home address by recorded delivery if not handed to them in person.
- In the case of a final written warning, reference must be made to the fact that any further misconduct will lead to dismissal, and that the employee has the right of appeal, and to who they can make that appeal.

The letter confirming dismissal will contain the following information:

- The reason for dismissal and any administrative matter arising from the termination of their employment.
- The employees right of appeal and to whom they should make that appeal

## **APPEALS**

Every employee has the right to appeal against the outcome of a disciplinary hearing. The basis of an appeal should normally relate to one of the following areas:

- that the INDEPTHS' Procedure had not been followed correctly;
- that the resulting disciplinary action was inappropriate;

- that the need for disciplinary action was not warranted and or;
- that new information regarding disciplinary action, has arisen.

An appeal should be put in writing to the Administration Section/Executive Director. The letter of appeal may be constructed by the employee or his/her representative. The letter should contain the grounds for appeal and should be lodged within 10 days of receipt of the warning/dismissal letter.

An appeal hearing will be arranged within 20 working days of receipt of the appeal letter.

### **Appeals against Verbal and First Warnings**

In the case of verbal and first warnings, the appeal will be heard by the manager next in line to the one who issued the warning.

### **Appeals against Downgrading, Final Warnings and Dismissal**

The hearing and determining of appeals against final warnings will be by the Disciplinary Committee. Appeals against dismissal will be heard by the Administrative Subcommittee of the Board.

When dealing with an appeal against a Final Warning or Dismissal written statements of case may be submitted no later than 2 days prior to the date of Appeal Hearing. No additional written evidence will be admitted by the Appeal Committee on the date of the Hearing.

Witnesses may be required by either party at an appeal hearing, dependent upon the circumstances and nature of the case. However, there is no specific obligation on either party to produce a witness. Either party must give 5 days prior notice that they intend to call specific persons involved or associated with the case under consideration.

It is the responsibility of the management representative and for the appellant to each arrange for the availability and attendance of any witness they wish to call.

# INDEPTH Network

## Mentors to the Secretariat

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The Secretariat shall from time to time and as appropriate approach internationally acclaimed scientists (or others) to visit the Secretariat to serve as advisers especially in the areas of:

- Scientific Research;
- Communications and Advocacy;
- Capacity Strengthening Initiatives; and
- Information Systems and ICT.

The Secretariat shall cover travel and accommodation costs for the advisers/mentors and shall pay a honorarium.

The nationality, country of origin, and sex shall not play any role in deciding on who comes to the Secretariat. The deciding factor is the potential contribution the mentor/adviser will make to the relevant activities for which he or she is invited.

Heads of Sections in the Secretariat shall, if they determine the need, recommend to the Executive Director names of persons they would like to invite. The recommendation should provide the following information:

- Full name and position of the person to be invited;
- CV;
- Objectives and length of the visit;
- Expected outcomes; and
- Proposed Dates.

The Executive Director shall review the recommendation and approve or give advice. Positive decision shall always depend on the availability of funds. Hence, recommendations from sections shall be treated on a first-come first-serve basis.

# INDEPTH Network

## Standards of Conduct Required from Employees

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### 1. INTRODUCTION

- 1.1 The conduct of employees in the INDEPTH Secretariat must be scrupulously impartial and honest and must be seen to be so. This policy outlines the responsibilities of employees of INDEPTH. All employees also bear responsibility as employees to act as ambassadors for INDEPTH in terms of their general conduct.
- 1.2 The duties of an employee are embodied in the Laws of Ghana and the laws of the countries in which INDEPTH has satellite offices.
- 1.3 Under the Laws of Ghana and of the countries in which there are INDEPTH satellite offices the duties of an employee are as follows:
  - to be ready and willing to work;
  - to offer personal service: for example must not subcontract the work for which they are employed;
  - to take reasonable care in the exercise of that service, including the duty to be competent at work and to take care of the employer's property;
  - to not wilfully disrupt the employer's business;
  - to obey reasonable orders as to the time, place, nature and method of service;
  - to work only for the employer in the employer's time;
  - to disclose information to the employer relevant to the employer's business: for example that they might know or discover;
  - to hold for the employer the benefit of any invention relevant to the business on which the employee is engaged;
  - in general, to be of good faith and do nothing to destroy the trust and confidence necessary for employment; and
  - to indemnify the employer for any loss wilfully caused by the employee.

### 2. STANDARD OF CONDUCT REQUIRED BY INDEPTH

#### Gifts and Hospitality

- 2.1 INDEPTH requires its employees NOT to accept, or agree to accept, any moneys, rewards or gifts from any person, agency or organisation which has, or could reasonably be expected to have a business or professional relationship with INDEPTH without the Executive Director's approval, in the case of the Executive Director, without the prior approval of the Board. However, this requirement shall not be interpreted to include casual benefits such as hospitality. (Refer to the INDEPTH Conflict of Interest Policy)

#### Transaction of Private Business

- 2.2 Employees having official dealings with contractors and other suppliers of goods or services must avoid transacting any kind of private business with them by any means other than normal commercial channels. No favour or preferences as regards price, or otherwise, which is not generally available, should be sought or accepted.

### **Visits to Conferences, Demonstrations etc**

- 2.3 INDEPTH intends that when it is necessary for employees to visit conferences, demonstrations and similar occasions, INDEPTH will bear the travelling and subsistence expenses of the employee. Exceptions to this general rule will only be permitted with the approval of the Executive Director.

### **Attendance at Luncheons, Receptions, Conferences, Meetings, etc**

- 2.4 Where it is evident that the work of INDEPTH will be facilitated, invitations to attend receptions, luncheons may be accepted under the following rules:

- no employee may accept an invitation on behalf of INDEPTH without first obtaining the approval of the Head of Section /Supervisor;
- in exceptional circumstances, where it is not possible to seek prior approval, the facts should be reported immediately afterwards;
- as a general rule, any employee who has any doubts about the wisdom of accepting any hospitality should decline the offer.

**NB:** The important difference between, for example, attendance in an official capacity at a function organised by INDEPTH or one of its subsidiaries and the acceptance of hospitality from a private individual or firm should be recognised.

### **Gifts**

- 2.5 Nothing more than a small, low value item such as a calendar, diary, blotter, chocolates or flowers can be accepted.

All other gifts must be politely refused or, if received through the post, returned to the donor with a suitably worded letter signed by the Head of Section.

### **Confidentiality**

- 2.6 At all times confidentiality must be maintained. No information can be released to unauthorised persons or organisations. The Executive Director or other Senior Managers of INDEPTH will inform employees of those authorised to receive information.
- 2.7 If doubt exists as to the validity of an organisation or individuals to receive information, this must be checked with a Senior Manager.

### **General Conduct**

- 2.8 Employees should at all times conduct themselves in such a way as to enhance the reputation of INDEPTH.

### 1.0 INTRODUCTION

This policy provides guidelines for the acquisition and use of ICT resources to enhance staff efficiency and effectiveness at the INDEPTH Secretariat. Its goal is to ensure that ICT is fully integrated into planning and implementation of the Secretariat's activities in alignment with the overall strategic plan.

This document includes procedures for the procurement of ICT related items (Hardware, Software, Services, and Training), Replacement of Equipment, Electronic Communication, Website Management, Data Security, Disaster planning, and support within the network

#### 1.1 Information Systems Section (ISS)

The Information Systems Section has been part of the Secretariat since its inception. It was originally the ICT section. Its responsibility is to ensure the use of appropriate and relevant ICT tools to promote efficiency and effectiveness in the operations of the INDEPTH Secretariat. Such support shall also be extended to member sites.

The Information Systems Section (**ISS**) has the following responsibilities.

- Plan and oversee the development of ICT infrastructure and personnel for the Secretariat
- Manage and Co-ordinate the acquisition, installation and use of computer hardware and software in the Secretariat.
- Manage the maintenance of hardware and other support services in the Secretariat.
- Liaise with sites to identify ICT related challenges that face the sites, and facilitate solutions to such challenges.

The section shall have the requisite manpower and may change from time to time as the need arises.

#### 1.2 Periodic Review

This document shall undergo periodic review.

This policy document would be reviewed periodically in consonance with the dynamic nature of ICT, and also to keep up with organizational changes.

### 2.0 ALLOCATION OF ICT RESOURCES

All office staff of the INDEPTH Secretariat shall be provided with ICT resources that would ensure maximum staff productivity. These resources include Hardware (Desktop Computers, Printers, Scanners, etc.), Accessories, Software, and Internet Connectivity. Some of these resources would be dedicated, while others would be shared. The ISS would advise the ED periodically on changes and/or advancements, new ICT resources that could be acquired in the interest of the Secretariat or individual staff members based on functional assessment.

## **2.1 Desktop Computers and Printers**

All permanent office staff shall be allocated a dedicated desktop computer, configured and loaded with the relevant software and tools.

- The specifications of such PCs would be determined by the Information Systems Section.
- The maintenance and support of such equipment shall be the responsibility of the Information Systems Section. Staff should not try on their own to carry out repair or maintenance on their official PCs.
- In the event of equipment failure or mal-function, staff should notify the ISS for corrective action to be taken.

### **2.1.1 Use of ICT Equipment**

- Eligible users: Staff of INDEPTH whose work involves the use of ICT are classified as eligible users of the system. ICT resources must only be used by eligible users.
- Company computers shall not be used to obtain, view, or read any pornographic, or non-business-related activities such as watching movies.
- Visitors to the Secretariat, would be given access to ICT resources including internet access in the Resource Centre.
- Users must respect the rights of other users and be mindful of contractual and copyright obligations.
- It is not allowed to connect unauthorized equipment to the Secretariat's LAN without permission from ISS.
- INDEPTH's ICT resources shall not be used to obtain unauthorized access into other systems.
- Staff must be prudent in the use of ICT resources. For example it is cheaper to print a single copy of a bulky document, and photocopy for additional copies. Color cartridges are very expensive and for that matter color printing should be done only when absolutely required.
- INDEPTH's ICT resources shall not be used for commercial or personal activity.
- Food, drinks and inflammable materials are not allowed near computers.
- Violating copyright laws and their fair use provisions through inappropriate reproduction or dissemination of copyrighted electronic chain letters.
- Inappropriate mass mailing. This includes multiple mailing to newsgroups, mailing lists, or individuals.
- Transmitting or reproducing materials that are slanderous or defamatory in nature, or that otherwise violate existing laws in countries where INDEPTH has offices, or the organization's regulations.
- Displaying obscene, lewd, or sexually harassing images or text on office computers is not allowed.
- On departure (resignation, termination)
  - staff with the assistance of ISS shall make their final backups (both documents and emails).
  - staff shall handover all their ICT equipment and all institutional documents to the ISS.
  - All proprietary software installed by INDEPTH would be uninstalled on staff's computer.
  - Staff would be denied access to the INDEPTH email accounts, and the account would be scratched after three months. An auto response message shall be created with the wording at the discretion of the ED.
  - Staff who have worked for at least two years would be allowed to retain their laptops.

### **2.1.2 Repair of ICT Equipment**

ISS has the responsibility of ensuring that faulty equipment is repaired and on timely basis.



- Such repair work shall be done in-house first whenever possible.
- Where this cannot be handled in-house, the equipment would be given to third party (our external hardware support).
- ISS must maintain a logbook for all equipment going out to third parties for repair. The log shall include: Date fault was reported, Date Equipment was taken for repair, Nature of Fault, Repair status, Cost of Repair, Date returned and Remarks.
- Staff shall not try to repair equipment. This is the responsibility of ISS.

### 2.1.3 Disposal of Damaged or Obsolete IT equipment

- When equipment becomes faulty, ISS shall check the details of the equipment to confirm if the equipment is still under warranty. If equipment is still under warranty and the equipment fault is covered by the warranty terms, it shall be documented in the Claim Register to be maintained by the section. ISS shall then contact the vendor for repair / replacement at no cost.
- ISS shall advise the Executive Director when ICT equipment is permanently damaged or obsolete, and therefore needs replacement. Such advise would be based on a technical evaluation conducted by the section. Where hardware is completely damaged, a written confirmation would be sought from our Hardware Support.
- Obsolete and/damaged ICT equipment shall be kept in the store room till the next audit after which they could be disposed off. In the event of writing off an equipment ISS shall notify the Finance Section and the Executive Director for such transactions to be appropriately recorded in the finance books.

### 2.1.4 ICT Equipment Requisition

- ISS shall advise on specifications of all ICT equipment to be procured. This will be guided by needs of staff of INDEPTH and INDEPTH strategic requirements.
- ISS shall compile and maintain a qualified list of vendors, ICT consultants so as to make informed recommendation to management concerning products and services and their available sources of supply.
- Shall revise when necessary specifications in required technical proposals.
- ISS shall keep a database of ICT Assets which would be updated quarterly.
- Procurement shall follow the INDEPTH's procurement policy.

#### ICT Asset Requisition:

- Staff who require new ICT equipment to be procured for them have to fill the ICT requisition form in Appendix I (together with a justification memo) to ISS.
- ISS shall evaluate this request and advise the Executive Director accordingly.
- If the request is approved, ISS will manage the procurement process, in accordance with INDEPTH's procurement policy.

### 2.1.5 Periodic Hardware Maintenance

There would be periodic (usually quarterly) hardware maintenance of all ICT related equipment. ISS shall keep a maintenance logbook for all ICT equipment.

## 2.2 Software

There are four categories of **Official Software** used in the Secretariat. These are:

- i. **Operating Systems Software** (Windows XP Professional-SP3, and Windows Vista (Home, Business, Enterprise Editions)).
- ii. **Application Software:** Microsoft Office Professional 2007, STATA 8 / 9 for statistical analysis, Visual Foxpro 8.0, SQL Server 2008, Adobe Acrobat professional 2009, Snag It, Mindjet Mind Manager 8, Avast Anti Virus version 4.8, Microsoft Office Professional 2003, Microsoft Frontpage 2008, Sage Pastel Executive).
- iii. **Shareware (Free software):** These are application software that are usually provided free of charge for a limited trial period or completely free. Examples are Mozilla Firefox (Web browser), Thunderbird (Email Client), Acrobat Reader 2008 / 2009, SKYPE.
- iv. **Custom developed:** These are in-house developed applications. These are usually database applications.
  - Every Personal Computer comes with a **licensed** version of one of the above operating systems. Staff are not allowed to install their own versions of Operating Systems.
  - In order not to bring INDEPTH into disrepute, staff are not **allowed** to install their own software onto officially allocated computers.
  - All software installations must be done in consultation with ISS. Installation of software for which INDEPTH has not purchased a legal license is forbidden. INDEPTH shall not be responsible for installation of such software.
  - If a staff member requires downloading and using some shareware software, this must be done in consultation with ISS. Some of the so-called "freeware and shareware" come with Trojan viruses and malware. These are discussed in the section on data security.

### 2.3 Software Acquisition and Installation Procedures.

If a member of staff requires a particular software to be purchased based on his/or functional role, a request together with justification must be written by the staff to ISS. ISS would evaluate the request and advise the Executive Director accordingly.

### 2.4 Record keeping of Software

Information Systems shall establish and maintain a record keeping system for original software licenses, certificates of authenticity, purchase invoices, completed registration cards, original software media (e.g. diskettes or CD-ROMs), user information, and assessment information. Information Systems shall maintain this information in secure location(s). Backup of such information shall be made. An in-house database has been developed to help in tracking software purchases and licensing.

### 2.5 Software Maintenance and Updates

- Periodic Updates (Service Packs) shall be applied to various categories of software to correct faults, to improve performance and/or other attributes, and also to adapt the product to a modified environment.
- Hard disk shall be purged of all temporary files.
- Hard disk shall be defragmented to enhance system performance.

### 2.6 Resource Centre

- The secretariat has a resource centre that used for hosting shared equipment such as scanner, printer, ceiling mount projector, desktop pc with internet access.
- The resource centre is open to both staff and visitors.
- Equipment in the resource centre shall not be used by anyone on a dedicated basis. These are limited shared resources that one uses and leaves for the next person to use.

### 3.0 ELECTRONIC COMMUNICATION

The primary means of communication with stakeholders in the INDEPTH Secretariat is via:

1. Electronic Mail (Email).
2. Voice Over Internet Protocol (VOIP).
3. Website.
4. INDEPTH Listserv(Mass mailing).

#### 3.1 Email & Email Etiquettes

All staff shall have official email addresses. The nomenclature of email addresses is [firstname.lastname@indepth-network.org](mailto:firstname.lastname@indepth-network.org). ISS creates the user account with a permanent username and a temporary password. Disk space (Quota) is also allocated to users. ISS will also set up the client side email application (Thunderbird, Outlook, and Outlook Express).

- After the initial set up, the user must log into the web-based mail ([www.indepth-network.org/webmail](http://www.indepth-network.org/webmail)) and change the password. This is very important to ensure “unauthorized access” to staff emails.
- Unauthorized access by IT staff will be considered as professional misconduct and dealt with by the disciplinary committee.
- Every email shall have a subject, a salutation, and a signature, and a disclaimer as advised by the communications section in Consultation with the Executive Director and the Company Solicitor.
- Email shall be used primarily for official purposes.
- As much as possible, emails shall be concise.
- Do not open suspicious emails, or emails with suspicious attachments. Such emails could contain viruses. In such event, it is better to delete the message, and send a request to the sender to confirm and re-send the message.
- Emails shall not be used to harass or threaten others staff or any stakeholders for that matter. This includes sending repeated, inappropriate e-mails to others.
- Viewing pornography, or sending pornographic jokes or stories via email is not allowed.
- Official messages must not be shared outside the Secretariat.
- It is not allowed to “*snoop*” on others’ email. The responsibility however lies with the user to prevent such practices. Users are encouraged to password protect their email clients. ISS may be contacted to assist with such settings.
- Emails that discriminate against employees including race, gender, nationality, religion, etc. are highly condemned.
- It should be noted that INDEPTH owns any communication sent via official email or that is stored on INDEPTH equipment. Management and other authorized staff may request access to such material.

#### 3.2 VOIP

The Secretariat uses VOIP technologies as an alternative means of communication. The specific software that is used is SKYPE.

- Every staff member has have a SKYPE ID created for him/her and a headset provided.
- SKYPE may be used for free Conference calls via Internet.
- SKYPE shall not be used as a tool to harass any staff member or stakeholder.

### **3.3 INDEPTH Websites**

The Secretariat uses its websites (INDEPTH, MCTA, INESS) a platform for information dissemination and sharing of tools with the general scientific community and other stakeholders.

- The management of the content of the website is the responsibility of the Communications Section – See communications policy.
- ISS is responsible for infrastructural issues related to the Web Server.
- ISS is responsible for domain name registration and renewal.
- ISS shall advise the communications section on user-friendly content management systems.

### **3.4 Internet Access and Usage**

All staff shall be provided with reliable internet access to facilitate electronic communication, research, dissemination and other activities. All the services already mentioned above are Internet services. Using these services is made possible by way of Bandwidth during official hours.

- The office Internet shall only be used for official work during working hours.
- The office Internet shall not be used to download and install software that would subject INDEPTH to copyright violation. In the event of such violation, the individual shall held reliable.
- The office internet shall not be used for downloading of music, movies and other categories of large files that consume excessive bandwidth.
- Use of social networks such as Face book, Hi5, LinkedIn shall be restricted to official purposes only.
- The office internet shall not be used for accessing pornographic.
- A Redundant (Backup) Internet link shall be provided to ensure continuity in Internet Access in the event the primary link goes down.

## **4.0 DATA SECURITY AND DISASTER RECOVERY**

A good disaster recovery strategy will minimize downtime as well as data loss in the event of disaster. Potential agents or events that could cause disaster include: Theft, Fire, Power Loss, Unauthorized access, Viruses, Corruption of data, malicious destruction.

ICT assets that would be at risk in the event of disaster include data/Information, Databases, Data files, Hardcopy files and printouts, Reference and educational material, Computers, printers, computer accessories.

### **4.1 Data Security**

To minimize data loss and disruption to Secretariat's activities, it is essential to have a reliable data security plan.

#### **4.1.1 Backups**

Backups shall primarily be used to restore data following loss of data caused by accident (fire, water, deletion, corrupted data, hardware malfunction, theft). The Secretariat maintains monthly backups, and the backup procedure is as follows:

- All staff members have been allocated space on the Secretariat's file server. At the end of each month staff shall place their backups in their respective backup folders on the file Server. ISS may be called upon to assist.

- Staff are advised to organize their files well in an electronic filing system that lends itself to easy identification (using appropriate names / labels).
- Backups shall be total; not incremental. Total backups lend themselves to easy and quick restoration.
- ISS shall backup all submitted files onto external devices (DVD/External USB). This would be done in duplicate and labeled to reflect the month and year.
- A copy would be given to the Executive Director for off-site storage, while a copy remains with ISS to be stored in a safe/ cabinet.
- ***A backup is as useful as what you include.*** The more comprehensive the better!!!!

#### **4.1.2 Restoring Lost data**

In the event of data loss, ISS shall assist staff to restore their most recent backups.

- ISS shall retrieve the most recent total back that was submitted by the staff member. If this is not available, the offsite copy may be requested from the Executive Director.
- This data shall then be restored onto the concerned computer.
- Note that only data that was included in a backup can be restored!!!

#### **4.1.3 Restricting access to Workstations**

To restrict access to workstations, all users shall be have usernames and passwords to have access to their workstations.

- Passwords shall be assigned to individuals.
- Passwords shall be a minimum of six characters.
- Passwords shall be changed every 60 days.
- Passwords must not be written on paper.
- Passwords should not be obvious e.g. birth dates, spouse name, best friend, etc.
- ISS shall have administrative rights to all official workstations. This is required to facilitate support.

#### **4.1.4 Restricting access to Servers**

- Physical access to the server room shall restricted (lock and key).
- Each staff member shall have a user name and password for accessing the server. Access privileges may differ depending on category and function of user.
- The administrative password to the server shall be changed every 60 days by ISS.
- Fire extinguishers shall be placed close enough to ensure the safety of the server in the event of fire outbreak.
- Food, drinks and inflammable materials are not allowed near the server.

#### **4.2 Anti-virus Management**

- Every workstation shall have Anti-virus software installed on it. This is the responsibility of ISS.
- Such software shall be set to automatically update itself once internet connectivity is available.
- All suspected and/or confirmed incidents of computer viruses should be reported to ISS.
- All external devices (Pen drives, flash memory cards, etc.) must be scanned before opening for access.
- In the event that a detected virus cannot be removed automatically by the Anti-virus software, please contact ISS immediately.
- ISS must be contacted to verify that files/programs available from external sources such as the Internet are virus free before downloading.
- Even though every workstation would have an Anti-Virus software installed on it, staff must still be prudent in bring "foreign material" such as pen drives, games, internet downloads onto their

workstations. Some of the materials may contain viruses, and there is “**No Perfect Anti Virus Software**”.

- And remember; Prevention is better than cure!!!

## 5.0 ICT ASSET TRACKING

ISS is responsible for proper documentation of the ICT equipment. To this end, ISS shall maintain a proper inventory for all Hardware and Software in the organization at all times.

- All equipment supplied shall be captured in the equipment inventory database with the following minimum information captured:

Item Code, Item Type, Serial number, Equipment Name, Configuration details, Equipment Location, Supplier, Date of purchase, Warranty details, User Details, Location Details, Project /Funding Details.

- The Inventory shall be updated with equipment movement from one location to another.
- When moving computing equipment out of the office, such equipment shall be logged in an asset movement register maintained by the ISS .
- All assets shall be clearly labeled .

## APPENDIX I:

### APPENDIX I ICT Asset requisition form

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|---|
| <p><b><u>Equipment Request Form</u></b></p> <p><b>Name:</b></p> <p><b>Position/Department</b></p> <p><b>Purpose:</b></p> <p><b>Proposed date of purchase:</b></p> <p><b>Date:</b></p> <p><b><u>INFO SYS</u></b><br/><b>PROPOSED BY:</b><br/><b>SIGNATURE:</b><br/><b><u>EXECUTIVE DIRECTOR:</u></b><br/><b>APPROVED BY:</b><br/><b>SIGNATURE:</b></p> |
|---|

## APPENDIX II Software requisition form

Software Request form

Name of Staff or Department:

Type of Software:

Brief description of what Software is intended to do:

Date:

Name of similar software(If you have any idea):

Name of the software Company(If you have any idea):

- Two Wireless Access Points .
- Wireless Broadband Internet Access (1024/768kbps shared) ZIPNET.
- File Server .
- Internet Proxy Server.
- Virtual Mail Server (600GB Diskspace).
- Virtual Web Server (600GB Diskspace).
- Twenty two Workstations (Desktops).
- Three Network printers.

### Shared Resources

- One ceiling mount projector (Conference Room).
- 2 portable LCD projectors.
- Two Digital Cameras.
- One colour printers.
- Two flatbed scanners.
- One multi-function printer (printer, scanner, copier).