

Training Health Researchers into Vocational Excellence in East Africa (THRiVE)



HUMAN RESOURCES MANUAL

Approved By the THRiVE Steering Committee

On 14th August 2019

Date of Commencement: 14th August 2019

Approved

Swanwick

14th August

.....
Chairman, THRIVE Steering Committee

.....
Date

Table of Contents

GLOSSARY OF TERMS.....	5
OPERATIONAL DEFINITIONS.....	6
CHAPTER ONE: INTRODUCTION TO THE HUMAN RESOURCES MANUAL.....	7
1.1 BACKGROUND OF THRiVE.....	7
1.2 SCOPE OF THE MANUAL.....	7
1.3 STAFF COMMITMENT TO THE HR MANUAL.....	7
1.4 APPLICATION AND INTERPRETATION OF THE HUMAN RESOURCES MANUAL.....	7
1.5 REVISION AND APPROVAL.....	7
1.6 ACCESSIBILITY TO THE MANUAL.....	7
CHAPTER TWO: EMPLOYMENT AT THRIVE.....	8
2.1 CATEGORIES OF EMPLOYEES.....	8
2.1.1 Full-time employees.....	8
2.1.2 Part time/temporary hires.....	8
2.1.3 Trainees.....	8
2.2 TYPES OF APPOINTMENTS.....	8
2.2.1 Contract Appointment.....	8
2.2.2 Casual Appointments.....	8
2.2.3 Volunteers.....	8
2.2.4 Internship.....	8
2.3 RECRUITMENT PROCEDURES.....	8
2.3.1 Internal job adverts.....	9
2.3.2 Headhunting.....	9
2.3.3 Screening and Interviewing.....	9
2.3.4 Induction and Orientation.....	9
2.3.5 Probation.....	9
2.3.6 Staff promotion.....	9
2.3.7 Salary structure.....	9
CHAPTER THREE: CODE OF CONDUCT AND GENERAL POLICIES.....	10
3.1 WORKING HOURS.....	10
3.2 CONFIDENTIALITY.....	10
3.3 PROTECTION OF PROJECT PROPERTY, IMAGE AND INTEREST.....	10
3.4 COMMUNICATION CHANNELS.....	10
3.5 INTERNET USE.....	10
3.6 SAFETY & SECURITY.....	10
3.7 SEXUAL HARASSMENT.....	11
3.8 HOLDING OTHER JOBS.....	11
3.9 CONCOMITANT TRAINING.....	11
CHAPTER FOUR: PERFORMANCE MANAGEMENT.....	12
4.1 STAFF PERFORMANCE APPRAISALS: SELF-APPRAISAL, REVIEW WITH SUPERVISOR.....	12
4.2 TIMING OF APPRAISALS.....	12
4.2.1 Probation appraisals.....	12
4.2.2 Half-year appraisals.....	12
4.2.3 Annual appraisals.....	12
4.2.4 Recommended appraisals.....	12
CHAPTER FIVE: REMUNERATION AND BENEFITS.....	13
5.1 REMUNERATIONS.....	13

5.2 SALARY STRUCTURE AND REVIEW	13
5.3 GENERAL GUIDELINES ON SALARY PAYMENTS AND ADMINISTRATION	13
5.3.1 Statutory Deductions	13
5.3.2 Reimbursable Expenses	13
5.3.3 Travel and subsistence costs.....	13
5.3.4 Visa fees.....	14
5.3.5 Bereavement policy	14
5.3.6 Death of a biological child or spouse.....	14
CHAPTER SIX: LEAVE MANAGEMENT	15
6.1 ANNUAL LEAVE.....	15
6.2 SICK LEAVE.....	15
6.3 MATERNITY LEAVE	15
6.4 PATERNITY LEAVE.....	15
6.5 COMPASSIONATE LEAVE.....	15
6.6 UNAUTHORIZED LEAVE	16
6.7 LEAVE WITHOUT PAY	16
6.8 COMPULSORY LEAVE	16
6.9 PUBLIC HOLIDAYS	16
CHAPTER SEVEN: DISCIPLINARY HANDLING AND GRIEVANCES	17
7.1 POLICY ON HANDLING STAFF GRIEVANCES.....	17
7.2 GENERAL GUIDELINES ON STAFF GRIEVANCES	17
7.3 PROCEDURE FOR HANDLING GRIEVANCES	17
CHAPTER EIGHT: DISCIPLINARY PROCEDURES.....	18
8.1 NATURE OF MISCONDUCT	18
8.2 MINOR ACTS OF MISCONDUCT	18
8.3 MAJOR ACTS OF MISCONDUCT	18
8.4 GRAVE ACTS OF MISCONDUCT	18
8.5 DISCIPLINARY PROCEDURE.....	19
8.5.1 Principles.....	19
8.5.2 Procedure for minor act of misconduct.....	19
8.5.3 Procedure in major acts of misconduct.....	19
8.5.3 Procedure in Grave acts of misconduct	19
CHAPTER NINE: TERMINATION OF EMPLOYMENT	21
9.1 RESIGNATION.....	21
9.2 INVOLUNTARY TERMINATION	21
9.3 TERMINATION OF SERVICE OTHER THAN FOR MISCONDUCT	21
9.4 REDUNDANCY	22
9.5 DEATH OF AN EMPLOYEE.....	22
9.6 SEPARATION/CLEARANCE PROCESS.....	22
APPENDICES	ERROR! BOOKMARK NOT DEFINED.
APPENDIX A: PERFORMANCE APPRAISAL POLICY	23
APPENDIX B: LEAVE APPLICATION FORM.....	25
APPENDIX C: STAFF HANDOVER FORM	30

GLOSSARY OF TERMS

AAS	African Academy of Sciences
AESA	Alliance for Accelerating Excellence in Science in Africa
HR	Human Resource
MakCHS	Makerere University College of Health Sciences
NSSF	National Social Security Fund
PAYE	Pay as You Earn
SOP	Standard Operating Procedures
TOR	Terms of Reference

OPERATIONAL DEFINITIONS

For purposes of this manual, unless the context otherwise requires: -

A contractual year: Is 12 months of continuous service; it can start on any day of the month and runs for a period of 12 months from that day.

Consultants: Are outsourced services to undertake specific assignments on behalf of THRIVE.

Contract: Means a formal agreement signed between THRIVE and another party, to the effect that the other party should work for THRIVE for a specified time period.

Duty station: Is the normal base of the employee's working activity as stipulated in the employee's contract.

Effective Date of appointment: Is the date on which a new member of staff reports for duty at their station and site of placement.

Employee of THRiVE: Refers to a person who has an appointment letter with THRIVE and received a salary from THRIVE.

Fellow/Trainee: A person who has been awarded a training scholarship under THRIVE as a PhD, Post-doc, intern and Masters of Career Development Awardee.

Immediate family: Consists of the employee's spouse, biological as well as legally adopted children, parents and siblings.

Salary: Here in means gross pay or a monthly monetary payment inclusive of PAYE and 5% NSSF based on the THRIVE salary scale.

Supervisor: Refers to the employee's immediate reporting authority.

THRiVE Management Team: Consists of the THRiVE Director, Co-applicants, Program manager, the Coordinator and the other respective Institutional Implementation Committee members.

CHAPTER ONE: INTRODUCTION TO THE HUMAN RESOURCES MANUAL

1.1 Background of THRiVE

THRiVE was established in 2009 with the underlying 10-year vision of developing a regional network of research excellence, including some of the best universities and research institutions in East Africa (Makerere University, Gulu University, Kilimanjaro Christian Medical University College, Uganda Virus Research Institute, National Institute of Medical Research, Mwanza and International Centre of Insect Physiology and Ecology with support from two leading UK universities (The London School of Hygiene & Tropical Medicine and University of Cambridge). Our current vision is that by 2030 Africa will lead research that has a major impact on health in the region and make significant contributions to world health.

1.2 Scope of the manual

This manual provides policies and detailed procedures that apply to the entry, stay and exit of all the employees of THRiVE. THRiVE hires employees through the respective partner institution, for example, Makerere University College of Health Sciences (MakCHS) which is also responsible for the management of employees based on its institutional policies. In the event of any conflict between this manual and official policies of the respective partner institution, those of the latter shall supersede.

1.3 Staff commitment to the HR manual

This manual is an official document of THRiVE. The purpose of the manual is to:

1. Guide the recruitment, selection and employment of the most qualified personnel
2. Provide equal employment opportunities regardless of sex, gender, sexual orientation, disability, color, race, tribe or nationality.
3. Communicate policies and procedures for the management of all the employees of THRiVE.
4. Provide information on the rights, responsibilities and obligations between THRiVE as the employer and the employees as staff, within the legal framework provided by the respective partner institution.
5. Promote discussions between employees and their supervisors regarding performance issues to enhance individual as well as organizational performance.
6. Maintain an equitable salary commensurate with the market situation.

1.4 Application and interpretation of the Human Resources Manual

The document shall be interpreted by the administrative and management team that includes the Director, Co-applicants, project manager, coordinator and other respective Institutional Implementation Committee members.

1.5 Revision and Approval

The Administrative and management team will review the policy every five years, unless circumstances dictate otherwise. Any amendments/revision to it will have to be approved before application by the management team.

1.6 Accessibility to the Manual

All employees of THRiVE shall have access to the HR policy. A copy of the policy will be kept on file in the administrative binder. All new employees will get a copy of the policy during their orientation. Each employee will attest to understanding the provisions of the manual by signing an attestation form.

CHAPTER TWO: EMPLOYMENT AT THRiVE

2.1 Categories of employees

2.1.1 Full-time employees

This category of employees is required to give 100% effort of their working hours. The employees are required to work on average 8 hours a day and 48 hours per week (except public holidays). However, they may be required to work more than 8 hours on a given day, as the job may require.

2.1.2 Part time/temporary hires

This category refers to employees who offer their services to THRiVE than 100% of their working hours as indicated in their terms of reference. For this category of employees, it should be clearly indicated in their terms of reference.

2.1.3 Trainees

This applies to individuals who receive training support from THRiVE. This category also includes students who are attached to THRiVE for their placement/research.

2.2 Types of appointments

2.2.1 Contract Appointment

THRiVE employees are appointed on a one-year contract renewable on satisfactory performance. Contract duration will be specified in the appointment document. Renewal of contracts will occur after a thorough performance appraisal or review that considers individual conduct and performance. For part-time employees, their appointment is for a specific length not exceeding six months. Part time employees are not entitled to fringe benefits (i.e. medical insurance, and annual leave); these provisions should be indicated in their TOR.

2.2.2 Casual Appointments

THRiVE may require casual workers from time to time depending on the need. Such casual workers will be paid a piece rate depending on the nature of work. Casual appointments are not entitled to fringe benefits.

2.2.3 Volunteers

These refer to individuals who may get attached to THRiVE but do not have an employment offer from THRiVE. THRiVE will not under normal circumstances provide any remuneration to volunteers. They will meet their daily costs.

2.2.4 Internship

This is time spent by students attached to THRiVE for their practical work related to their field of study. This should be for a specified period of time and is not an employment offer; therefore, interns are not paid salaries or allowances but a monthly stipend. All interns are required by THRiVE to provide a report at the end of their internship period.

2.3 Recruitment Procedures

The recruitment process will involve the THRiVE management team. All vacant posts shall be advertised either internally or externally.

A vacant post shall be filled with the best available person either from within or from outside THRiVE depending on the requirements.

In case recruitment has to be sourced outside THRiVE, the methods of advertising, personal contact, and collaboration with appropriate organizations shall be used.

2.3.1 Internal job adverts

For positions that fall vacant, efforts will be made when applicable to create opportunities for promotions for THRiVE employees by first posting the adverts internally to attract interested candidates already working with THRiVE. Where internal job adverts are not applicable, advertisements will be posted on notice boards in the respective partner institution, and its other affiliated Institutions.

2.3.2 Headhunting

Headhunting involves the recruitment of an employee without advertising for the position due to specialized and unique skill set that the individual possesses. THRiVE reserves the right to headhunt when looking for specialized skills.

2.3.3 Screening and Interviewing

The screening process will involve meeting set criteria which will be listed in the advertisement. Those that are suitable will be included on the shortlist for those to be interviewed (as agreed by the THRiVE management team). The interviewing process will be guided by an interview guide developed by THRiVE management team.

2.3.4 Induction and Orientation

All employees within THRiVE will be provided with sufficient information about the program, the new job they have been hired for, to assist their integration into the new positions. New employees may be twinned with experienced staff for a defined period of time to support the orientation process.

2.3.5 Probation

All new employees must complete a probationary period of 3 months (depending on the employee contract and project duration) after which an appraisal will be performed by the supervisor to evaluate performance and a recommendation will be made whether to confirm ongoing employment of the the employee or not. During this probation period the employee will receive full gross salary for the job for which they are on probation.

2.3.6 Staff promotion

Every employee in THRiVE qualifies for a promotion depending on employee performance as determined by the appraisals and suitability for the position. This promotion will be determined by the THRiVE management team and employee supervisors. THRiVE employees will apply for promotion following the annual appraisal process or may be promoted by management.

2.3.7 Salary structure

The salary paid to employees of THRiVE is comparable to that of similar organizations and is commensurate with an employee's experience and training.

CHAPTER THREE: CODE OF CONDUCT AND GENERAL POLICIES

3.1 Working hours

The number of working hours is 8 hours a day, usually between 8:00am and 5:00pm from Monday through Friday. Employees are entitled to one hour of unpaid time for lunch. Employees may sometimes be required to work outside the above stated time and days, but this will be dependent on the nature of program activities. All employees will be required to observe the working hours.

3.2 Confidentiality

All employees shall be expected to observe a high level of confidentiality regarding all official project information/documents. Any communication of project information/documents should be in official capacity and with approval from the THRiVE management team.

3.3 Protection of project property, image and interest

Employees are expected to protect the interests of THRiVE at all times and should not deliberately cause damage to project property. Where damage is caused due to negligence, carelessness or malicious acts, the employee is liable for repairs and subject to disciplinary action.

3.4 Communication channels

Most official THRiVE communication is done by email and goes through the Director, Co-applicants, Program Manager and Coordinator.

3.5 Internet use

The use of the Internet and the resources available on it are a great asset to THRiVE and its work. Any use which is not in furtherance of THRiVE purposes or supportive of an employee's work for THRiVE is prohibited. It is each individual's responsibility to use the Internet resources in a responsible fashion. Inappropriate use not only reflects badly on THRiVE, but may lead to penalties, including revocation of privileges, disciplinary action up to and including termination of employment contract. Among unacceptable uses of the Internet are the following:

- Use in violation of respective country's or institutional laws, including sending or receiving copyrighted matter without permission.
- Sending harassing, intimidating, abusive or offensive material to or about others, in public or private messages.
- Sending chain letters or pyramid schemes, "broadcasting" inappropriate messages to list or individuals, or "spamming."
- Viewing, downloading or uploading pornographic or obscene material.
- Deliberate propagation of any virus or malicious software.
- Use to disable or over load any computer system or network, or to circumvent any system intended to protect the privacy or security of data or another user.
- Inappropriately using chat room and news groups and social media to release confidential, private and otherwise protected information.
- Use to download pirated software

3.6 Safety & Security

Any accidents/injuries to the employee while in the line of duty should be brought to the attention of the program; however, THRiVE **will not** cover the medical care bills, with the

exception in the case where the THRiVE employee is on official duty outside the country of operation in which case THRiVE will cover the said obligation through health insurance. THRiVE will not be liable for loss of employee belongings on the project premises. However, it is the responsibility of the employees to ensure THRiVE property is kept in a secure manner. An inventory of all project property in possession of THRiVE employees will be kept by THRiVE's Information Technology Officer and updated at least every year.

3.7 Sexual harassment

Any unwelcome sexual advances, request for sexual favors, or verbal, written or physical conduct of a sexual nature by any category of employee is considered sexual harassment. Such conduct affects the employees' employment and creates a hostile and intimidating work environment and is considered as a grave misconduct. This might lead to legal action from the aggrieved party and termination of employment, upon confirmation by the THRiVE program management team.

3.8 Holding other jobs

Any full-time employee of THRiVE shall not hold any other concurrent job and should not seek any other full-time employment, during official working hours.

3.9 Concomitant Training

THRiVE employees are free to pursue further training (Certificate, Diploma, Masters and PhD); however this should not interfere with normal working hours (weekend study, evening courses). In all other cases of study, including online and other courses that require time off work, permissions should have been explicitly sought and granted by the THRiVE Director/Co-applicants and the management team ahead of matriculation.

THRiVE employees who receive support (financial or otherwise) from THRiVE or other affiliated training grants should discuss study time requirements and endeavor to formulate a plan to either take time off (unpaid) to concentrate on the training or pursue the training outside office hours. This must then be stipulated in a signed addendum to their contract.

CHAPTER FOUR: PERFORMANCE MANAGEMENT

4.1 Staff performance appraisals: Self-appraisal, review with supervisor

The first stage of an appraisal is the self-appraisal, in which every employee will review his own performance for the appraisal period under review. During this appraisal, the employee will rate himself/her self-using the given scale and justify the rankings as explained on the appraisal form (*refer to the Appendix for details*).

Reviewing the appraisal with the supervisor is the second stage of the appraisal. Performance will be measured against agreed upon objectives and the supervisor will give constructive feedback. All employees should get the opportunity to discuss their achievements relative to the job description and also observe any changes in the scope of work and responsibilities.

4.2 Timing of appraisals

4.2.1 Probation appraisals

This appraisal is performed at the end of the 3-month probation period for new employees and is used to generate the basis for appointment to *full employment* if satisfactory, *extension of probation* if the employee shows promise but needs to learn other job specific tasks and skills, or *termination with no confirmation on the job* if the employee does not show abilities commiserate with the job.

4.2.2 Half-year appraisals

The half year appraisal allows the employee and his/her supervisor to follow-up on the previous appraisal, usually the annual appraisal and assess progress made on the areas for improvement identified during the prior appraisal. It will also serve as a time to identify any new areas for work and to motivate the employee before the next appraisal.

4.2.3 Annual appraisals

This is performed towards the end of the contractual period and assesses performance for the year but mostly for the period between the half-year appraisal and the end of the contractual year. It allows the employee to apply for a promotion and or salary increment according to the provision for this pursuant to other sections in this policy (refer to Chapter Two and Chapter Five for details).

4.2.4 Recommended appraisals

This kind of appraisal will be *ad hoc* and recommended following specific incidents at work that need follow-up with the employee.

CHAPTER FIVE: REMUNERATION AND BENEFITS

5.1 Remunerations

THRiVE will pay fair and equitable remuneration recognizing differences in job requirements and performance. An employee's starting basic pay is based on the duties, qualifications, experience and responsibility required in their job as determined by the job description for the position.

THRiVE utilizes a formal salary structure, which weighs and evaluates each position accordingly. In pursuit of a fair and equitable salary structure, the THRiVE management will review the structure annually taking into consideration performance evaluation results and salary surveys done amongst comparable organizations.

5.2 Salary Structure and Review

THRiVE shall put in place a salary structure which shall state the minimum and maximum gross salary to be paid to various categories of staff. Benchmarking will be done with salary structures of similar organizations. The salary structure will be reviewed every two years.

Employees are eligible for an annual salary increment of 3% to cater for cost of living increases and is subject to availability of funds within the budget sources being used to pay the employee's salary and applies to employees who have completed one year at THRiVE. The annual cost-of-living increment may also be waived or increased by THRiVE Management to account for changes in market forces (value of Ugandan shilling) or salary ranges based on market forces. In addition, employees are eligible for a salary increment of 2% after a period of two contractual years. This increment however will be based on the employee performance as documented by the supervisor in appraisal reports. The increment will be provided to employees whose average supervisor appraisal score over the two years is 4 or greater.

5.3 General Guidelines on Salary Payments and Administration

5.3.1 Statutory Deductions

Statutory deductions such as Pay As You Earn (PAYE), social security deductions (NSSF), Local Service Tax (LST) and other taxes obligations will be made from an employee's salary without his/her authorization.

THRiVE will endeavor to pay employee salaries by the 25th day of each month. All staff salaries shall be deposited on their respective bank accounts. Staff shall be expected to fill in the right bank information on the THRiVE staff data form at the time of signing their employment contract.

5.3.2 Reimbursable Expenses

In performing their duties, THRiVE employees may incur extra expenses, supposed to be met by the project like travel, extra baggage or hotel accommodation. Staff will be reimbursed for the expenses incurred based on the submission of an authorized claim duly supported by appropriate receipts as proof of expenses incurred. All reimbursement expenses must be approved by the immediate supervisor, THRiVE Director/Co-applicant or THRiVE Manager. These reimbursements are not part of an employees' salary.

5.3.3 Travel and subsistence costs

Whenever you use THRiVE funds for travel and subsistence, costs should always be in relation to THRiVE activities and all travel and subsistence costs claimed should reflect the actual costs incurred. Travel costs should be requested at economy class level. An allowance not exceeding 20 USD per day for incidental travel-related expenditure may be used for expenses where receipts cannot be obtained, if this is included within your institution's policies and complies with the African Academy of Sciences (AAS) grant conditions. Any unused portion of this allowance should be reconciled as per standard processes for managing advanced funds. For medium to long term attachments of 1-

12 months a stipend or daily allowance can be provided on a non-receipted basis if this is included within your institutions' policies and complies with AAS grant conditions.

5.3.4 Visa fees

For all official travel, THRiVE shall cover the employee's visa fees as required by the Embassy or country of destination.

5.3.5 Bereavement policy

In the unfortunate event of an employee dying while in the service of THRiVE, a contribution shall be made towards funeral expenses. The deceased employee's next of kin or legal representative shall be entitled to the wages or any other remuneration due to the employee at the time of his/her death.

5.3.6 Death of a biological child or spouse

Upon the death of an employee's registered spouse, child or legally adopted child, THRiVE will make a contribution towards funeral expenses.

CHAPTER SIX: LEAVE MANAGEMENT

6.1 Annual leave

Employees are entitled to annual leave that is calculated depending on the duration of work with THRiVE. Employees who have worked for a period of one year and more are entitled to 24 working days of the contract calendar period to be taken as annual leave, within their contract period (2 days per complete calendar month worked). An employee is required to complete a leave form at least two weeks before the leave start date and ensure it is signed by his/her supervisor before leave is taken. Employees who have worked with THRiVE for less than 12 months will not be entitled to the benefit of annual leave.

Leave days should be communicated early through the *Leave Roster* and in certain circumstances leave may be deferred depending on the work plan and activities planned or if the THRiVE employee is a vital part of the team needed to carry out the scheduled activities within that stated time period. In cases where leave is not granted, the supervisor will state the reason in writing and the staff will have to sign to show that they understand the circumstances that warranted that decision.

Annual leave days may be not be carried forward from one contract year to the next. Leave days not taken in the year will be forfeited.

6.2 Sick leave

An employee who has completed his or her probation period with THRiVE and is incapable of work because of sickness or injury is entitled to pay as follows:

Full pay and benefits for three months. At the end of the three months, half pay and full benefits for an additional 3 months. For illness lasting more than six months, the employee will be entitled to sick leave but with no pay after six months. The employer then reserves the right to terminate the contract of service on complying with all the terms of the contract of service up to the time of termination and to employ someone else for this position.

For the employee to qualify for sick leave, he/she must notify the supervisor and THRiVE Director/Co-applicant within two days and produce a medical report to certify illness if more than two days off work are required. The medical report must be signed by a qualified medical practitioner certifying incapacity to work.

6.3 Maternity leave

A female employee shall be entitled to 60 working days maternity leave, for each pregnancy, on full pay. The employee must notify their supervisor at least 3 months in advance of the delivery due date. Extension of maternity leave may be considered only where serious complications have occurred and when authentic medical documentation is produced. However extra days will be charged to and treated as sick leave. Annual leave days will not be used to extend maternity leave without prior approval of the Supervisor.

6.4 Paternity leave

Male staff shall be entitled to two working weeks of paid paternity leave upon delivery by a registered spouse (married in church, mosque or a traditional ceremony), to be taken within 30 days of the birth of the baby.

6.5 Compassionate leave

A maximum of 7 working days of paid compassionate leave will be granted on the occasion of the death of a spouse, biological child, legally adopted child, biological parent or sibling. Besides bereavement, an employee may apply for a maximum of three working days of compassionate leave when is faced with an emergency or a compelling situation that

requires absence from work. The employee's leave application clearly stating the circumstances should be forwarded to his/her supervisor and subsequently to the THRiVE Director/Co-applicant for approval. For such absences requiring more than 3 days, the employee will apply for annual leave.

6.6 Unauthorized leave

An employee shall not absent oneself from duty without permission from his/her immediate supervisor. Any unauthorized absence from duty shall result into disciplinary action, which may include a proportionate deduction from the employee's pay or termination of service.

6.7 Leave without pay

Leave without pay is applicable to employees who have worked with THRiVE for a minimum period of two continuous years. An employee may request for leave without pay to pursue personal or professional issues. One's immediate supervisor may approve leave without pay for a period of two weeks, however, for a duration exceeding two weeks, it should be authorized by management. The employee must submit a written request to THRiVE management through their immediate supervisor at least one month before the commencement of leave which will be approved or denied and the decision communicated through the employees' supervisor.

6.8 Compulsory Leave

Compulsory leave shall be where an employee is sent on leave under any of the following circumstances: -

- a) To allow for free investigation or inquiry
- b) Sickness warranting seclusion

6.9 Public holidays

Employees shall be granted time off during gazetted public holidays by the respective country in which the THRiVE partner institution physically located.

CHAPTER SEVEN: DISCIPLINARY HANDLING AND GRIEVANCES

7.1 Policy on handling Staff Grievances

THRIVE is committed to resolving staff grievances promptly in an objective and transparent manner satisfactory to all parties concerned. THRIVE encourages all its employees to present complaints or problems through regular and open discussions with their immediate supervisor. If these discussions are unsuccessful, the employee is free to pursue the grievance procedure.

7.2 General Guidelines on Staff Grievances

- i. Staff grievances include complaints about employment conditions, relationships with fellow employees, immediate supervisors, Co-applicants and other THRIVE stakeholders or other causes of dissatisfaction.
- ii. Employees may present their grievances verbally or in writing to the immediate supervisor or any other alternate superior as detailed in the grievance procedure.
- iii. Responses to grievances shall be verbal or in writing depending on the nature of the grievance.

7.3 Procedure for handling Grievances

- i. Prior to the filing of a written grievance, an honest attempt should be made by an employee to resolve the grievance through discussions with the immediate Supervisor. This is mandatory.
- ii. Subject to the nature of the grievance, the *Supervisor* may be able to deal with the matter directly. Where this is not possible, the *Supervisor* should forward the details of the grievance to the *Project Manager*. Employees are advised to retain a copy of their grievance.
- iii. The *Project Manager* shall investigate the grievance(s) and reply in writing to the employee(s) as soon as possible. Where necessary, a meeting will be called involving the employee(s) and the supervisor. If the circumstances warrant it, witnesses to the fact may attend such a meeting to offer clarity.
- iv. The outcome of any meeting between management and employees in response to a written grievance should be confirmed in writing.
- v. Where the employee(s) remain aggrieved following receipt of a formal written response from the *Project Manager*, the matter may be referred to the *THRiVE Director/Co-applicant*. The employee should lodge any such appeal in writing to the *Director/Co-applicant* within fourteen days of receiving notice of the decision.
- vi. The *THRiVE Director/Co-applicant* shall determine, based on the written submissions, to either seek audience with aggrieved parties to resolve the conflict or refer the matter to the program management team for decision making.
- vii. Every effort will be made by the program management to deal with a grievance as quickly as possible. If it appears that at any stage in the procedure the grievance cannot be resolved within seven days, the management team should acknowledge receipt of the grievance, and then provide a progress report to the aggrieved.

All THRiVE staff should observe this protocol. The management team will not consider any grievances that do not adhere to this grievance procedure.

CHAPTER EIGHT: DISCIPLINARY PROCEDURES

8.1 Nature of Misconduct

Any act done without reasonable excuse by an employee which amounts to failure to perform any duty assigned to him/her, or which contravenes any laws relating to THRiVE or which is otherwise prejudicial to the efficient conduct of THRiVE or tends to bring THRiVE to disrepute, constitutes misconduct. There are 3 types of misconduct; minor, major, and gross misconduct. In some cases, where the boundaries between these categories may not be clearly defined, the Director and Co-applicants may be asked for guidance.

8.2 Minor acts of misconduct

The examples of minor acts of misconduct include but are not limited to the following:

- a. Idling/loitering during working hours
- b. Habitual tardiness coming to work
- c. Habitually leaving work earlier than the official work hours without permission
- d. Failure to maintain a desired level of performance
- e. Use of abusive or insulting language or behaviour or assault
- f. Disregard of authorized work request
- g. Misuse of THRiVE equipment/facilities including computers, telephones, internet
- h. Minor personal misunderstanding with another staff
- i. Intimidation
- j. Minor damage to property

8.3 Major acts of misconduct

The examples include but are not limited to the following:

- a. Negligence leading to minor damage or loss to THRiVE property;
- b. Absence from duty without permission or notice
- c. Negligence or incompetence, which mildly compromises a study subject's care or health
- d. Failure to comply with THRiVE policies and procedures
- e. Reporting to work under the influence of alcohol or illegal substance
- f. Falsifying administrative records e.g. log books, receipts, signatures etc.
- g. Contravention of traffic laws while using the THRiVE vehicles

8.4 Grave acts of misconduct

The examples include but are not limited to the following:

- a. Causing or threatening to cause physical or emotional violence or harm to any individual associated with THRiVE
- b. Avoiding work on account of feigned sickness
- c. Falsely accusing an employee or trainee of THRiVE
- d. Negligence leading to serious damage or loss to THRiVE property or funds
- e. Misrepresentation or omission of facts in obtaining employment with THRiVE
- f. Misrepresentation or misuse of authority
- g. Interacting with visitors, THRiVE trainees, counterparts, or collaborators in such a manner that adversely affects THRiVE's activities
- h. Soliciting, giving or accepting bribes or commissions
- i. Theft of THRiVE materials/supplies/fuel or conspiring to do the same;
- j. Failure to return from leave without permission;
- k. Falsifying project data and/or records;

- l. Failure to report to work for 5 consecutive working days without the knowledge of the immediate supervisor
- m. Insubordination

8.5 Disciplinary Procedure

8.5.1 Principles

No disciplinary action will be taken against an employee until the case has been fully investigated. At every stage in the procedure, the employee will be advised of the nature of the complaint against him or her and will be given the opportunity to state his or her case before any decision is made. No employee will be dismissed for a first breach of discipline except in the case of **grave misconduct** when the penalty will be dismissal without notice or payment in lieu of notice.

An employee will have the right to appeal against any disciplinary penalty imposed. The procedure may be implemented at any stage if the employee's alleged misconduct warrants such action

In all cases where disciplinary action is being taken, the employee concerned shall be given a fair hearing and a right of appeal. It is the policy of THRiVE that if disciplinary action has to be taken against an employee, it should;

1. Be undertaken only in justifiable cases where clear evidence exists
2. Be appropriate to the nature of the offence that has been committed
3. Be fair and consistent with previous actions in similar circumstances
4. Allow employees the right to know exactly what charges are being made against them and to respond to those charges.

The formal disciplinary procedure will be as follows:

8.5.2 Procedure for minor act of misconduct

- a. The first time a minor act of misconduct is committed, the supervisor will issue a **verbal warning**.
- b. The supervisor will issue **a written warning** if there is repeated occurrence.
- c. If there is re-occurrence after the two warnings above, further disciplinary action which includes suspension without pay or dismissal may be taken.

8.5.3 Procedure in major acts of misconduct

- a. The first time, a major act of misconduct is committed, the supervisor will issue a **written warning**
- b. If there is a re-occurrence after the 1st written warning, the management team will be notified and **immediate dismissal** will follow if the employee is found guilty.

8.5.4 Procedure in Grave acts of misconduct

- a. The immediate supervisor or the person who discovers the misconduct will inform the coordinator who in turn informs the Project Manager who will in turn call for a meeting of the management team.
- b. The **employee is entitled to a hearing before the management** where s/he may make a statement and provide evidence.

- c. An employee found guilty of a grave act of misconduct will be immediately dismissed from THRiVE.
- d. The powers to dismiss any employee lie with the THRiVE management team. Quorum should be three members of the management team. The committee will interrogate all parties to the case, examine, cross-examine witnesses, consider and decide issues presented before them.

CHAPTER NINE: TERMINATION OF EMPLOYMENT

Either party may terminate the contract of employment i.e. employee or employer by giving ***one month's written notice*** of the intention to terminate the contract or by payment of one month's Gross salary in lieu of notice. The original notice of resignation from the employee will be addressed to the Director or respective institutional THRIVE Co-applicant, who after taking note of it will send it to the THRIVE Manager/co-applicant for a notice of termination addressed to the employee and copied to the THRIVE Director and the Project Manager for filing in the employee's personnel file. Causes of termination of employment at THRIVE are classified as below:

9.1 Resignation

Resignation occurs when an employee decides to leave THRIVE. Employees are required to ***give one month or more of advance written notice*** of their intention to leave or to ***forfeit one month's salary***. However, employees are expected to make their immediate supervisors aware as soon as is possible before the resignation letter is tendered to allow for a smooth transition. The employer in a reciprocal way will inform employees as soon as possible in case funding constraints necessitate early termination of contracts. No resignation is effective until repayment of all outstanding debt/property owned by the employee is complete.

9.2 Involuntary Termination

Involuntary Termination occurs when THRIVE decides that an employee can no longer work for the project. If termination is for reasons of summary dismissal the employee will only be paid for days worked. Any outstanding funds not accounted for and the cost of any equipment not returned will be deducted from the salary.

9.3 Termination of Service other than for misconduct

Staff may cease to be THRIVE employees for a number of different reasons. THRIVE reserves the right to revoke the conditions stated in the agreement on the basis of:

- i. Limited funding;
- ii. Expiry of project period;
- iii. Expiry of contract of the THRIVE employee in question;
- iv. The employee being certified permanently unable to work by a medical practitioner.

Powers to terminate employee's contracts

Services for the aforementioned reasons are vested in the THRIVE management team. The THRIVE Director/Co-applicants will sign the termination letter.

Either party may terminate the contract by giving ***one month's written notice*** or ***one month's payment in lieu of notice***. However, if the decision to terminate the services of an employee arises due to disciplinary action, THRIVE is under no obligation to give such notice or pay in lieu of notice.

No notice of termination shall be required in the case of;

1. A contract of service specifically expressed to be for one period of fixed duration and not renewable
2. A contract under which a specific task or work is to be executed.

9.4 Redundancy

THRiVE assumes responsibility for ensuring that its staff numbers are optimal at all times. Redundancies can, therefore, arise due to a decline in activity, change in direction, reduced funding levels etc. Every attempt will be made to eliminate or minimize redundancies, and when faced with a potential redundancy situation, the THRiVE Consortium will review and take all possible measures to retain employees. Rules for serving notice of termination in cases of redundancy are the same as the notice period for resignation or termination.

9.5 Death of an employee

In the unfortunate case of death of an employee, the registered next of kin will receive benefits of the employee including the funeral benefits stipulated in the bereavement policy in chapter five.

9.6 Separation/Clearance process

All exiting staff shall be required to complete a Staff Handover Form (***Refer to appendix for details***) and return all office or organization's property that come into their possession by virtue of the employment relationship, to the respective partner institution's coordinator or THRiVE project manager.

The Staff Handover Form should be endorsed by the **immediate supervisor**, and approved by the THRiVE Director/co-applicant. On receipt of the Staff Handover Form and the Exit Interview Form, the THRiVE Director/co-applicant will authorize the processing of outstanding salary and benefits of the staff in question.

CHAPTER 10: PERFORMANCE APPRAISAL POLICY

1. Appraisal Policy

THRiVE is committed to supporting every employee to reach their potential and achieve the consortium objectives and goals.

The performance appraisal policy supports the performance appraisal scheme. The scheme is a formal process centered on an annual meeting of each employee and their line supervisor to discuss his/her work. The purpose of the meeting is to review the previous year's achievements and to set objectives for the following year. These should align individual employees' goals and objectives with consortium goals and objectives.

2. Core Principles of the Appraisal Policy

1. The appraisal process aims to improve the effectiveness of the organization by contributing to achieving a well-motivated and competent workforce.
2. Appraisal is an ongoing process with an annual formal meeting to review progress.
3. The appraisal discussion is a two way communication exercise to ensure that both the needs of the individual and of the consortium are being met, and will be met in the next year.
4. The appraisal discussion will review the previous year's achievement, and will set an agreed Personal Development Plan for the coming year for each member of staff.
5. All directly employed employees are required to participate in the appraisal process.
6. The appraisal process will be used to identify the individual's development needs and support the objectives of the Training and Development Policy.
7. All staff will receive appraisal training as an appraisee, and where appropriate as an appraiser.
8. The appraisal process will provide management with valuable data to assist succession planning.

9. The appraisal process will be a fair and equitable process in line with our Equality Policy.

3. Performance Appraisal Implementation

Performance appraisal discussions will be held over a designated 4 week period on an annual basis. They will be arranged by the appraisee's line supervisor. Line supervisors are encouraged to provide the opportunity for an additional 6 month verbal appraisal review, mid-year and other informal reviews as necessary throughout the year.

The discussion will be held in private. The exception is training needs that will be provided to the THRiVE Director/Co-applicant for action. Confidentiality of appraisal will be respected.

The appraiser (usually the employee's line supervisor) will be expected to have successfully completed appraiser training, and to be familiar with the appraisee's work.

All appraisal documents should be issued to both parties prior to the discussion, in order to allow time for both parties to reflect and prepare. These will provide a framework and focus for the discussion.

A time and venue for the discussion should be communicated at least one week before the appraisal meeting takes place.

APPENDIX A: ANNUAL APPRAISAL FORM



**YEARLY PERSONAL PROGRESS REPORT
THRiVE-2 STAFF**

SECTION 1

(To be filled in by the member of staff)

A: PERSONAL DATA

Full Name.....Department.....

Post held.....

Terms of Appointment: (tick as applicable) (a) Permanent (b) Temporary (c) Contract

B. PROFESSIONAL GROWTH

Any course(s) of training undertaken during the previous year

.....
.....

Nature of your work during the previous year

.....
.....

C. CONTRIBUTION TO PROGRAM STRATEGIC PLAN

.....
.....

D. CONTRIBUTION TO COMMUNITY

.....
.....

E. OTHER INFORMATION

Any special comments the member of staff wishes to be noted of

.....
.....

Date

Signature of Member of Staff

SECTION II
(To be filled in by the Supervisor)

Appraise the performance and conduct of the member of staff in his/her PRESENCE and CANDIDLY and as OBJECTIVELY as possible by putting and X in the appropriate box:

		Out-standing	Very Good	Good Average Below	Average	Inadequate	opportunity to observe
1	Readiness to accept responsibilities						
2	Ability to co-operate With Colleagues						
3	Relations with Subordinates						
4	Relation with Colleagues						
5	Emotional maturity						
6	Reliability of Professional decisions						
7	Dedication to duty						
8	Ability to plan and implement						
9	Ability to work unsupervised						
10	Relationship with non-THRiVE Community						

B. OVER ALL ASSESSMENT

C: PROSPECTS FOR PROFESSIONAL GROWTH

12. Prospects and suitability for promotion
13. Prospects and suitability for further Training

E. COMMENTS BY THE SUPERVISOR

.....
.....

.....
Signature of Member of Staff

.....
Signature of the supervisor

Date:.....

Date:.....

SECTION III

NOTES FOR THE GUIDANCE OF THE HEAD OF SECTION

1. The report should be a CANDID and OBJECTIVE appraisal of the performance and conduct of the member of staff, bringing out those strong and weak points which should be recognised by the THRiVE.
2. A precise recommendations on the suitability for promotion or further training should be made even if no such opportunity immediately exists in the Program.
3. A member of staff should be informed in writing of any faults and short-comings both professional and otherwise which result in an adverse report on him/her. Director/Co-applicant/Program Manager are responsible for carrying out this duty, either at the time of tendering the report or prior to it.
4. The report should be completed in DUPLICATE. A copy of the report should be retained on file at the THRiVE Secretariat.
5. The preparation and transmission of the report should be transparently

APPENDIX B: LEAVE APPLICATION FORM



THRiVE Leave Form

Part I: To be filled by employee applying for leave

Name of Applicant:.....

Designation:.....Department:.....

Leave applied for: Annual/Compassionate/Sick/Study/Maternity (***Cross out what is not applicable***).

Dates of the leave applied for: From.....To.....

Contact while on leave: Tel:.....E-mail:.....

Telephone contact of any other person through whom you can be reached during your leave:

Name of contact:..... Tel:.....

Signature of Applicant:..... Date:.....

Part II: To be filled by the THRiVE Director/Co-applicant

Remarks:

Leave approved / not approved (***Cross out what is not applicable***)

Name: Signature: Date:

