



**Swaziland Global Fund Country Coordinating Mechanism
(SWAZILAND CCM)**

Human Resources Manual

Guidelines for SWAZILAND CCM Secretariat

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1.0 Introduction

1.1 Importance of Secretariat

CCMs must establish a strong, effective and fully supportive Secretariat with employees who are mindful of, and involved in how the CCM operations are run; and who know exactly what the Global Fund requires and expects. Cognizant of this fact, the Global Fund has increased its financial support to CCM Secretariats worldwide via its Expanded Funding mechanism.

In general, a CCM's Secretariat aims to support the performance of the CCM's official business and administer its annual work plan and budget. In Swaziland, the Swaziland Global Fund Country Coordinating Mechanism (Swaziland CCM) Secretariat ensures the smooth operation of the Swaziland CCM by: making arrangements for meetings, compiling and preparing reports, maintaining records and documentation, ensuring coordination amongst the Swaziland CCM's internal stakeholders (such as its various Committees, Task teams and Expert Pool); and coordination between the Swaziland CCM and its external stakeholders such as grant implementers, the Global Fund Portfolio Manager, the Local Fund Agent (LFA), to mention a few. Although it can never be a substitute for Swaziland CCM Committees and Task Teams, the Secretariat being the key coordinator and contact point for the Swaziland CCM, is in an ideal position to give its inputs into policies and procedures. And, since continuous quality improvement should be built into the Swaziland CCM system and supported by its employees, the Swaziland CCM must attempt to:

- a) Select the best employees for the Secretariat;
- b) Ensure that they are continuously motivated and trained;
- c) Regularly monitor both Secretariat's and Swaziland CCM's performance and make the necessary readjustments
- d) Systematically document lessons learned

1.2 Purpose and Scope of the Manual

The Human Resources Manual (HRM) comprises a set of internal rules set by the Swaziland CCM for governing the internal conduct of Swaziland CCM Secretariat employees in the work place. It serves to:

- ✓ Promote harmony in the work place by ensuring the employment and labor relations laws of Swaziland (Employment Act of 1980 and Industrial Relations Act of 2000) are observed at all times
- ✓ Ensure that the Global Fund's guidelines on employment matters as well as its fiduciary policies and procedures are implemented in a consistent manner
- ✓ Ensure that the Global Fund's policy on Ethics and Conflict of Interest Mitigation are observed
- ✓ Effectively communicate Swaziland CCM's Human Resources (HR) policies to all concerned

Given the above objectives, the HRM allows for greater transparency, objectivity and consistency in decision-making on all HR matters with special relevance to the Secretariat. The present Human Resources Manual covers 7 key areas, namely:

1. Recruitment, Selection and Placement
2. Remuneration
3. Staff Leave and other Benefits
4. Training and Development
5. Performance Management
6. Termination of Employment
7. Administration of Employment Practices

1.3 Global Fund Guidelines on Employment Matters

Swaziland CCM should follow The Global Fund guidelines for CCM funding (February, 2010) on employment matters, which states that: "Eligible costs under this category (i.e. Human Resources) are restricted to the

salaries of CCM Secretariat staff.” More precisely: “(i) Secretariat staff should not exceed 2 persons; (ii) Scope of work for key personnel is to be submitted to the GF CCM Team for approval, (iii) CCM funding shall not be used to remunerate CCM members and (iv) salaries must be commensurate with national salary scales.”

Swaziland CCM can work on the details for costing the Human Resources component of GF grants according to the Fund’s official document entitled “Guidelines for Budgeting in Global Fund Grants (issued on 15th August 2011 and updated on 15th Oct 2012)”. **Annex 3 of the HRM is an extract of GF Budgeting Guidelines** as they apply to the Human Resources component of the budget

1.4 Amendment of the Manual

The Human Resources Manual is binding to both parties i.e. employer and employee. Once approved by the Swaziland CCM, it cannot be changed unless and until the Swaziland CCM officially approves the proposed changes. Any modifications to the HRM should respect the provisions of the Swaziland CCM Byelaws.

The HR Manual is to be modified each time there is a revision of the country labor laws.

2.0 Recruitment, Selection and Placement

2.1 Recruitment and Selection Procedure

2.1.1. Recruitment Committee

The Swaziland CCM must establish a Recruitment Committee (RC) with appropriate Terms of Reference (**Refer to Annex 4 for sample of TOR**) accompanied by an itemized budget for implementation. The RC must first obtain approval of the Recruitment Plan and Budget from the Swaziland CCM's Executive Committee prior to launching the recruitment process. Once constituted, the RC must prepare a Recruitment Plan. **Refer to Annex 5 for an example of the RFT (??) Recruitment Plan.**

2.1.2 Sourcing of Candidates

Recruitment of all Swaziland CCM Secretariat personnel must be done through a rigorous, transparent, fair and well-documented selection process.

In the case of Global Fund/ Expanded Funding of Secretariat positions i.e. Executive Secretary, Finance Manager and Monitoring & Evaluation Officer, an open selection process must be used at all times to fill in any vacancies, except in urgent and exceptional circumstances

Should Donors offer to support new or existing positions within the Secretariat(either in partnership with The Global Fund or independently),they should follow the HR Manual and relevant Swaziland labor laws such as the Employment Act of 1980.The Swaziland CCM's ratification is required at all times.

2.1.3 Job Descriptions

Every Secretariat position must have Job Descriptions (JD) and the JD's must give the title of the position, identify the direct line manager, working relationships, office address, and outline the overall responsibilities and individual tasks, including the expected academic qualifications, skills, terms and conditions of appointment. The remuneration package" that includes salaries and benefits need not be part of the Job Description as it is a matter of negotiation between the potential candidate and the employer.

2.1.4 Processing of Applications

2.1.4.1 Mitigation of Conflict of Interest

The Recruitment Committee (RC) would need to decide "who" should be involved in the screening and processing of applications including "how" it should be done. The RC should ensure that the persons involved in the recruitment process do not have conflict of interest. If a RC member or an interview panel member has a conflict of interest in any phase of the recruitment process, he/she should recuse himself/herself from the entire recruitment process.

To mitigate bias throughout the recruitment process, it is advised that anonymity of the candidates be kept by assigning an "identity number" to each applicant. Only the Secretary to the RC would hold the confidential information on the actual full names and gender of individuals corresponding to the assigned identity number.

2.1.4.2 Screening Applications

Applicants will first be screened for "thoroughness" in completing their applications. **Refer to annexes 8(a) and 8 (b) for examples of newspaper announcements and the type of documentation requested as part of the application process.**

Those applicants, who have passed this first screening process, will then go through a second screening process to test the degree to which they match the requirements of the position according to the job description. The CVs would be assessed based on the following criteria: (1) whether or not the applicant meets the minimum qualifications (experience and educational qualifications); (2) extent to which the applicants meet the qualifications, in search of the best match between job description and qualification of the applicant.

If the position requires technical specialized skills, a written examination may be undertaken. Those scoring 50% and above will qualify for short-listing. Only short-listed candidates will be called for interviews

2.1.4.3 Employment selection interviews

The RC must decide who will be on the interview panel, the number of interview rounds required, the types of tests to be performed and whether the same interviewers will conduct the oral, written test and any other type of test (e.g. 'in tray' practical exercise, presentation etc.), the format for "score sheets" (refer to Annexes 7a,7b,7c and 7d for examples).The tests will be examined by the RC to ensure their relevance, validity and feasibility prior to conducting them. **Refer to Recruitment Plan Annex 5.**

- The selection criteria during interviews should measure the extent to which the candidate has the required competencies for the job, (such as leadership, technical know-how, management, teamwork, interpersonal communication skills etc.)
- The interview panel will rank the top two interview candidates Reference checks will be conducted on the top two candidates. No offer will be made until a reference check has been conducted for the two top candidates.

2.1.4.4 Determination of Remuneration for Selected Candidates

GF funded positions. The "remuneration package" for Global Fund -funded candidates(i.e. remuneration meaning salary, benefits, allowances and any other payment arising out of employment, whether in cash or in kind, payable directly or indirectly by the employer to the employee)should be in accordance with Global Fund guidelines on Remuneration (section 3). **Refer to Annex 3 of the HRM for relevant extract of GF Budgeting Guidelines.**

Salary Determination. During the interview, short-listed candidates will be asked for their salary expectations and their responses shall be recorded. Should the top ranking/selected candidates have higher expectations, then the RC will prepare a Summary Recruitment Report with its recommendation and consult with the Executive Committee for advice. Depending on the Executive Committee's advice, the selected candidates may be called for a second interview during which the salary and benefit package will be negotiated; or they may be rejected and the next best ranking candidate may be offered the job instead.

Approval by Swaziland CCM. The Swaziland CCM will be asked to ratify both the initial and the very final remuneration package submitted by the Executive Committee. **Refer to Recruitment Plan in Annex 5** for step-wise process. The job offer to the preferred candidate can only be made after official ratification by Swaziland CCM.

2.1.5 Letter of Appointment

The letter of offer of employment/ notice of appointment to be signed by the Swaziland CCM Chair with the correct letterhead should specify at a minimum: the title of the position, the terms and conditions of employment, the "remuneration package" including salary and benefits (if any), probation period and finally, the acceptable delay for officially responding to the offer. Refer to Recruitment Plan in annex for details on timing of dispatch.

2.1.6 Obtaining References

Efforts should be made by RC to obtain references according to the recruitment plan. Email response from referees is acceptable. Should the 2 week recommended deadline for receiving referee responses have lapsed, then the RC should contact past employer and request for feedback of candidate's performance; and if still no response is obtained from past Employer, RC should refer matter to Executive Committee for advice.

2.1.7 Probation

The duration of the probation period (i.e. 3 months from the date of employment) should be mentioned in the individual job descriptions and contracts. These documents should further refer to the terms and conditions for confirmation of employment upon completion of the stated probation period i.e. performance evaluation. If necessary, the probation period may be extended another 6 months at the most.

The employee should ensure that s/he is clear about how his/her performance will be assessed by the employer/ supervising officer during the probation period.

In the event of reaching the end of the probationary period, the employee has not received a confirmation letter from the employer, s/he continues working subject to section 2.1.9 of the HR Manual entitled 'Confirmation'.

During the probation period, either party to the contract may give 14 days' notice or payment of 14 days wages in lieu of such notice except in case of dismissal.

2.1.8 Confirmation

Before the end of the probation period, the Swaziland CCM will appraise the performance of the employee. Depending on the results of the performance appraisal, the employee should receive either a:

- a) Confirmation Letter
- b) Extension of Probation Period Letter
- c) Notice of Termination

Should it be necessary to recruit new staff, the recruitment process should follow the HR Manual.

2.2 Employees on Contract --Terms of Employment/ Secondment

There is only one type of contract under which Swaziland CCM can employ someone and this is a written contract for specified period of time. This is a type of contract in which the duration is specified. Under this contract if the specified duration has expired then the contract automatically comes to an end; that is, unless and until the Swaziland CCM decides to renew the contract for a given period of time, depending on individual performance evaluation and availability of funding.

Swaziland CCM contracts shall be for a two-year duration with an initial probation period of 3 months. The individual employee's contract shall specify at a minimum: identity of employer and employee, employee position and contract period, performance of duties, employer obligations, probation period, compensation & benefits including amendment and termination of employment.

2.3 Staff Records

The Swaziland CCM Secretariat shall maintain all individual staff records on behalf of the employer. The Executive Secretary should keep them under lock and ensure confidentiality is maintained at all times.

Staff records should contain the employee's contact details, copies of academic certificates, letters of reference submitted during recruitment, actual contract, authorization of renewal of contract, request/approval for leave, medical certificates, documentation on any disciplinary action, signed salary receipt, other relevant personal documents.

Employees should report any changes in their personal data such as name, address, telephone number, email, bank account for direct deposit of wages/salary etc.

3.0 Annual Salary Reviews and Increment of Individual Salaries

3.1 General Statement

Salary increments shall be calculated at the time of preparing the Swaziland CCM annual Work Plan and Budget at the beginning of the year.

Swaziland CCM shall conduct an annual salary review of the Secretariat staff based on individual annual performance appraisals.

3.2 Date and Mode of Salary Payments

The mode and date of salary payments shall follow procedures outlined in the Swaziland CCM Finance and Procurement Manual, 2012.

An Employer may not take any deduction from an employee's remuneration unless the terms and conditions stipulated in the Employment Act of 1980 apply.

4.0 Staff Leave and other Benefits

4.1 Annual Leave, Public Holiday and other Rest Days

- Every employee shall, once in every calendar year, be entitled to a 30 working-day leave with full pay.
- An employee should take leave within 18 months.
- An employee cannot exchange his/her annual leave for cash.
- The Executive Secretary shall plan annual leave of Secretariat staff taking into account scheduled annual activities and providing for adequate staffing, prior to the approval of any employee's annual leave requests.
- Employees who work during a public holiday can take a day off, as agreed with the Executive Secretary or Chair, in lieu of the public holiday.

4.2 Leave for Training

The Swaziland CCM secretariat staff should inform the Executive Secretary of any plans to go on training at least 3 months in advance; and the Executive Secretary shall seek the Chair's official approval before granting the leave request.

4.3 Temporary or Emergency Leave

An employee is entitled to a temporary emergency leave of 7 days with full pay e.g. death of close relative; and the duration of the leave in each case. This section shall apply to Swaziland CCM Secretariat staff

4.4 Sick Leave

Any employee who has been in the service of an employer for a period of six months of continuous service is entitled to sick leave. The employee shall inform the employer immediately if s/he is sick. The employee is required submit a "sick sheet" to the Finance Manager for filling for sick leave that is more than 2 days. The "sick sheet" is then returned to the office and filed in the employee's personal file.

4.5 Maternity Leave

Maternity leave will be granted in accordance with the Employment Act of 1980, as amended, namely twelve (12) weeks in total. Male staff members are entitled to XXXX paternity leave granted to married male employees only and can be considered after full provision of evidence of paternity for unmarried men. The purpose of paternity leave is to enable fathers to render the necessary support to their families at this critical time.

Applications for maternity & paternity leave must be made in advance, on the Leave Application Form. The scheduling of such leave will be done with due consideration to the employee's family's circumstances, but subject to the operational requirements of the Swaziland CCM Secretariat. Maternity and Paternity Leave shall be fully paid and staff members shall be entitled to full benefits during this period.

Employees shall have worked for a period of one (1) year to qualify for maternity and paternity leave. The employment of an employee will not be terminated as a result of her pregnancy or absence on maternity leave. If an employee is certified by a registered Medical practitioner to be medically unfit to return to work after the 3 months maternity leave, due to complications arising from the pregnancy or the birth, the Secretariat or Chair may, at its discretion, grant the employee a further two (2) weeks unpaid maternity leave. After this period an employee will be required to take sick leave and the provisions relating to sick leave shall apply.

Prior to resuming duty after a period of maternity leave, an employee must present a certificate from a recognized medical practitioner certifying her fitness to resume duty. An employee who is nursing a child shall

be permitted a period of one hour in any working day for the purpose of nursing the child until the child is six (6) months old.

In case of a miscarriage or still birth, the employee shall continue to be entitled to maternity leave at the discretion of the employee. However, if she has a medical certificate confirming her fitness for duty, she may return to work at any time during this period. An employee on maternity leave is not permitted to take up employment elsewhere. Should an employee be found to be in breach of this provision she may forfeit her paid maternity leave and face disciplinary action

4.6 Leave without Pay

The Swaziland CCM Secretariat may grant an employee leave without pay for a period not exceeding three months.

4.7 Medical Benefits

The Swaziland CCM Secretariat does not provide any assistance with medical expenses, with the exception of medical expenses arising out of an accident occurring while an employee is on duty. The Swaziland CCM Secretariat is a member of a Swaziland Medical Aid Scheme and contributes to pay 67% on behalf of the employee and registered dependents.

4.8 Retirement Benefits

The Swaziland CCM Secretariat offers a 30% of annual basic salary gratuity on the completion of the first 2 years of a project; and prorated for any period less than 2 years.

5.0 Training and Development

5.1 Training Policy Statement

The Swaziland CCM is committed to ensuring that all Secretariat staff has received adequate training in order to be able to carry out their duties efficiently and effectively. The “training and development” needs as well as the budget will be determined annually based a (a training needs assessment and b) performance appraisal.

5.2 Induction Programme

The Swaziland CCM shall develop an induction program for employees which shall be overseen by the Executive Committee.

The induction program should be regularly updated in line with any relevant changes in the Global Fund guidelines.

5.3 External Training

Employees and Swaziland CCM members should be nominated for external training by the Swaziland CCM Chair, based on Swaziland CCM’s Training Plan and following Swaziland CCM approval.

5.4 In-House Training

In-house training will be based on the Swaziland CCM’s Training Plan identifying: type of training, resource person, level of training, frequency of training and mode of payment for resource person (if any)

5.5 Training Records

Training conducted according to the Training Plan should be documented and kept on record. It should include at the minimum: a Training Completion Report to be completed by the Resource Person. The Training Report should be filed together with training-related invoices and receipts by the Secretariat for recording purposes.

6.0 Performance Management

6.1 Performance Management Process

The Executive Secretary shall be responsible for initiating the performance appraisal of all staff according the Swaziland CCM Work Plan.

Supervisor's Role. The Executive Secretary/direct supervisors (refer to section 6.2 below for list of Supervisors) shall schedule an annual planning meeting with the Secretariat staff individually to mutually agree on their individual work plan over a 12-month period or a 6-month period in case of probation. **Refer to Annex 11 for example of work plan.**

The Executive Secretary/immediate Supervisor(s) and Employee should:

- Agree on the set of priorities requiring attention by the individual employee within a framework of broad goals and objectives (i.e. Swaziland CCM Annual Work plan and Budget, Committee Work plans).
- For any given priority, they should decide on the key tasks and expected results/ deliverables to be achieved by an estimated deadline
- They should briefly discuss the expected support required of other Secretariat staff members and relevant stakeholders (e.g. Swaziland CCM members, Chairs of Committees, PR etc) to achieve their results/ deliverables.
- They should discuss their respective expectations as well as the feasibility of the proposed work plan and make adjustments as necessary, before officially ratifying the 12-month work plan.

Appraisal Process. Formal performance appraisal entails a comparison of the expected results with the actual results over the past 12 months (N.B. in the case of an employee on probation, the performance appraisal will assess performance over the past 6 months). **Refer to Annex 9 for a basic Performance Appraisal Form.**

The Performance Appraisal should be scheduled annually in which case the employee's individual performance is documented and rated by the immediate Supervisors. The employee also does his/her own self-assessment. Subsequently, immediate Supervisors and individual employees compare their performance appraisals. Both verbal and written feedback is delivered as per the Performance Appraisal Protocol- **Refer to Annex 10 for Performance Appraisal Tool.**

Top performance is recognized and rewarded and poor performance is remedied. The Supervisor should know how to manage "non-performers" and must systematically document evidence of the employee's inability to produce significant results despite supervisory efforts to remedy the situation -- from the time the problem was identified to the date of formal performance appraisal.

Above and beyond the formal appraisal as described above, the Supervisors should regularly monitor the work of the Secretariat – this is called "continuous appraisal" and it focuses on the "present" (as compared to the formal appraisal that refers to the "past"). They may do so in a variety of ways e.g. by meeting informally with an individual employee to discuss progress during work hours, by noting observations during committee/ Task team meetings or simply by regularly calling the employee and enquiring. The objective is to give timely feedback to the employee and assist as necessary. Supervisors may thus identify strengths and weaknesses including ways to overcome these shortcomings including areas for skill enhancement. They may immediately correct inappropriate behaviour including identifying causes of inadequate work performance. These "monitoring" efforts should be documented and shared amongst supervisors within the supervisory team throughout the year and especially during performance appraisal time. Any confidential matters shall be addressed with the necessary level of discretion.

Role of Swaziland CCM. The Swaziland CCM is formally informed of the performance of individual employees at the end of the appraisal period. Depending on the performance of the employee and recommendations of the Executive Committee, the Swaziland CCM decides on rewards, capacity building or disciplinary action.

6.2 Supervisors

The immediate supervisors are the Chairs of the Committees/ Coordinators of the Task teams with whom the Secretariat staff have a **direct** secretarial function. They are most knowledgeable about individual's work. The list of immediate Supervisors may vary yearly depending upon whether any new Committees or Task teams are created/ disbanded by the Swaziland CCM.

Supervisors for the Executive Secretary

The Chair, assisted by the Vice-Chair, will assess the Executive Secretary's performance in order to help the Executive Secretary improve his/her job performance.

Supervisors for the M&E Manager

The Executive Secretary and the Oversight Committee Chair, and Proposal Development Task team Coordinator will assess the M&E Officer's performance in order to help the M&E Officer improve his/her job performance.

Supervisors for the Finance Manager

The Executive Secretary will assess the Finance Officer's performance in order to help the Finance Officer improve his/her job performance.

7.0 Termination of Employment

7.1 General Policy Statements on Termination of Employment

Swaziland CCM shall not give a notice of termination to the employee (a) if the contract of service ends with the expiry of the specified term or (b) in case of dismissal. In all other cases, Swaziland CCM shall give a notice of termination, as follows:

- a) Not less than two weeks, where the employee has been employed for a period of more than 6 months, but less than a year
- b) Not less than one month, where the employee has been employed for a period of more than 12 months but less than 5 years
- c) Not less than 3 months where the employee has been employed for a period of 5 years and more.

7.3 Individual Grievance Handling Procedure

A typical grievance procedure within the Swaziland CCM begins with an employee presenting a problem, orally and formally in writing to the Chairperson or Executive Secretary within a day after the offending event has occurred. The Chairperson or Executive Secretary then has a week to respond in consultation with Executive Committee, as necessary. The Chairperson or Executive Secretary will make the necessary preliminary enquiries and attempt to resolve the matter. Should remedial measures proposed to the aggrieved employee prove unsuccessful, and depending on the nature and seriousness of the matter, the Chair shall consult with the Swaziland CCM for advice.

When the complaint is an allegation of conflict of interest, the complaint will be filed and heard by the Executive Committee and follow the complaint protocol of the Executive Committee.

8.0 Administration of Employment Practices

8.1 Hours of work

The normal working hours shall not exceed 8 hours per day and shall be between 8 am and 5 pm including the one hour break.

The Executive Secretary may, in lieu of cash, grant his/her subordinates leave at a time to compensate for overtime. This special discretionary leave shall be recorded in the employee's file with the Secretary's signature and shall not be deducted from the employee's normal holiday or sick leave. Such discretionary leave cannot be accumulated or added up to a full day or added to the normal holiday or sick leaves. The Executive Secretary shall ensure that the Swaziland CCM work does not suffer as a result of such discretionary leave.

8.4 Security

The Swaziland CCM staff shall observe the security measures in place. Any breach of these security measures shall be taken as an offense and disciplinary action shall apply accordingly.

8.5 Safety

The Swaziland CCM provides information to employees about workplace safety and health issues through regular internal communication such as:

- Bulletin board postings

- Memorandums
- Other written communications

Each employee is expected to obey safety rules and exercise caution and common sense in all work activities. Employees must immediately report any unsafe conditions to the Executive Secretary. Employees who violate safety standards, cause hazardous or dangerous situations, or fail to report, or where appropriate, remedy such situations, may be subject to disciplinary action including termination of employment.

In the case of an accident that results in injury, regardless of how insignificant the injury may appear, employees should notify the Executive Secretary.

8.6 Confidentiality of Information

How to Maintain Confidentiality in the Workplace?

The Executive Secretary should devise strategies and guidelines to ensure that workplace confidentiality is maintained. Here are some effective steps which can be taken to protect information.

- ✓ The Executive Secretary should take necessary steps to prevent the misuse of information that is personal. Personal files of employees and the management should be safely stored to avoid misuse, loss or unauthorized access.
- ✓ Once the privacy policies and guidelines are devised, the next thing to do is to communicate the same to all the employees, Swaziland CCM members including committee chairs.
- ✓ It is very important that the employees know which actions of theirs will be considered as a breach of confidentiality and what will be the consequences of the same, to deter them from doing so.
- ✓ With most of the information these days stored electronically, to ensure its safety, sophisticated electronic methods such as firewalls, password protection, encryption, etc. should be adopted. This will keep the access, usage and transmission of the protected data, safe.
- ✓ Disposing of sensitive information in the right manner, if it's not required anymore is equally important. The Executive Secretary should do it in such a way that there are no potential leaks.

8.7 Communication with Press and Third Parties (non-stakeholders)

Official communication with the press and any other third parties must be sanctioned by the Chairperson (refer to Communications Strategy).

8.8 Notification of Change of Personal Circumstances

Changes in personal circumstances must be notified to the Executive Secretary or Finance Manager. Changes include, but are not limited to the following: home address, telephone number, emergency contact, next of kin. For changes to name, title, marital status, or immigration status, the employee shall bring documentary evidence into the Secretariat Office and the staff will update the employee's record.

8.9 Assignment of New Duties

The Chairperson or Executive Secretary may assign new responsibilities to their staff.

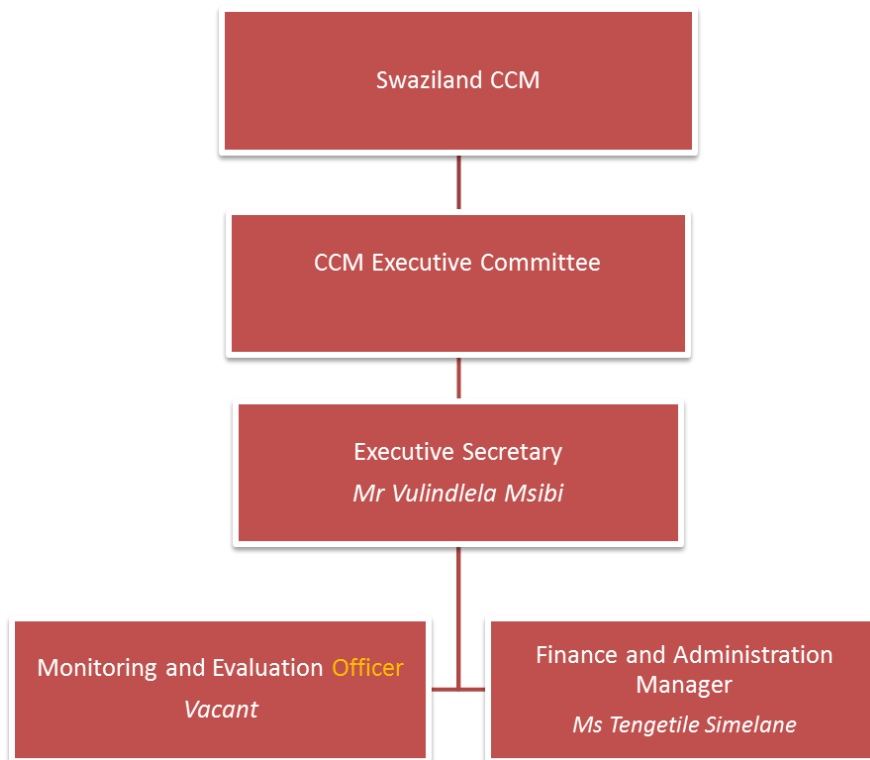
8.10 Gifts and Business Ethics

The employee should observe the Swaziland CCM Ethics and Conflict of Interest Mitigation Policy at all times and report any breach of the policy to the ECOIC.

8.11 Use of Office Equipment

Employees may use Secretariat office equipment for authorized purposes only. Limited personal use of the Secretariat office equipment by employees during non-work time is considered to be an "authorized use" of office property. In other words, Secretariat employees are permitted limited use of office equipment for personal needs if the use does not interfere with official business and involves minimal additional expense to the Swaziland CCM. This limited personal use of office equipment should take place during the employee's non-work time. **Refer to Annex 12 for list of inappropriate use of office equipment.**

Annex 1: Swaziland CCM Secretariat Structure and TOR (Draft)



Swaziland CCM Secretariat TOR

Executive Secretary

Title: CCM Executive Secretary

Responsible to: CCM Executive Committee

Supervises: Finance Manager, M&E Officer, and any other additional Secretariat staff members

Location: CCM Secretariat

Main Duties

The primary duties for this position are to manage and provide administrative, financial and technical support to the Swaziland Country Coordinating Mechanism (CCM) within the six CCM functional areas:

1. Leading CCM administrative, secretarial functions:

- Coordinate meetings of the CCM and its task teams, technical working groups and committees, including:
 - prepare draft agenda,
 - distribute notice of meetings and relevant documents at least one week before each meeting,
 - issues meeting reminders,
 - make arrangement to convene the meeting, prepare draft minutes, and
 - serve as or arrange for an interpreter in the CCM and task teams, technical working groups and committees meetings, if and when needed.
- Distribute the minutes to the CCM members.
- Arrange and organize distribution of The Global Fund guidelines and other documents.
- Maintains telephone and email contact lists of CCM members and alternates for purposes of communicating with them;
- Receives and archives documentation on s/election of CCM members;
- Maintains the schedule of CCM meetings, prepares and circulates in a timely fashion the invitations, agenda and supporting documents from the PRs and CCM Committees for CCM meetings;
- Identifies and invites technical experts to the CCM meetings;
- Provides logistical support for CCM meetings in an open and participatory fashion, consistent with GFATM principles;
- Prepares and circulates the Minutes of CCM meetings;
- Maintains the archives and institutional memory of the CCM;
- Provides administrative support to the Chair and Vice Chair and CCM;
- Communicates on behalf of the Chair with GFATM Portfolio Fund Manager in Geneva, when instructed to do so;
- Provides logistical support for CCM Committees' meetings;
- Communicates instructions from the CCM to the CCM Committees and Task Teams.
- Assists the Chair and Executive Committee in managing all aspects of the Conflict of Interest Policy

2. Supporting CCM management and organization structures:

- Facilitate development of CCM's Operational Work Plan and Budget annually and monitor its implementation.
- Organize the overall operational and logistic support to CCM and to its core components (i.e. Committees, Task Teams, and Expert Pool).
- Assist Chair in convening CCM meetings, record, finalize and circulate its minutes of meetings to all its members at least a week before the meeting.
- Support the follow up on key decisions/action points as noted in CCM minutes of meetings and provide regular feedback on progress to CCM.
- Ensure secretarial support is provided to the Management Committee, Oversight Committee, and Task Teams; and facilitate follow up on key Committee/ Task Team decisions and provide feedback to CCM.
- Maintain and update CCM's Regulatory Framework and oversee application and compliance by all CCM members, Secretariat Staff and relevant stakeholders.
- Assist in the constitution and maintenance of CCM membership including organization of elections for CCM Chair and Vice-Chair at the end of their term in office; and facilitate the termination of membership whenever required.
- Assist in the organization of general orientation sessions for new CCM members and their alternates, including theme-specific capacity building efforts for CCM members.
- Coordinate and facilitate use of external and internal expertise by CCM during life cycle of the grants.
- Assist in the development of fundraising strategies, identify potential donors, and leverage additional financial resources to expand and enhance the Secretariat support to the CCM overall activities.
- Organize the regular evaluation of CCM performance.

3. Support partnerships and harmonization of GF grants with other national programs and projects:

- Assist in the development of partnerships and strategic linkages with other relevant stakeholders and health initiatives at national level.
- Assist in promoting alignment and integration of Global Fund programs with national strategies
- Obtain and update CCM with important information to support harmonization endeavors and the inclusion of Global Fund activities in national results.

- Assist in maintaining contacts and links with key CCM constituencies to ensure their involvement and participation in all Global Fund- related activities at national level.
- Participate in national forums and workshops to share, promote and market the CCM oversight work on Global Fund- supported programs
- Assist in the development of strategic alliances between the CCM and key Global Fund players at country level (LFA, PRs, SRs, etc.)
- Support the Chair of CCM to mobilise resources for the operations of CCM including preparation activity and financial reports for submission to specific donors.

4. Supporting development of country concept note(s) under the Global Fund's New Funding Model, and proposals, as needed:

- Provide administrative and logistic support to the CCM Proposal Development Team during the development of concept notes, and any other proposals to the Global Fund or other prospective donor (resource mobilization).
- Facilitate development, implementation, publication and dissemination of processes that enable a broad, in-depth national dialogue around concept note development.
- Gather, centralize, and package relevant information on Global Fund proposal development guidelines and share with CCM and Proposal Development Task Team members.
- Support, facilitate, and document: (1) a transparent PR/SR selection process through calls for expressions of interest and (2) a transparent proposal review and appraisal process.
- Coordinate and facilitate use of external and internal expertise by CCM during the proposal writing process.
- Support communication among CCM members to obtain their approval and written endorsement before proposals are submitted to the Global Fund.
- Coordinate CCM and Proposal Development Team responses to TRP clarification questions as required.
- Follow-up on any outstanding issue with regard to TRP clarifications.

5. Support CCM oversight of grant implementation, grant renewal and grant closure

- Support collection of relevant information on in-country grant performance from PRs, the Global Fund and other information sources and undertake preliminary analyses of programmatic and financial information on grant performance.
- Ensure timely submission of (draft Dashboards)/summary grant performance reports to Oversight Committee for review during their regular oversight meetings.
- Provide administrative and logistic support to the Oversight Committee and follow up on Oversight Committee's decisions.
- Facilitate reporting and feedback by the Oversight Committee to the CCM on grant performance, recording of CCM decisions on oversight, communicating and implementing those decisions.
- Ensure field visit guidelines are developed, site visits are undertaken and site visit reports are presented to the CCM.
- Record all key oversight actions, arising from periodic reports, from the review of information, from monitoring visits, and from other Global Fund information sources.
- Liaise with development partners to obtain support for oversight activities including providing technical expertise as necessary.
- Lead the grant renewal and grant closure process in accordance with Global Fund modalities, procedures and guidelines.
- Ensure that a CCM oversight work plan and budget is developed and incorporated as part of annual CCM work plan.

6. Supporting documentation and communication:

- Maintain custody of all documents relating to the governance and functions of the CCM including maintaining past and current documentation of CCM activities, proposals, grant performance, communications with the LFA, the GF and all Secretariat activities.
- Support the Chair, Vice Chair and Exco in their communications and negotiations with the Global Fund, LFA and other donors.
- Gather information and news from Global Fund, PRs and SRs to be shared with CCM members
- Provide CCM members with Global Fund regular updates (new guidelines, new forms and formats, new policy decisions, newly released reports, etc.)
- Support the regular and clear communication flow between CCM and PR throughout lifecycle of the grant

- Facilitate effective coordination and liaison with the stakeholder constituencies and its representatives at the CCM.
- Supervise the development, updating and maintenance of an interactive web site for the CCM

Any other duties as requested by CCM Chair

- Represent the CCM Chair (as necessary) on key national events and forums related to health activities programming and implementation.
- Perform any other duty as requested by the CCM Chair.

Qualifications and Experience

- Bachelor's Degree in public health, education, international development or related field with a minimum of 5 years of demonstrated experience in successfully managing social sector and/or HIV/AIDS, Malaria, and TB activities in Swaziland or abroad.
- Good experience in program management, knowledge of operational procedures, budgeting and financial reporting.
- At least one year of experience supervising administrative support staff
- Excellent knowledge and use of various computer application skills
- Knowledge and understanding of the GFATM processes will be an advantage
- Excellent working knowledge of written and spoken English is essential

Skills & Competencies

- Proven ability to communicate and interact with high-level officials from the government, NGOs and the private and development sectors
- Ability to compile, analyze and interpret complex programmatic and financial information
- Excellent networking, oral and written communication skills
- Ability to supervise and train others including staff and organizational stakeholders
- Aptitude to work in donor-funded environment

Personal Qualities

- Effective Team-Leader
- Able to work under pressure and to meet strict deadlines
- Able to synthesize information and communicate persuasively and appropriately to diverse audiences
- Conflict resolution skills
- Good communicator

Finance and Administration Manager

TITLE: Finance and Administration Manager

RESPONSIBLE TO: Swaziland CCM Executive Secretary

LOCATION: CCM Secretariat

Main Duties

The primary duties for this position are to provide finance and administrative support to the Swaziland CCM

1 Supporting CCM administrative, secretarial functions:

- Provide logistical support to the meetings of the CCM and its technical working groups and committees, including:
 - Assist in preparing draft agenda,
 - Assist in distributing notice of meetings and relevant documents at least one week before each meeting,
 - Assist in issuing meeting reminders,
 - Assist in making arrangements to convene the meeting, prepare draft minutes, and
- Assist in maintaining telephone and email contact lists of CCM members and alternates for purposes of communicating with them;

- Assist in receiving and archiving documentation on s/election of CCM members;
- Assist in maintaining the schedule of CCM meetings, prepares and circulates in a timely fashion the invitations, agenda and supporting documents from the PRs and CCM Committees for CCM meetings;
- Assist in maintaining the archives and institutional memory of the CCM;

2 Ensure adequate organizational, financial and accounting policies and systems are in place

- Develop and implement human resources policies and procedures manual
- Develop and implement financial and accounting policies and procedures manual
- Ensure adequate internal controls are in place
- Organize for annual external audit of Swaziland CCM financial statements

3 Maintain Swaziland CCM Secretariat Bank and Cash Journals

- Post accounting entries in the Swaziland CCM Secretariat Cash Journals (Bank Account, Petty Cash Account, etc.)
- Produce monthly bank reconciliations to monitor and track financial transactions in the Swaziland CCM bank account(s)
- Perform petty cash controls on a regular basis

4 Maintain Swaziland CCM Secretariat Assets

- Ensure that Swaziland CCM assets are adequately codified and tracked
- Perform assets inventory at least every 12 months
- Maintain Swaziland CCM Assets Register

5 Support Procurement of Goods and Services for Swaziland CCM Secretariat

- Support the Executive Secretary on purchase and payments of goods and services, according to the Secretariat Standard Operating Procedures
- Maintain and update suppliers and service providers approved list
- Support open and competitive procurement process for the purchase of goods and services by Swaziland CCM Secretariat

6 Keep and File Financial Records of the Swaziland CCM Secretariat

- Collect backup documents to support every financial transaction made by the Swaziland CCM Secretariat
- Ensure that all accounting and organizational documents are appropriately filed and archived for audit and verification purposes.

7 Support Swaziland CCM Secretariat with Financial Monitoring

- Assist the Executive Secretary in developing the Swaziland CCM annual work plan and budget
- Support the Executive Secretary on financial monitoring of Swaziland CCM activities according to approved budget line items
- Develop budget monitoring tools and forms to support the Executive Secretary in managing financial resources of the Swaziland CCM

8 Support the Oversight Committee

- Provide **specific technical support** to the Oversight Committee in all financial matters relating to the PR(s), throughout the life cycle of the grant, especially in overseeing the PR's auditing and any related matters.
- Assist in identifying and recruiting appropriate technical resource persons from the Expert Pool to assist the Swaziland CCM on financial matters, as needed.

9 Assist in Proposal Development, Grant Renewals and Grant Closures

- Under the direction of the Executive Secretary and with assistance from the M&E Officer, the Finance Manager shall assist in coordinating and facilitating all financial aspects of concept note and proposal development processes, grant renewals and grant closures, in accordance with GF modalities, procedures and guidelines.

10 Any other duties as requested by the Swaziland CCM Executive Secretary

- Perform any other duty as requested by the Swaziland CCM Executive Secretary

Qualifications:

- Have a degree in Finance, Accounting or Business Administration with Certified Public Accountant (CPA) degree
- At least 2 years working experience in financial administration in Government, national or international programs
- Must possess good planning, communication and coordination skills
- Ability to work without supervision
- Have knowledge of standard software (Microsoft package), especially Excel, Word and Power Point
- Good working knowledge of written and spoken English is essential

Key Personal Qualities

- Ability to work effectively with staff and organizational stakeholders
- Excellent attention to detail
- Exceptional communication, writing and editing abilities
- High degree of organization and initiative
- Ability to work in a fast-paced, deadline-oriented environment and to juggle multiple tasks
- Ability to interact and communicate with all levels of government, NGO, and private sectors
- Superior presentation skills
- Familiarity with budget development essential and with work planning desirable
- Ability to work as a team player

Monitoring and Evaluation Officer

Title: Monitoring and Evaluation Officer

Responsible to: Executive Secretary

Location: CCM Secretariat

Main Duties

The primary duties for this position are to ensure that comprehensive quarterly Global Fund reports /dashboards are received from PRs and submitted on time to the Oversight Committee and undertake preliminary analyses of programmatic and financial information on grant performance.

1. Supporting oversight of grant implementation:

- Assist in collecting relevant information on in-country grant performance from PRs, the Global Fund and other information sources, and undertake preliminary analyses of programmatic and financial information on grant performance.
- Ensure, with assistance from the PR manager or dashboard coordinator, that PRs submit quarterly grant performance reports/dashboard Excel files to the Oversight Committee within agreed timeframe.
- Provide logistic and administrative support to Oversight Committee (e.g. taking minutes of Oversight Committee meetings, drafting letters on its behalf, finding appropriate venue for meetings, etc.)
- Organize meetings between Oversight Committee and PR as requested by Committee Chair or Executive Secretary.
- Send invitations and reminders to all Oversight Committee members for meetings, site visits and trainings scheduled by the Secretariat.
- Record any instances of conflict of interest in Oversight meetings.
- Maintain the attendance sign-in sheets for the Oversight Committee/relevant Task Team membership and prepare an Excel file that shows attendance at each Committee meeting.
- Submit draft minutes to Oversight Committee Chair for review and verification, and submit final copy to Executive Secretary for archiving both soft and hard copies.
- Maintain the attendance sign-in sheets for the Oversight Committee/relevant Task Team membership and prepare an Excel file that shows attendance at each Committee meeting.
- Provide administrative and logistic support to any Task Team established to address specific technical aspects of oversight (e.g. procurement) or concept note or proposal development.
- Facilitate the investigation of specific M&E issues that arise. Obtain further clarification or explanation from PRs or external technical experts.
- Assist in coordinating Swaziland field visit activities and development of field visit guidelines, identifying field visit sites, making appointments and assisting in the provision of logistical support.
- Assist in orientation of new Swaziland CCM members, PRs/SRs and Oversight Committee members to the Swaziland oversight process.
- Assist PRs to identify and address any capacity concerns related to M&E (i.e., mobilizing support and assistance to strengthen capacities, identifying technical support, etc.)
- Facilitate the provision of technical assistance to the PR, when necessary and as directed by the Swaziland Executive Secretary.
- Work in consultation with the Swaziland oversight committee to ensure that an annual Swaziland oversight work plan and budget are developed and incorporated as part of annual Swaziland CCM work plan.

2. Maintain and manage the dashboard tool at Swaziland Secretariat

- Customize the dashboard file for each grant agreement and send to each PR.
- Collect dashboard Excel Files from PRs at the end of each reporting period as agreed between the Swaziland CCM and PRs (quarterly).
- Check data entries made by PRs to ensure consistency with current PUDR completeness and coherence. Follow-up with PR for missing or inconsistent data.
- Submit on time PRs' report/dashboard files to Oversight Committee for review. Identify issues, problems, and bottlenecks that require the Oversight Committee's attention
- Assist Oversight Committee meetings to ensure correct use and interpretation of dashboard tool. Enter the Committee's decisions (comments and recommendations) into the dashboard file.
- Assist in summarizing the Oversight Committee's key recommendations for PR action.
- Collect PRs' responses to Oversight Committee questions, comments and recommendations on the grant performance report/dashboard and provide them to Oversight Committee.
- Save copies and back-up the dashboard file after its review by Oversight Committee.
- Ensure that Swaziland CCM members receive a copy of the dashboard file at least two days before the Swaziland meeting.
- Record Swaziland decisions into the Action Page of each dashboard. Obtain Swaziland CCM agreement that the dashboard report is final, and save the final dashboard (in an archive PDF file). Send a copy to the PR.
- Assist the Oversight Committee to orient new Swaziland CCM members and new PRs on dashboard tools and processes.

3. Supporting harmonization

- Obtain and update Swaziland CCM and stakeholders with important information to support harmonization endeavors and the inclusion of Global Fund activities in national results.
- Support the Swaziland Executive Secretary to mobilise resources for the operations of Swaziland CCM including preparation activity and financial reports for submission to specific donors.

4. Supporting proposal development, grant renewals and grant closure

- Facilitate all programmatic aspects of proposal development process, grant renewals and grant closures, in accordance with GF modalities, procedures and guidelines.

5. Supporting documentation and communication

- Provide advice on the availability of and, where appropriate, repackaging information on Global Fund rules, regulations and guidelines, and in-country program activities and performance for Swaziland members and development partner.
- Put in place a filing system (physical and electronic) of all Swaziland key oversight committee and related documents.
- Share key evaluation studies whose findings relate to the Global Fund grants (national program mid-term reviews, on-site data verifications feedback from LFA, etc.)
- Identify successes, best practices, lessons learned, and make recommendations as to how these can be adopted across implementers/grants.
- Assist in updating and maintenance of an interactive web site for the Swaziland.

6. Any other related duties as may be assigned or delegated by the Swaziland Executive Secretary.

- Represent the Swaziland Executive Secretary at key events and forums, when directed
- Accomplish any other duty as requested by the Swaziland Executive Secretary

Qualifications and experience

- A degree in Public Health, Demography or Statistics or similar relevant field.
- At least 2 years' proven experience in Monitoring & Evaluation in a national or international organization
- Knowledge in Public Health programs relevant to AIDS, TB and HIV/AIDS.
- Excellent Information Technology skills with mastery of EXCEL

Skills & Competencies

- Ability to compile, analyze and interpret complexity of programmatic and financial information
- Ability to supervise and train others including staff and organizational stakeholders
- Ability to work in a fast-paced, deadline-oriented environment and to juggle multiple tasks
- Ability to interact and communicate with all levels of national government, NGO, private and development sectors
- Superior presentation skills

Annex 2: Statement of Swaziland CCM's Employment Policy

Swaziland CCM employment practices must ensure that employees are treated justly and with respect and that their abilities, differences and achievements are recognised.

Equality of opportunity and dignity at work are essential in helping all employees to develop their full capabilities. By embracing diversity in all aspects of our business, Swaziland CCM will ensure a positive, inclusive working environment for employees throughout the organisation.

General Principles

1. The Swaziland CCM must comply with the employment and labor laws of the country
2. There must be no unlawful discrimination against any employee or prospective employee on the grounds of gender, sexual orientation, disability, religion, colour, race, or national or ethnic origin. The Swaziland CCM must also comply with the requirements of any relevant country laws and regulations relating to discrimination.
3. There must be no discrimination against any employee or prospective employee on the grounds of age other than where, in accordance with applicable law, contractual retirement dates are agreed.
4. Employees must refrain from any conduct which might amount to discrimination.
5. Access to employment and development must be based on ability, qualifications and suitability for work and for available opportunities.
6. Pre-employment, employment, development and retention processes and practices must ensure that the principles of equal opportunity and fairness are visibly adhered to.
7. Pre-employment processes must include appropriate checks of prospective Employees as detailed in the relevant section of the Swaziland CCM's Human Resources Manual (including checking of references and verifying qualifications).
8. Any official body established for the identification and selection of potential employees (e.g. Recruitment Task team) must be made aware of the SWAZILAND CCM's Employment policy, the provisions of the Human Resources Manual, including the Swaziland CCM Ethic and Conflict of Interest Mitigation Policy and any other relevant Swaziland CCM policies.
9. Employees must be given regular and appropriate training for their work including in relation to the Swaziland CCM's Ethics and Conflict of Interest Mitigation (ECOIM) Policy, and their individual development needs and career prospects must be reviewed as part of an annual performance review process.
10. Employees must be treated with dignity and respect, in a working environment which respects their human rights and which is free from unlawful discrimination and from any form of conduct, whether physical, emotional or verbal, which could be considered to be harassing, coercive or disruptive, including sexual harassment¹.
11. Employees must be able and be encouraged to report and discuss, on a confidential basis, any problem associated with or arising out of their employment.
12. Formal and confidential procedures must be established which provide for a fair, impartial and confidential determination of any employee complaint as quickly as practicable and which comply with any local employment regulations.
13. Employees must know and understand their terms and conditions of employment, and must be aware of disciplinary and complaints procedures and consultation processes within the Swaziland CCM.
14. Working conditions must be safe and comply with all applicable occupational health and safety standards, laws and regulations.
15. All employees individually have a responsibility for their own and their colleagues' health and safety and must comply with all applicable occupational health and safety standards, laws and regulations.
16. The use or abuse of any illegal substances during working time, whether or not on Secretariat premises, including the illegal use or possession of any drug, is prohibited.
17. Anyone is prohibited from bringing dangerous weapons into any of the Secretariat premises.
18. Employment contracts must require employees to comply with Swaziland CCM Policies and provide for sanctions/disciplinary procedures in the event of any breach.
19. Employment contracts must oblige employees to declare any conflicts or potential conflicts between the employee's personal interests and the interests of Swaziland CCM.

This Swaziland CCM Employment Policy must be read in conjunction with the provisions of the Swaziland CCM Human Resources Manual, the ECOIM policy and any other relevant Swaziland CCM policies and requirements regarding their implementation.

¹ Section 10 "Prohibition of Discrimination" and Section 11 "Prohibition of Sexual Harassment of The Employment Act No. 11 of 2005 apply at all times

Annex 3 Extracts from the “Guidelines for Budgeting in Global Fund Grants”

III. SPECIFIC GUIDANCE FOR EXPENDITURE CATEGORIES

Module 5: Budgeting for Human Resource Costs²⁹

78. Global Fund grants may finance human resources (HR) costs of the PR and any Sub-recipients (SRs) necessary to ensure that the objectives of the programs funded by Global Fund grants are implemented by competent and motivated individuals. This module provides guidance to stakeholders on Global Fund requirements for such costs.

79. Human resource costs, as defined in the Guidance For Completing The Enhanced Financial Reporting Template, include any payment for employment services rendered including: salaries, wages and other direct costs of employment.

General principles

80. The Global Fund can finance HR costs directly related to the implementation of a grant and CCM funded activities. The Global Fund will not replace or duplicate existing funding arrangements and only additional payments may be funded where employees who are already employed and paid by a Government, an existing PR or through any other funding source.

81. Remuneration costs for staff should be budgeted at the most cost-efficient level to achieve the objectives of the program.

82. PRs and relevant SRs are solely responsible for complying with applicable labor and other laws (including without limitation, occupational health and safety, minimum wages, separation payments, social security and health insurance, and taxes).

83. Levels of remuneration should be based on the relevant national remuneration levels, for example, as provided in national or interagency salary frameworks. Remuneration levels in general should be consistent with local market practice to enable sufficient and appropriate staff to be recruited to manage the grant(s).

84. Remuneration costs paid through the same PR/SR should be harmonized across Global Fund grants. Remuneration levels created especially for Global Fund grants and which are different from a country’s existing levels are highly discouraged as they are inconsistent with Global Fund’s model and commitment to Aid Effectiveness and further risk creating a ‘two-tier’ remuneration system in the country. Any exception should be fully justified.

85. The CCM should ensure the proposed remuneration levels are consistent with the relevant remuneration levels in the country³⁰ when submitting a proposal for funding to the Global Fund. Any deviation from relevant remuneration levels in the country should be justified in the Proposal Form³¹.

86. The Global Fund will review and approve remuneration levels during the grant negotiation process through approval of the budget. A CCM and/or PR/SR should be able to provide the relevant salary framework and any additional information requested by the Global Fund justifying all HR costs. **Annex 3 (to Module 5)** contains an indicative list of remuneration level documentation considerations.

87. In general remuneration levels should not change significantly from those budgeted and approved. If, for exceptional reasons, there are significant changes to the remuneration levels (especially salary top-ups), which cause concerns over sustainability of the program, the PR should communicate this to the Secretariat. The CCM should endorse the changes in remuneration levels. In this case, the same indicative documentation requirements should apply (see **Annex 3 to Module 5**).

88. Where relevant, the Global Fund will request information from the PR and/or the CCM concerning the future sustainability of funding of HR costs beyond the term of the grant and actions taken to ensure it, which may include relevant information related to government planning and budgeting.

Types of remuneration and requirement for budgeting

Salaries

89. The full cost of salaries may be charged to the Global Fund grant for newly created positions necessary to directly support implementation of Global Fund financed grant activities. There must be no funding duplication with other Global Fund grants and funds from other sources (including those funded by the relevant PR/SR). The budget must include a detailed breakdown of positions and costs to the satisfaction of the Global Fund.

90. For positions that are working partially on the Global Fund grant, the costs can be apportioned based on the level of effort required. The apportionment assumptions should also be disclosed in the budget.

Salary top ups and incentive payments

91. Salary top-ups or incentives aligned to country systems and transparently presented through CCMs may be financed by a Global Fund grant. Payment of salary top-ups or incentives are only possible with the endorsement of the CCM through the proposal process and the prior approval of the Global Fund through the budget review process where:

- (i) This issue is clearly presented, including a justification of how the payment of such amounts links to the objectives of the grant (i.e. linked to individual and grant performance or based on satisfactory completion of contract for retention objectives);
- (ii) Information available on sustainability of funding, and explaining how the costs will be funded after the Global Fund grant;
- (iii) There should be no actual or perceived conflict of interest between positions recommending an incentive to be paid and positions receiving a benefit.
- (iv) Any such payments are paid directly to the relevant employee rather than allocated to a bonus pool.

92. Incentive payments which can be funded through Global Fund grants are categorized into four types:

☒ *Performance based incentives* – supplement base salaries for staff who have a direct and essential influence over grant performance. The incentives should not be excessive (as a guide a maximum limit of 10-20% of base salary should apply. Exceptions to this range should be justified).

☒ *Retention based incentives* - may be payable where there is a high risk of losing key staff which would significantly and adversely affect grant implementation, for example, to retain medical staff in difficult locations or where remuneration is not sufficiently competitive to prevent the risk of significant staff turnover.

☒ *Task based incentives* – ensure specific activities take place with payment subject to completion of the task, for example, allowances for health workers for the number of patients examined and correctly diagnosed. Such incentives should produce increased results; however, the PR/SR must ensure that the quality of the service is maintained.

☒ *Additional effort based incentives* - are payable where staff, in addition to their existing responsibilities, assume responsibilities for a Global Fund grant, for example, government employees who continue to work on existing tasks but who take on additional responsibilities and expanded work hours to implement grant activities.

Allowances

93. Allowances, paid outside of the basic salary, may be financed by the Global Fund grant if they are part of a country's standard remuneration package. A detailed breakdown of such allowances should be provided in the detailed budget.

94. Allowances which can be funded through Global Fund grants commonly fall under the following seven categories:

☒ *Employer's social security contributions* - minimum amounts may be budgeted as required under local labor law.

☒ *Health insurance* – standard costs may be budgeted as required under local labor law or if it is common market practice.

☒ *Housing allowances* – may only be budgeted if part of an employee's standard remuneration package and a common local labor practice.

☒ *13th month salary* - may only be budgeted if part of standard practice in the local labor market.

☒ *Pension* - minimum contributions as required by law or in accordance with an organization's policies may be budgeted in compliance with labor law and aligned to common local market practice.

☒ *Termination indemnity/end of contract payment* - may only be budgeted if required under local labor law and if a contract expires on or before the ending date of a grant. Specific approval of the FPM is required for any termination payment where the termination is unanticipated and results from an actual or potential breach of a grant agreement. The Legal Unit shall be consulted.

☒ Other fringe payments: minimum amounts may be budgeted as required under local labor laws or local market practice.

Global Fund Annex 3 to Module 5: Indicative documentation concerning remuneration levels

For entities receiving Global Fund funding for the remuneration of staff, a PR should be able to provide the following documentation for review by the Global Fund to ascertain the reasonableness of budgeted costs:

(i) A description of the typical types of positions required for the Global Fund funded program and the local labor market conditions for such positions;

(ii) All salaries, salary top-ups and allowances should be based in local currency. If a different currency is used (USD/EURO), the rationale and an independently determined and verifiable rate should be disclosed;

(iii) A description of costs budgeted by a grant, for example, full costs for new program specific positions, or percentage based top-ups for existing staff. In cases where existing staff are seconded to a Program Management Unit (PMU) of the PR, it is not appropriate to significantly increase salaries in line with market conditions without competitively offering the position to external candidates to ensure that the increased costs attract best possible candidates.

(iv) A description of costs covered by the Government (for public sector entities) such as basic salary and benefits of existing staff;

(v) Relevant salary framework to benchmark salaries against relevant positions in country, for example, harmonized donor salary framework;

(vi) A description of salary ranges for generic positions, for example, Program Manager, M&E Officer, Finance Officer, Finance Assistant, Driver & Clerk;

(vii) A description of any benefits payable, the rates and the circumstances when they should be paid;

(viii) Where salary supplements or incentives are budgeted, their purpose should be disclosed such as the motivation of staff for additional effort or retention of core staff etc.;

(ix) The basis for salary top-ups should be well documented, e.g., number of working days per year.

(x) A description of the future

Annex 4: Terms of Reference – Recruitment Task Team

1. Scope of work of the Recruitment Task Team

Once the Terms of Reference of the Recruitment Task Team has been drafted and approved by the Executive Committee and ratified by the Swaziland CCM, it will be set up. It will begin immediately to plan, budget and implement activities leading to the selection of qualified personnel. The RC shall follow a rigorous, transparent and fair recruitment process as outlined in the HR Manual and shall document the entire process.

2. Duration

- Depending on the number of vacancies to be filled, the recruitment exercise should take between 3-4 months, starting from the date of start of work of the Recruitment Task Team to the date when official letters of acceptance are received from selected candidates
- Once the selected candidates have submitted their letter of acceptance of Swaziland CCM Chair, the Recruitment Task Team will produce an Implementation Completion Report (ICR) to be submitted to the Swaziland CCM, together with its request for disbandment.
- Upon Swaziland CCM ratification of the ICR and its approval of RC's disbandment, all follow up on administrative matters will then be handed to the Swaziland CCM Executive Committee.

3. Composition of RC and Membership Criteria

- **Composition:** The Swaziland CCM Chair will recommend Recruitment Task Team members to the Swaziland CCM for endorsement based on the membership criteria.
- **The Task Team Coordinator** will be appointed by the Swaziland CCM Chair
- **Criteria for membership:** given the intensity and complexity of the recruitment exercise and often the lack of quorum for decision-making, RC Task Team Coordinator and members should be chosen for their interest, availability, experience and competence in Human Resources Management matters.

4. Roles and Responsibilities

- Task Team Coordinator, Members and Technical Assistance:
 - ✓ Completion of all tasks including finalization of the ICR and presentation to the Swaziland CCM shall be the ultimate responsibility of the Task Team Coordinator.
 - ✓ The RC may be technically assisted by members and also by external participants, as necessary. The members will assist the RC in carrying out all its activities and its decisions, aid in preparing monthly progress reports; and also assist in drafting the ICR.
- Administrative support:

Administrative support shall be provided by a Secretary to the RC/administrative assistant which could be the Swaziland CCM Finance Manager provided s/he has no conflict of interest in the matter; in which case the Executive Committee Chair shall designate another officer to assist throughout. The administrative assistant shall:

 - ✓ Take minutes of meetings and follow up on all administrative matters, including scheduling of meetings, securing a quorum, dealing with correspondence, creation of relevant databases, ensuring confidentiality is maintained, recording of the recruitment process (e.g. adverts, screening criteria and results, short-listed candidates, interview score sheets and interview results) and filing of documentation of all processes and reports until all positions are filled and contracts are signed. In other words, the task of the Administrative Assistance goes beyond the lifetime of the Recruitment Task Team until signed contracts are filed.
 - ✓ A record of all applicants for each position should be kept with accompanying documentation of the qualifications and disposition of each candidate (i.e., certificates, letters, phone calls, interview results, reference checks etc.)
- The Finance Officer will assist with all financial matters e.g. invoice, receipt, payment, filing etc.

5. RC Tasks

- a. Develop a Recruitment Plan and itemized budget for filling the vacancies and submit to Swaziland CCM's Executive Committee for approval.
- b. Implement the Recruitment Plan
- c. Report monthly to the Executive Committee

d. Draft the Implementation Completion Report and submit to Executive Committee for review, prior to approval by Swaziland CCM at its Extraordinary or Quarterly meeting.

The RC will ensure all aspects of RC TOR have been covered and follow guidelines of HR manual before requesting disbandment.

6. Deliverables

- ✓ Recruitment Plan and Budget
- ✓ Minutes of Task Team meetings
- ✓ Documentation of the recruitment process from start to finish
- ✓ Monthly progress reports to Executive Committee
- ✓ Score sheets of candidates with individual salary/benefit expectations
- ✓ Letters of offer to selected candidates and letters of acceptance
- ✓ Implementation Completion Report

The Implementation Completion Report serves to:

- a) Inform the Swaziland CCM about the recruitment process undertaken by the Recruitment Task Team to fill the vacant posts within the Secretariat including scores and ranking of candidates and their response to offer of employment;
- b) Debrief the Swaziland CCM on the key lessons learned and provide recommendations for any subsequent recruitment exercise of this type; and
- c) Request the Swaziland CCM to disband the Recruitment Task Team

Annex 5:

Example of Recruitment Plan

Recruiting Activity
Secretariat to draft Terms of Reference of RC and Job Descriptions and submit to Executive Committee for review/approval
Executive Committee to review TOR of RC and the job description
Submit to Swaziland CCM for ratification
Swaziland CCM Chair to set up Recruitment Task Team and assign responsibility for administrative support to RC
RC to develop a) Recruitment Plan with targets and deadlines b) Itemized Budget and c) work on the remuneration package according to Swaziland CCM Work Plan and Budget
RC to obtain Executive Committee approval for Recruitment Plan and Budget and Remuneration package
RC to agree on wording of advertisements, agree on medium/mode, frequency, duration; and to proceed with advertising.
-Finance Officer to collect invoices, receipts and evidence of advertising -Secretariat to collect and compile all applications; if necessary RC proceeds with re-advertising -For Govt.-funded positions, should advertising (Restricted selection) be unsuccessful, list of nominated candidates for secondment required.
-RC to review all applications, check for completeness. -Secretariat to record: assign "identity number" and include in database. -RC to draw up a list of applicants who have met all documentation requirements as specified in the adverts.
RC to develop the set of "search criteria" based on key elements of job description and draw up score sheet.
RC to review cover letters, CV and score each applicant with respect to the pre-defined "search criteria" and produce short list.
RC to develop tests (e.g. interview questionnaire, written test, other exercises such as presentations or 'in-tray" exercise), score sheets, decide on number of interviews required, contact interviewers, set time, dates and venues for interviews
Secretariat to contact short-listed candidates and arrange interview set up
RC to check for potential Conflict of Interest situations and take measures to mitigate
RC to conduct interviews and document process, scoring of candidates and enquire about salary/benefits expectations, inform about the terms and conditions of employment such as probation period, ask for availability/ expected start date of employment
RC will prepare a <u>Summary Implementation Report</u> (briefly explain recruitment process briefly, draw up list of finalists and rank them and share results and recommendations with Executive Committee, requesting for guidance/ approval, as necessary
If necessary, RC calls candidate (s) for 2 nd interview to negotiate salary and benefits package or opts for another candidate, depending on advice received from Executive Committee
-RC to reference- check selected candidates (e.g. originals of diplomas, etc.) -Email response from referees is acceptable. - Should the 2 week recommended deadline for receiving referee responses have lapsed, and no response obtained from any referee, then the RC can request the candidate to show letters of recommendation from latest employer and refer the matter to Executive Committee. - The Executive Committee shall inform the Swaziland CCM of the results of the interview and request ratification of candidate (s) and any revisions in the remuneration package.
RC Coordinator to officially communicate the offer to first ranking. The official notification letter signed by Swaziland CCM Chair
Post-acceptance: Swaziland CCM Chair to officially communicate non-selection to those shortlisted candidates who were interviewed and not selected
RC Coordinator to collect all recruiting materials/ documentation for inclusion into <u>the Implementation Completion Report</u> (see example of RC Completion report) and submit to Executive Committee
RC to present selected candidates and Task Team Implementation Completion report to Swaziland CCM for ratification
Swaziland CCM Chair to ensure job descriptions are included in individual contracts, discussed with successful candidate upon signature and subsequently archived.

Annex 7 (a): Example of Interview Rating Sheet (M&E)

M & E OFFICER - ORAL INTERVIEW RATING SHEET

Name of the candidate:

Names of Interviewer:

Instructions for evaluation

1. Rate each criteria below
2. Do not let your rating on one factor influence your judgment on the other.
3. For rating, place a tick mark in the appropriate column using the following code:

5 = Excellent 4 = Very Good 3 = Good 2 = Satisfactory 1= Poor

Criteria	Questions	Description	5	4	3	2	1
Education and Qualifications Minimum – Bachelor degree (social science, health, development or related field)	Please describe how you your educational background has prepared you as an M&E officer.	Academic and professional qualifications. Other relevant training, skills or certificates.					
Work Experience: 1) In M &E Minimum 2 years. 2) With Donors 3) In Managing Programs or Projects 4) In Conducting Research 5) With Global Fund supported programs	Please describe your roles and responsibilities related to M&E in your last or current job.	1) Previous work experience in M&E programs or systems.					
	What international organizations have you worked with in the past? Explain the work you did with them.	2) Previous experience with international organizations, procedures and reporting.					
	What is your level of management experience?	3) Previous management experience, specifically in planning & budgeting, mobilizing resources, implementation and reporting on progress (M&E)					
	What studies or research have you conducted? Can you tell us how you carried out the (HIV/malaria, TB) study? And what were the main findings?	4) Designed, carried out, analyzed, reported and disseminated findings on program studies or research					
	What experience have you had in working with programs receiving Global Fund support?	5) Experience with Global Fund requirements and regulations					
M&E understanding	People are often overwhelmed when confronted with data, statistics and M&E. What are ways you can make project data/information understandable to audiences on all levels?						
Personal Achievements & Challenges	What accomplishment in your career to date are you most proud of? What have been the biggest failures and	Ability to reflect on career and objectively comment on a successful and a disappointing experience and relate lessons learned from both.					

	frustrations in your career? How have you overcome these?							
Reasoning and Judgment	What do you think are the most important (probe for 3-5 responses) things for you to be successful in this position? What are first things you would do if you got this position? <i>Probe until ideas exhausted.</i>	Quickness in grasping a point. Responds to questions appropriately. Uses sound, logical and ethical judgment in responses.						
Personal Qualities	How do you build relationships with other members of your team? How do you bring difficult colleagues on board?	Overall impression. Cooperative, congenial, enthusiastic towards work. Demonstrated qualities of leadership and interpersonal skills for team-building and advocacy.						
Communication Minimum – proficiency in written & spoken English.		Ability to speak clearly, concisely and in a well-organized manner. Ability to listen and understand in English.						
Voluntary Service	Please give examples of times you've provided community or voluntary service.	Commitment and dedication to community or services						
Overall Rating		Overall ability of the candidate for the assignment being interviewed						

Availability (Date when can start)

Salary expectation

Date:

Interviewer Name and Signature:

Annex 7 (b): M&E Written Score Sheet

Name of the candidate:

Names of Moderator(s):

Time start:

Time stop:

Pages printed:

Criteria	Description	5	4	3	2	1	Notes/Comments
IT and Computer Skills Minimum – mastery of Excel	Ability to answer all 4 questions						
Conceptual Understanding of M&E #2 & # 3 questions	Score from questions with M&E data, principles, methods and operations.						
Global Indicators #1 question	Score from question on global indicators and implications. Score from question on indicators for HIV/AIDS, malaria & TB						
Design framework # 4 question	Score from written question on Swaziland CCM indicators into a performance framework.						
Fluency in English (written)	Score from evaluation of writing sample submitted. Name of document:						
Overall Rating	Overall ability						

Signature of the interviewer:

Date:

Annex 7 (c) Example of Interview Rating Sheet (Executive Secretary)

EXECUTIVE SECRETARY – ORAL INTERVIEW RATING SHEET

Candidate number :

Name of Interviewer: Date:

Instructions for evaluation

4. Rate each criteria below
5. Do not let your rating on one factor influence your judgment on the other.
6. For rating, place a tick mark in the appropriate column using the following code:

5 = Excellent 4 = Very Good 3 = Good 2 = Satisfactory 1= Poor

Criteria	Questions	Description	5	4	3	2	1	Notes/Comments
1) Understanding of the Role of Executive Secretary	<ul style="list-style-type: none"> • What are the key roles you see for the Executive Secretary? • What do you think are the most important (probe for 3-5 responses) things for you to be successful in this position? 	Determine impression of the scope of the position, its roles and responsibilities, and key qualities needed for a competent Exec Sec.						
2) Education and Qualifications Minimum – Bachelor degree (public health, education, international development or related field)	<ul style="list-style-type: none"> • What in your education or academic learning prepared you MOST for these roles and responsibilities? 	Academic and professional qualifications. Other relevant training, skills or certificates.						
3) Work Experience: in HIV/AIDS, Malaria, TB, social activities. Minimum 2 years, successful	<ul style="list-style-type: none"> • What successful programs/activities have you managed in HIV/AIDS, Malaria and/or TB? • What made them “successful”? • What key factors contributed to this success? 	Previous work experience in combating HIV/AIDS, Malaria and TB programs or systems. Determinants of successful interventions identified.						
4) Management	<ul style="list-style-type: none"> • Briefly describe senior management positions you’ve held. (Which organization(s)?) • What were your major responsibilities? • In what ways did you impact your previous organization? <i>OR</i> What lasting changes were you able to make in your organization? • How did you initiate these changes? 	<p>Previous management experience</p> <p>Scope of work and level of responsibilities</p> <p>Self-assess the areas of influence or change. Identify ways of bringing about change within an organization</p>						
5) Oversight & Monitoring	<ul style="list-style-type: none"> • In what ways (and how often) did you determine how your program/organization was achieving its objectives? 	Understanding importance of oversight to the performance and goals of an organization.						
6) Work Experience with Mobilizing resources successfully	<ul style="list-style-type: none"> • Tell us of a time when you were successful in obtaining needed resources to carry out your organization’s plans. • What other experience in developing funding proposals have you had? 	Previous experience in applying for and obtaining resources through various means.						
7) With Global Fund and other Donors	<ul style="list-style-type: none"> • What experience have you had in working with programs receiving Global Fund or other donor support? • What are some of the challenges in adhering with donor requirements and regulations? 	Ability to work in a donor-funded environment						
8) Problem-solving	<ul style="list-style-type: none"> • As a manager, there are often 	Ability to reflect on career and						

	<p>problems you encounter which make it difficult to achieve your objectives. What are some of the typical problems you've encountered?</p> <ul style="list-style-type: none"> • Give an example when you were successful in resolving the problem? • Give an example of when you weren't successful in solving the problem? • How could it have been done differently? 	objectively comment on a successful and a disappointing experience and relate lessons learned from both.						
9) Leadership	<ul style="list-style-type: none"> • Organizational politics or dynamics are a fact of life. In your experience, what political factors, either internal or external, caused you problems? • What tactics did you utilize to deal with these factors in your organization effectively? 	Awareness of internal & external environment and dynamics which affect the work being done by an organization and approaches to resolve.						
10) Team Building & Interpersonal Skills	<ul style="list-style-type: none"> • Describe a time when you gave a team/staff the authority to handle a project, activity or decision for which you were ultimately responsible. How did they do? • How was the team recognized or rewarded for their efforts and performing well? • How did this recognition affect other staff? 	Demonstrated qualities of leadership and interpersonal skills for team-building, advocacy, sharing authority and responsibilities to others, motivation						
11) Voluntary Service	<ul style="list-style-type: none"> • How have you demonstrated voluntary work or service? • In what ways have you been able to motivate others to assist in this work? 	<p>Level of enthusiasm, commitment and dedication to the work.</p> <p>Ability to interact with others appropriately in order to achieve the work.</p>						
12) Communication & Reasoning Minimum – proficiency in written & spoken English.	<ul style="list-style-type: none"> • What are first things you would do if you got this position? <i>Probe until ideas exhausted.</i> • In 1 sentence, tell us why we should hire you. 	Ability to speak clearly, concisely and in a well-organized manner. Ability to listen and understand in English. Responds to questions appropriately. Uses sound, logical and ethical judgment in responses.						
Overall Rating		Overall impression. Enthusiasm towards work. Overall ability of the candidate for the assignment being interviewed						

Availability (Date when can start)

Salary expectation

Annex 7(d)

Executive Secretary Written Score Sheet

Name of the candidate: Date:.....

Names of Moderator(s):

Time start:

Time stop:

Pages printed:

Criteria	Description	5	4	3	2	1	Notes/Comments
Computer & language proficiency	Ability to answer all questions using computer in English						
Planning & logistics	Use of logical framework matrix from case study						
Budgeting	Costing of above plan						
In-tray exercise	Prioritizing, delegating and acting on urgent issues (see below)						
Writing Style	Score from evaluation of writing sample submitted. Name of document:						Not evaluated. Request for example did not get included in interview invitation.

Annex 8 (a)

The Swaziland CCM Secretariat Announcement for Employment Opportunities

The Swaziland Global Fund Country Coordinating Mechanism (Swaziland CCM) with Global Fund support involves key stakeholders from Government and non - Government Organizations to oversee Global fund projects in Swaziland. On behalf of the Swaziland CCM, is advertising for applications from suitable candidates to fill the Secretariat positions of: 1) Executive Secretary and 2) Monitoring and Evaluation Officer (M&E Officer) for a 2 year working contract. Descriptions of each position follow:

1. EXECUTIVE SECRETARY (1 POST)

A) Responsibilities

- i. Supervise the overall functioning and day-to-day operations of the Swaziland Global Fund Country Coordination Mechanism (Swaziland CCM) and its Secretariat.
- ii. Support partnerships, linkages and harmonization of GF grants with other national programs and projects
- iii. Support the project proposal development process
- iv. Support the Swaziland CCM oversight function of grant implementation, grant renewal and grant closure
- v. Coordinate communication and documentation of the Swaziland CCM activities
- vi. Any other duties as requested by the Swaziland CCM Chair

B) Academic qualifications, Experience and skills

- i. A minimum academic qualification of a Bachelor's Degree in public health, education, international development or related field -- preferably with a minimum of 2 years of demonstrated experience in successfully managing social sector and/or HIV/AIDS, Malaria, and TB activities in Swaziland or abroad.
- ii. Good experience in program management with excellent planning skills, good knowledge of budgeting & finance and capacity to ensure execution of Swaziland CCM decisions.
- iii. Key Skills & Competencies (Leadership, management & team-building, Understanding of program oversight, Logistics, coordination & planning management, Communication, presentation, advocacy, ability to mobilize resources, aptitude to work in donor-funded environment).

Remuneration: Salary will be fixed to include salary, applicable taxes). Salary shall be negotiated at the interview.

Annex 9: PERFORMANCE APPRAISAL FORM

1. PERFORMANCE PLAN, REVIEW, AND DEVELOPMENT FY13

Employee Name: _____ **Office/Center:** _____
Employee #: _____ **Project/Program:** _____
Job Title: _____ **Location:** _____
Supervisor: _____ **Date:** _____

REVIEW SECTION

Review Last Year’s Plan: List previously agreed-upon Key Areas of Accountability and Objectives. Give a rating for each area, and provide supportive comments/examples/explanations that include how one or more of the Performance Factors have been demonstrated in achieving the objective. If need for improvement is indicated, the specific performance areas should be noted.

Performance Factors: How ??? do their work
Our Values (New): Demonstrates CCM values of <i>Excellence, Integrity, Vitality, Collaboration, and Empowerment</i> .
Adaptability: Adapts to new and/or unplanned situations to meet the dynamic needs of the organization. Accommodates shifting priorities. Anticipates interruptions and changing needs. Willing to undertake new or redefined priorities, projects, or processes. Leverages CCM knowledge and best practices.
Communication: Communicates clearly, effectively, and respectfully both verbally and in writing. Listens to others and considers different viewpoints.
Learning, Problem Solving, Innovation: Adds insight into an existing or new situation. Questions the status quo. Proposes changes or new, creative approaches, and considers alternative methods to increase effectiveness and efficiency. Seeks opportunities to develop skills, knowledge, and experience. Continually learns from professional experience and shares knowledge across the organization.
Quantity, Quality, and Timeliness of Work: Demonstrates the breadth and depth of technical knowledge, skills, and abilities required in his/her position. Produces the volume of work needed to achieve required results. Completes work assignments on time, with high quality, and within budget.
Quality of Work and Team Relationships: Works effectively and contributes to productive work relationships with people at all levels-- both within teams and outside one’s own project or work group. Works synergistically. Builds trust and cooperation with clients and among co-workers. Demonstrates commitment and delivers results when working on a team.
Resource Utilization: Utilizes resources (ex. CCM knowledge, tools, funding, and people) wisely and efficiently to achieve results and meet CCM’s goals. Consistently evaluates results against established metrics. Works in accordance with policies and procedures. Protects the donor’s interests.

Review of Performance Plan

Review of Performance Objectives and Performance Factors		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		
Key Area of Accountability	SMART ?? Objective	Rating
<i>Employee & Supervisor Comments Required: Must include how Performance Factor(s) were exemplified in completing the objective.</i>		

How to determine a rating: Ratings are a balance of the achievement of both objectives and performance factors. They are determined by using the self-assessment, colleague feedback, and supervisor observations.

Review of Supervisory Performance Factors

1. This section is completed only for employees who supervise direct reports.

Review of Supervisory Performance Factors	Rating	Examples and/or Comments (Brief and Concise)
<p>Planning and Feedback: Establishes clear, specific, measurable performance objectives. Delegates effectively. Keeps employees informed of their performance status, providing timely, specific feedback on strengths and opportunities for improvement so employee can grow professionally.</p>		
<p>Leadership: Demonstrates passion toward the mission, vision, and core values of CCM and encourages others to do the same. Fosters a work environment that creates unity and cooperation among staff. Excels at motivating employees and building constructive work relationships. Leads by example.</p>		
<p>Organization, Staffing, and Resource Utilization: Selects staff and structures the unit to accomplish work efficiently and effectively. Focuses staff on the most important priorities and facilitates the achievement of goals by eliminating barriers to effectiveness. Devotes efforts and resources to areas and systems that are efficient and add value.</p>		
<p>Strategic Decision Making: Uses an organizational perspective as well as an understanding of the client, country, project, and employee needs. Makes decisions carefully and thoughtfully according to the Decentralization and Accountability Model. Balances long-range needs with short-term demands in establishing priorities and deadlines. Maximizes client satisfaction to support new business development.</p>		

Ratings
<p>Exceptional (E) Achievement of objectives and results notably surpasses expectations. Exemplifies all CCM performance factors. Seeks to improve self, and the organization within his/her sphere of influence. There is broad agreement that the employee is a role model for peers, both in what is achieved and how it is achieved and for making valuable contributions to CCM.</p> <p><i>(Note: senior management must approve this rating; concrete examples must be provided to support rating)</i></p>
<p>Goes Beyond Expectations (GB) All objectives achieved, with results consistently beyond expected standards. Models exemplary behaviors across multiple CCM performance factors. The employee is well-regarded by others for both what is achieved and how it is achieved and for his/her contributions to CCM.</p>
<p>Achieves Expectations (AE) Performance is consistent with the expected standards for quantity, quality, and level of job. Objectives are achieved in alignment with CCM performance factors. Employee delivers consistently strong results and actively contributes to the success of the team.</p>
<p>Achieves Most Expectations (AM) Performance is effective and meets most objectives as expected for quantity, quality or job level, and/or may not be in alignment with CCM performance factors.</p>
<p>Does Not Achieve Expectations (DN) Employee frequently does not accomplish objectives and/or does not perform them in alignment with CCM performance factors. Employee requires immediate significant improvement as documented in a Performance Improvement Plan.</p>

Review of Professional Development Plan

Professional Development Area	Objective - was expected outcome achieved? Was new knowledge, skill or ability gained?	Learning Activity What was the specific experience, program, or course?	Date Activity Completed. If not completed, why not?
1.			
Employee & Supervisor Comments Required: How has activity enhanced performance? Has the employee applied new knowledge, skill, ability, or experience? If not, why not?			
Professional Development Area	Objective - was expected outcome achieved? Was new knowledge, skill or ability gained?	Learning Activity What was the specific experience, program, or course?	Date Activity Completed. If not completed, why not?
2.			
Employee & Supervisor Comments Required: How has activity enhanced performance? Has the employee applied new knowledge, skill, ability, or experience? If not, why not?			
Professional Development Area	Objective - was expected outcome achieved? Was new knowledge, skill or ability gained?	Learning Activity What was the specific experience, program, or course?	Date Activity Completed. If not completed, why not?
3.			
Employee & Supervisor Comments Required: How has activity enhanced performance? Has the employee applied new knowledge, skill, ability, or experience? If not, why not?			

2.

3. SUMMARY OF REVIEW& ADDITIONAL COMMENTS

Supervisor Comments:

Employee Comments:

Overall Employee Performance Rating:

Final overall ratings for "Exceptional" and "Goes Beyond Expectations" are confirmed only after consultation with Project Director or Center/Office Vice President. If overall rating is "Does Not Achieve Expectations" a Performance Improvement Plan is required.

PLANNING SECTION

Performance Plan

Key Area of Accountability	SMART ?? Objective	Weight
1.		
2.		
3.		
4.		
5.		

Performance Plan: List three to five mutually agreed-upon Key Areas of Accountability and Objectives that link to CCM Strategic Road Map and/or Center/Office/Project objectives. Objectives should be “SMART,” showing what success will look like. SMART objectives are Specific, Measurable, Achievable, Relevant, and Time-bound. An objective may be given a weight according to its importance, with the total of weight of objectives equaling 100%. Weights may be recommended by the supervisee and finalized by the supervisor.

Professional Development Plan

Professional Development Area	Objective <i>Include expected outcome. What new knowledge, skill or ability will be developed?</i>	Learning Activity <i>What specifically will be done? Specify the learning experience that will enhance performance.</i>	Activity Due Date
1.			
2.			
3.			

Professional Development Plan: List no more than three mutually agreed-upon areas of professional development. The objective should explain the expected outcome. Select areas that are important to employee growth and development for current or future positions. Examples of development may be through the attainment of knowledge, new professional experiences, or skill development.

I confirm that my supervisor and I have read and discussed this review and plan and I understand its contents. I acknowledge my signature does not necessarily indicate agreement with the review and plan, but does indicate that the process is now complete.

Signatures

Employee:

Date:

Supervisor:

Date:

Job Description Required Updating and Is Attached

Yes:

No:

Process Instructions:

- 1) The employee develops the first draft of the document as a self-appraisal and plan and forwards to their supervisor.
- 2) Supervisor requests feedback.
- 3) The supervisor completes the evaluation using colleague/direct report/client feedback, personal observations, a review of notes and documentation from progress review sessions, and the job description.
- 4) Supervisor writes the evaluation, seeks indicated approvals and provides employee with a copy.
- 5) Supervisor and employee meet to discuss and finalize the document.
- 6) Employee and supervisor sign off.
- 7) Signed PPRD submitted to HR by due date.

Annex 10.

Protocol for Performance Appraisal

1. The employee is given a personal copy of the basic Performance Appraisal form as per Annex 9 together with their work plan and job description and asked to fill in the form. In other words they conduct their own self-evaluation.
2. The employees keep this self-evaluation form confidential until they are asked to share it at their face- to -face meeting with the Chair, Vice-Chair and Executive Secretary (see point 13 below).
3. The immediate Supervisors of each employee are given copies of the basic Performance Appraisal Form as per Annex 9 together with the individual employee's work plan, and job description and asked to fill in the form independently of each other.
4. There should be as many as "supervisory teams" as there are employees in the Swaziland CCM secretariat.
5. In filling in their individual performance appraisal forms, the immediate Supervisors will compare the employee's "expected" results with "actual results" as per agreed employee work plan and they will rate for each indicator, as applicable.
6. The immediate Supervisors can keep their individual Performance Appraisal form that they have filled in, until they are asked to present it at the Harmonization meeting called by the Swaziland CCM Chair.
7. The Performance Appraisal Harmonization meeting shall be chaired by the Swaziland CCM Chair assisted by the Vice-Chair and the Executive Secretary.
8. The Chair shall call in each Supervisory team at a time to discuss and harmonize. In total there should be as many Harmonization Performance Appraisal meetings as there are Secretariat staff. Harmonization of the performance appraisals for each employee means reaching consensus on a) the rating per indicator, b) "achievements", c) "areas for improvement"/ "shortcomings" and d) the proposed "action plan" as well as e) any needed changes in the employee's job description.
9. Any immediate Supervisor attending the Harmonization meetings should be ready to give concrete evidence to substantiate his/her individual rating.
10. All Supervisory teams shall be requested attend their respective performance appraisal harmonization meetings. Should any of the immediate supervisors within a team be unable to attend, the specific harmonization meeting shall be postponed until all can be present to discuss and reach consensus.
11. The discussions held and information (verbal and written) shared during the of Performance Appraisal exercise shall be kept **highly confidential at all times**.
12. After the harmonization meeting has been held, the employee who is being evaluated is subsequently invited to share his/her own self-assessment with the Swaziland CCM Chair, Vice-Chair and the Executive Secretary in a face-to-face meeting. This is the opportunity for the Chair, Vice-Chair and Executive Secretary and employee to compare the employee's self-assessment with the "Harmonized Appraisal" results.
13. Once they have discussed with the employee, the Chair must fill in the section entitled "employee comments" in the "Harmonized Appraisal" form summarizing the main areas where there may be disagreement as expressed by the employee. The comments of the employee as recorded during the face-to-face meeting, should in no way influence the consensus-based harmonized ratings that have already been reached and signed upon.
14. Following the face-to face meeting, the employee must sign on this "Harmonized Appraisal" form that now includes his/her comments and date it.
15. There should as many harmonized performance appraisal forms as there are employees in the Swaziland CCM Secretariat.
16. The Swaziland CCM Chair keeps the originals of all signed and dated Harmonized Performance Appraisal forms and the Executive Secretary calls for an Executive Committee meeting.
17. The Executive Committee makes its recommendations to the Swaziland CCM who takes a decision. The Swaziland CCM need only receive the recommendations of the Executive Committee as a basis for decision-making – it need not receive the signed and dated Harmonized Appraisal Forms.
18. After the Swaziland CCM has made its decision, these decisions will be personally communicated by the Chair to the individual employees, face to face.
19. The Chair/Executive Secretary ensures follow up and execution of the decisions of the Swaziland CCM and further gives a copy of their individual "Harmonized Appraisal" form to the employees and further files all the original documents including appraisal-related documentation in a confidential file at the Swaziland CCM Secretariat for the record.

Annex 11 Executive Secretary's Work Plan (August 2013 to February 2014) (Sample)

Responsibility	Tasks	Results
Staff Management	<ul style="list-style-type: none"> ▪ Joint establishment of individual work plans ▪ Regular overseeing employee performance according to agreed individual work plan ▪ Giving feedback to employee ▪ Dealing with HR matters 	<ul style="list-style-type: none"> ▪ Employee given timely feedback and making progress on agreed tasks ▪ Individual feedback recorded and appropriately filed ▪ HR matters effectively addressed
Secretary to Executive Committee	<ul style="list-style-type: none"> ▪ Support and follow up on Transition Task Team Roadmap tasks for which Executive Sec, is directly responsible ▪ Execution of Secretarial tasks ▪ Support and follow up on key Ex. Cmt. action points and reporting back 	<ul style="list-style-type: none"> ▪ Exco. meetings effectively organized, accurate minutes taken and circulated within 1 week of meeting ▪ Consistent support to ensure progress on Roadmap
Secretary to ECOIC ??	<ul style="list-style-type: none"> ▪ Execution of Secretarial tasks ▪ Support and follow up on key ECOIC ?? action points and reporting back 	<ul style="list-style-type: none"> ▪ ECOIC ?? meetings effectively organized, accurate minutes taken and circulated in time ▪ Consistent support to ensure progress on ECOIC ??work plan ▪ ECOIC ??forms completed and Database updated
Secretary to Membership TT	<ul style="list-style-type: none"> ▪ Execution of Secretarial tasks ▪ Proposal for GIZ funding ▪ Management of GIZ funding for activities 	<ul style="list-style-type: none"> ▪ Membership TT meetings effectively organized, accurate minutes taken and circulated in time ▪ Election procedures developed for 5 constituencies ▪ New members elected to Swaziland CCM ▪ Selection of Expert to develop a Swaziland CCM database ▪ Documentation of elections in 5 constituencies
Secretary to Communication TT	<ul style="list-style-type: none"> ▪ Execution of Secretarial tasks ▪ Support and follow up on key CTT action points and reporting back ▪ Consultant recruitment and selection 	<ul style="list-style-type: none"> ▪ Communication TT meetings effectively organized , accurate minutes taken and circulated in time ▪ Communication strategy consultant hired ▪ 1st Draft of Communication strategy ready for review ▪ Stakeholder's workshop to review 1st Draft of Communication strategy held
Secretary to HR Manual Review Team	<ul style="list-style-type: none"> ▪ Execution of Secretarial tasks ▪ Support and follow up on key HRM Review team action points and reporting back 	<ul style="list-style-type: none"> ▪ HRM Review Team Meetings effectively organized, all revisions accurately noted and shared ▪ Contribution to HR Manual Review Team ▪ Feedback from HR Manual Review Team delivered to GMS consultant ▪ HR Manual revised and finalized
Secretary to Swaziland CCM	<ul style="list-style-type: none"> ▪ Organize Swaziland CCM quarterly / Extraordinary meetings and reporting on progress ▪ Support and follow up on key Swaziland CCM decisions ▪ Providing administrative support to GMS and other consultants ▪ Organizing training sessions/ workshops, etc. ▪ Communications with GF 	<ul style="list-style-type: none"> ▪ Quarterly/ Extraordinary meetings effectively organized, progress reported by Cmt's & TTs, accurate minutes taken and circulated within 10 days of meeting. ▪ Support in ensuring timely and effective execution of Swaziland CCM decisions by various Cmt's and TTs ▪ GMS given administrative support ▪ Training sessions organized and delivered (e.g. GMS orientation) ▪ Regulatory Framework Manuals printed and distributed
Other	<ul style="list-style-type: none"> ▪ Support to PDT 	<ul style="list-style-type: none"> ▪ Progress on First Draft of Roadmap for Concept Note development and Second draft completed ▪ Funds for Concept Note development secured ▪ Gap Analysis consultant selected ▪

Annex 12.

Use of Office Equipment

Inappropriate Personal Uses

Employees are expected to conduct themselves professionally in the workplace and to refrain from using Secretariat office equipment for activities that are inappropriate. Misuse or inappropriate personal use of office equipment includes:

- ✓ Any personal use that could cause congestion, delay, or disruption of service to any Office system or equipment. For example, greeting cards, video, sound or other large file attachments can degrade the performance of the entire network. "Push" technology on the Internet and other continuous data streams would also degrade the performance of the entire network and be an inappropriate use.
- ✓ Using the Secretariat systems as a staging ground or platform to gain unauthorized access to other system
- ✓ The creation, copying, transmission, or retransmission of chain letters or other unauthorized mass mailings regardless of the subject matter.
- ✓ Using Secretariat office equipment for activities that are illegal, inappropriate, or offensive to fellow employees or the public. Such activities include, but is not limited to: hate speech, or material that ridicules others on the basis of race, creed, religion, color, sex, disability, national origin, or sexual orientation.
- ✓ The creation, download, viewing, storage, copying, or transmission of sexually explicit or sexually oriented materials
- ✓ The creation, download, viewing, storage, copying, or transmission of materials related to illegal gambling, illegal weapons, terrorist activities, and any other illegal activities or activities otherwise prohibited, etc.
- ✓ Use for commercial purposes or in support of "for-profit" activities or in support of other outside employment or business activity (e.g. consulting for pay, sales or administration of business transactions, sale of goods or services).
- ✓ Engaging in any outside fund-raising activity, endorsing any product or service, participating in any lobbying activity, or engaging in any prohibited partisan political activity.
 - ✓ Use for posting agency information to external newsgroups, bulletin boards or other public forums without authority. This includes any use that could create the perception that the communication was made in one's official capacity as a Swaziland CCM employee, unless appropriate Swaziland CCM approval has been obtained or uses at odds with Swaziland CCM mission or positions
 - ✓ Any use that could generate more than minimal additional expense to the Swaziland CCM.

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