



**AFRICA INSTITUTE FOR STRATEGIC
ANIMAL RESOURCE SERVICES AND
DEVELOPMENT**

(AFRISA)

College of Veterinary Medicine, Animal Resources and
Biosecurity

Makerere University

OPERATIONS MANUAL

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Contents

1.0. INTRODUCTION	4
1.1. AFRISA’s Vision.....	4
1.2. AFRISA’s Mission.....	5
1.3. AFRISA’s Core Values.....	5
1.4. Purpose of the Operations Manual.....	5
2.0. STRUCTURE AND FUNCTIONS	7
2.2. Governance	7
2.3. Secretariat	7
3.0. PROGRAMMATIC ISSUES.....	7
3.1. Preparing Proposals for Assistance.....	7
3.2 Work Planning	9
3.3 Coordination	9
3.4 Monitoring and Evaluation	11
3.5 Participation in Conferences / Trainings / Workshops	12
4.0 PROCUREMENT MANAGEMENT	14
4.1 Purchasing Objectives.....	14
4.2 Principles that shall ensure competitiveness, fairness, transparency and value for money of the procurement undertaken by AFRISA.....	14
4.3 Procurement Code of Ethical Conduct.....	15
4.4. Planning and identification of goods and services to be procured.....	15
4.5. Guidance on non – competitive procurements.....	16
4.6 Guidance on prequalification of suppliers/contractors.....	17
4.7. Framework agreements:.....	17
4.8. Solicitation for Procurement	17
4.9. Evaluation of quotations	19
4.10. Thresholds for Authority for each procurement:	20
4.11. Procurement process:.....	20
4.13. Ordering of goods or supplies.....	22
4.14. Delivery and confirmation of receipt of supplies or goods.....	22
4.15 Payment for the goods or supplies	23
4.16. Summary Process, Description and Responsibilities	23
5.0 TRAVEL.....	24
5.1 International Travel:.....	25
5.2 National Travel:	25
5.3 Vehicle hire, Mileage charges and reimbursements	26
6.0. COMMUNICATIONS AND INFORMATION SHARING	27
7. AFRISA Visibility:	31
8.0. KNOWLEDGE MANAGEMENT AND INTERNAL COMMUNICATION	31
Introduction:.....	31
Internal Management Reporting and Coordination.....	32
9.0. RECORDS MANAGEMENT	33
Human Resource Information Systems.....	35
10.0. INFORMATION SYSTEMS AND TECHNOLOGY	35

Introduction:.....	35
11.0. HEALTH AND SAFETY AT WORK	39
Employee Responsibility	39
Accidents and dangerous occurrences at Work	39
APPENDIX 1: CURRENT AFRISA ORGANISATIONAL STRUCTURE	1

1.0. INTRODUCTION

Africa Institute for Strategic Animal Resource Services and Development (AFRISA) was established by Makerere University Council in March 2010 as special entity for strategic community development service, enterprise and employment creation. It is responsible for leadership, enforcement, dissemination and quality management of AFRISA-SPEDA model, design and innovation system across partner institutions and ensure the model actually transforms knowledge, science, technology and innovations into the real desired commercial and industrial enterprises, livelihoods, economic products, employment in the communities. It is an autonomous, not for profit Agency of Makerere University and the Government of Uganda for advancing skills, enterprise development, community transformation, household development, industrial and development education. It functions as a multi-stakeholder engagement platform through an innovation systems framework where Academic-Community-Public-Private Partnership (ACP3), resources and competences are mobilized to drive societal transformation, taking the University to the community using Science, Technology and Innovations (STI), to solve societal problems, development challenges and improve livelihoods of the people.

Mandate of the Institute

The mandate of the institute is derived from the Council decision of the 124th sitting held on the 9th and 16th of February 2012, which is to nurture and empower a new generation of entrepreneurs, job creators, technicians and service providers in the animal and related industries including education while at the same time solving unemployment problems conducted through innovative and alternative approaches to learning, research, knowledge and technology transfer such as the multiple entry and multiple exit (MEME) scheme.

Objectives:

AFRISA is a joint initiative between the Makerere University and Government of Uganda whose aim is to deliberately promote a unique, innovative and alternative model of higher education to skill the youth and communities at a large scale in Small and Medium Enterprises (SMEs) and employability. It's a special tool for intervention in the eradication of poverty and unemployment.

AFRISA functions as a multi-stakeholder engagement and partnership administration platform through an innovation systems framework where Academic-Community-Public-Private Partnership (ACP3), resources and competences are mobilized to drive societal transformation, taking the University to the community using Science, Technology and Innovations (STI), to solve societal problems, development challenges and improve livelihoods of the people.

AFRISA translates science, technology and innovations into profitable and competitive livelihoods. It also promotes the transfer and export of practical education. AFRISA operates an all-inclusive bottom-up education system through a flexible Multiple Entry Multiple Exit (MEME) framework.

1.1. AFRISA's Vision

“Healthier and Wealthier Communities in Africa”.

1.2. AFRISA's Mission

“To nurture, drive transformative Skills, Knowledge, Technology, Innovations, and Community Engagement Services for the continuous improvement of societal wellbeing.”

1.3. AFRISA's Core Values

In pursuit of its mission, AFRISA is guided by the following values:

- **Allegiance** to the Institution.
- **Customer responsiveness:** Members care about their clients and appreciate that each has his/her unique problem.
- **Professionalism:** Members practice all their work in a professional manner
- **Integrity:** Members are fair and honest in all interactions. They seek to adhere to the highest ethical and scientific standards and conduct.
- **Excellence:** Members are proud to be part of a high quality Institution and they strive for excellence in all we do.
- **Innovation:** Members are constantly looking for ways to innovate and improve. They embrace change as an opportunity, rather than fear it as a source of anxiety or extra work.
- **Teamwork:** Members support each other to achieve the AFRISA objectives. They value each other's strengths.
- **Accountability:** We accept our responsibilities and try hard to achieve those things for which we are accountable.

1.4. Purpose of the Operations Manual

The operations manual has been written to ensure that Africa Institute for Strategic Animal Resource Services and Development (AFRISA) staff understand and comply with appropriate good practice and regulations, including AFRISA internal policies. It is also designed to enable the platform fulfill its objectives as efficiently and effectively as possible.

The manual provides detailed notes on AFRISA's operating processes and affects the whole platform – both at Regional and Country level, all programs and staff. The procedures are developed in accordance with the management guidelines as approved by the Board.

The manual is supplementary to other existing AFRISA manuals and policy documents (the AFRISA Human Resource manual and the AFRISA finance manual). In some cases, it will be necessary to consult these documents for detailed policies/instructions. All other documents should be used interrelatedly without precedence or discrepancies.

The overall management and implementation of the operations manual is the responsibility of AFRISA management. The Supervisor, unless otherwise stated herein, will be the first

point of contact to discuss all matters pertaining to this manual. All the clauses in this manual shall comply with the laws of the respective countries and in case of any disagreement, the laws shall take precedence.

This manual will be reviewed and where needed updated triennial or as need may arise. Any employee(s) of AFRISA may communicate in writing to the Personnel responsible for administration the need for revision or addition to any part in the manual. Such recommendations shall be presented to the Board of Directors for consideration and approval. Administration shall make the manual accessible to all employees of AFRISA.

2.0. STRUCTURE AND FUNCTIONS

2.2. Governance

2.2.1. Governance Organs

- The apex governance organ for AFRISA is the Makerere University Council.
- The Board of Directors shall make decisions in consultations with the Makerere University council. The roles of the Board are articulated in the AFRISA Articles of Association.

2.3. Secretariat

2.3.1. Location of Secretariat

The Secretariat shall be located in Kampala, Uganda.

2.3.2. Structure and Staffing of Secretariat

The Secretariat shall be headed by the Head of Secretariat of the AFRISA under the supervision The Principal Innovations Director of the AFRISA and shall have such other members of staff as the Board may determine. The current structure is as indicated in Appendix 1 Organogram to be revised based on the current structure.

2.3.4. Roles and Responsibilities of Secretariat Staff

These are given in the job descriptions as provided in the Human Resource Manual.

3.0. PROGRAMMATIC ISSUES

3.1. Preparing Proposals for Assistance

AFRISA shall continually seek financial and other support from prospective Development Partners. In this regard the Secretariat shall from time to time prepare proposals for support from the partners. The Chair CoSSAP shall spearhead the preparation of the proposals, supported by the line Chair of platform, Coordinator Monitoring and Evaluation and the Manager Finance and Administrator under the supervision by the Head of Secretariat.

3.1.1 Resource Mobilization

The resource mobilization efforts shall be spearheaded by a management committee of AFRISA. Resource mobilization shall be done through combination of the following strategies:

(i) Secure increased contributions from strategic partners

- a. Building donor confidence through effective and efficient delivery of valuable programmes that assist communities
- b. Producing distinct and specific agreed deliverables.
- c. Strategic meetings and ensuring continuous dialogue with donors on the planning and financing of the AFRISA programmes and activities.
- d. Formally recognizing donor contributions.
- e. Providing prompt and accurate accountability of all funds received
- f. Providing prompt and informative reports on funded programmes and activities that attract donors' attention.
- g. Involving donors at different fora in the implementation and regular reviews of the strategic plan.
- h. Maintaining good public relations with strategic donors.

(ii) Mobilize additional resources from other strategic partners

- a) The Secretariat needs to take stock of other possible donors and broaden their resource base to supplement current contributions from traditional sources and not substitute them where possible
- b) Direct and active involvement of the Board of Directors and other senior staff in resource mobilization.
- c) Developing programme initiatives and special events that have the potential to attract funding
- d) Maintain an interactive website to keep visitors to the website informed of its programmes, activities and achievements.

(ii) Establish and engage in income generating activities such as private sponsored programs for value chain education including;

- i. Diploma programs
- ii. Ordinary certificate programs
- iii. Modular courses
- iv. Tailor made courses
- v. Technology and product development and distribution

3.1. The Grant Development Process

The Grant Development Process aims to increase AFRISA resources (financial, technical and material) and to increase the efficiency with which we obtain them. The process also involves the effective management of strategic partners in ways that sustain partnerships.

The principle of sustainability will be applied in grant development. This will be benchmarked on two fronts: efficiency (assessed by maximum benefit realized from any resource) and ability to remain attractive to development partners. Strategies shall include but not limited to: Grant writing, fundraising partnership events, income generating programmes, e-based resources, inform/engage/inspire prospective and existing partners.

3.2 Work Planning

AFRISA shall review its organization Strategic Plan on a ten year cycle. The Strategic Plan shall be reviewed 4 times within the ten year cycle to allow for substantive updating.

Operations are planned on an annual cycle. This shall start with a review of progress against the strategic plan, updating progress against the strategic priorities, major targets, and projections. This will be followed by the development of the country and regional operational costed plans for the year in order to ensure attainment of the AFRISA strategic goals and mission in alignment with the available resources. Throughout the year, performance shall be tracked quarterly against the set goals.

AFRISA's financial year runs from 1 July until 30 June.

The detailed process for preparing AFRISA annual work plans shall be as follows:

- (i) The starting point for the preparation of AFRISA annual work plans shall be a meeting of the Board of Directors to review past performance and determine the strategic areas to be focused on in the following operating year.
- (ii) The Secretariat, under the leadership of the Head of Secretariat and the technical guidance of the Coordinator Monitoring and Evaluation, shall then formulate the general planning guidelines for the planning period and pass them over to the respective Chairs of Platforms . The guidelines shall include the expected availability of funding and other resources for the planning period
- (iii) A management meeting comprising shall thereafter be convened to review previous performance, determine priorities for the new planning period in line with the strategic plan, analyze the respective platform plans, and come up with a consolidated AFRISA. The Team leader/Coordinator Monitoring, Evaluation Action Research and Learning shall provide technical guidance at the planning meeting.
- (iv) The Secretariat shall then review, harmonise and refine the AFRISA plan and budget
- (v) The draft work plan and budget shall then be tabled to the Board of Directors for review and recommendation.
- (vi) The Secretariat, where applicable, will review the work plan and budget to incorporate comments from the Board before implementation. Note: In case of projects that start after the annual budget has been approved, the budget as approved by the funding organization shall be followed.

The time line for the work planning and budgeting process shall be as follows:

	Activity	Timing
1	Board meeting to review and set strategic priorities	April
2	Issuing of planning guidelines to the platforms by the Secretariat	April
3	Commencement of the planning process at platform level	April
4	Management meeting to develop consolidated regional plan and budget	May/June
5	Ratification of the regional plan and budget by the Board of Directors	July

3.3 Coordination

a. Purpose

To ensure coordination and sharing of information across the platform by keeping management and stakeholders up-to-date on activities and progress towards objectives.

- (i) AFRISA shall put appropriate mechanisms in place to harmonize and coordinate the activities of the various platforms and partners.

b. Process and tools

- Activity status reports:** These brief reports are prepared at every end of the activity and submitted along with the accountability.
- Project status reports:** These brief reports are prepared at the end of every phase of the project as indicated in the methodology of the project document.
- Program Status Reports:** These brief reports are completed at the end of each quarter for all AFRISA programs. They are intended to show management the status of the program with respect to major objectives, significant issues or concerns and budget.
- Regional Calendar:** In order to facilitate internal communications and reporting, a calendar will be maintained. Administration and the Communications officer shall be responsible for updating the calendar on an as needed basis.
- Meetings:** The following meetings shall be held at the various levels of AFRISA according to the following pattern:

	Type of Meeting	Minimum Frequency
A	AFRISA member institutional meetings	
1	Project meetings	According to need
2	Platform meetings	Weekly
3	Secretariat Management Team meeting	Every two weeks
4	Secretariat Staff meeting	Monthly
5	Annual Secretariat staff retreats	Annul
6	Meeting of Board of Directors	Quarterly
7	Board subcommittee meeting	Quarterly
8	Meeting of Summit of partners	Twice a year

(a) Notices of Meetings

- (i) All Board of Directors, Summit of Partners and annual General meetings shall be announced at least one month before meeting date to enable participants plan accordingly.
- (ii) Other meetings shall be announced at least one week before

(b) Venue for Meetings

The Venue for meetings shall be on a determined accordingly by COSSAP.

(c) Minutes of Meetings

- (i) Minutes of meetings shall be circulated within one week after the meeting, except in the case of Secretariat management team meeting where the minutes shall be circulated within two days after meetings
- (ii) Minutes shall be clear on the actions to be taken and by whom, with a time scale for the actions

(d) Facilitation for attendance of AFRISA meetings.

Where applicable, rates shall be as provided for in the financial manual.

3.4 Monitoring and Evaluation

In order to measure the impact of its work, certain monitoring and evaluation processes shall be established. *Monitoring* refers to on-going tracking that is necessary to ensure that progress is being made; *evaluations* are periodic events that capture, snapshot-like, the situation at a given moment in time. Evaluations often involve documentation of lessons learned and provide detailed recommendations on how to improve the given program. The Monitoring and Evaluation function will play a significant role in the planning, implementation and management of AFRISA's activities. A framework for monitoring and evaluation shall be developed.

Monitoring and evaluation efforts shall be geared towards assessing the implementation of the annual work plans and the strategic plan. This will be achieved through development and implementation of a uniform M&E system, building capacity of staff and partners, promoting data utilization, supportive supervision and mentorship.

AFRISA's M&E system shall be based on the following guiding principles:

Useable: AFRISA and partners should be in position to use the information to assess project progress as well as for planning and decision making

Cost-effective: The system should build on existing systems in order to avoid duplication of efforts, support standardization and to strengthen earlier initiatives. In addition, the system should ensure that data are easily accessible and used for multiple purposes (i.e. for both monitoring progress and assessing program outcome). **Accuracy and transparency:** It should support meaningful interpretation of data over time by establishing standard indicators, measurement and interpretation, and data quality and management requirements. Data Quality assessments will ensure the consistency of the monitoring process over time.

3.4.1 Reporting on Work Performance and Related Issues

(a) Types and Frequency of Reports

Periodic reports shall be prepared at the various levels of AFRISA and submitted to appropriate authorities. The frequency for the reports shall be as follows: Feedback from the higher level to the reporting level shall be given within one week of receipt of a report

	Type of Report	Submitted to	Responsible person	Frequency
1	Activity and Financial reports	Project/program leader	Instructor, officer, expert	Not later than 2 days after the activity.
2	Section/project Quarterly reports from sections and project leads	Chair of platform	Program/section/project lead	Quarterly/per phase
3	Quarterly performance	Secretariat	PID and Board	Quarterly
4	Monitoring and	Program/project	Leader/coordinator	Quarterly

	evaluation reports	Manager	MEARL	
5	Accountability reports	Recipient of funds	Team leader Finance and procurement	Two weeks after end of activity

Resolutions arising from various meetings shall be shared not later than one week after the relevant meeting

Failure to report as required shall be a negative factor in the staff performance appraisal exercise. Conversely regular reporting as per set standards shall attract merits in the appraisal exercise

(b) Report Formats

Formats for the respective reports shall be designed by the secretariat, under the guidance of the Team leader, Monitoring, Evaluation, Action Research and Learning. The performance reports shall cover the following key aspects:

- (i) What was planned or intended to be achieved during the period
- (ii) The planned indicators of performance
- (iii) The level of achievement of planned outputs
- (iv) The quantity of resources used in producing the outputs
- (v) Factors that affected achievement of outputs and how
- (vi) Challenges faced
- (vii) Suggestions for improvement of performance

3.5 Participation in Conferences / Trainings / Workshops

- (i) The conferences, workshops or trainings that AFRISA should sponsor partner members to attend should be those that support or strengthen the work of AFRISA.
- (ii) Members who seek support from AFRISA to attend a conference should be presenting work supported by AFRISA and have their abstracts accepted at the conference, preferably for oral presentation.
- (iii) The supported training should benefit the platform.
- (iv) Workshops organised by external partners should have potential for collaboration with AFRISA institutions. Sponsored participant(s) should submit a report to the secretariat within a week after attending the workshop
- (v) To the extent that is feasible participation in conferences shall be captured in annual work plans, appropriately budgeted for and duly approved
- (vi) AFRISA Board of Directors shall establish appropriate selection criteria for conference participation among member institutions to guide the Secretariat identify beneficiaries.
- (vii) As much as possible equal opportunities should be given to the various members and partners to attend conferences, workshops and trainings sponsored by AFRISA
- (viii) Requests by AFRISA members for support to attend conferences shall be submitted to the Regional Program Manager at least two months before the starting date of the conference. Decisions on applications for attending conferences shall be made by the Secretariat within two weeks of receiving the application or two weeks after the set deadline whichever is applicable.
- (ix) The Board shall decide on which conferences AFRISA will sponsor participants to attend. AFRISA shall support the participants' visa application process.

4.0 PROCUREMENT MANAGEMENT

The purchasing function is one of the most important and influential of the various operating units. The Board would approve the procurement committee. In an establishment, like AFRISA, purchasing is crucial in the acquisition of fixed assets and other supplies. Donor grants agreements and AFRISA procurement procedures shall be adhered to.

4.1 Purchasing Objectives

The objective of the purchasing function is to ensure that AFRISA is getting value for its money (spending its financial resources in the most efficient and effective manner) through the prevention or reduction of possibility for errors and frauds. Installing a good procurement system and ensuring proper allocation of duties among individual officers in a manner that enforces the principle of segregation of duties and adherence to financial regulations can achieve this.

Poor purchasing policies may lead to a buildup of obsolete stock or loss of resources in form of air supply and poor quality supplies. In order for AFRISA to have an effective purchasing system, purchasing will be centralized and done through a Contract's committee which will be independent so as to control AFRISA's spending. No employee should be responsible for initiating, processing and concluding purchasing transactions.

4.2 Principles that shall ensure competitiveness, fairness, transparency and value for money of the procurement undertaken by AFRISA.

No employee, officer, or agent shall participate in the selection, award, or administration of a contract if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of AFRISA shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to sub agreements

If there are instances discovered during the procurement process that shall undermine open and fair competition such as conflict of interest, a bidder being involved in the preparation of invitation of bids or request for proposals or non-competitive practices such a bidder shall be disqualified from the bidding process. A decision shall be taken as to whether fresh bids shall be invited.

Procurement is made in support of AFRISA activities.

Contractors that develop or draft specifications, requirements, statements of work, and invitations for bids and/or requests for proposals shall be excluded from competing for such procurements

Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement.

Consideration shall be given to such matters as contractor integrity, record of past

performance, financial and technical resources or accessibility to other necessary resources.

Contracts shall contain contractual provisions or conditions that allow for administrative, contractual, or legal remedies in instances in which a contractor violates or breaches the contract terms provide for such remedial actions as may be appropriate and contain suitable provisions for termination by AFRISA, including the manner by which termination shall be effected and the basis for settlement. In addition, contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

4.3 Procurement Code of Ethical Conduct

- (a) All staff must maintain an impeccable standard of integrity in all business relationships.
- (b) The confidentiality of information received in the course of duty must be respected and never used for personal gain; information given in the course of duty must be true and fair and never designed to mislead.
- (c) AFRISA staff must not engage in any activity or personal business transaction, with individuals or entities that the AFRISA has business dialogue with, which could be perceived as a conflict of interest.
- (d) While bearing in mind the advantages to AFRISA of maintaining a continuing relationship with the supplier, any arrangements that might, in the long term, prevent the effective operation of fair competition should be avoided.
- (e) Gifts from suppliers, other than items of very small value less than \$40 should be declared
- (f) AFRISA staff must ensure that they are not placed in a position whereby they might be, or might be deemed by others to have been, influenced in making a business decision as a consequence of accepting hospitality. The maximum value of hospitality which can be accepted is that of an infrequent working lunch. Accommodation or tickets to entertainment, etc. cannot be accepted. In all cases, the scale of hospitality accepted should not be significantly greater than the hospitality AFRISA would be likely to provide in return.
- (g) AFRISA will reject an offer if the supplier that submitted it proposes, gives or agrees to give, directly or indirectly, to any current or former staff or employee a gratuity in any form, an offer of employment, hospitality or any other service or value as an inducement with respect to an act or decision of, or procedure followed by AFRISA in connection with procurement proceedings. Such rejection of the offer and the reasons therefore must be documented in the record of the procurement proceedings and promptly communicated to the supplier.

4.4. Planning and identification of goods and services to be procured

The planning process begins at the time when the need for procurement is identified by a user and should be set at the beginning of a financial year.

Procurement plans (see Appendix 10)

Procurement plans are an integral part of the whole planning process. It contains the procurements to be undertaken in a given year. Procurement plans assist in the set up to undertake more guided procurement arrangements in line with the available resources and minimizing time wastage due to long procurement gestation periods.

Preparation and Approval of Procurement Plans

The Team leader Finance and Procurement shall be responsible for preparation of annual procurement plans that shall be presented to the Management Committee one month after approval of the annual budgets. Towards the beginning of a budget cycle, AFRISA staff shall provide their procurement needs to the chairs of platforms for inclusion into the annual budget. **In case of projects that start at any time of the financial year, the project staff will provide procurement needs according to the project specific work plan.**

The user should be able to give a clear description of the required good, service or works. This description should be utilized to make a clear and objective specification in order to solicit for the need from different possible suppliers. Depending on the value of the required procurement, different methods will be used. Selection of the method of procurement to be used will depend on the value of the procurement; however, it is good procurement practice to subject all procurements to competition to the best practical extent possible. In light of the above, all procurements by AFRISA shall be subjected to competition possible except in circumstances where the procurement can only be obtained from only one source or the time allowed for the activity is too short not to permit competition.

4.5. Guidance on non – competitive procurements

There may be situations in which competition is not possible or practical. In those cases direct procurement may be approved, without following a competitive selection. Alternative pricing may be used for comparison purposes.

Competition may not be feasible for any of the following reasons:

- (a) When prices or rates are fixed pursuant to national legislation or regulatory bodies;
- (b) when AFRISA, on the basis of competent technical advice, has approved the standardization of supplies, equipment, spare parts and other items and where the related services pertaining to these standardized items make competition impractical;
- (c) When the requirements of emergency operations, or other operational needs, do not permit the delay attendant on the execution of a competitive process;

An emergency exists when a timely decision must be made to prevent loss of life, damage to property or facilities, or to mitigate an imminent threat to public health, welfare, or safety. A written Justification for Waiving Competition is required. It shall be requested by the Requesting Officer and approved and signed by the appropriate Procurement Authority before the purchase / contract action can proceed.

Emergency procurement is the EXCEPTION and this step-out procedure should not be a replacement for foresight and planning, it should not be misused.

- (d) When only one source can reasonably meet AFRISA's requirements or the procurement relates to perishable supplies;
- (e) When competition for identical items has been obtained during the preceding three months, unless there has been a substantial change in price or market trends in the meantime;
- (f) Where there is an existing framework agreement
- (g) When the proposed contract is for services of individuals other than staff members.
- (h) Purchases whose value is less than USD500. This limit however, is to be evaluated from time to time

4.6 Guidance on prequalification of suppliers/contractors

The purpose of a pre-qualification exercise is to competitively identify suppliers to be included in a shortlist of suitable suppliers register capable of providing the said goods and services to the organization. It shall be open to all providers using public advertisement of a pre-qualification notice, which shall invite potential bidders to obtain the prequalification documents from the organization. A pre-qualification notice shall be published in at least one publication of wide circulation to ensure effective competition.

AFRISA shall conduct a general pre-qualification exercise at least after very two years using the prequalification document to be developed by administration or the assigned section. To be registered, suppliers must meet the following minimum requirements:

- (a) Legal capacity to enter into a contract
- (b) Products / services offered are of interest to AFRISA and / or the company holds the necessary professional and technical competence
- (c) Company has a minimum of two years' experience as an established business
- (d) Financial standing as evidenced by submitting the last two years' audited accounts or its equivalent
- (e) Company accepts AFRISA's payment terms
- (f) Registration form is fully completed and signed by company authorized official
- (g) Any requested documents are completed and returned to AFRISA

4.7. Framework agreements:

Framework agreements are contractual documents whereby a supplier has agreed to fixed prices for a defined period of time for goods and services that are required by AFRISA on a recurring basis. This process is designed in order to avoid repetitive competitive purchasing / contracting for standard requirements in an effort to reduce the lead-time for delivery and costs (e.g., by purchasing a greater volume of goods over a defined period of time).

A framework consists of two phases: i.e. agreement with the supplier and ordering the goods / services. Framework agreements may be established for local recurring supplies, e.g. stationery, equipment maintenance services, equipment needs. The procurement process should be followed prior to establishment of a framework agreement.

When a framework agreement is held with a supplier/contractor, a call off order shall be prepared and signed for reviewed and approved items to be purchased within the agreement.

4.8. Solicitation for Procurement

Solicitation is the mechanism used to communicate a procurement requirement and request an offer from potential suppliers. It is important to ensure that the solicitation document contains the necessary information i.e.

- Overview of the intended purchase
- Specification/Scope of works
- Indication of whether/not deviations from the technical specifications will be considered
- Terms and conditions

- Selection criteria (where applicable)
- Summary of supplier information required
- Deadline of proposal submission
- Address to which proposals should be sent

- Requirements such as lead time or delivery/performance date, payment terms, shipping terms and warranty may be included

4.9. Evaluation of quotations

To facilitate the evaluation of procurement, committees shall be constituted at the Regional and Country Secretariat level as follows:

The Evaluation Committee:

Evaluation of bids for goods and services up to \$10,000 shall be done by an ad-hoc Evaluation Committee formed among AFRISA and university staff. The Evaluation Committee at any one time will have the Administrators due to their role in administration and at least two other members who will be nominated to the committee by the Contracts Committee.

- (i) Evaluation will take into consideration the following: a) Financial stability, negotiating power of the supplier and price to be offered b) Competitiveness and quality of service or goods to be procured. c) Eligibility, compliance and credibility of the provider d) Ethical and corporate responsibility of the supplier e) Availability of product or service

All purchases for items above \$10,000 shall be referred to the Contracts Committee, a Committee that shall be constituted at the Secretariat.

The Contracts Committee

The Contracts Committee shall be established constituting of AFRISA staff at the Secretariat and approved by the Board. The Committee shall review and examine certain procurement above the specified threshold, actions and renders related advice. It has the authority to question any aspect of a proposed contract or purchase. The Committee reviews and examines, prior to approval of procurement actions, the following transactions initiated and renders related advice:

- All purchases and contracts (under competition or direct procurement) involving commitments in respect of a single request or a series of related requests.
- All framework agreements and standing orders, including renewals/extensions/expansions/amendments
- All procurement actions that are recommended for award and do not adhere to procurement policy and procedures.
- The committee shall review the roster of potential suppliers/prequalification list on a regular basis.

The role of the Contracts Committee will primarily be:

- a) Adjudication of the procurement and disposal process of AFRISA
- b) Approving procurement and disposal procedures
- c) Approving bidding and contract documents
- d) Award contracts
- e) Recommend for delegation of a procurement or disposal function by the responsible authorization level whenever need arises. The Committee may request the attendance of

representatives from other offices/external parties when agenda items require their presence

Members shall declare a conflict of interest, if any, and have no financial or personal interest with prospective suppliers that may infringe upon the principles of transparency, independence and fairness of the Committee proceedings

Committee recommendations shall be based on the basis of a simple majority (the Chairperson and three members). All members shall sign on the minutes and indicate their respective recommendation. In case a member has a distinct opinion, he/she shall indicate his/her position and justification.

Once a decision is made by Contracts Committee, the authorized person according to the authorization level above-stated shall approve the selected supplier and the required documents are returned to the Administrator for Processing.

4.10. Thresholds for Authority for each procurement:

See also: Finance Manual: Table of Authorities

The following positions shall have Authority to approve and sign purchase orders and contracts for the specified thresholds.

Document/ Process	Signing Limit	Authorized Signatories
Local/International Purchase Order	Up to \$500	Team leader Finance and procurement at Secretariat
Local/International Purchase Order	More than \$500 and up to \$10,000	Chair COSSAP
Local/ International Purchase Order	More than \$10,000 and up to \$50,000	Head of Secretariat, AFRISA
Local/International Purchase Order	More than \$50,000 and up to \$100,000	PI AFRISA
Local/International Purchase Order	More than \$100,000	AFRISA, Board

Authority is delegated to a position, not a person, as a result, individuals with acting responsibilities for a position with delegated authority may exercise this authority until the official incumbent resumes his/her position.

4.11. Procurement process:

All AFRISA procurements above \$500 shall go through the following evaluation process:

- (i) Setting of Specifications and Request for quotation
- (ii) Selection of best quotation
- (iii) Ordering of Goods or supplies

- (iv) Delivery and Confirmation of receipt of supplies or goods
- (v) Payment for the goods or supplies

- (vi) Any item that exceeds \$500 requires three competitive quotes.

(vii) For an item whose value is between \$10,001 and \$50,000 or its equivalent in local currency, the Contracts Committee shall recommend the best bidder for approval after comparison of offers from the three different suppliers.

(viii) In some isolated instances like manufacturers representation, monopolies, vendors strictly not giving quotations, reasons for considering less than three quotations will be documented and approved by the Contracts Committee, bearing in mind the market forces.

(ix) In some instances, it may be determined that the quotation that is to be selected is not the lowest bidder among bids received. Such a determination may be based on concerns about the responsiveness or abilities of the vendor(s). Also, there may be concerns about a vendor's ability to perform successfully under the terms and conditions of a proposed procurement. Such concerns must be clearly documented with specific examples or indications as to the concerns and approved by the Contracts Committee. In the final analysis, the vendor selected would be the one whose service is the most advantageous to AFRISA.

(x) For an item between \$50,000 and \$100,000 the Contracts Committee shall recommend the selected vendor after comparison of the three various offers. Items beyond \$100,000 will be procured through open bidding whereby notice of tender invitations shall be advertised in the press and shall be approved by the Chairman of the Finance Committee of the Board. Where open bidding is used, the Team leader Finance and procurement together with at least two other members of the Contracts Committee shall convene to publicly open the bids. All members present at the bid opening shall initial the bids' RECEIVED'. Minutes shall be documented and signed by all members present. Procurements will follow the stages outlined below, and this shall be coordinated by the Senior Regional Administrator

(vi) **Develop bid solicitation document:** The bid solicitation document prepared will advise potential bidders on the specific requirements of the proposal they will submit and how they will be evaluated. It will also outline specific instructions, terms and conditions which must be accepted by the bidder and will be incorporated into any resulting contract.

(vii) **Invite bids:** The method for selecting bidders will vary, depending on the procurement method used. Available options for solicitation of bids include:

a) Quotation method

b) Open bidding: This is open to all bidders following public advertisement and involves maximum competition.

c) Restricted bidding: Is similar to open domestic bidding, except that there is no advertisement, so bidders are invited from shortlists. It may apply where only a limited number of providers exist, in emergency situations and for procurement

d) Direct procurement method. An appropriate method to be applied will depend on the situation, threshold and shall be approved by the Contracts Committee

(viii) **Receive bids:** Correct management of the receipt of bids is essential to a transparent procurement process, as it ensures that no late bids are accepted. Bids shall be received by the Team leader Finance and Procurement who will register the bid. No bids shall be

received/accepted after the deadline.

- (ix) **Bid opening:** Significant procurements shall have bid openings witnessed by the members of the Contracts Committee. A feedback will be made to all bidders.
- (x) **Evaluation:** The evaluation shall be conducted by an ad-hoc Evaluation Committee at country level, for items below \$10,000 and a Contracts Committee at Secretariat level. The evaluations must be comprehensive following the provided evaluation criteria for each respective procurement.
- (xi) **Post qualification:** The best evaluated bidder may be subject to post qualification to check whether they have the capability and resources to effectively carry out the contract. The post qualification will typically look at the provider's experience, past performance, equipment of other facilities and financial situation and in accordance with funders requirement.
- (xii) **Award decision:** Any recommendation to award a contract must be submitted to the appropriate authority in accordance with the authorization levels for approval prior to any commitment being made. The Chair COSSAP will review the recommendation made, including the evaluation report and the results of any post qualification or negotiation and make recommendations for the Head of Secretariat. The Head of Secretariat will review and make institutional communication about the award.

4.13. Ordering of goods or supplies

Pre-numbered Local Purchase Orders (LPO) for goods and services will be provided at all times. The Regional Administrator shall prepare the LPO in triplicate for approval as above. The order should state the specifications, price, date and time of delivery and mode of payment. (*Appendix 3*). The original of the LPO shall be given to the supplier, the duplicate to the Finance Department and the triplicate shall remain with the officer ordering.

4.14. Delivery and confirmation of receipt of supplies or goods

All goods shall be received by the Secretariat Team leader Administration or assigned personnel. Upon delivery, the supplier should provide delivery note and the copy of the LPO. The Secretariat Team leader Administration will examine the LPO, Invoice and delivery note to confirm the specifications ordered. The Secretariat Team leader Administration shall then issue a pre-numbered Goods Received Note (*Appendix 4*) to the supplier. The Secretariat Team leader Administration will then record the goods in the Stores Ledger (*Appendix 5*) and store the goods.

As a result, a stores report (*Appendix 20*) will be produced. After receipt of goods, the Team leader Finance and Procurement shall review and recommend to the Chair COSSAP, on notification by the Secretariat Team leader Administration, payment to the supplier with all the documents used for the procurement. There should be an original invoice, delivery note, goods received note, copy of the LPO minutes of the procurement committee where applicable, 3 comparable quotations and any other relevant documentation. All AFRISA

purchased items will be taken on charge and shall only leave the store after a duly completed Requisition Form (Appendix 22) is authorized by the Secretariat Team leader Administration.

4.15 Payment for the goods or supplies

(Refer to Chapter 4 in the Finance Manual)

- (i) At Secretariat level, all payments exceeding \$100 shall be paid by cheque or transfer. Cheques shall only be raised for authorized transactions.

4.16. Summary Process, Description and Responsibilities

Officer Responsible	Procedure
Requesting Officer	Raising a Purchase Requisition for the required goods/services using email
Budget Holder/ Person in Charge of Budget(s)	Approve requisition. The person in charge of the budget shall approve the requisition to confirm that the requested item is provided for in the budget
Assigned procurement personnel	Processing of Purchase/Contract Request Review: Technical specifications or scope of work; Accept purchase/ contract request as submitted or make necessary changes in consultation of the Requesting Officer.
Assigned procurement personnel	Solicitation of Offers: Prepare Request for quotation and establish the closing date for responses. Research potential suppliers or use the prequalified list of suppliers
Assigned procurement personnel	Issue request to suppliers and answer questions from suppliers.
Assigned procurement personnel or Assigned receiving officer	Receipt, Opening of Responses to Request Receive and open Quotations / Bids / Proposals. If RFP, technical sections of Proposals are opened and submitted first. Financial sections are opened after completion of technical evaluation. Determine validity of Quotations /Bids / Proposals. Prepare comparison matrix
Evaluation Committee	Evaluate and rank Proposals in accordance with “best value”, defined for the current procurement and select provider at Country level
Contracts Committee	Evaluate and rank Proposals in accordance with “best value”, defined for the current procurement and select provider at Secretariat level
Assigned procurement personnel/assigned personnel	Purchase / Contract Execution Prepare Purchase Order / Contract.

Assigned Authority		Approve and sign Purchase Order / Contract
Assigned procurement personnel	personnel/ assigned	Distribute Contract copies to supplier and Requesting Officer. Keep a copy in the official contract File.
Requesting Officer/ stores	Personnel in charge of	Delivery of Goods / Services Verify and accept the items delivered in accordance with

		the Purchase Order, or the services rendered in accordance with the Contract. Any difference between the Purchase Order and the items, or any unsatisfactory performance must be documented, and the personnel in charge of procurement must be informed immediately to take appropriate action. <i>Requesting Officer is not authorized to amend the contract in any way, in writing or orally.</i>
Assigned procurement personnel	personnel/ assigned	Contact supplier if the number of items and their specifications are not in accordance with Purchase Order, or if services are inadequate, and take appropriate action to ensure that the terms and conditions of the Purchase Order / Contract are met.
Assigned Authority		Amend Purchase Order / Contract should there be any reason to do so.
Assigned procurement personnel	personnel/assigned	Ensure that the Official Order / Contract File contains necessary documentation.
Assigned staff member		Payment of Supplier Prepare documentation for payment, obtain assigned Authority approval and submit to Finance for payment execution.

5.0 TRAVEL

The objective of AFRISA Policy on Travel is to ensure that expenses for travel are convenient and provide a standard of service that is appropriate to the organization and staff. The basic approach for travel advance is that AFRISA will advance the approved rates or budgeted project rates. Meals and incidentals will be reimbursed on the basis of authentic receipts or any other proof of spending. The same objectives shall apply to travel both international travel and in country travel.

Policy:

When travel is required, it is the responsibility of AFRISA staff or intermittent employees to incur travel costs at the least possible expense. Travel arrangements should be made through AFRISA's administration and must comply with the regulations of the related funding agency as appropriate.

Travel, both local (national) and international, by AFRISA staff, members and partners on AFRISA business, shall, to the extent that is possible be anticipated, put in the annual work plan, and adequately budgeted for.

All travelers shall be reimbursed only for ordinary, reasonable and necessary expenses when engaged in authorized travel.

All cancellations of travel arrangements must be made as cost-effectively as possible.

It is the policy of AFRISA that all personnel planning international travels on official business should have travel insurance.

5.1 International Travel:

1. Requests for international travel funded by AFRISA shall be submitted on a **Travel Authorization Form** (*Appendix 8*) to the Secretariat at least one month prior to date of travel. The request shall include the purpose of the travel, travel dates, destination and any related travel advance funds requested.
2. This requirement for the one month notice may be waived in case of vital travel needs that come up unexpectedly
3. The Travel Authorization Forms submitted by the staff should be endorsed by Chair of platform
4. Requests for international travel shall be reviewed and approved within one week of submission. However, for donor-funded travel there could be additional approvals required by the funder that require additional steps. In this case:
 - a. The AFRISA Secretariat shall inform the traveler that their request has been approved internally and that AFRISA has requested travel approval from the donor/funder.
 - b. The AFRISA Secretariat shall submit a request for travel approval to the funder/donor.
 - c. Upon receipt of the approval, the Secretariat shall inform the traveler
 - d. Travel is only approved once the Travel Authorization Form is signed by the Head of Secretariat or his designate. Without the signed form, **no related travel costs can be incurred.**
 - e. All personnel travelling abroad on official business should have travel insurance provided by the sponsor.
 - f. Upon receipt of the signed Travel Authorization Form, the appropriate AFRISA Secretariat office arranging the travel for the traveler will purchase travel insurance for the traveler.
 - g. For AFRISA funded travelers, there is the provision for day and night subsistence allowances as based on determined rates stipulated in Chapter 12 of the Financial Manual, section. The traveler shall request these allowances on the Travel Request Form.
 - h. AFRISA Secretariat shall review the request and process an advance of the requested amount. At the completion of travel, the traveler shall submit a travel expense report and reconciliation of the advance to the designated AFRISA secretariat office. In a case where the advance is larger than the reconciled expenses, the traveler will reimburse AFRISA and if the expenses are more than the advance amount, the traveler shall be reimbursed for the amount overspent.
 - i. Reports on travels undertaken shall be submitted to the supervisor within a period of 10 working days after the travel. *See Appendix 9 for reporting template Form*

5.2 National Travel:

1. Requests for local (national) travel, except for daily routine movements, shall be submitted on a **Travel Authorization Form** (*Appendix 8*) to the Secretariat at least two weeks prior to date of travel. The request shall include the purpose of the travel, travel dates, destination and any related travel advance funds requested
2. This requirement for the two weeks' notice can be waived in case of vital travel needs that come up unexpectedly
3. Requests shall be reviewed and approved by the Chair at platform level and the Head of

Secretariat.

4. For AFRISA funded travelers, there is the provision for day and night subsistence allowances at determined rates as stipulated in Chapter 12 of the Finance Manual. The traveler shall request these allowances on the Travel Request Form.
 - a. As part of the travel authorization the Chair of platform shall review the request and authorize an advance of anticipated funds in requested amount.
 - b. Upon the completion of travel, the traveler shall submit a travel expense report and reconciliation of the advance to the designated AFRISA secretariat office. In a case where the advance is larger than the reconciled expenses, the traveler will reimburse AFRISA and if the expenses are more than the advance amount, the traveler shall be reimbursed for the amount overspent.
5. Reports on travels undertaken shall be submitted to the supervisor within a period of 10 working days after the travel. *See Appendix 9 for Reporting Template Form*

5.3 Vehicle hire, Mileage charges and reimbursements

The objective of AFRISA policy on transport/ mileage is to provide for limited use of personal vehicles in the course of carrying out AFRISA business. AFRISA staff may be permitted to use personal vehicles to conduct official AFRISA business when it is in the best interest of AFRISA to allow such use. The employee will be reimbursed with the actual approved mileage covered for such use. AFRISA staff may be permitted to hire or use public transport when it is the interest of AFRISA to allow such use. The means of transport facilitation may be determined by the funding agency.

This is to ensure optimal use of AFRISA vehicles while ensuring that approved activities are able to continue and reasonable reimbursement of costs borne by an employee as a result of using their vehicle for approved AFRISA purposes.

Guidelines and Procedures

- (i) AFRISA employees may be required to use their privately owned vehicles in order to carry out company duties if a company vehicle or hired vehicle/taxi is not available or convenient to use. Authorized persons who use a private vehicle for official company business (even when it is outside normal working hours) may claim for:
 - Mileage reimbursement paid at the determined AFRISA rate to cover ALL costs directly related to the use of a personal vehicle such as gasoline, insurance, wear & tear etc.
 - Other related expenses such as parking fees and road /bridge tolls incurred on the trip/s.
- (ii) The following procedure will apply in claiming reimbursable mileage;
 - A qualifying employee will fill in and submit a Mileage Claim form no more frequently than once per month
 - The immediate supervisor will review and approve or amend the Mileage Claim form to ensure that the use of private vehicles is justified, pre-authorized, and in AFRISA's best interest.

- The supervisor will submit the approved Mileage Claim form to the Finance Office for payment.
- (iii) AFRISA employees will be required to hire vehicles or public transport under the following situations;
- AFRISA assesses it beneficial to hire or use public means.
 - The funding agency allows advance of travel fees to staff.
 - In case of inland field travel for the work of AFRISA
 - In such, the staff will be advanced money according to the approved rate by AFRISA management committee or agreed upon rate with the funding agency.

6.0. COMMUNICATIONS AND INFORMATION SHARING

The AFRISA vision is “Healthier and Wealthier Communities in Africa”

Policy Objective:

Create an institutional communication environment that promotes professional conduct of communications and fosters information and knowledge sharing within the platform.

- i) AFRISA will endeavour to make use of all available and appropriate, diverse range of communication channels, resources and technologies to support the achievement of its vision.
- ii) AFRISA will give more focus to the following domain areas of communication

Web environment:

Policy objective:

AFRISA shall develop a robust and proactive web environment (technology, resources and controls) to promote productivity while protecting the platform from risk due to increased exposure and growth.

- i) The web environment will constitute the platform website, country-level web pages on institutional websites, reasonable Internet connection, institutional email domain, social media and guidelines).
- ii) AFRISA shall invest to develop a web environment that supports professional and efficient delivery on the platform’s objectives and projects.
- iii) AFRISA platform website shall be developed as a One-stop centre for Value Chain Education Science, Technology and Innovation translation into livelihoods information. This information will include platform activity updates, policy information, teaching/learning resources, and success stories, among others.
- iv) Country Secretariats/Offices shall be supported to create and professionally maintain web pages on institutional websites as will be agreed upon at that level. The decision to create a web page shall be entirely by the County Secretariat team.
- v) AFRISA Secretariat staff shall be provided with WiFi and other appropriate connections to the extent within AFRISA’s means.

- vi) Official work shall be expected to be executed using institutional Internet connection; where necessary and possible staff will be facilitated with top-up for personal Mobile Internet modems to enable them perform their duties away from station.
- vii) For all official communication, staff shall use the AFRISA email address, unless in such circumstances as service unavailability.
- viii) A uniform email signature shall be designed by the Team leader ICT and Knowledge Management for all staff at the Secretariat.

2) Social Media:

Policy Objective:

The objectives of this Policy are to:

- Encourage the appropriate use of social media within the AFRISA platform
 - Protect the image and brand of the platform against potential harm
 - Through Nurturing of Transformative skills, Technology, Innovations and Community Services through Academic-Community-Public-Private-Partnerships (ACPP/ACP3).
- i) AFRISA shall take advantage of and make appropriate use of social media platforms among the Twitter, YouTube, Facebook and WhatsApp.
 - ii) AFRISA Country Offices shall be provided with technical support and guidance to create and professionally use such platforms. Before Country Offices open up accounts on such platforms, the Country Administrator in consultation with the Focal Person shall write to the Team leader Public relations and Marketing for guidance.
 - iii) Setting up social media accounts shall be according to guidelines developed and provided by the AFRISA Regional Secretariat. Continuing technical management of the social media platforms shall be provided by the AFRISA Head, Communications and the Team leader ICT and Knowledge Management.
 - iv) In the event of abusive use of the said social media channel, the Office will be requested to close down the channel and stop using social media until proper control measure have been instituted

3) AFRISA Publications:

Policy objective:

AFRISA is dedicated to the advancement of knowledge, learning and understanding in the field of Value chain education, Clustered Enterprise development and community engagement. This publications policy formalises the platform's commitment to the effective stewardship and dissemination of publications by platform members and staff in pursuit of this goal.

- i. The AFRISA Secretariat shall develop and use publications for information and knowledge sharing. These publications shall include books, journal articles, newsletters, annual reports, platform and project brochures, briefs as well as event-specific publications like posters.

- ii. *Books*: AFRISA's work generates huge volumes of literature and knowledge that can be shared in the form of books and book chapters. AFRISA staff and partners shall be provided with the right environment and motivation to contribute to book writing exercises whenever possible.
- iii. *Newsletter*: the newsletter shall be produced in formats accessible to intended targets and users. Country offices shall be required to contribute to the content of the newsletter that will be produced on a quarterly basis.
- iv. An Editorial Board chaired by the AFRISA Head of Secretariat shall be constituted to guide the production process of the newsletter.
- v. Other members will be Chair COSSAP, Team leader Public Relations and Marketing, Two representatives from staff who have demonstrated interest and competence in writing.
- vi. *Annual Report*: an annual report shall be produced showcasing significant happenings and achievements across the platform and its various projects. Content for the annual reports shall be generated and collected from activities, events and engagements the Secretariat as well as Country Secretariats engage in. Country Secretariats shall submit their content through the Head, Communications.
- vii. *Brochures and Briefs*: Publications including brochures and briefs shall be encouraged and shall be produced with the technical support and guidance from the Secretariat through the Head, Communications. Platform-wide brochures and briefs will be designed and produced by the Secretariat.
- viii. *Scientific Publications*: Staff at the Secretariat shall be encouraged to engage in scientific writing and publishing in peer-reviewed journals and presentation at conferences.

4. Media Relations:

Policy objective:

To establish a framework for managing communication between the platform Secretariat and country offices, and the media with the aim of ensuring coordinated, fact-based, accurate and reliable news coverage and create media platforms for enhancing public understanding of Enterprise development in the region and beyond.

- i) AFRISA shall make use of existing mass media outlets to share its work with the public and stakeholders. Existing media platforms and contacts at Secretariat and Country Secretariat shall be harnessed and utilised. Mass media practitioners shall be engaged for news coverage of major events, press briefings as well as conduct interviews with individuals of interest within the platform. Focal Persons shall be charged with ensuring that the information media practitioners collect is credible.
- ii) AFRISA shall take advantage of prevailing issues in Enterprise development and employment as an opportunity to engage the media.
- iii) For record purposes, newspaper reports shall be cut out and filed to keep track of AFRISA in the news.
- iv) Where necessary and possible, AFRISA shall be organising training events for select media practitioners as a way of building capacity and enhancing knowledge in Enterprise Development and community transformation.

5. Templates:

Policy objective:

- i) To ensure uniform and consistent visual presentation of the AFRISA brand across the platform
- ii) For standard presentation of the AFRISA brand across the platform and to partners, standard templates for PowerPoint presentations, periodic reporting, banners and other promotional materials and websites, shall be developed by the Team leader, Public Relations and Marketing, presented by Chair COSSAP for approval by Management (Appendix Comm1). All staff shall be supplied with and required to use the provided templates.
- iii) Secretariat shall meet the costs of printing the promotional materials.
- iv) The templates shall be reviewed and revised from time to time as need may arise.
- v) Guidelines shall be provided for the use of the AFRISA logo and partner logos shall be used depending on the requirements of respective projects.

6. Photography and Videography:**Policy Objective:**

To maximise the communication potential of video and photography in telling the Enterprise development story, sharing experiences as well as educating the public, while protecting the rights and freedoms of others.

- i) Photographs and videos used in AFRISA communications shall only be used after obtaining consent (written or oral) from the people featured therein. This will mainly affect community members and participants in AFRISA exclusive events like trainings. Group consent will be sought where applicable. For events like conferences, national day celebrations, international day celebrations, public campaigns, no such consent will be sought.
- ii) The AFRISA Photo/Video consent form (Appendix Comm2) shall be shared with platform members. Filled-in consent forms shall be kept for a period of 53 years.
- iii) At the Secretariat, the Team leader Public Relations and marketing and the Team leader ICT and Knowledge management, shall create and maintain an up-to-date photo and video library. Secretariat shall be required to create dedicated digital space for storage of photographs and videos for the design and production of platform-wide communications, public relations, marketing and dissemination materials and products.
- iv) Videos and photographs used shall accordingly be accredited.
- v) Use of photographs and videos by AFRISA partners for purposes other than that originally intended by the originator shall be by request from the Team leader Public Relations and Marketing. A request form shall be designed for this purpose.

- vi) Where needed, the services of a professional photographer shall be procured using the laid out procedures at both Country and Regional levels.
- vii) Video documentaries showcasing achievements of AFRISA platform shall be produced as and when deemed necessary by Core Management in consultation with the Principal Innovations Director as circumstances may dictate.
- viii) However, project activity-specific documentaries at country level can be engaged in

7. AFRISA Visibility:

- (i) To position and enhance the recognition of the AFRISA brand and its projects as a regional convener and global leader in Enterprise development and community transformation approaches.
- (ii) AFRISA visibility shall be ensured through platform-organised and ‘at-invitation’ events and engagements. These may include workshops, conferences, symposia, seminars, public campaigns, among others. They may or may not involve platform members giving speeches or facilitating sessions. Where feasible, AFRISA pull-up banners, teardrops and hoist-banners shall be used.
- (iii) To enhance visibility at such, platform members shall be required to use the standard branded presentation templates (where one has to make presentation or facilitate a session), carry and share brochures, annual reports, newsletters, briefs and any other materials as determined necessary.
- (iv) *Business Card*: AFRISA-paid staff at Secretariat shall be required to use AFRISA-branded business cards in addition to any other institutional ones. Templates shall be provided to the country offices. Production shall be under the guidance of the Secretariat.
- (v) *Co-branding*: Co-branding opportunities shall be actively sought and taken advantage of to enhance the AFRISA brand. Such opportunities shall be presented to Core Management for approval and where necessary and feasible, to the Board.
- (vi) *Email use*: AFRISA paid staff shall be required to communicate AFRISA work related information using AFRISA emails to none AFRISA people and share among themselves using AFRISA emails.

8.0. KNOWLEDGE MANAGEMENT AND INTERNAL COMMUNICATION

Introduction:

AFRISA is committed to active reporting, information sharing, and monitoring and evaluations to assure technical excellence. AFRISA’s ability to reach out to its stakeholders depends on how well it acquires and shares knowledge effectively across the platform. The AFRISA platform deliberately takes time to upgrade its systems around the issue of knowledge sharing. So far an investment has been made in video conferencing and teleconferencing equipment. Furthermore, platforming and sharing ability is being strengthened within the platform.

- (i) AFRISA shall encourage and where possible and necessary assist the member institutions to obtain financial and technical support to document success stories and challenges experienced by them with respect to the Enterprise development agenda.

- (ii) AFRISA shall encourage and where possible support joint publications by members
- (iii) Authorship for publications and technologies developed by members shall be appropriately recognized
- (iv) AFRISA shall endeavor to train relevant staff and where necessary on documenting successes
- (v) There shall be regular updates on the platform website on data collected by the Secretariat and on new knowledge materials acquired by the Secretariat

Whilst knowledge management systems are being developed a number of low cost solutions are in place to ensure a minimum level of information sharing in the interim.

These cover the following topics, set out on the next pages:

- Internal management reporting and coordination
- Web Based Sharing
- Documentation

Internal Management Reporting and Coordination

Purpose: To ensure coordination and sharing of information across countries and programmes by keeping management and colleagues up-to-date on activities and progress toward objectives

For Process and tools (*Refer to Section 3.3 above*)

Web Based Sharing

Purpose

As a means of sharing information; a server has been set up at the Regional Secretariat. Country offices will be connected so that web based document sharing can occur (This is work in progress) by using this web based technology, the AFRISA platform members will be able to effectively share resources and knowledge across offices and departments.

Access

Access will be granted to all AFRISA employees from any computer with internet access and with minimum of the Windows XP operating system and Internet Explorer 6.0 or higher. Options for logging in across the continent will be given as and when required.

Documents...

The AFRISA platform filing and documentation system is a work in progress. Details of how and where information should be stored are generally described below.

ADMINISTRATORS OFFICE	Store Inventory, communications, letters,
FINANCE &	Proposals, concept papers, pipelines, past performance

PROCUREMENT	references, templates, personnel files, budgets, work plans, Asset inventory etc.
MONITORING, EVALUATION, ACTION RESEARCH AND LEARNING	Core indicators, donor reports, program evaluations, reports Orientation guides, pre-training documents, list of trainees, alumni, curricula, teaching guides etc. Research papers, Methodology phases, findings, outcomes, research agenda, etc.
GRANTS & RESOURCE MOBILISATION	Business plan tools, grants, RFAs, List of partners, Snapshots of projects, strategic plans and operational plans, donor events etc.
ICT & KNOWLEDGE MANAGEMENT	Communication strategic plans, sector diagnostics, feasibility studies, templates, policies & guidelines, contact information
RESEARCH & TRAINING	
CALENDAR OF EVENTS	Regional Events, Global Events, Country Specific Events, district events
CHAIRS OF PLATFORMS OFFICE	Budgets, guidelines, platform meeting minutes, project proposals, reports , Curricula etc
HEAD OF SECRETARIAT'S OFFICE	Specific Events, Contact information, memos, Organizational Information, Policies, MoUs, Management meeting minutes, reports, project proposals, curricula etc.

Responsibility for web based application & Documentation:

All employees are responsible for keeping the sites updated with (where possible) final versions of relevant documents – i.e. country operations should ensure that their employee information is up to date, project managers should upload final versions of donor reports and all relevant information.

The ICT Department is responsible for all user account setup and security. Those in the field who do not have access to internet are requested to request the Communications Unit for information that they may require while in the field. Your requests will be immediately forwarded to the IT units.

Include tools and capacity building in process capture, documentation and storage.

9.0. RECORDS MANAGEMENT

AFRISA shall maintain a combination of manual and electronic filing system. A filing system is the central recording system.

- (i) The Team leader Administration or designated personnel shall take responsibility for

the proper management of the administrative records of AFRISA. Managing the accounting records at the Secretariat shall be the responsibility of the Team leader Finance and procurement or designated personnel

- (ii) All soft copies of AFRISA documents shall be backed up
- (iii) Systematic back up of the documents shall be done monthly
- (iv) There shall be proper documentation of vital records, including minutes, activity reports, budget utilization reports, audit reports, contracts, materials acquired, publications, etc, both in hard and soft copies.
- (v) Filing and retention of financial documents must be compliant with audit requirements as stipulated in Chapter 13 of the Finance Manual.

Under the manual method of storing data, filing cabinets, shelves and box files shall be utilized. A coded filing system shall be adopted whereby documents must be filed for easy recognition, retrieval and use.

Under the electronic filing method, computer files and the data they contain will be stored both on computer hard disks and other storages devices like memory sticks, compact discs, to make it easy to access. Electronic data will encompass not just personal data held on databases but for example, emails web pages, letters and other documents received electronically.

The filing shall be done under any of the methods listed below;

- By subject/ Category
- Alphabetical order
- Numerical order
- Places /geographical order

The Team leader Administration or designated personnel shall ensure the following procedures to maintain an accurate filing system.

Documents shall be sorted according to categories and clusters.

- Each category shall be given a name
- A list of categories shall be generated
- The Team leader Administration shall draw up a filing index so that all staff can understand the system as well as find information needed.
- The filing index will list all categories and sub- categories in the order they are filed.
- The key shall be placed in an accessible place to enable easy access to filed information.

To prevent loss of files, a file out – register shall be maintained in which the under listed details shall be reflected: Name of the file/ document, who borrowed the file/ document and date borrowed, Date of return.

- A file out card shall be used in the filing cabinet. It shall be put in place of the file that has been borrowed. The file out card shall have the same information as in the file – out register. In order to safeguard files that are kept in soft copy, the Team leader Administration or designated personnel shall ensure regular backups of these

documents/ files.

- When the Administrator or designated personnel receives a letter or document, it shall be recorded in the mail received register and date stamped.
- Thereafter the letter/ document shall be forwarded to the person who has to handle it.
- She will then follow up to see that the document/ letter has been acted upon and returned for filing. Filing shall be done regularly to ensure that documents are never misplaced.

Human Resource Information Systems

The Team leader Human Resource shall maintain up-to date information systems on the various staff under their jurisdiction. The system shall cover the following information among others:

- (i) Particulars of the staff, including names, educational backgrounds, working experience
- (ii) Current designation
- (ii) Curriculum vitae, with copies of testimonials on academic/professional qualifications
- (iii) Place of deployment
- (iv) Emergency contact information
- (v) Capacity development programs undertaken
- (vi) Reports of annual staff performance appraisals

Staff personal files shall be kept confidential and shall be stored in a locked cabinet

10.0. INFORMATION SYSTEMS AND TECHNOLOGY

Introduction:

The information held on AFRISA's information systems is a vital asset. The availability, integrity and confidentiality of this information plays an essential role in ensuring that AFRISA can maintain and improve its operational efficiency, take correct decisions, comply with legislative requirements and protect AFRISA's image.

Information at AFRISA exists in many forms; printed or written on paper, stored electronically, transmitted by post or using electronic means, shown on films, or spoken in conversation. Appropriate protection is required for all forms of information to ensure business continuity and to avoid breaches of the law and statutory, regulatory or contractual obligations.

All AFRISA employees need to be made aware of all sections of the Information Security policy and of their role in ensuring that all AFRISA's information systems are protected.

Objective

The Information Security Policy shall provide management direction and support for information security in accordance with business requirements and relevant laws and regulations.

Definition

The purpose of Information Security is to ensure business continuity and to minimize business damage, by preventing and minimizing the impact of security incidents and

weaknesses.

Information Security Management enables information to be shared appropriately, whilst ensuring the protection of information and computing assets.

Information Security Management has three basic components: a) **Confidentiality or Privacy**: this involves ensuring that information is only accessible to those authorized to access it. b) **Integrity**: This involves safeguarding the accuracy and completeness of information and software. c) **Availability or resilience**: ensuring that information and vital services are available to users when required.

AFRISA recognizes the vital importance of Information Security in ensuring the protection of its information and computing assets. AFRISA is committed to ensuring that rigorous Information Security Policies and Controls are developed and maintained to achieve this protection.

Information Security is the responsibility of every AFRISA employee, contractor and third party provider, and as such, all are expected to fully comply with all Information Security Policies and Controls.

AFRISA shall endeavor to implement procedures to ensure that:

1. The design, operation and use of IS/IT systems comply with relevant statutory and contractual security requirements.
2. Copyright material is not copied without the owner's consent, software used on AFRISA owned computers is correctly licensed and that unauthorized copying of proprietary or AFRISA software is prohibited.
3. Important AFRISA records are safeguarded from loss, destruction and falsification. (The specific procedures to be followed for retention, storage, handling and disposal of AFRISA records and information will be outlined in the AFRISA records management policy).
4. Applications handling personal data (on individuals) comply with data protection legislation and that personal data is kept secure from unauthorized access, alteration, disclosure, loss or destruction.
5. AFRISA Information Systems and Technology (IS/IT) facilities must only be used for authorized purposes. AFRISA may monitor or investigate usage of IT facilities and any person found using IS/IT facilities for unauthorized purposes, or without authorized access, may be subject to disciplinary, and where appropriate, legal proceedings.
6. Users of IS/IT facilities will be given periodic security education and training.
7. Virus prevention, detection measures and appropriate user awareness procedures will be implemented across AFRISA working environments. All users must report virus infections as soon as possible to the designated personnel in charge of IT
8. An inventory of all important information technology assets shall be drawn up and maintained and the necessary security mechanisms applied to secure these assets and the information they hold.
9. AFRISA employees shall act in accordance with the Code of Conduct stipulated in

human resources policy to secure and respect AFRISA property in accordance with the office security policy. Employees who commit a security breach shall be subject to disciplinary action as stipulated in HR Manual

10. Sensitive information processing devices shall be housed in secure areas with appropriate security controls that only permit access to authorized personnel. All employees and contractors shall abide by the Office Security policy as stipulated in the human resources manual
 11. Operating procedures for activities associated with information processing and communications devices shall be documented, maintained, practiced and made available to relevant personnel who need them.
 12. A backup policy and procedure shall be created and routinely reviewed to ensure the integrity and availability of information and information processing devices.
 13. Operating procedures in accordance with change management shall be established to prevent unauthorized disclosure, modification, removal and destruction of information processing devices.
- Access to information, information processing facilities and business processes will be controlled on the basis of business and security requirements to ensure authorized user access and prevent unauthorized access to information systems.
 - Security requirements for information systems supporting the business process shall be identified, justified and documented prior to the development and/or implementation of business applications, to prevent errors, loss, unauthorized modification or misuse of information in these applications.
 - Information security events shall be reported in a timely manner through formal reporting and escalation procedures and a consistent and effective approach shall be applied to the management of information security events. Management shall establish monitoring systems for information systems to enable timely detection of security incidents.
 - Before any new IT system or access to existing systems is implemented a risk assessment shall be carried out in order to assess the security risk to AFRISA.
 - All contractors/organizations that access AFRISA IS / IT systems or proprietary information must be subject to signing a non-disclosure agreement prior to entering into a contract, and must agree in writing to abide by the AFRISA information security policy.

Actions in the Event of a Policy Breach

- A breach is an event that has, or could have, resulted in loss or damage of AFRISA assets, or an action that contravenes AFRISA's Information Security Policies or Controls.
- Information Security Policy breaches shall be classified as minor, serious or gross, similar to the existing classification of offences in HR Manual. Breaches of the Information Security Policy shall be handled depending on the gravity of the offence as stated in HR policy 2.5.
- Contractors and third party users who breach the Information Security Policy shall be subject to applicable legal and regulatory proceedings.

- All employees, contractors and third party users of information systems and services are required to note and report to the designated person in charge of Information Services department any actual or suspected security incidents, breaches or weaknesses and events in AFRISA information systems or services.
- These events (and their resolution) shall be logged and discussed at the AFRISA management meetings, as may be necessary.

AFRISA Management shall be responsible for ensuring that this policy document is reviewed in line with acceptable standards.

11.0. HEALTH AND SAFETY AT WORK

AFRISA will endeavor to provide and maintain a working environment that is as far as reasonably practicable, safe and without risk to health.

Appropriate safety-training, devices and protective clothing will be provided where necessary and any other guidelines on this topic will be placed in AFRISA staff.

Employee Responsibility

An employee has a responsibility to:

1. Notify the AFRISA personnel designated to handle human resource of any medical conditions or illness that may adversely affect his/her performance or the health and welfare of others. However, no employee is under obligation to disclose their HIV/AIDS status to anybody. Details on HIV/AIDS are incorporated in the HIV/AIDS Policy in the Human Resource manual.
2. Never work in a manner which is dangerous to one or others.
3. Not intentionally or recklessly interfere with or misuse anything provided by the Organisation in the interests of health and safety.
4. Adhere to agreed procedures for safe working; observe any safety rules or instructions relevant to particular work or location and to use safety equipment and protective clothing provided.
5. All clothing worn for work must be decent, suitable and sensible for the particular working environment.
6. Report to the AFRISA personnel designated to handle human resource and the immediate supervisor any hazard, accident or dangerous occurrence which has caused or might cause injury or damage. This should be done in writing as soon as it occurs or is sighted.

An employee who abrogates health and safety responsibility commits an offence that may lead to a disciplinary action.

Accidents and dangerous occurrences at Work

Any accidents or dangerous occurrences at work, which cause injury or damage or put persons or property at risk, must be reported immediately. Staff who use company vehicles must observe provided guidelines and must not misuse the vehicles.

First Aid

All staff must know where the nearest First Aid box is situated and the name of the qualified First Aid staff at their location. Administrators are in charge of the First Aid boxes.

Fire

Every staff must ensure that he/she is familiar with the organization fire procedure. It will be an offence to obstruct an emergency exit whatever the reason. Emergency exits shall be maintained and shown to all new staff the emergency exits including explanation of the fire alarm procedure. A staff member who has any physical or hearing disability which could affect either the speed or ease with which they leave the building should notify AFRISA on or before the first day of employment with AFRISA

Access Keys

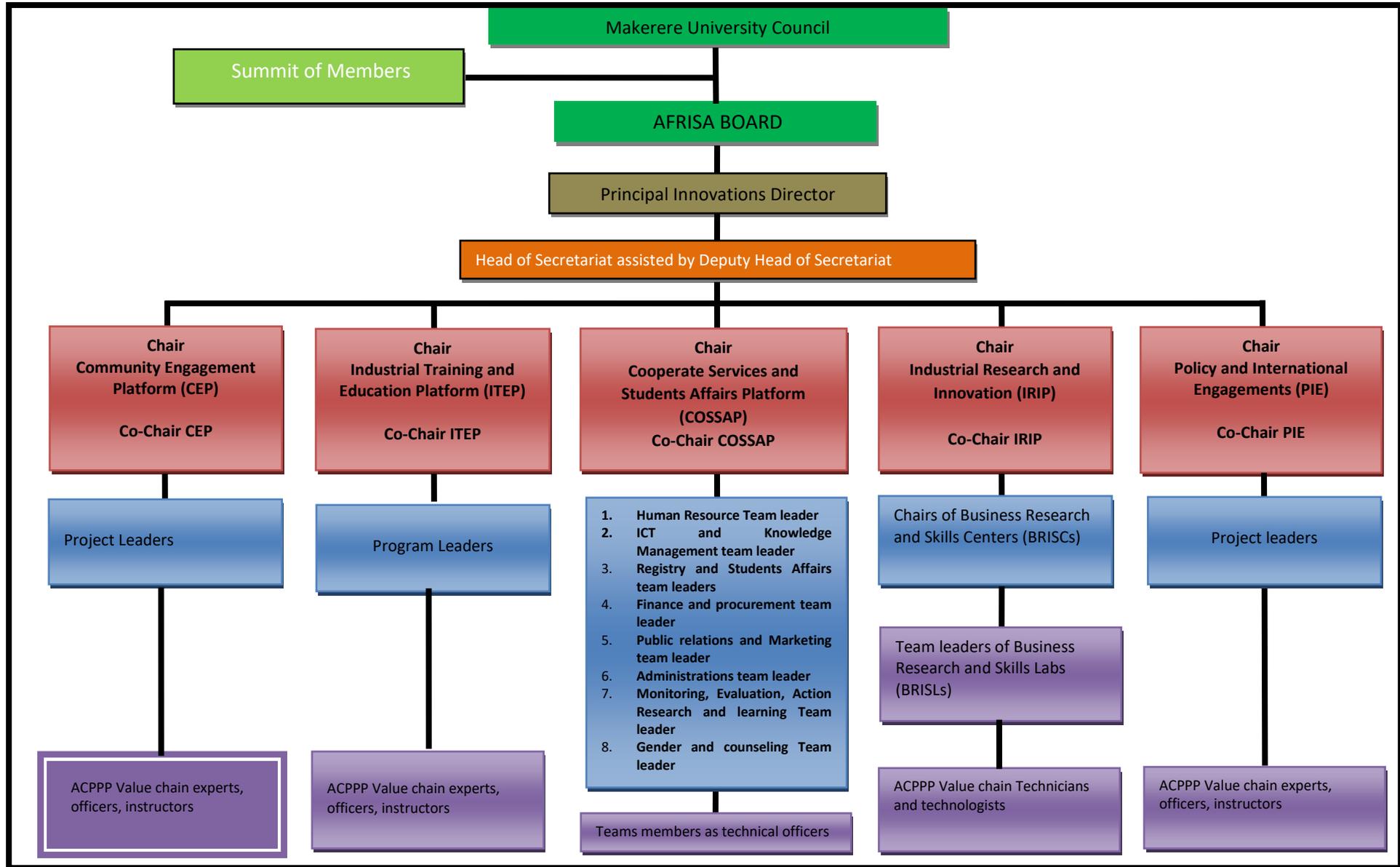
Any employee who has been issued with such a key or card is responsible for the safe custody of it at all times. Locations where access is restricted will be marked and persons who are allowed to access those locations will be issued with access keys or cards.

No employee shall lend an access key or card to a member of the public or to another staff member, or allow any unauthorized person to gain access to a restricted location. It is an offence for an employee without authority or any reasonable excuse to be in a restricted location. It is also an offence for a member of staff to give away their access keys to anybody else.

If such a key or card is misplaced or lost it must be immediately reported to the Administration / Security.

It is the duty of every employee to question the access to a restricted location by any stranger, suspicious character or unauthorized staff. **Any such unauthorized access if sighted must be reported immediately to Administration/ Security Office.**

APPENDIX 1: CURRENT AFRISA ORGANISATIONAL STRUCTURE



APPENDIX 2: REQUEST FOR PROCUREMENT FORM

Subject of procurement

Location of Delivery

Date Required

Budget code Project
 Balance of Item Remaining

Item No	Description of specifications	Quantity	Unit Measure	of	Estimated Cost	Unit	Estimated Total cost
Total Cost							

Prepared by..... Date.....

Confirmed by.....Date.....

Approved by..... Date.....

APPENDIX 3: LOCAL PURCHASE ORDER

Serial NO: Date :

TO:

.....

Please supply the following:

Date	Description of Specifications	Quantity	Unit of Measure	Unit price	Amount
Total					

.....
For AFRISA (Name and Signature)

Date.....

Stamp.....

Please quote this order No. on your invoice(s)

APPENDIX 4: GOODS RECEIVED NOTE

Serial NO: Date :

ORDER NO :

RECEIVED
FROM.....

.....

Description of Specifications	Quantity Delivered	Quantity Ordered	Difference	Comment

General Remarks.....

.....

. All Goods Received in Good order and Condition? YES/NO

.....

For AFRISA (Name and Signature)

Date and Stamp.....

..... **In presence of (Name and Signature)**

Date.....

APPENDIX 6: STORES REPORT

Store..... Month
 ending.....

S.No	Stock Item Description	Opening Balance	Total Monthly Receipts	Total Monthly Issues	Closing Balance	Remarks

Prepared by.....Date.....

Reviewed by.....Date.....

Approved by.....Date.....

APPENDIX 7: STOCK REQUISITION FORM

Serial NO:

Date	:.....
From	:.....
To	:.....

Please issue the following:

Item	Details	Balance	Requisition	Approved and Issued

Requested by:..... Date.....

Authorised by.....Date.....

Issued by.....Date.....

Received by.....Date.....

APPENDIX 8: AFRISA TRAVEL AUTHORIZATION FORM

Name: Signature: _____

Date of Request: _____ Designation:

Country:

Purpose _____ of _____ Travel:

.....

Project Funded? (Y/N) _____ If Y – which Project: _____

Proposed Itinerary:

Date	Departure from	Arrive at	Mode of Transport	Vehicle applicable	NO	where
	Required	Received	Requested Amount	Authorized Advance		
Allowance (SDA)	YES/NO	YES/NO				
Per diem	YES/NO	YES/NO				
Total						
Fuel.....						
Other Specify.....						
.....						
Recommendation.....						
.....						
Signature and Date.....						
Authorization.....						
Signature and Date.....						

APPENDIX 9: AFRISA REPORTING TEMPLATE

ACTIVITY REPORT

***DATE OF REPORT: FROM: TO: DATES OF TRAVEL: BACKGROUND: PURPOSE/OBJECTIVES
OF TRAVEL:***

ACTIVITIES/FINDINGS: RECOMMENDATIONS:

ATTACH APPENDICES

