

# Afghan Australian Development Organisation Inc.

## Policies and Procedures Manual

---

### Prepared By

Document author(s)	Project/Organisation role
Bianca Pilla	Strategic Communications & Development Manager - original author, resigned 2013
Sarina Greco	President 2017
Geraldine Allen	Treasurer 2017
Rosemary Marquardt	Secretary 2017
Dr Nouria Salehi	CEO 2017

### Version control

Version	Date	Author	Description of change/s
2	11/9/2014	R Marquardt	Update of Employee and Executive Committee. Inclusion of DGR status to Financial policies.
2	23/7/2014	R Marquardt	Included Complaints Handling Policy
3	6/10/2014	R Marquardt	Included contact details for AADO and ACFID
4	9/02/2015	R Marquardt	Updated Executive Committee
5	2/5/2017	N. Salehi R Marquardt	Updated Risk Management and Conflict of Interest Policies

## TABLE OF CONTENTS

<b>1</b>	<b>INTRODUCTION.....</b>	<b>5</b>
1.1	Statement of purpose .....	5
1.2	Organisation structure .....	6
1.3	AADO statement of professional ethics and code of conduct.....	7
1.4	List of acronyms .....	9
<b>2</b>	<b>DEVELOPMENT MODEL .....</b>	<b>10</b>
2.1	Development/ Welfare/ Evangelical/ Partisan Political Activities .....	10
2.2	Partnership.....	11
2.3	Gender equality .....	15
2.4	Disability .....	17
2.5	Environment.....	18
2.6	Child protection .....	19
2.7	Counter-Terrorism.....	23
<b>3</b>	<b>ORGANISATIONAL MANAGEMENT .....</b>	<b>27</b>
3.1	Governance framework.....	27
3.2	Committee of Management .....	28
3.3	Membership .....	28
3.4	Conflict of interest .....	33
3.5	The Annual General Meeting .....	36
3.6	Special General Meetings .....	37
3.7	Attendance .....	39
3.8	Transparency and accountability.....	40

3.9	Policy making and review.....	43
<b>4</b>	<b>PROJECT MANAGEMENT .....</b>	<b>45</b>
4.1	Project framework .....	45
<b>5</b>	<b>RISK MANAGEMENT .....</b>	<b>50</b>
5.1	Risk management .....	50
<b>6</b>	<b>FINANCIAL MANAGEMENT.....</b>	<b>53</b>
6.1	Non-Profit financial operations .....	53
6.2	Budget planning .....	53
6.3	Financial reporting.....	54
6.4	Annual audit .....	56
6.5	Australian bank accounts .....	56
6.6	Afghan bank account .....	57
6.7	Funding in-country partners .....	58
6.8	International money transfers.....	59
6.9	Foreign currency translation.....	59
6.10	Investment management.....	60
6.11	Electronic Funds Transfer (EFT), cash withdrawals and cheques .....	61
6.12	Petty cash and expense reimbursement .....	61
6.13	Receipt of online payments .....	62
6.14	Tax deductible payments .....	63
6.15	Asset management .....	63
6.16	Insurance .....	64
<b>7</b>	<b>STAKEHOLDER RELATIONS .....</b>	<b>66</b>
7.1	MANAGING STAKEHOLDER RELATIONS.....	66
7.2	PRIVACY .....	67
<b>8</b>	<b>HUMAN RESOURCES MANAGEMENT .....</b>	<b>71</b>
8.1	EQUAL EMPLOYMENT OPPORTUNITY .....	71

8.2	EMPLOYMENT CONDITIONS.....	71
8.3	OCCUPATIONAL HEALTH AND SAFETY .....	73
8.4	ILLNESS OR ACCIDENT.....	74
8.5	ANNUAL AND SPECIAL LEAVE .....	75
8.6	MATERNITY AND PARENTAL LEAVE .....	75
8.7	PROFESSIONAL DEVELOPMENT AND PERFORMANCE .....	76
8.8	HARASSMENT .....	77
8.9	CONFIDENTIAL INFORMATION AND NONDISCLOSURE .....	78
8.10	USE OF EQUIPMENT .....	78
8.11	USE OF COMPUTER, INTERNET AND EMAIL .....	79
8.12	RESOLUTION OF DISPUTES .....	79
8.13	EMPLOYMENT TERMINATION/RSIGNATION .....	79
8.14	VOLUNTEERS.....	81
8.15	COMPLAINTS.....	81
<b>2.</b>	<b>GUIDING PRINCIPLES FOR OUR POLICY.....</b>	<b>82</b>
<b>9</b>	<b>EMERGENCY MANAGEMENT .....</b>	<b>87</b>
9.1	Fire safety AADO Directorate- Melbourne.....	87
9.2	DISASTER PREPAREDNESS AND PREVENTION IN AADO AFGHANISTAN COUNTRY OFFICE .....	90

## **1 INTRODUCTION**

The development of this document has been coordinated by the Project and Communications Coordinator (PCC), and developed and endorsed by the Committee of Management in order to familiarise employees, members and volunteers with the Afghan Australian Development Organisation (AADO). This manual provides information about policies, development philosophies, operations, and working conditions within AADO. It provides guidelines and procedures for AADO to use in administering its policies.

The success of an organisation such as AADO, relies on its governing body having access to all the information and expertise necessary to ensure its operations are in place and well-understood for the organization to achieve its goals.

AADO is dedicated to the task of building creative and trusting relationships with the communities with which it works in Afghanistan. To support AADO's on-going progress, this Manual provides policies and procedures with links to more detailed information and guidance to ensure sustainable, effective and equitable outcomes for all its operations.

Members of AADO's Committee of Management, staff in Melbourne and Kabul, and volunteers, are encouraged to refer always to the manual as guidance for the consistent application of AADO policies.

This manual contains a set of basic policies and also procedures which generally indicate performance expectations at all levels within AADO. There will also be additional project-specific expectations based on operational needs and these are to be well-communicated. Everyone involved with all or any of AADO's projects is expected to perform at a high level consistent with their responsibilities.

The policies and responsibilities referred to in this policy manual are intended to be ongoing. However, in response to the ever-changing environments within which it operates, AADO reserves the right to amend, modify or terminate these plans from time to time. If there are any discrepancies between the information contained in this policy manual and the legal plan documents, which describe the plans in detail, the plan documents will prevail.

For the development of its policies and procedures, AADO has been guided not only by what it has learnt from its own experiences, but also the values, principles and obligations of the ACFID Code of Conduct to which AADO is a signatory.

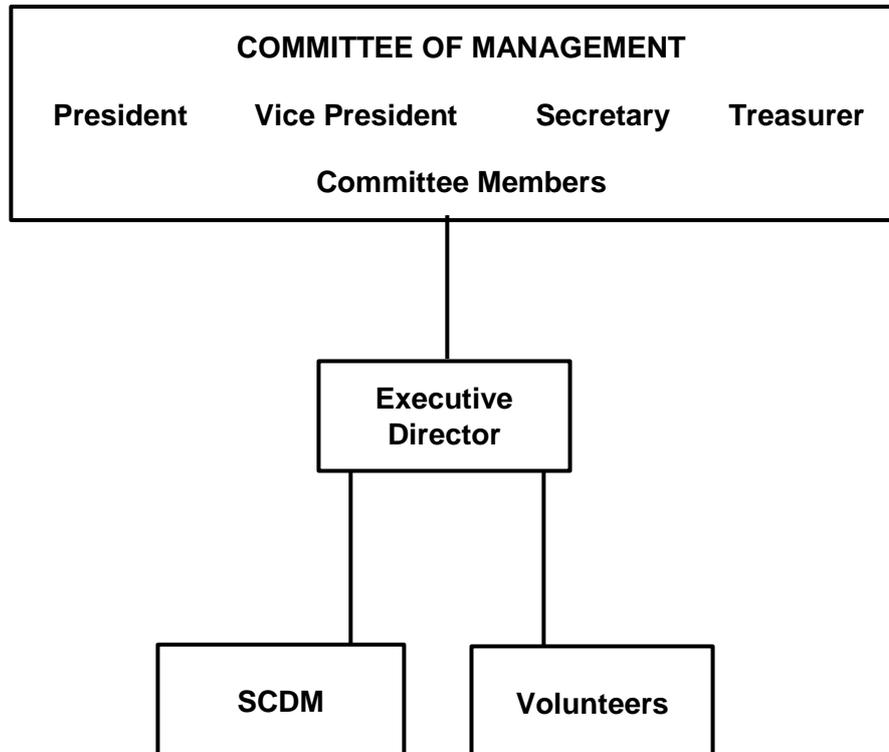
### **1.1 Statement of purpose**

The Afghan Australian Development Organisation (AADO) is a voluntary, non-profit, non-government incorporated society. Its primary purpose is to implement projects that assist in the reconstruction and sustainable development of

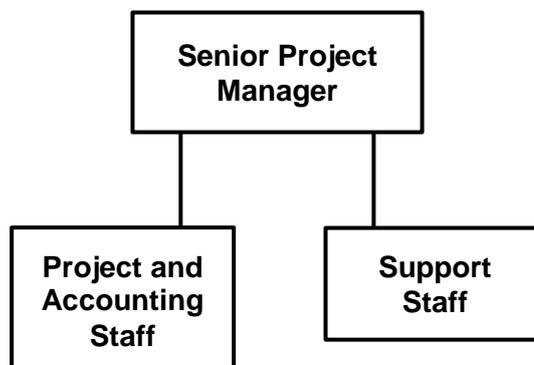
communities within Afghanistan. Within Australia AADO seeks to support the Afghan community.

## 1.2 Organisation structure

### AADO Australia (Directorate)



### AADO Afghanistan (In-Country Office)



### **1.3 AADO statement of professional ethics and code of conduct**

#### **Policy**

The Committee of Management and staff of AADO, as a member-based, not-for-profit Incorporated Association, have a legal and moral responsibility to manage the organisation in the best interests of the community it serves and supports. The COM and staff will demonstrate professional ethical behaviour at all times in their responsibilities to the organisation, in their professional relationships with each other, and in their professional service to the community. AADO will be required to adhere to this code of ethics.

#### **Procedures**

The Committee of Management (COM) shall:

- Be diligent, attend all meetings and devote sufficient time to preparation for meetings to allow for full and appropriate participation in the COM's decision-making.
- Observe confidentiality relating to non-public information acquired by them in their COM role and not disclose such information to any other person.
- Meet regularly to monitor the performance of management and the organisation as a whole. To do this the COM will ensure that appropriate monitoring and reporting systems are in place and that these are maintained and utilised to provide accurate and timely information to the COM .
- Ensure there is an appropriate separation of duties and responsibilities between the COM and AADO staff and that no individual has unfettered powers of decision-making.
- Ensure that the independent views of COM members are given due consideration and weight.
- Ensure that stakeholders are provided with an accurate and balanced view of the organisation's performance, including both financial and service provision.
- Regularly review its own performance as the basis for its own development and quality assurance. Individual COM members should also review their own performance with a view to ensuring a suitable contribution to COM deliberations and decision-making and, where gaps are identified, should either pursue training or assistance to improve their performance.
- Carry out its meetings in such a manner as to ensure fair and full participation of all COM members.

- Ensure that AADO's assets are protected via a suitable risk management strategy.
- Ensure that personal and financial interests do not conflict with their duty to AADO [Refer to Conflict of Interest for more information.]
- Staff including volunteers shall:
  - Publicly and privately support AADO and each other, acknowledging the strengths and limitations of others and acting with courtesy and respect.
  - Act honestly and in good faith at all times in the interests of AADO and its objects, ensuring that all stakeholders, particularly those who are recipients of services, are treated fairly according to their rights.
  - Perform their duties as best they can, taking into account their skills, experience, qualifications and position. They shall act in a safe, responsible and effective manner.
  - Be punctual and reliable in their attendance and adhere to their prescribed and authorised hours of duty.
  - Comply with the prescribed terms and conditions of their employment/engagement.
  - Record their attendance for duty in the manner prescribed.
  - Notify AADO of any inability to attend duty as early as possible so as not to inconvenience others or delay the work of the AADO.
  - Carry out their duties in a lawful manner and ensure that AADO carries out its business in accordance with the law, being aware of both legal and moral duties of their role.
  - Respect and safeguard the property of AADO, the public and colleagues; and observe safe work practices so as not to endanger themselves or others
  - Maintain confidentiality regarding any information gained through their work and not divulge personal information or contact details of Staff, COM or service users. [Refer to Privacy Policy for additional information.]
  - Ensure that all transactions, agreements and records that flow from relationships with AADO's stakeholders will be accurately and openly recorded in the organisation's books and records, and no entries will be made which obscure the true nature of a transaction.
  - Ensure that AADO promotes its services with integrity and accuracy.
  - Ensure that personal and financial interests do not conflict with their duty to AADO.

- Undertake no personal or business activities for personal gain while at the organisation or while conducting business on behalf of AADO: procedures associated with such activities will not be carried out on AADO's computers without open and express permission of a higher authority.
- Work within AADO's policies and principles.
- Discuss issues where appropriate with other staff and COM members to determine whether or not a contemplated action is ethical.
- **Responsibility**
- All Committee of Management/Board members, casual, permanent and contract staff and volunteers are responsible for adhering to all applicable clauses.

#### 1.4 List of acronyms

<b>AADO:</b>	Afghan Australian Development Organisation
<b>ACFID:</b>	Australian Council for International Development
<b>AGM:</b>	Annual General Meeting
<b>AUD:</b>	Australian dollars
<b>AusAID:</b>	Australian Agency for International Development
<b>AVI:</b>	Australian Volunteers International
<b>COM:</b>	Committee of Management
<b>ED:</b>	Executive Director
<b>EFT:</b>	Electronic Funds Transfer
<b>GST:</b>	Goods and Services Tax
<b>IOM:</b>	International Organisation for Migration
<b>OHS:</b>	Occupational Health and Safety
<b>RED:</b>	Record of Emergency Data
<b>USD:</b>	United States Dollars

## 2 DEVELOPMENT MODEL

Policy number	2	Version	1
Drafted by	Bianca Pilla	Approved by COM	12/07/2011
Responsible person	Committee of Management	Scheduled review date	10/02/2015

### 2.1 Development/ Welfare/ Evangelical/ Partisan Political Activities

#### Policy

#### Introduction

AADO is committed to supporting sustainable development through a 'community development' model that does not support welfare service-delivery, evangelising or political activities. It delivers its development programs in collaboration with in-country partners via closely-knit networks. AADO participate in corrupt practices.

#### Development principles

AADO interprets community development as an ongoing and complex process whereby communities and individuals are empowered to use their skills and knowledge to sustainably enhance their resources to reduce poverty and bring about positive change in their communities. The work of AADO is guided by the principle that education is one of the key cornerstones in ensuring poverty reduction and sustainable development. Afghan culture and traditions are integral in the design and delivery of AADO's programs. Programs are mapped out in such a way as to ensure that the skills of participants are strengthened so they may become more effective within their community, fostering the sharing of knowledge and self-education.

#### Definitions

AADO recognises and applies the following definitions for Welfare, Evangelical and Partisan Political activities:

#### **Welfare activities**

Welfare means assistance to maintain individuals in a particular condition on a long-term basis such as institutionalised care programs as provided by orphanages. Welfare activities are implemented independently of other sustainable community development activities and there is no strategy for integration into a broader, community development

program. Welfare activities are implemented on an ongoing, long-term basis with no clear exit strategy.

### **Evangelical activities**

Evangelical activities are those designed to convert people from one religion, faith or denomination to another and include the preaching or proselytizing of any religion. Funds should not be used to build up church, ecclesiastical or political structures except in circumstances where those structures are specifically designed to provide relief and/or development assistance. In this context, church, ecclesiastical and political structures include not just infrastructure, but could also extend to training or organisational activities.

### **Partisan Political activities**

Partisan political activities are those that involve the direct or indirect support of, opposition to, or undue bias to, any political party or candidate for public office. This definition does not include any general support for participation in the political process, such as civic awareness campaigns or the promotion of women and minorities as political candidates in general.

## **Procedures**

To ensure that AADO does not support activities that are evangelical, political or welfare oriented, the following procedures will be complied with:

- Each and every prospective project will be appraised to ensure its compliance with AADO's development policy and principles.
- Each and every prospective partner will be appraised to ensure they are aligned with AADO's sustainable community development approach.
- Each and every partnership agreement will include definitions of what constitutes development/ welfare/ evangelical/ political activities.
- The monitoring of reports submitted by partner organisations and field visits undertaken by AADO staff will check to verify that partner organisations are not undertaking such activities with AADO funds.

## **2.2 Partnership**

### **Context**

Afghanistan is a fragile country long-affected by conflict. The negative consequences of fragility adversely impact on the lives of most of its citizens.

Although Afghanistan has received considerable international attention in recent years, it is still destabilised across entire regions. Addressing the challenges requires concerted efforts to support sustainable community processes based on robust relations and partnerships. It is essential to work towards Afghanistan becoming more of a functioning state for reducing poverty, sustaining peace and achieving development goals.

## **Policy**

- To help alleviate poverty and achieve the Millennium Development Goals, AADO's delivery of community development initiatives in Afghanistan, depends on the wide participation of and close collaboration with local in-country partners. All of AADO's community development initiatives in Afghanistan are delivered through local in-country partners.
- Each partnership between AADO and other in-country organisations is founded on shared objectives at the country level, as well as recognition of the different capacities and resources that need to be brought together to ensure its success. The added value of working together is clear and recognised by all partners and the diversity and value of all contributions is acknowledged.
- In working towards realistic objectives, AADO and its partner/s take steps to recognise the links between political, security and developmental objectives, and align action with local priorities and capacity levels.
- In monitoring outcomes from the perspective of the community and ensuring that adequate attention is given to both individual and organisational issues, AADO and its partners track trends and identify examples of good practice that could be applied to other programs.
- AADO continues to seek to work in collaborative partnerships that will enable it to influence and leverage joint abilities to deliver even more effective outcomes.
- This policy guides all of AADO's work with local communities and other civil society organisations in both funding and non-funding relations. Differences in context may require different approaches, however generally the same principles apply to all activities across AADO's partner relations in Afghanistan.

## **Guiding principles**

- Local communities and other civil society partners are generally in the best position to understand and respond to the rights and aspirations of marginalised people. The diverse knowledge, experience, and skills that these stakeholders bring to a partnership are valued and acknowledged as essential to ensuring the success and sustainability of joint development programs.
- All partners, including NGOs, CBOs, government and the private sector, are integral to creating the conditions and structural changes necessary to empower Afghan people and provide them with opportunities to access education and vocational training, advance sustainable livelihoods, improve health and build stronger communities.
- All partners recognise the need to be accountable to beneficiaries and local communities with whom they work.
- Ensuring that stronger communities will emerge requires a systematic effort to understand what might work in their particular circumstances and local context. This

includes identifying specific performance criteria to be carefully monitored to assess outcomes.

- Information and infrastructure is jointly developed in ways that are useful across each partnership, creating mechanisms to make collaboration easy while supporting specific contributions from each partner.
- Agreements must be in place on practical coordination mechanisms between AADO and in-country partners and avoid pockets of 'exclusions'.

## Definition

### Partnership

Partnerships are mutually beneficial alliances of diverse types between organisations where roles, responsibilities and accountabilities are clearly defined. Partnerships facilitate continuous two-way learning and are based on trust, shared vision and commitment to common objectives. Partnership is a means to achieve improved quality of life for more beneficiaries through sustainable service delivery, better responsiveness to local development needs, and increased scale and scope of programs.

### Types of Partnerships

AADO's work with others builds on an ever-increasing diversity of relationships. As the range of participants in social change widens - from local communities to the private sector - AADO aims to establish effective and diverse partnerships to bring about change.

Within this context of increasing diversity, AADO partner relations fall into three broad groupings. These are not always clear-cut categories, and relationships may fit into more than one category at the same or different times:

- **Project partnerships** for a specific project with mutually agreed aims and objectives
- **Strategic partnerships**, working together over time with sufficient alignment of goals and objectives towards achieving a lasting impact on poverty
- **Alliances** with single organisations or groups of organisations working together towards a specific goal, even though organisational/institutional mandates and long-term purpose may be quite different.

## Strategies

### Implementing Partners

- AADO seeks to actively engage with its developing country partners, including the Afghan In-Country Office, local NGOs and CBOs, and relevant government ministries and departments, to establish a mutually beneficial process for both parties that encourages capacity building at all levels.
- AADO looks for the following attributes in local implementing partners:
  - Linkages with local community/ies
  - Evidence of accountability to their constituency, including financial transparency and accountability
  - Shared vision, values, and trust in mutually beneficial, flexible partnerships, recognising there may be some inherent differences
  - Evidence of expertise in delivery of community development projects, including monitoring and reporting
- AADO assesses these attributes during the partnership development phase, whereby organisational resources are shared between both parties, and a joint desk review of documents conducted; meetings are held with key personnel to discuss organisational values, strategic objectives and potential collaborations; unplanned visits are conducted to review partner organisations' activities.
- AADO also routinely undertakes a Partner Capacity Assessment with all potential and existing partners to ascertain the organisational strength of partners in delivery of programs, and to identify opportunities where AADO can contribute to building capacity either directly or through support to the organisation to build capacity itself.
- The nature of a partnership will determine the scope of agreement that will be developed and signed by all parties.
- Sharing information and expertise by and between both/all parties is integral to all stages of the project cycle, and is viewed as essential to organisational learning for partners, AADO Melbourne staff and COM.
- Ongoing communication (via email, telephone and Skype), in addition to twice-yearly country visits by Australian Directorate staff, ensures that in-country AADO Program Managers and project personnel can regularly discuss project implementation issues, challenges and outcomes, partner capacity, technical and relationship issues.
- AADO Australia Program Managers and COM members provide partners with technical assistance and expertise, utilising their wide-ranging sectoral skills and program management experience.
- Local NGO, CBO and government partners are encouraged and invited regularly to visit AADO's primary local partner, the Afghan Country Office, in order to strengthen relations and maintain communication.

## **2.3 Gender equality**

### **Background**

Women and girl children are over-represented amongst poor and marginalised people and as victims/survivors of many forms of violence and abuse. Women often have less recourse than men to legal recognition and protection, as well as reduced access to public knowledge, information or assistance. They have less decision making power within and outside the home. Addressing this inequality is a priority for AADO.

Gender equality is intended to give women and men the same entitlements to all aspects of human development, including economic, social, cultural, civil and political rights, the same opportunities to make choices, and the same level of power to shape the outcomes of these choices. AADO supports work which engages both women and men in the development process and promotes gender equality and empowerment throughout.

This policy represents AADO's organisational commitment to gender equality and to ensure that AADO's work improves the lives of both women and men.

### **Policy**

#### **Guiding principles**

- AADO bases its work throughout on a common understanding that gender equality is integral to overcoming poverty.
- AADO is committed to empowering women and girls through all of its programs. AADO's own internal practices will reflect its commitment to gender equality.
- A thorough understanding of the different concerns, experiences, capacities and needs of women and men, shapes the way that AADO formulates, implements and evaluates its work.
- Through its Programs AADO works with both women and men, together and separately, to have a more lasting impact on beliefs and behaviour.
- When exploring and forming partnerships/alliances, as a major consideration, AADO will appraise the commitment to gender equality of potential partners and others.

### **Definitions**

#### **Gender**

The roles and responsibilities of women (girls) and men (boys) that are generated in families, societies and cultures. This includes expectations held within cultures about the characteristics, attitudes and behaviours of both women and men (femininity and masculinity).

### **Gender equality**

Gender equality means that women and men, girls and boys have equal status, rights and opportunities for realising their full potential to contribute to national, political, economic, social and cultural development, and to benefit from the outcomes. Gender Equity results in both women and men being able to develop their personal abilities and make choices without the limitations set by strict gender codes; and that the different behaviour, aspirations and needs of women and men are equally valued.

### **Empowerment**

Empowerment is about people- women/men/girls/boys- having more control of their lives, using their own agendas and gaining the necessary skills and self-confidence to solve problems. For development programs, empowerment means supporting others in the process to empower themselves to make choices and develop skills for self-reliance.

### **Strategies**

- Priority is given to projects that have the capacity to expand women's social and economic opportunities, resulting in improved livelihoods, health outcomes and access to education. They should increase women's roles as decision-makers in family, community and society, but not marginalise men and boys, seeking their appropriate participation instead in projects intended to address the situation of women and girls.
- To strengthen and promote their empowerment, the full participation of women will be sought in all areas of AADO's work.
- Methods for implementing programs in Afghanistan will be designed according to the specific needs of men and women to enable full access by both i.e. Separate areas for daily prayer being provided, training schedules and locations taking account of women's access and security in travelling to their homes,
- For programs not specifically targeted to either men or women, at least 50% of places for participants/beneficiaries and trainer/educators being reserved for women.
- All development programs including measurable objectives and actions related to the Gender Equality Policy; baseline data and indicators for the monitoring and evaluation of all development programs will be disaggregated by gender.
- Partnerships being assessed on the basis of their commitment to gender equality.
- Human resources policies, procedures and practices to refer to examples of gender equality
- Recruitment strategies striving towards equal representation of men and women at all levels of the organisation: i.e. management, project staff, volunteers, project participants/beneficiaries and project trainers/educators.
- When necessary, work related concessions being extended to all female staff in Afghanistan; including provision of secure transport facilities when working late hours; ensuring security measures along with minimum basic facilities for female staff traveling in the field.

- A copy of AADO's Gender Policy will be widely promoted with personnel being guided on how to implement and fulfil its specific principles and procedures.

## 2.4 Disability

### Background

The Afghan Disability National Strategy in 2003 identified that three decades of political and armed conflict in Afghanistan had led to disability being depicted as a 'war issue' with most attention being given to war veterans at the expense of other people with disabilities. The emphasis on war-related injuries meant the majority of provisions and funding have been for physically impaired people. This approach further limited of people with disabilities and their families and pushed them into the margins of poverty and social exclusion.

The Task Force developing the National Strategy identified a number of priority areas for policy action. These included support for women with disabilities in education, employment and rehabilitation, with a strong emphasis on viewing disability as a human rights and development issue, also equal opportunities for all.

### Policy

AADO affirms its strong support for people with disabilities to be involved in all aspects of community life including equitable participation in vocational and education training. AADO is committed to providing an environment of equal opportunity, free from unfair discrimination, for program participants, beneficiaries and staff with disabilities. AADO recognises the importance of consultation with people with disabilities in all decisions that affect their opportunity for participation either fully or to the level they wish to be involved.

### Guiding principles

- **Inclusion:** AADO aims towards a policy of inclusion of people with disabilities in all areas of its work
- **Participation:** AADO aims to achieve equitable access for people with disabilities to its vocational and education training programs in Afghanistan.
- **Awareness:** AADO aims to encourage positive, informed and unprejudiced attitudes towards people with a disability through educating staff and stakeholders.
- **Relationships:** AADO aims to establish and maintain good working relationships with women and disabled people's organisations (DPOs), and utilise their skills and knowledge to help make its projects more disability inclusive.

## Procedures

- Project management staff actively seeking the participation of people with disabilities in all of AADO's education and training programs.
- AADO promoting to prospective beneficiaries and members of the general community the opportunities and facilities that it makes available to people with disabilities.
- Project management staff identifying the needs of beneficiaries with disabilities when undertaking project needs assessments and feasibility studies.
- At the time of admission to AADO's programs, in order to assist in the planning and provision of facilities, beneficiaries with disabilities being encouraged to identify any special needs.
- When any AADO program is inaccessible to a person with a disability, and no structural remedy can be found in time, wherever possible making alternative venue arrangements to allow participation.
- Project management staff monitoring and reviewing the ongoing needs and progress of and in consultation with, participants with disabilities.

## References

- The Afghan Disability National Strategy (2003)  
<http://www.who.int/disabilities/policies/documents/Afghanistan.pdf>

## 2.5 Environment

### Background

Environmental sustainability is essential in achieving the Millennium Development Goals. The environment plays an important role in the many communities where AADO works, specifically in rural Afghanistan and the largely agricultural economy on which they subsist. AADO appreciates that under the *Environment Protection and Biodiversity Conservation Act 1999*, there is a legal obligation for a commonwealth agency to ensure that partner NGOs assess and manage programs that may affect the environment. This policy attempts to cover this environmental concern in the guidelines to inform the process of assessing the impact of projects that are funded by a commonwealth agency (such as AusAID).

### Policy

AADO is committed to minimising the impact of its activities on the environment, and improving its environmental practices to promote ecologically sustainable development in the communities where it works.

## Strategies

AADO will act on this commitment by:

- Complying with all applicable legal and other environmental requirements.
- Assessing development projects for environmental impact, ensuring that any environmental waste is minimised and efficient practices are maintained.
- Including, where possible, an environmental component in the curriculum of all its vocational and education training programs.
- Encouraging the implementation and maintenance of positive local environmental practices, identifying the lessons learned from these practices.
- Ensuring that staff follow best practices that pay specific attention to: conserving energy, minimising wastage of resources, minimising pollution, purchasing products made with recycled paper, recycling all waste material possible, and reducing/eliminating the use of harmful substances.
- Including a statement emphasising a commitment to AADO's environmental policy in all partner and contractor agreements.
- Including environmental checklist criteria as integral to program design, implementation, monitoring and evaluation documentation.
- Promoting efficient transport solutions for staff and volunteers when visiting projects and undertaking project related activities

## 2.6 Child protection

### Background

Child abuse is a serious violation of children's rights. The purpose of this policy is to provide a framework for managing and reducing risks of child abuse by persons engaged in AADO's development programs. The Child Protection Policy provides a practical guide to prevent child abuse occurring within the organisation and incorporate risk management strategies. Australian laws governing this area include, but are not limited to:

*Crimes Act 1914 Part IIIA (Child Sex Tourism)*. Under this Act, it is a crime for Australians to engage in, encourage, or benefit from sexual activity with persons under 16 years of age while overseas. The law provides for penalties of up to 17 years imprisonment for individuals and up to \$561,000 in fines for companies.

*Criminal Code Act 1995, Division 474 (Telecommunications Offences, Subdivision C)*. This Act includes a penalty of 10 years imprisonment for possession of child pornography depicting a person under 18 years of age, and up to 15 years imprisonment for online grooming of a person under 16 years of age

## Policy

### Guiding principles

- The United Nations Convention on the Rights of the Child is the universal foundation for child protection. The fundamental principle of the Convention is that children have their own indivisible rights.
- Child protection is a shared responsibility between AADO, its partners and the communities in which it works
- AADO recognises that some children, such as children with disabilities and children living in areas impacted by disasters (natural or conflict based), are particularly vulnerable.
- AADO recognises its duty of care to take all reasonable steps to ensure that children are safe from harm.
- AADO is committed to the management of risk and protection of all children from all forms of harm, regardless of gender, race, country of origin or religious belief.
- Where possible, children will be consulted in the development of the Child Protection Policy and the implementation of child safe practices. Children in AADO's programs will be given opportunities to express their views on matters affecting them.
- AADO will ensure that all staff and relevant stakeholders are made aware of the CPP and their responsibilities.

### Scope

This policy provides guidance to staff and volunteers on the acceptable behaviours and appropriate boundaries when coming into contact with children. Although AADO staff and volunteers are typically not required to work directly with children, it is inevitable that they will be in contact with children whilst engaged in some of AADO's projects. This policy is applicable to all situations when such contact is made. This policy also applies to other individuals and third parties who through their association with AADO may assist our development initiatives in Afghanistan.

### Definitions

#### **Child protection**

An activity or initiative designed to protect children from any form of harm, particularly arising from child abuse or neglect.

#### **Child**

In accordance with the United Nations Convention on the Rights of the Child, AADO defines a child as any person below the age of 18, regardless of local laws or other definitions

## **Child Abuse**

Child abuse includes physical, emotional and sexual abuse or neglect. Both boys and girls can be the victims of abuse and abuse can be inflicted on a child by men, women and children.

## **AADO Staff and Volunteers Child Protection Code of Conduct**

### **All AADO staff, volunteers and associates will:**

- Treat every child with dignity and respect regardless of differences of ethnicity, religion, age, ability, gender, sexual orientation, race, colour, language, political or other opinion, national or social origin, property, disability, birth status, and economic circumstances
- Conduct themselves in a manner consistent with their position as a positive role model to children and as a representative of AADO
- Immediately raise and report any concerns for the safety or wellbeing of a child with the Executive Director, as the circumstances may require.
- Be visible when working with children
- Wherever possible, personnel avoiding being alone in the proximity of children ensuring that other adults are present.
- Comply with all relevant Australian and local legislation, including labour laws restricting child labour

### **AADO staff, volunteers and associates will not:**

- Engage in any behaviour that is intended to shame, humiliate, belittle or degrade children
- Use language, make suggestions, offer advice or engage in any behaviour that is inappropriate, offensive, harassing, sexually provocative, demeaning, culturally inappropriate or abusive
- Do things of a personal nature that a child can do for him/herself, such as assistance with toileting or changing clothes.
- Physically punish or discipline any child
- Engage any child or children in any form of sexual activity or acts, including paying for sexual activity or acts, where under the law(s) applicable to the child (including Part IIIA of the Australian Crimes Act 1914 (Cth) (as amended), the child is below the age of consent or the act(s) are an offence under relevant laws
- Act in ways that may be abusive or place a child at risk of abuse
- Behave physically in a manner that is inappropriate or sexually provocative towards a child
- Condone, or participate in, behaviour towards children which is illegal, unsafe or abusive

- Act in a way that shows unfair differential treatment, or favouring particular children to the exclusion of others
- Record or publish any child's name or any address details with photographs.
- Hold, kiss, cuddle or touch a child in an inappropriate, unnecessary or culturally insensitive way. Touching should only be in response to the need of the child; be only with the child's permission (except in an emergency situation); avoid the breasts, buttocks and groin; and be open and non-secretive.
- Use any computers, mobile phones, or video and digital cameras inappropriately, or access child pornography through any medium
- Hire children for domestic or other labour which is inappropriate given their age or developmental stage, which interferes with their time available for education and recreational activities, or which places them at significant risk of injury

### **Using children's images**

AADO will at all times portray children in a respectful, appropriate and consensual way. Our guidelines on the use of children's images, in line with the ACFID Code of Conduct Clause 4.2, are:

- A child will always be portrayed in a dignified and respectful manner and not in a vulnerable or submissive manner. Children will be adequately clothed and not in poses that could be seen as sexually suggestive.
- A child and/or its family must always be asked for consent when using their images. When asking for consent to use the image, details should be given as to how and where this image will be used.
- Where written consent is not possible, informed verbal consent will be obtained and recorded on AADO's Photo/Story Informed Consent Form.
- No identifying information of the child with their location will be used in the publication of images
- Children will be portrayed as part of their community.
- Local cultural traditions will be checked and applied regarding restrictions for reproducing personal images.
- All images will provide an honest representation of the context and the facts.
- When sending images electronically, file labels will not reveal identifying information.
- All photographers will be screened for their suitability. This can include police checks where appropriate.

### **Procedures**

- Prospective and current staff members are screened and monitored to ensure that AADO does not employ or retain people who pose a risk to children, including those that have been convicted under the *Crimes Act 1914 Part IIIA (Child Sex Tourism)* or the *Criminal Code Act 1995, Division 474 (Telecommunications Offences, Subdivision C)*.

- Police checks will be conducted where available. Additional screening measures will include identity checks, verbal referee checks and interviews.
- All staff, volunteers and partners are given an individual copy of AADO's Child Protection Policy, including the Code of Conduct, and are expected to comply with all of its requirements.
- Child abuse prevention strategies are being incorporated into the design of AADO's programs where children are beneficiaries.

## Reporting

- All staff and volunteers are required to report any allegations, disclosures or observations of child abuse or suspected breaches of the Child Protection Policy or Code of Conduct to either the Executive Director or the President.
- Immediate reporting of instances of abuse or maltreatment to local authorities may not always be in the best interests of the children involved. Staff and volunteers must therefore refer issues of reporting to the Executive Director or President
- All concerns must be reported within 24 hours, or as soon as practicably possible.
- Each situation and report will be assessed and investigated by AADO management and a confidential report will be made in compliance with this policy and, where applicable, local, state or national legislation.
- AADO will ensure that any concern raised is handled according to the principles of confidentiality, safety, impartiality, timeliness and accuracy. All complaints and reports and the names of the people involved will be handled with strict confidence in compliance with AADO's Privacy Policy.

## References

- *Crimes Act 1914 Part IIIA (Child Sex Tourism)*
- *Criminal Code Act 1995, Division 474 (Telecommunications Offences, Subdivision C).*
- The United Nations Convention on the Rights of the Child [www.unicef.org/crc](http://www.unicef.org/crc)
- AusAID Child Protection Policy (January 2009)  
[http://www.ausaid.gov.au/publications/pdf/child\\_protection.pdf](http://www.ausaid.gov.au/publications/pdf/child_protection.pdf)
- ACFID Code of Conduct <http://www.acfid.asn.au/code-of-conduct>

## Related Documents

- AADO Photo/Story Informed Consent Form

## 2.7 Counter-Terrorism

### Background

AADO's Counter-Terrorism Policy is drawn from Australian Government Policy and Guidelines, including: *Safeguarding your organisation against terrorism financing: A guidance for non-profit organisations*, which aims to build awareness of the risk of being misused for terrorism financing, outline best practice principles which NPOs can undertake to reduce this risk and assist charities to understand and comply with legal requirements in relation to terrorism financing.

## **Policy**

AADO will take all necessary steps to ensure that its funds and resources are not being directed to terrorist activities.

AADO will use its best endeavours to ensure that funding provided under any agreement is expended consistent with relevant Australian counter-terrorism laws and the *UN Security Council Resolution 1373 (2001)* of not providing direct or indirect support or resources to organisations and individuals associated with terrorism. Australian laws include but are not limited to, *Commonwealth Criminal Code Act 1995*, and *Anti Money Laundering and Counter Terrorism Financing Act 2006 (Cth)*.

AADO recognises that it undertakes development activities in a high-risk setting in Afghanistan, and as such ensures that all AADO staff, partners and relevant stakeholders are aware of their legal obligations and adopt strategies to avoid any association with terrorism or known terrorist organisation/s.

## **Procedures**

- Any suspected terrorism related activity being immediately notified to the national security hotline 1800 123 400 (inside Australia) or (+61) 1300 123 401 (outside Australia).
- Prior to providing any beneficiary or implementing partner with direct funding, support or resources AADO Committee of Management always checking details against the two reference lists of terrorist organisations and individuals posted on DFAT and National Security websites.
- All Commercial contracts for implementation activities will include the following clause:
  - The Contractor must when providing any Services and procuring Supplies have regard to and comply with, and use their best endeavours to ensure that all sub-contractors comply with relevant and applicable laws, regulations and policies both in Australia and in the Partner Country, including:
    1. Those in relation to organisations and individuals associated with terrorism, including 'terrorist organisations' as defined in Division 102 of the

Commonwealth Criminal Code Act 1995 and listed in regulations made under that Act and regulations made under the Chapter of the UN Act (Cth) 1945.

2. The contractor must use their best endeavours to ensure that funds provided under this Contract, including sub-contracts do not provide direct or indirect support or resources to organisations and individuals associated with terrorism. If during the course of this Contract, the Contractor discovers any link whatsoever with any organisation or individual associated with terrorism it must inform AFAP immediately.
- All partnership agreements will include the following clause:
    - Partners must use their best endeavours to ensure that all Activities carried out with AADO funds comply with relevant Australian and Partner Government laws and regulations as well as AADO Policies, including but not limited to:
      1. Those in relation to the proscription against providing direct or indirect support or resources to organisations and individuals associated with terrorism; and
      2. Those in relation to corrupt practices, in particular the bribery of public and foreign officials;
  - AADO must use its best endeavours to ensure that the Implementing Partner for the approved Activity having the appropriate capacity to undertake the task and being in no way linked, directly or indirectly, to organisations and individuals associated with terrorism.
  - All potential partners are required to provide AADO with the following documents prior to signing a partnership agreement with AADO to verify their identity and transparency:
    - National registration certificate
    - Name and contact details of management staff members
    - Past and present annual reports, or activity reports
    - Last financial statement
    - A detailed list of current activities and donors
  - AADO's Counter-Terrorism Funding Agreement Attachment outlines the legal and reporting obligations of all partners in relation to terrorist activities and is integral to all funding agreements signed by partner organisations.
  - AADO is able to provide partner organisations with updated lists of terrorist organisations and individuals i.e. when a partner does not have ready internet access.

- AADO project management staff conduct at least bi-annual monitoring field visits to partner organisations headquarters.
- After AADO has received the agreed financial and project reports, project funding and associated resources will be transferred to partner organisations in milestone payments,.
- Funds will be transferred to partner organisations through American Express, which is a regulated financial institution.

**Related Documents:**

- 'Safeguarding your organisation against terrorism financing: A guidance for non-profit organisations'  
[http://www.nationalsecurity.gov.au/agd/WWW/nationalsecurity.nsf/Page/What\\_Governments\\_are\\_doing\\_Risk\\_of\\_Misuse\\_-\\_Terrorism\\_Financing](http://www.nationalsecurity.gov.au/agd/WWW/nationalsecurity.nsf/Page/What_Governments_are_doing_Risk_of_Misuse_-_Terrorism_Financing)
  - AADO Counter-Terrorism Funding Agreement Attachment
-

### 3 ORGANISATIONAL MANAGEMENT

Policy number	3	Version	1
Drafted by	Mark Drew	Approved by COM	12/07/2011
Responsible person	Committee of Management	Rosemary Marquardt Version 2	2/5/2017

#### 3.1 Governance framework

##### Background

As an Incorporated Association, AADO is recognised as a legal entity separate to its members and operates according to the requirements of the *Associations Incorporation Act (1981)*. AADO's Rules are modelled on the Model Rules of the Act with the insertion of its name and specific objectives.

##### Policy

AADO will adhere to all necessary legal requirements to maintain its status as an Incorporated Association.

##### Procedures

All legal requirements for AADO to maintain its Incorporated Association status are set out in the document 'Rules of the Association Afghan Australian Development Organisation'. The last amendment to these Rules was 14 December, 2010. The requirements of this document are adhered to.

Any amendments to the AADO Rules are made by special resolution agreed at a special general meeting called for this purpose.

The Committee of Management is responsible for adherence to the constitution i.e. Rules of the Association Afghan Australian Development Organisation and this document is the main reference from which procedures identified in this part of the document relate to or are extracted.

##### Related Documents:

- Afghan Australia Development Organisation Information Kit for Committee Members
- Rules of the Association Afghan Australian Development Organisation

## 3.2 Committee of Management

### Background

The elected AADO Committee of Management (COM) is entrusted with the management of financial and business affairs as set out in the document 'Rules of the Association Afghan Australian Development Organisation'. Although the majority of members will not be involved in the day-to-day running of the association, they retain ultimate control through their right to vote at general meetings. The COM has legal, moral and professional obligations to run the organisation at all times on behalf of all current members.

The COM is responsible for overall leadership, strategy, and governance to assure the public that AADO's affairs are sound, its operations are legal and the procedures work i.e. operational performance and compliance. The COM is also responsible for adherence to the ACFID Code of Conduct.

The COM's role is to govern the affairs and activities of the organisation and to direct and monitor financial and operational performance of the organisation. The role of the Executive Director is to manage the organisation, including the day-to-day operation through the implementation of the COM-endorsed strategic plan and policy framework. The Executive Director is directly responsible to the COM. The COM is bound by AADO's Rules and is accountable to its members. Its obligations under the Associations Incorporation Act must be met, and the COM is also bound by the laws governing the wider community on matters such as employment, taxation, contracts, and providing services.

### Policy

AADO's Committee of Management is bound to abide by a policy of proper governance of all the organisation's financial and business affairs and according to the requirements of the *Associations Incorporation Act (1981)*.

### Procedures

The operations of the COM are governed by the processes defined in the Rules of the Association Afghan Australian Development Organisation

### Related Documents:

- Afghan Australia Development Organisation Information Kit for Committee Members
- Rules of the Association Afghan Australian Development Organisation

## 3.3 Membership

### Background

AADO is an Incorporated Association under the *Associations Incorporation Act (1981)*. The rules of membership of AADO are defined in the Act.

## **Policy**

AADO will abide by the Rules of Membership, as defined in the *Associations Incorporation Act (1981)* or subsequently amended by the Committee of Management.

## **Procedures**

### **Membership, entry fees and subscription**

- (1) A person who applies and is approved for membership of AADO as provided in these Rules is eligible to be a member of AADO on payment of the entrance fee and annual subscription payable under these Rules.
- (2) A person who is not a member of AADO at the time of the incorporation of AADO (or who was a member at that time but has ceased to be a member) must not be admitted to membership unless—
  - (a) he or she applies for membership in accordance with subrule (3); and
  - (b) the admission as a member is approved by the committee.
- (3) An application of a person for membership of AADO must
  - (a) be made in writing in the form set out in Appendix 1 of the Rules; and
  - (b) be lodged with the Secretary of AADO.
- (4) As soon as practicable after the receipt of an application, the Secretary must refer the application to the committee.
- (5) The committee must determine whether to approve or reject the application.
- (6) If the committee approves an application for membership, the Secretary must, as soon as practicable—
  - (a) notify the applicant in writing of the approval for membership; and
  - (b) request payment within 28 days after receipt of the notification of the sum payable under these Rules as the entrance fee and the first year's annual subscription.
- (7) The Secretary must, within 28 days after receipt of the amounts referred to in subrule (6), enter the applicant's name in the register of members.
- (8) An applicant for membership becomes a member and is entitled to exercise the rights of membership when his or her name is entered in the register of members.
- (9) If the committee rejects an application, the committee must, as soon as practicable, notify the applicant in writing that the application has been rejected.
- (10) A right, privilege, or obligation of a person by reason of membership of AADO

- (a) is not capable of being transferred or transmitted to another person; and
  - (b) terminates upon the cessation of membership whether by death or resignation or otherwise.
- (11) The entrance fee is the relevant amount set out in Appendix 4 to the Rules.
- (12) The annual subscription is the relevant amount set out in Appendix 4 to the Rules and is payable in advance on or before 1 July in each year.

### **Register of members**

- (1) The Secretary must keep and maintain a register of members containing—
- (a) the name and address of each member; and
  - (b) the date on which each member's name was entered in the register.
- (2) The register is available for inspection free of charge by any member upon request.
- (3) A member may make a copy of entries in the register.

### **Ceasing membership**

- (1) A member of AADO who has paid all moneys due and payable by a member to AADO may resign from the Association by giving one month's notice in writing to the Secretary of his or her intention to resign.
- (2) After the expiry of the period referred to in subrule (1)—
- (a) the member ceases to be a member; and
  - (b) the Secretary must record in the register of members the date on which the member ceased to be a member.

### **Discipline, suspension and expulsion of members**

- (1) Subject to these Rules, if the committee is of the opinion that a member has refused or neglected to comply with these Rules, or has been guilty of conduct unbecoming a member or prejudicial to the interests of AADO, the committee may by resolution—
- (a) suspend that member from membership of AADO for a specified period; or
  - (b) expel that member from AADO; or
  - (c) fine that member an amount not exceeding \$500
- (2) A resolution of the committee under subrule (1) does not take effect unless—
- (a) at a meeting held in accordance with subrule (3), the committee confirms the resolution; and

- (b) if the member exercises a right of appeal to AADO under this rule, AADO confirms the resolution in accordance with this rule.
- (3) A meeting of the committee to confirm or revoke a resolution passed under subrule (1) must be held not earlier than 14 days, and not later than 28 days, after notice has been given to the member in accordance with subrule (4).
- (4) For the purposes of giving notice in accordance with subrule (3), the Secretary must, as soon as practicable, cause to be given to the member a written notice—
  - (a) setting out the resolution of the committee and the grounds on which it is based; and
  - (b) stating that the member, or his or her representative, may address the committee at a meeting to be held not earlier than 14 days and not later than 28 days after the notice has been given to that member; and
  - (c) stating the date, place and time of that meeting; and
  - (d) informing the member that he or she may do one or both of the following—
    - (i) attend that meeting;
    - (ii) give to the committee before the date of that meeting a written statement seeking the revocation of the resolution; and
  - (e) informing the member that, if at that meeting, the committee confirms the resolution, he or she may, not later than 48 hours after that meeting, give the Secretary a notice to the effect that he or she wishes to appeal to the Association in general meeting against the resolution.
- (5) At a meeting of the committee to confirm or revoke a resolution passed under subrule (1), the committee must—
  - (a) give the member, or his or her representative, an opportunity to be heard; and
  - (b) give due consideration to any written statement submitted by the member; and
  - (c) determine by resolution whether to confirm or to revoke the resolution.
- (6) If at the meeting of the committee, the committee confirms the resolution, the member may, not later than 48 hours after that meeting, give the Secretary a notice to the effect that he or she wishes to appeal to AADO in general meeting against the resolution.
- (7) If the Secretary receives a notice under subrule (6), he or she must notify the committee and the committee must convene a general meeting of

AADO to be held within 21 days after the date on which the Secretary received the notice.

- (8) At a general meeting of AADO convened under subrule (7)—
  - (a) no business other than the question of the appeal may be conducted; and
  - (b) the committee may place before the meeting details of the grounds for the resolution and the reasons for the passing of the resolution; and
  - (c) the member, or his or her representative, must be given an opportunity to be heard; and
  - (d) the members present must vote by secret ballot on the question whether the resolution should be confirmed or revoked.
- (9) A resolution is confirmed if, at the general meeting, not less than two-thirds of the members vote in person, or by proxy, in favour of the resolution. In any other case, the resolution is revoked.

### **Disputes and mediation**

- (1) The grievance procedure set out in this rule applies to disputes under these Rules between—
  - (a) a member and another member; or
  - (b) a member and AADO.
- (2) The parties to the dispute must meet and discuss the matter in dispute, and, if possible, resolve the dispute within 14 days after the dispute comes to the attention of all of the parties.
- (3) If the parties are unable to resolve the dispute at the meeting, or if a party fails to attend that meeting, then the parties must, within 10 days, hold a meeting in the presence of a mediator.
- (4) The mediator must be—
  - (a) a person chosen by agreement between the parties; or
  - (b) in the absence of agreement—
    - (i) in the case of a dispute between a member and another member, a person appointed by the committee of AADO; or
    - (ii) in the case of a dispute between a member and AADO, a person who is a mediator appointed or employed by the Dispute Settlement Centre of Victoria (Department of Justice).
- (5) A member of AADO can be a mediator.
- (6) The mediator cannot be a member who is a party to the dispute.

- (7) The parties to the dispute must, in good faith, attempt to settle the dispute by mediation.
- (8) The mediator, in conducting the mediation, must—
  - (a) give the parties to the mediation process every opportunity to be heard; and
  - (b) allow due consideration by all parties of any written statement submitted by any party; and
  - (c) ensure that natural justice is accorded to the parties to the dispute throughout the mediation process.
- (9) The mediator must not determine the dispute.
- (10) If the mediation process does not result in the dispute being resolved, the parties may seek to resolve the dispute in accordance with the Act or otherwise at law.

### **3.4 Conflict of interest**

#### **Purpose**

The purpose of this policy is to help Committee of Management (COM) Members of AADO to effectively identify, disclose and manage any actual, potential or perceived conflicts of interest in order to protect the integrity of the organisation and to manage risk.

#### **Objective**

The COM aims to ensure that committee members are aware of their obligations to disclose any conflicts of interest that they may have, and to comply with this policy to ensure they effectively manage those conflicts of interest as representatives of AADO.

#### **Scope**

This policy applies to the COM members of AADO, any paid staff and volunteers.

#### **Definition of conflicts of interest**

A conflict of interest occurs when a person's personal interests conflict with their responsibility to act in the best interests of the charity. Personal interests include direct interests as well as those of family, friends, or other organisations a person may be involved with or have an interest in (for example as a shareholder). It also includes a conflict between a COM member's duty to AADO and another duty that the COM member has (for example to another charity). A conflict of interest may be actual, potential or perceived and may be financial or non-financial.

These situations present the risk that a person will make a decision based on, or affected by, these influences, rather than in the best interests of AADO and must be managed accordingly.

## **Policy**

This policy has been developed because conflicts of interest commonly arise and do not need to present a problem if they are openly and effectively managed. It is the policy of AADO as well as a responsibility of the COM that ethical, legal, financial or other conflicts of interest be avoided and that any such conflicts (where they do arise) do not conflict with the obligations of this organisation.

AADO will manage conflicts of interest by requiring COM members to

- avoid conflicts of interest where possible
- identify and disclose any conflicts of interest
- carefully manage any conflicts of interest and
- follow this policy and respond to any breaches

## **Responsibility of the Committee of Management (COM)**

The COM places great importance on identifying any existing, perceived or potential conflicts of interest as it is important to maintain the reputation, credibility and trust of the organisation both in Australia and in Afghanistan.

The COM is responsible for:

- establishing a system for identifying, disclosing and managing conflicts of interest for the whole organisation
- monitoring compliance with this policy
- reviewing this policy annually to ensure that it is operating effectively.

## **Identification and disclosure of conflicts of interest**

The governing body, paid staff and volunteers are required to disclose any real or perceived conflicts of interest or any affiliation they have with an actual or potential supplier of goods and services, recipient of grant funds or organisation with competing or conflicting objectives. Such conflict shall be declared to any member of the governing body so that the matter can be discussed by the executive or at the start of the COM meeting and entered in the AADO register of interests. A register of interests should be maintained by the secretary.

Disclosure of interest should be confidential and available to the COM Executive only

## **Procedures for management of conflicts of interest.**

Where a conflict of interest or potential conflict of interest is identified and/or registered by a member or the governing body, and this is to be discussed at a Committee meeting, the COM member concerned shall leave the room as soon as that item comes up for discussion. The concerned COM member shall not vote on that issue, nor initiate or take part in any COM discussion on that topic (either in the meeting or with other

COM members before or after the COM meetings), unless expressly invited to do so by unanimous agreement of all members present.

In deciding what approach to take, the COM will consider:

- whether the conflict needs to be avoided or simply documented
- whether the conflict will realistically impair the disclosing person's capacity to impartially participate in decision making
- alternative options to avoid the conflict
- AADO's objects and resources
- The possibility of creating an appearance of improper conduct that might impair confidence in or the reputation of AADO.

Where a conflict of interest has been identified by a staff member or volunteer, this matter should initially be discussed by the executive and where possible the conflict averted or managed and the conflict resolution reported at the next committee of management meeting and recorded in the register of interest.

If a person declares themselves to have existing or potential conflict of interest, confidentiality will be respected.

If a member, volunteer or staff member allege that another person has a conflict of interest, whether existing or potential, and if the COM cannot resolve this allegation to the satisfaction of both parties the matter shall be referred to the President.

Examples of conflict of interest could be (but are not limited to):

- When a COM member or his/her immediate family or business interests stands to gain financially from any business dealings, programs or services of the organisation.
- When a COM member or volunteer offers a professional service to the organisation.
- When a COM member stands to gain personally or professionally from any insider knowledge if that knowledge is used to personal advantage.
- Where a COM member or the ex/officio member of the COM has a role on the governing body of another organisation, where the activities of that other body may be in direct conflict or competition with the activities of AADO.

### **Compliance with this policy**

If the COM has a reason to believe that a person subject to this policy has failed to comply with it, it will investigate the circumstances and where appropriate may take action against them which might include termination of the relationship.

## Template register of interests



Name of COM, volunteer or staff member	Description of Interest	Has the COM been notified of the interest	Date of disclosure	Steps taken by COM for dealing with the conflict	Actions taken by the COM member to address the conflict

### 3.5 The Annual General Meeting

#### Policy

As an Incorporated Association, it is a legal requirement for AADO to hold an Annual General Meeting (AGM) within 5 months of the end of its financial year. The AGM is usually held in October, at a date, time and place agreed by the COM.

#### Procedures

- Notice of the AGM is posted in AADO's News Bulletin and circulated to members.
- The agenda items for the AGM are specified in AADO's Rules and cover:
  - Minutes of the previous meeting
  - President's report
  - Executive Director's report

- Treasurer's report and presentation of last financial year's audited accounts
  - Appointment of the auditor for the accounts for the following financial
  - Election of the office bearers
  - Lists of resolutions made by the Committee of Management during the year
  - And to consider any special business notified to members in advance of the AGM.
- Five members personally present, being members entitled under AADO's Rules to vote at an AGM, constitute a quorum for the conduct of the business of the AGM.
  - Election of office bearers and ordinary members must be in accordance with AADO's Rules of the Association.

### **3.6 Special General Meetings**

#### **Policy**

As an Incorporated Association, it is a legal requirement for AADO to follow the procedures laid out in the *Associations Incorporation Act (1981)*.

#### **Procedures**

The following procedures will be adhered to when General Meetings are held by AADO

#### **Special general meetings**

- (1) In addition to the annual general meeting, any other general meetings may be held in the same year.
- (2) All general meetings other than the annual general meeting are special general meetings.
- (3) The committee may, whenever it thinks fit, convene a special general meeting of AADO.
- (4) If, but for this subrule, more than 15 months would elapse between annual general meetings, the committee must convene a special general meeting before the expiration of that period.
- (5) The committee must, on the request in writing of members representing not less than 5 per cent of the total number of members, convene a special general meeting of AADO.
- (6) The request for a special general meeting must—
  - (a) state the objects of the meeting; and
  - (b) be signed by the members requesting the meeting; and
  - (c) be sent to the address of the Secretary.
- (7) If the committee does not cause a special general meeting to be held within one month after the date on which the request is sent to the address of the

Secretary, the members making the request, or any of them, may convene a special general meeting to be held not later than 3 months after that date.

- (8) If a special general meeting is convened by members in accordance with this rule, it must be convened in the same manner so far as possible as a meeting convened by the committee and all reasonable expenses incurred in convening the special general meeting must be refunded by AADO to the persons incurring the expenses.

### **Special business**

All business that is conducted at a special general meeting and all business that is conducted at the annual general meeting, except for business conducted under the rules as ordinary business of the annual general meeting, is deemed to be special business.

### **Notice of general meetings**

- (1) The Secretary of AADO, at least 14 days, or if a special resolution has been proposed at least 21 days, before the date fixed for holding a general meeting of AADO, must cause to be sent to each member of AADO, a notice stating the place, date and time of the meeting and the nature of the business to be conducted at the meeting.
- (2) Notice may be sent—
  - (a) by prepaid post to the address appearing in the register of members;  
or
  - (b) if the member requests, by facsimile transmission or electronic transmission.
- (3) No business other than that set out in the notice convening the meeting may be conducted at the meeting.
- (4) A member intending to bring any business before a meeting may notify in writing, or by electronic transmission, the Secretary of that business, who must include that business in the notice calling the next general meeting.

### **Quorum at general meetings**

- (1) No item of business may be conducted at a general meeting unless a quorum of members entitled under these Rules to vote is present at the time when the meeting is considering that item.
- (2) Five members personally present (being members entitled under these Rules to vote at a general meeting) constitute a quorum for the conduct of the business of a general meeting.
- (3) If, within half an hour after the appointed time for the commencement of a general meeting, a quorum is not present—

- (i) in the case of a meeting convened upon the request of members—the meeting must be dissolved; and
  - (ii) in any other case—the meeting shall stand adjourned to the same day in the next week at the same time and (unless another place is specified by the Chairperson at the time of the adjournment or by written notice to members given before the day to which the meeting is adjourned) at the same place.
- (4) If at the adjourned meeting the quorum is not present within half an hour after the time appointed for the commencement of the meeting, the members personally present (being not less than 3) shall be a quorum.

### **Presiding at general meetings**

- (1) The President, or in the President's absence, the Vice-President, shall preside as Chairperson at each general meeting of AADO.
- (2) If the President and the Vice-President are absent from a general meeting, or are unable to preside, the members present must select one of their number to preside as Chairperson.

### **Adjournment of meetings**

- (1) The person presiding may, with the consent of a majority of members present at the meeting, adjourn the meeting from time to time and place to place.
- (2) No business may be conducted at an adjourned meeting other than the unfinished business from the meeting that was adjourned.
- (3) If a meeting is adjourned for 14 days or more, notice of the adjourned meeting must be given in accordance with rule 12.
- (4) Except as provided in subrule (3), it is not necessary to give notice of an adjournment or of the business to be conducted at an adjourned meeting.

## **3.7 Attendance**

### **Policy**

Committee of Management members are expected to demonstrate their commitment to AADO by attendance at all committee meetings except when prevented by unforeseeable events, and it is the responsibility of the President to monitor the attendance of each member and to remind them of attendance requirements and issue warning as appropriate.

### **Procedures**

- The Secretary shall notify members of forthcoming meetings no sooner than 14 working days before the set date of the meeting.
- Where COM members are prevented from attending any meeting, they should notify the President of their intended absence.

### **Attendance requirements**

- If a COM member is absent for two consecutive meetings without first notifying the President of their absence, or if a COM member is absent for three consecutive meetings having notified the President of their absence, that COM member is in breach of their obligations and is liable to be removed from the COM, subject to the following processes.
- Prospective members of the COM shall be issued with copies of the attendance policy and asked to commit themselves to observing its terms.

### **Process**

- If a COM member is in breach of their attendance requirements then the President shall directly raise this issue with them.
- If the COM member's difficulties are resolvable, then the chair and the member shall attempt to resolve them.
- If no mutually satisfactory resolution is possible, and if the COM member wishes to continue on the COM, then the member's response will be put to the COM at its next meeting. The COM member shall be entitled to speak to this item, and to vote on it. The COM will decide what actions to take regarding that COM member's future membership on the COM.
- If the COM decides that termination is justified, the COM may suspend that person's membership of the COM. In the event the member wishes to continue in his or her position, the suspension will be put to a general meeting for approval. The suspended member will be given an opportunity to be heard, either personally or through a representative, and may submit materials in writing to be circulated.
- The COM may remove any person from any COM sub-committee for any reason, including (but not limited to) non-attendance.
- When any person has been removed from the COM or from any committee under this provision, the COM or committee will promptly initiate a process to recruit a new COM member. The person whose membership has been terminated will retain the right to stand again at the next election for the COM.

## **3.8 Transparency and accountability**

### **Policy**

AADO acknowledges the importance of transparency in the conduct of its operations, and withholds as little of its operational information as is possible from public scrutiny. .

AADO is committed to openness, transparency, and accountability. Its actions shall reflect a policy to release all information being held as far as this is consistent with the protection of individual privacy, the effective management of AADO business, and relevant legislation.

The Secretary of AADO will be responsible for ensuring compliance with proper procedures for the classification and release of information.

The purpose of this policy is to:

- Indicate which documents and materials produced by the organisation are presumptively open to members and/or the public
- Indicate which documents and materials produced by the organisation are presumptively closed to members and/or the public
- Specify the procedures whereby the open/closed status of documents and materials can be altered.

AADO's policy on transparency and accountability is as follows:

### **COM**

- All COM deliberations shall be open to the public except where the COM passes a motion to make any specific portion confidential.
- All COM minutes shall be open to the public once accepted by the COM, except where the COM passes a motion to make any specific portion confidential.
- All papers and materials considered by the COM shall be open to the public following the meeting at which they are considered, except where the COM passes a motion to identify any specific paper or material as confidential.

### **Project records**

- All Project records containing personal information of beneficiaries, staff members and stakeholders shall be available for reference by any individual concerned or by their legal representatives.
- Subject to the foregoing, no personal records shall be made available to any other person outside the organisation without the permission of all individuals concerned.
- Within the organisation, specific project records shall be made available only to those persons with responsibilities related to that project except that
- Project records shall be made available to the COM when requested but should be rendered anonymous, wherever possible.

### **Staff records**

- All staff records will be available for reference by the staff member concerned or by their legal representatives.

- Subject to the foregoing, no staff records will be made available to any person outside the organisation.
- Within the organisation, staff records will be made available only to those persons with managerial or personnel responsibilities for that staff member, except that
- Staff records will be made available to the COM when requested.

### **Member and donor records**

- All member and donor records shall be available for reference by the members and donors concerned or by their legal representatives.
- Subject to the foregoing no member and donor records will be made available to any other person outside the organisation.
- Within the organisation, member and donor records will be made available only to those persons with managerial or personnel responsibilities for dealing with those members and donors, except that
- Member and donor records shall be made available to the COM when requested.
- Any request for a member's contact details will be referred to that member so they can respond directly to the request if they wish

### **Administrative records**

- All records and materials not falling into the categories above may be released to the public at the discretion of the Secretary of AADO, who shall take into consideration
  - a general presumption in favour of transparency
  - the relevant provisions of the Associations Incorporation Act regarding information to be made available to members
  - the marketing, commercial, legal, and administrative interests, priorities, and resources of the organisation, including commercial confidentiality and copyright issues
- The Secretary of AADO may at their discretion charge any applicant the full costs of providing the information requested.

### **Procedures**

#### **Requests for access**

- Any request for access to records or materials shall be made in the first instance to the Secretary of AADO.
- Where requests are made for client files or staff files by any person not the client or staff member, the Secretary of AADO shall inform the client or staff member and allow them to make any submissions they wish.
- The Secretary of AADO will inform the COM of any requests for access to documents prior to granting access.

#### **Procedures and charges for access**

- Access to records or materials shall only be granted following the approval of the COM.

- Requests from members shall be subject to no charges, and the names and addresses of members shall be given in hard copy format and (where available) in electronic format.
- For all other requests, the Secretary of AADO shall allow access to approved organisation records and materials under such conditions and according to such arrangements as they see fit.
- Where the request for information is on such a scale or of such difficulty that it would impose an unreasonable burden on the organisation's resources, the Secretary of AADO shall impose such charges as they see fit.

### **Record keeping**

- The Secretary of AADO shall report to every meeting of the COM on the number, nature and outcome of any requests for records or materials since the previous meeting.
- The Secretary of AADO shall ensure that membership applicants and prospective clients are aware of and consent to the organisation's Access to Information Policy.

## **3.9 Policy making and review**

### **Policy**

Policies are designed to provide clear, unambiguous guidelines for the implementation of the various operational functions of AADO. Policies provide continuity and a consistent point of accountability. Policy-making shall follow set procedures to ensure the efficacy of the process and the overall policy framework.

### **Procedures**

- The need for new policies and/or policy review can be identified at a COM meeting or recommended by any individual COM member, the Executive Director, staff members or members of the organisation.
- Whenever possible, policies should be developed in response to their potential for future use or in advance of an event rather than in response to an event, crisis or problem.
- Except in special circumstances, a policy or policy change cannot be introduced and approved by the COM at the same COM meeting.
- Generally, staff and/or the Executive Director when required by the COM, will research and draft new policies. These will then be circulated to all COM members, staff and other interested parties for comment prior to presentation to the COM for approval.
- All policies shall follow the same format as follows:
  - Policy name
  - Policy statement
  - Procedures
  - Relevant Documents (where applicable)

- All policies will be programmed for annual review. Any agreed changes to specific policies and/or the manual as a whole will be recorded at the beginning of the manual in the version control register.
  - All policies shall be freely available to all COM members, the Executive Director, volunteers and staff, also to members on request
-

## 4 PROJECT MANAGEMENT

Policy number	4	Version	1
Drafted by	Bianca Pilla	Approved by COM	12/07/2011
Responsible person	Committee of Management	Scheduled review date	<<insert date>>

### 4.1 Project framework

#### Background

Project management is about planning, controlling and completion of projects. Projects have a definite beginning and end. Project management uses tools and techniques to manage the project so that it meets the requirements, is completed on time, within budget and to the required quality. With all projects, there will be the risk that something will not go according to plan.

Examples of risk include:

- Limitations in model of service delivery
- Inadequate/loss of funding and other supports
- Delays in engagement of suitable staff
- Communication difficulties including poor internet access
- Project scope 'creep' increasing additional liabilities
- Changes in working relationship/s with key stakeholders
- Currency inflation/fluctuation
- Major disruptions in community environment
- Impact of weather, floods, earthquakes, conflict, terrorist attacks

A sound project management approach will ensure associated risks are identified and managed and a greater likelihood of successful project outcomes.

#### Policy

AADO is committed to the adoption of project management tools to assist in the implementation of major strategies. AADO provides project management processes to ensure the following objectives:

- Outcomes or deliverables are planned, recorded and achieved
- Appropriate governance is in place and operating
- Change communication and risk management is effective
- Tasks and resources required are clearly planned and stated

- Timelines for key milestones and quality standards are planned and met
- The project is completed within budget
- Stakeholder communication is effective; and,
- Post implementation reviews are used to improve AADO project methodology

## Definitions

**Project Proposal** is the initial formal documentation of the project. It specifies high level requirements of the project including background, purpose, benefits, objectives, scope, assumptions, constraints and costs of the project, from which an executive decision will be made to authorise the project. It will also set out the organisation and governance of the project, project controls and identify any training requirements.

**Project scope** defines the limits of the overall vision and focus of the project.

**Project outcomes** are the planned achievements of the project. The outcomes are achieved by meeting project deliverables (outputs) and milestones.

**Project outputs** are the products, services or practices that may be produced in order to meet the identified project outcomes.

**Project milestones** are 'progress markers' that identify the completion of key events or tasks within the life of a project.

**Project Coordinator** is the employee who is appointed to manage the project and ensure project outcomes are achieved.

**Project Team** is the group of employees, volunteers and other stakeholders appointed to participate in and complete project activities.

## Procedures

In order to achieve these objectives, the following procedures must be completed in the planning and implementation of all projects by AADO and its Implementing Partners:

### Project Initiation

- Once a project has been identified by an in-country partner or local community, a Project Needs Assessment is undertaken by the in-country partner with technical assistance, where necessary, from AADO project management staff. There is emphasis on engaging in community consultation and participation at all levels.

- Once the need has been verified with relevant baseline information collated and analysed, a Project Feasibility Study is then undertaken by in-country project staff, with technical assistance from AADO project management staff (where necessary).
- A Project Appraisal Checklist is then completed by AADO project management staff, ensuring that cross cutting issues such as gender/ environment/ sustainability/ disability, potential risks and threats, and appropriate community consultation, have been addressed in the initial project assessment and study.
- Requests for further information are submitted to the local partner where necessary.
- If the outcome of the feasibility study is deemed positive by the in-country partner and AADO, then a project concept note is written, and the project is entered into AADO's project register database with pending status assigned.
- The project concept note is then presented at the next AADO COM meeting by the PCC or ED for an initial review of the project goals, objectives, and feasibility in relation to AADO's existing programs and strategic plan.

### **Project planning**

- A project proposal is created by partnering project management staff in collaboration with AADO project staff. In situations where partner capacity appears to be limited in some aspects, AADO project management staff may take the lead in project design, maintaining close consultation with local staff. The project proposal will draw on information provided in the project initiation, needs assessment and project feasibility study reports.
- The project proposal defines the following: background issues; identified needs; project scope and time frame; project goals and objectives in a project planning matrix/ log frame; controls, risks and assumptions and planned risk responses; monitoring and evaluation; project activities; project budget including estimated activity resources.
- Stakeholder needs and involvement are also identified
- Once the Project Proposal has been completed it is submitted to the AADO Committee of Management for final review. At the next monthly COM meeting the Committee of Management must accept the project in principle before funding is sought and/or secured.
- Specific resources are finalised including: the people, type and quantities of materials, equipment, or supplies required for each activity.
- Project management plan is finalised, including monitoring and evaluation plan, time lines and reporting schedule.
- The project proposal is submitted by the AADO Committee of Management and AADO project management staff to interested and potential donors to secure funding. Project submissions to donors are recorded in the Grant Tracking Database.
- Once funding has been secured the Committee of Management must authorise the commencement of the project using the 'Project Approval Template'.

- Partner funding agreement will then be signed outlining: both partners' responsibilities; agreement on above procedures; counter-terrorism financing agreement and reporting requirements; agreed budget and financial reporting schedule.

### **Project implementation**

- Direct and manage project implementation: all staff will perform the work defined in the project management plan and project activity schedule to achieve the project's objectives.
- Train project team: the project team skill levels will be assessed and further training requirements actioned if required.
- Manage Stakeholder Relations: relevant information will be made available to stakeholders as planned, including working with stakeholders to meet their needs and requirements (such as reporting requirements).
- Manage Partnerships: ongoing and consistent communication with implementing partners will be maintained.

### **Project monitoring**

- Project management staff will undertake all scheduled monitoring activities and submit timely reports to persons and stakeholders identified in the project monitoring and evaluation plan.
- Standard monitoring templates will be used for all projects implemented by AADO and its implementing partners.
- Project management staff will implement risk response plans and track identified risks; as well as identify new risks in monthly monitoring reports.

### **Project completion**

Project management staff will

- Finalise all activities of the project and ensure all deliverables have been met.
- Submit final financial acquittal of funds within two weeks of activities ending.
- Prepare all project review and evaluation documents.
- Provide a project completion report after all evaluation activities and reports have been conducted and submitted.

### **Project evaluation**

- Project management staff will undertake all scheduled process and output evaluation activities and submit timely reports to persons and stakeholders identified in the project monitoring evaluation plan.

- Lessons learned will be disseminated to relevant donors, stakeholders, and the Committee of Management for review.
- Outcome and Impact evaluations of Programs will be conducted through employing the Most Significant Change Technique. Australian project management staff will plan and implement these evaluations, collecting stories of change, twice a year during their bi-annual field visits to Afghanistan. Beneficiaries who participate in the evaluations should have graduated from AADO's programs at least 6-24 months prior.
- Major Outcome evaluations of Programs will be held when funding, resources, time and staff capacity permit. Ideally, outcome evaluations will be designed, scheduled and implemented by an evaluation team where possible.



## 5 RISK MANAGEMENT

Policy number	5	Version	1
Drafted by	Mark Drew Lee Tregloan	Approved by COM	12/07/2011
Responsible person	Mojda Hashemyan Nouria Salehi	2	2/5/2017

### 5.1 Risk management

#### Background

Risk management is an integral part of the AADO approach to decision-making and accountability. A risk is a potential problem that if it were to materialise, could affect the delivery of any part of an AADO program.

Risk management covers the culture, processes and structures that relate to AADO's operational environment. At any one time AADO has several programs and activities in progress, primarily in Afghanistan.

The aim of AADO's risk management policy is not to eliminate risk. It is to assist AADO personnel to manage the risks involved in all AADO's activities to maximise opportunities and minimise adverse consequences. Effective risk management requires:

- Identifying and taking opportunities to improve performance as well as taking action to avoid or reduce the chances of something going wrong
- A systematic process that can be used when making decisions to improve the effectiveness and efficiency of performance
- Forward thinking and active approaches to management
- Effective communication
- Accountability in decision making
- Ensuring a balance between the cost of managing risk and the anticipated benefits.

Recognition of risk management as a central element of good corporate governance, and as a tool to assist in strategic and operational planning, has many potential benefits in the context of the changing operating environment of AADO's core business.

All AADO personnel have a responsibility to ensure that the risks relating to their particular area of work – whether in Australia or Afghanistan – are managed to ensure optimal outcomes.

Some potential areas of risk to AADO include:

- Threat to physical safety of volunteers, staff, students and stakeholders
- Threat to property, especially in Afghanistan
- Breach of legal or contractual obligations
- Fraud
- Deficiencies in financial reporting and controls
- Failure of computer and/or other systems including record keeping
- Failure of equipment
- Failure of power/other utilities.

## **Policy**

AADO aims to manage risk in accordance with the *Australian/New Zealand Risk Management Standard. Guidelines for Managing Risk in the Australian and New Zealand Public Sector.*

Risk management is an interactive process of continuous improvement that is best embedded into existing practices or business processes. The main elements of the AADO risk management process are:

- Identify risks: This step seeks to identify the risks to be managed. Potential areas of risk for AADO are around natural disasters, weather-related risks and risks of terrorism/ civil unrest in Afghanistan.
- Analyse risks: Identify and evaluate existing controls. Determine consequences and likelihood and hence the level of risk. This analysis should consider the range of potential consequences and how these could occur.
- Evaluate risks: Compare estimated levels of risk against pre-established criteria in a risk matrix and consider the balance between potential benefits and adverse outcomes. This enables decisions to be made about the extent and nature of treatments required and about priorities.
- Communicate and consult: Liaison with internal and external stakeholders as appropriate at each stage of the risk management process and concerning the process as a whole.
- Establish the context: Define the basic parameters within which risks must be managed and set the scope for the rest of the risk management process. The context includes AADO's external and internal environment and the purpose of the risk management activity.
- Treat risks: Develop and implement specific cost-effective strategies and action plans for increasing potential benefits and reducing potential costs. Allocate responsibilities to those best placed to address the risk and agree on target date for action.
- Document, monitor and review: Each stage of the risk management process must be documented. It is necessary to monitor the effectiveness of the risk management

process. This is important for continuous improvement. Risks and the effectiveness of treatment measures need to be monitored to ensure changing circumstances are taken into consideration.

AADO will use a standard Risk Assessment Matrix method of identifying and prioritising operational risk. The Matrix will identify the level of risk and to help prioritise control/mitigation measures by addressing the likelihood of identified hazards occurring and their consequences, and assigning a risk level.

Risks will be managed by the personnel involved in a way that delivers the best outcomes for AADO and its stakeholders.

## **Procedures**

The following procedures exist for the implementation of effective AADO-wide risk management:

- The Committee of Management is responsible for the implementation and maintenance of sound risk management. In carrying out this responsibility, the Committee of Management regularly reviews the adequacy of internal controls to ensure they are operating effectively and are appropriate for achieving corporate goals and objectives. Mechanisms should be in place which promote the culture of risk management practices and encourage and empower personnel in the management of risk.
- The Committee of Management has oversight and provides corporate assurance on the adequacy of risk management processes across AADO using a risk-based audit approach to monitor and review policies and procedures and control structures, identify fraud risks, also safeguard risk management awareness.
- The Committee of Management should ensure risk management checks are completed for all activities in accordance with AADO requirements and updated in annual plans, or more frequently, as necessary.
- The Management of AADO's Kabul office has responsibility to ensure that risk management processes are in line with COM policy and checked regularly. Local risk management plans are completed and forwarded to the Committee of Management.
- The Committee of Management must ensure that all NGOs and Contractors providing goods and services to AADO adhere to risk management requirements.
- Staff at all levels are to create an environment where managing risk is integral the basis of all activities.
- All AADO personnel are to adhere to sound risk management practices within their particular areas of responsibility.

## 6 FINANCIAL MANAGEMENT

Policy number	6	Version	1
Drafted by	Bianca Pilla Rosemary Marquardt Lee Tregloan	Approved by COM	12/07/2011
Responsible person	Rosemary Marquardt	2	11/9/2014

### 6.1 Non-Profit financial operations

#### Policy

As set out in section 32.A of *the Rules of the Association Afghan Australian Development Organisation*, as a non-profit incorporated association, AADO does not operate for the profit or gain of its individual members, whether these gains are direct or indirect. Any surplus funds accrued by AADO are applied solely towards AADO's objectives and no portion is distributed directly or indirectly to the members except to refund services rendered or expenses incurred on AADO's behalf.

No individual member is entitled to receive sitting fees for attendance at AADO Committee of Management or other AADO meetings.

As outlined in section 35.1 of the *Rules of the Association Afghan Australian Development Organisation*, in the event that AADO is dissolved, the amount that remains after the dissolution and the satisfaction of all debts and liabilities will be transferred to another organisation with similar purposes to AADO and which is not carried on for the profit or gain of its individual members.

#### Procedures

- The Committee of Management is responsible for adherence to the Rules of the Association Afghan Australian Development Organisation
- The annual independent audit of AADO's accounts is to ensure financial accountability and transparency (Refer to 6.4 Annual audit policy).

#### Related Documents

- Rules of the Association Afghan Australian Development Organisation
- Annual audit policy

### 6.2 Budget planning

#### Policy

The AADO Committee of Management completes a budget planning process each year as part of its annual business plan. Within a responsible and sustainable framework, AADO's annual operating budget must be flexible in order to respond to unforeseen events, including possible reductions in cash flow. The budget requires regular monitoring including review of income and expenditure progress related to items listed for individual project budgets.

### **Responsibility**

The AADO Committee of Management has ultimate responsibility for budget oversight and for ensuring that the organisation operates within the limits of its financial resources.

### **Procedures**

#### **Preparation of the budget**

- In April each year, the Committee of Management and PCC will draft the budget for the organisation for the coming financial year. Once drafted and reviewed, the Committee of Management must approve the budget. Comparative progress reports are then prepared.
- The initial budget is drafted by the Treasurer and a finance working party nominated by the Committee. Initial estimates are based on the current expenditure projections to end of the year plus Consumer Price Increments for salaries or relevant wage increases, revisions to awards/contracts, plus an estimated 10 per cent increase in operating expenses such as wages, transport, utilities etc. Details of how cost increases will be absorbed or may point to increases in service charges such as membership fees, will be provided. A report summarising reasons for proposed changes should be attached to the draft budget for discussion.
- The Treasurer will then amend the budget according to agreed changes and present it at a Committee of Management meeting for adoption not later than June of each year. Once agreed, this becomes AADO's main operating budget for the following financial year, and all Committee of Management members and employees must work within the financial limits stated or implied by this document.

## **6.3 Financial reporting**

### **Policy**

As a prescribed not-for-profit Incorporated Association, under the *Associations Incorporation Act (1981)* AADO is required to abide by Australian Accounting Standards in the preparation of its financial records and reports.

AADO's Committee of Management is responsible for the preparation of complete and accurate annual consolidated financial statements in line with generally accepted accounting principles including the Australian accounting standards, laws and regulations and the ACFID Code of Conduct. AADO's accounting period is from 01 July until 30 June.

### **Procedures**

- All staff and Committee members will maintain and enter complete, accurate, and timely records and accounts for all transactions, organisation assets and funds, and organisation liabilities.

### **Annual financial statement**

- At the end of the accounting period, AADO is required by law to prepare an annual financial statement comprising of an Income Statement, Balance Sheet, Cash Flow Statement and accompanying notes. Interim reports are also prepared on a monthly or quarterly basis for reference by the COM.
- The financial statements of AADO are prepared using the accrual basis of accounting, except for cash flow information.
- The annual financial statement is prepared according to current statutory requirements, and the ACFID Code of Conduct.
- AADO is responsible for retaining relevant accounting records for 5 years as required by law.

### **Interim reports**

- The Treasurer prepares a monthly balance sheet and profit and loss statement of AADO's financial accounts and presents these details to the Committee of Management at its regular meetings.
- In preparation of the above, each monthly bank statement is reconciled against the record of financial activity for the month to ensure that all accounts are current and balanced.
- Reports to the Committee of Management also incorporate current details of funds being held in Afghanistan.
- Partners' Finance Officer, Treasurer or equivalent, are responsible for preparing a monthly financial expense report accompanied by all relevant documentation, including receipts, invoices, bank transfers, payslips etc. The report is emailed to the AADO Treasurer by the end of the first week of each month.

### **Monitoring and reviewing the budget**

- The Treasurer is responsible for monitoring the organisation's income and expenses, reviewing and reporting on actual progress, noting any variations in comparison with the budget, and reporting on progress and variations to the COM.
- Income and expenditure will be mapped against individual project budgets, and will be reviewed at least quarterly by the Treasurer, Executive Director and the PCC.
- Monthly financial reporting to the Committee of Management will include year-to-date income and expenditure and any variation from budget estimates. The Treasurer will indicate what effect any variations will have on the budget projections

## **6.4 Annual audit**

### **Background**

As a not-for-profit Incorporated Association, registered under the *Associations Incorporation Act (1981)*, AADO is required to arrange for an independent annual audit of its accounts.

### **Policy**

AADO undertakes an independent annual audit of its accounts to ensure financial responsibility, accountability and transparency as a not-for-profit, member-based, Incorporated Association.

### **Procedures**

- The AADO auditor is appointed by the membership at the Annual General Meeting preceding the close of the current financial year.
- The Treasurer is responsible for assisting with the annual audit process and retaining accounting records for 7 years.
- The preparation and actual audit of the accounts must be completed in time for the auditor's report for the last financial year to be ready for presentation at the Annual General Meeting and to be available to members.

### **Related documents:**

- Associations Incorporation Act (1981)

## **6.5 Australian bank accounts**

### **Policy**

AADO operates a 'Community Solution Cheque Account' with the Westpac Bank at the Bourke St Branch, Melbourne VIC, Australia. Two signatories are required to operate AADO's bank account for withdrawals of amounts exceeding AUD \$5000.00.

## Procedures

- Eligible signatories are the Treasurer and the Executive Director. Any other Committee of Management member may become a signatory if nominated and endorsed by the Committee.
- The Treasurer processes all deposits and withdrawals using MYOB software for the purpose of maintaining accurate financial records. Hard copy records are retained.
- The Treasurer is responsible for ensuring that the bank account is reconciled on a monthly basis and recorded in MYOB. The Treasurer will present the Balance Sheet and Profit and Loss Statements at monthly Committee of Management meetings.
- Any withdrawals of \$5 000 AUD or more must be approved by two signatories, in accordance with AADO's *EFT, Cash Withdrawals and Cheques Policy*.

## Related documents

- EFT, Cash Withdrawals and Cheques Policy
- Request for Project Funds Form

## 6.6 Afghan bank account

### Policy

AADO Afghanistan (Country Office) operates a Current CA-USD\$ Bank Account with the Kabul Bank at the Kabul Main Branch, Kabul City, Afghanistan.

### Procedures

- The Executive Director is the eligible authority for this account.
- The Executive Director and The Senior Program Manager are the eligible signatories to this account.
- The Executive Director must authorise all withdrawals by project staff from this account by emailing an approval for each transaction specifying the amount and other relevant details to the Kabul Bank Manager.
- Project staff are required to bring a cheque, an employee ID card and a copy of the Executive Director's authorising email stamped with AADO Kabul's common seal in order to be able to withdraw funds.
- Any withdrawals of \$5 000 AUD or more must be approved by two signatories, in accordance with AADO's *EFT, Cash Withdrawals and Cheques Policy*.

- The Finance Officer is responsible for ensuring that the bank account is reconciled on a monthly basis and recorded in MYOB. The bank account is reconciled in \$AUD in accordance with AADO's *Foreign Currency Translation Policy*.
- In the event of a real threat of political or economic insecurity affecting the security of funds at Kabul Bank, funds can be fully withdrawn upon emailed authorisation by the Executive Director with the full endorsement by the Committee of Management. Cash must be safely secured in accordance with AADO's Risk Management Policies and Procedures.

### **Related documents**

- EFT, Cash Withdrawals and Cheques Policy
- Foreign Currency Translation Policy

## **6.7 Funding in-country partners**

### **Policy**

AADO prepares specific documentation for each partner that includes reference to the use of funds and financial reporting of funds usage, to ensure that funds sent to partners are used for the purpose for which they are intended.

### **Procedures**

Each payment to an in-country partner is subject to the following internal controls:

- The payment is in accordance with the approval of funding by the AADO Committee of Management.
- The in-country partner has signed a project funding agreement detailing the schedule of payments throughout the project cycle, and the funding conditions.
- Not all project payments are made at the commencement of a project but as determined in a schedule specific to each project.
- The in-country partner has confirmed that it has an active, current bank account.
- AADO's Treasurer notifies the in-country partner of the transfer of funds at the time of transfer, and the estimated time for arrival.
- The in-country partner confirms receipt of payment within 72 hours of the arrival of funds.
- AADO internal controls exist so as to identify any delays in a partners' confirmation of receipt of funds.
- Payments are not approved unless the partner has satisfied the financial reporting requirements outlined in the agreed upon project funding agreement.
- A full financial acquittal of project funds against the budget is a required and is a condition of future funding.

## 6.8 International money transfers

### Policy

AADO operates a Foreign Exchange International Payments (FIXP) account with American Express, for the purposes of transferring funds from Australia to Afghanistan. Two signatories are required to operate this account and to authorise all international money transfers.

### Procedures

- Eligible signatories are the Treasurer and the Executive Director.
- Funds are transferred from the Westpac Bank in Australia to the Kabul Bank in Kabul by American Express online telegraphic transfer.
- The Executive Director, when required, requests funds for transfer from the Treasurer. For added security, this is a two-step process.
- The Treasurer accesses the American Express website where an AADO online facility exists for the transfer of funds, and enters the amount of US Dollars to be transferred and the account details of the receiving bank in Kabul.
- The American Express facility gives an exchange rate to USD for the AUD amount to be transferred to the American Express account.
- On completion of this exercise, the Treasurer notifies the Executive Director who then enters the American Express website using her own pin and password and approves the transfer of funds.
- When this process has been completed, the funds are deposited by AADO into the American Express account and transferred by American Express as US Dollars to the relevant Partner's bank account in Kabul.
- The Treasurer processes all outgoing and incoming transfers using MYOB software for the purpose of maintaining accurate financial records. Hard copy records are retained.

## 6.9 Foreign currency translation

### Policy

In the reporting of foreign currency transactions in the functional currency, AADO abides by the standards set out in *Australian Accounting Standard AASB 121- The Effects of Changes in Foreign Exchange Rates*.

### Procedures

- The functional currency of AADO is Australian Dollars (AUD).
- All exchange rates used are referenced from the Australian Taxation Office Website.

- Foreign currency transactions are initially recorded and converted into the functional currency using the spot exchange rate for the date of the transaction.
- Monetary assets and liabilities denominated in foreign currencies are translated using the monthly average exchange rates at the balance sheet date.
- The functional currency for AADO's subsidiaries in Afghanistan is US Dollars (USD). As at the reporting date, the assets and liabilities of these subsidiaries are translated into Australian dollars at the rate of exchange at the balance sheet date. Income statements are translated using monthly average exchange rates for the reporting period.
- Exchange differences arising on the settlement of monetary and non-monetary items at rates different from those at which they were initially recorded during the year, or reported in previous financial statements, are recognised as income or as expense in the year in which they arise, and are included in the profit and loss account for the period.

**Related documents:**

- Associations Incorporation Act (1981)
- Australian Accounting Standard AASB 121- The Effects of Changes in Foreign Exchange Rates

## **6.10 Investment management**

### **Policy**

- The Committee of Management is responsible for ensuring that the organisation has adequate resources to carry out its work. The management of AADO investments is integral to fulfilling this responsibility. AADO uses opportunities to invest assets in order to gain additional funds for the organisation.
- AADO only invests with reputable, established, proven financial institutions. Its funds will not be invested in companies pursuing activities which are contrary to AADO's statement of purpose.
- Accumulated funds will always be invested in interest bearing accounts and the interest generated by these investments will be used to support the operating costs of the organisation.
- The progress of investments along with the investment strategy is to be reviewed at the end of each financial year.

### **Procedures**

- The Treasurer and other office bearers investigate investment options and make recommendations to the Committee of Management.

- An investment strategy is agreed by the Committee of Management following a review of AADO's balance sheet and projected budget.
- The decision to invest funds must be agreed by resolution by the Committee of Management. The investment agreement must be recorded in the minutes of the Committee Meeting and presented to a financial institution (such as Westpac and the ANZ), by an authorised signatory as proof of endorsement.
- Unexpended project funds at the end of a financial year are to be re-distributed for the global use of the organisation, or as agreed with the sponsor.

## **6.11 Electronic Funds Transfer (EFT), cash withdrawals and cheques**

### **Policy**

Approval by two eligible signatories is required for all electronic funds transfers, cash withdrawals and cheques issued for the amount of AUD \$5 000 and above.

### **Procedures**

- All electronic funds transfers, cash withdrawals and cheques issued for the amount of AUD \$5 000 and above must be approved by two eligible signatories.
- Eligible signatories are the Treasurer, Executive Director or any other Committee of Management Member who has been previously nominated and endorsed by the Committee of Management.
- Signatories cannot sign or endorse a cheque, EFT or cash withdrawal made payable to themselves, or where there may be a conflict of interest, i.e. friends and family. In the case that a payment of over \$5 000 must be paid to one of the signatories, an acting signatory is nominated and endorsed by the Committee of Management..
- The Treasurer maintains a register of electronic funds transfers, cash withdrawals and cheques issued by AADO in MYOB. Financial reports are presented to the Committee of Management for ratification at monthly meetings.
- Quarterly bank statements are available at Committee meetings for scrutiny, in accordance with AADO's Risk Management Policies.

## **6.12 Petty cash and expense reimbursement**

### **Policy**

AADO operates a petty cash system for small purchases less than \$50.00 where payment through the accounts payable system is not justified.

All references to monetary amounts in this policy are on a GST inclusive basis.

### **Procedures**

- The Treasurer must approve the establishment of all petty cash floats.

- The imprest amount is \$50 and is replenished as required. The Treasurer is to check imprest to verify amount held at least quarterly and at the close of the financial year.
- The Project Coordinator is responsible for the maintenance and security of petty cash. Petty cash funds are held in a locked cashbox in a locked filing cabinet.
- All petty cash expenditure must be recorded on the Petty Cash Register
- Following monthly balancing of petty cash by the Treasurer, the transaction spread sheet is completed with petty cash receipts for processing in MYOB.
- Receipts or invoices are forwarded to the Treasurer where it is necessary for these to be obtained. Receipts/invoices must comply with GST legislation i.e. that the words “tax invoice”, date of issue of tax invoice, name of supplier, a brief description of each item supplied, ABN number and either the GST amount or wording along the lines of “total price includes 10% GST”, are to be clearly stated.
- A limit of \$50 applies to petty cash reimbursements. In all other cases reimbursement will be made by electronic funds transfer.
- The Treasurer may approve petty cash claims in excess of \$50 depending only in special circumstances.
- EFT payments are issued within 7 days of provision of paper documentation.

#### **Related Documents:**

- Petty Cash register

### **6.13 Receipt of online payments**

#### **Policy**

AADO operates a Business PayPal account for the purposes of receiving and processing online donations, payment of memberships and general payments.

#### **Procedures**

- The Treasurer is the primary ‘signatory’, and the PCC is the secondary ‘signatory’ for the management of AADO’s PayPal Business account.
- The primary email address for correspondence with PayPal is [finance@aado.org.au](mailto:finance@aado.org.au), which is managed by the Treasurer who is responsible for the password.
- Funds processed through PayPal will be electronically transferred to AADO’s nominated Bank Account at least once before the close of each month or as soon as the total amount accrued reaches \$500 AUD.
- The collection of donors’ personal information will be for the sole purpose of issuing tax-deductible receipts. Information collected will comply with AADO’s *Privacy Policy* and the *Information Privacy Act (2000)*.
- Notifications of donations and receipts of payment issued by PayPal are printed and stored securely by the Treasurer as part of the paper trail of AADO’s financial records.

## Related Documents

- Privacy Policy
- Information Privacy Act (2000)

## 6.14 Tax deductible payments

### Policy

In November 2012, AADO was granted DGR status by the Australian Taxation Office. This enables supporters to receive a tax-deductible receipt for their donation

### Procedures

- AADO has a designated bank account with the Westpac Bank called *AADO Overseas Aid Public Fund* into which all tax deductible donations are banked.
- Funds received either through paypal, cash or direct into the *AADO Overseas Aid Public Fund* are accounted for in the MYOB Account Right accounting package which is directly linked to Westpac.
- The Treasurer is responsible for the processing of these donations and each one is recorded under the name of the donor in MYOB.
- The Treasurer maintains the register of donors in MYOB.
- Tax receipts are emailed to the donors at the end of each financial year if not requested earlier.

## Related Documents

- ATO DGR status Register.
- MYOB Bank Register
- MYOB Card File

## 6.15 Asset management

### Policy

AADO provides a systematic and accountable method of controlling the recording, tracking and disposal of its fixed assets towards ensuring that the value of such assets is properly recorded and their depreciation, impairment and write-off are all reported accurately in AADO's financial statements and management reports.

### Procedures

- New assets/equipment valued at over \$250 are recorded in the Asset Register. The Asset Register also indicates the funding source.
- Asset disposal (e.g. selling, donating, trashing) must be approved by the Committee of Management. Details of the disposal will be entered into the Asset Register.
- An annual stock-take of assets/equipment against the Asset Register will be conducted prior to the annual financial audit.
- Depreciation of assets will not exceed 5 years for furniture and equipment and 3 years for computer and other technology equipment.

**Related Documents:**

- Asset Register

## **6.16 Insurance**

### **Policy**

AADO maintains adequate insurance cover at all times. This Includes:

- Management Liability insurance, which covers Crisis Loss, OH&S, Pecuniary Penalties, Publicity and Tax Disputes
- Business Insurance, which covers Public Liability, Pollution, Property in Care and Products Liability.
- Workcover for staff
- Personal Accident cover for all volunteers

### **Procedures**

- To ensure best coverage and protection for its personnel and operations, in order to determine best insurance options, AADO draws on the assistance of an independent insurance broker
  - AADO annually reviews its policies and is responsible for providing its insurer/broker with a detailed and accurate schedule of activities and inclusions to be covered.
  - The Treasurer is responsible for ensuring all insurance policies are up to date including scheduled payments and the retention of adequate documentation covering policies and conditions.
-



## 7 STAKEHOLDER RELATIONS

Policy number	7	Version	1
Drafted by	Lee Tregloan	Approved by COM	12/07/2011
Responsible person	Committee of Management	Scheduled review date	<<insert date>>

### 7.1 MANAGING STAKEHOLDER RELATIONS

#### Background

AADO recognises that to effectively connect with the constantly changing environment that is Afghanistan, it has to build, maintain and evolve ever-stronger collaborative links.

AADO recognises that to achieve its aims, it has to work through both informal and formally recognised links across community and professional boundaries in both Afghanistan and Australia.

AADO recognises that collaborative relationships may differ between its own and external stakeholder perspectives depending on the different links they may have with AADO.

External stakeholder perspectives may be related to:

- Communities and Program Beneficiaries
- Community Leaders
- Partnerships
- Donors
- Members
- Fundraising
- Media

#### Policy

Effective collaboration and engagement with other agencies and stakeholders to achieve AADO's objectives across the range of its projects, are integral to AADO's success in delivering and coordinating effective and timely services.

#### Procedures

For each of the areas identified above, in order to harness the diverse insights and ideas from stakeholder organisations and individuals, AADO is:

- Identifying key stakeholders at the early stages of establishing any AADO initiative and understanding their perspective and level of interest in balancing short and long-term priorities.
- Listing details relating to each stakeholder in project plans and updating these at least quarterly. Details identify the stakeholder, main contact details, level and nature of support. To reflect increased interest in a project and through project review, other stakeholders may be added later.
- Ensuring a clear communication plan that sets out exactly how AADO is communicating with key stakeholders about a project. Project background notes being used to record communications, decisions and levels of agreed action. Follow up on action will be recorded.
- Ensuring that stakeholders are each well informed about the nature and scope of the program or project they are associated with, they have a clearly identified contact point within AADO, and they can seek consultation and further opportunities to contribute to its development across all stages.
- Working on an annual process of review and reflection with stakeholders to learn and share from achievements and also limitations. This also gives stakeholders the opportunity to critically assess AADO's progress.
- Recognising that sometimes because of unforeseen circumstances, two-way communications and engagement can vary over time especially in long term areas of work, and that any variations are being recorded.
- Recognising that a continuum of relationships extending from informal networking to collaboration with various stakeholders is more likely to be happening in all areas of AADO's operations. This means that a one-size fits all approach is not desirable, and appropriate communication strategies are needed with each relationship.
- Ensure that stakeholders are appropriately acknowledged in presentations and published details of projects. Sensitivity to local circumstances in Afghanistan will be integral to the process.

## **7.2 PRIVACY**

### **Policy**

AADO is committed to protecting the privacy of any personal information which the organisation may collect, hold and administer. Personal information is information which directly or indirectly identifies a person.

AADO recognises the essential right of individuals to have their information administered in ways which they would reasonably expect i.e. protected on one hand, and made accessible to them on the other. These privacy values are reflected in and supported by AADO's core values and philosophies.

AADO is bound by Victorian Privacy Laws, the *Information Privacy Act (2000)*, as well as other legislation, which impose specific obligations when it comes to handling information. The organisation has adopted the respective Privacy Principles contained in the Victorian Privacy Laws as minimum standards in relation to handling personal information.

In broad terms this means that AADO:

- Only collects information which the organisation requires for its primary function;
- Ensures that stakeholders are informed as to why the information is collected and how it is handled.
- Uses and discloses personal information only for AADO's primary functions or a directly related purpose, or for another purpose with the person's consent
- Stores personal information securely, protecting it from unauthorised access and
- Provides stakeholders with access to their own information, and the right to seek its correction.

In general, the purpose for which AADO collects personal information includes;

- Joining or renewing of membership with AADO
- Subscription to AADO's quarterly newsletter
- To process a donation, sponsorship or other financial support

## **Spam compliance**

AADO is fully compliant with the *Australian Spam Act 2003*:

- AADO does not circulate unsolicited emails. AADO only contacts those people with whom it has an established relationship or who have contacted the organisation to request information.
- All automatically-sent emails include a clickable HTML link which can be used to change email preferences or to unsubscribe.

## **Procedures**

### **Collection**

AADO:

- Only collects information that is necessary for the performance and primary function of AADO
- Notifies stakeholders about why the information is collected and how it is administered

- Notifies stakeholders that this information is accessible to them on request or as agreed in specific stakeholder agreements.

### **Use and disclosure**

AADO:

- Only uses or discloses information for the primary purpose for which it was collected or as a directly related secondary purpose.
- For other uses, obtains consent directly from the person concerned.

### **Data quality**

AADO:

- Takes reasonable steps to ensure that information collected is accurate, complete, up-to-date, and relevant to AADO functions.

### **Data security and retention**

AADO:

- Safeguards collected information and stores it securely against misuse, loss, unauthorised access and modification.
- Destroys records in accordance with Records Management Policy.

### **Openness**

AADO:

- Ensures stakeholders are aware of AADO's Privacy Policy and its purpose.
- Makes this information freely available in relevant publications and on the organisation's website.

### **Access and correction**

AADO:

- Ensures individuals have a right to seek access to information held about them and to correct it if it is inaccurate, incomplete, misleading or not up-to-date.

### **Making information available to other service providers**

AADO can:

- Only release personal information about a person with that person's expressed permission, in the form of a signed letter or email to AADO.

- Only release information to third parties where it is requested by the person concerned.

## **Responsibility**

AADO's Committee of Management is responsible for oversight of this policy.

AADO's PCC is responsible for monitoring changes in privacy legislation and for reviewing and recommending changes to this policy as the need arises.

---

## 8 HUMAN RESOURCES MANAGEMENT

Policy number	8	Version	1
Drafted by	Rosemary Marquardt	Approved by Committee of Management on	12/07/2011
Responsible person	Committee of Management	Scheduled review date	<<insert date>>

### 8.1 EQUAL EMPLOYMENT OPPORTUNITY

#### Policy

Equal employment opportunity is the right of all individuals to be fairly considered for positions within an organisation for which they have the necessary skills and qualities. AADO is committed to the implementation of equal opportunity principles.

#### Procedures

All staff members, volunteers and employment applicants are entitled to be treated on the basis of their true abilities and to work in an environment that is free from discrimination.

AADO's policy ensures that the most suitable and capable persons are selected to fill positions, regardless of physical attributes, personal circumstances or any other irrelevant features.

#### Recruitment

Advertisements for positions are carefully worded to ensure that no group is inadvertently discouraged from applying.

Selection of staff members is made solely on the basis of the relative knowledge and abilities of each applicants to perform the duties of the job, although this should also include the perceived ability of the applicant to fit into the nature of the organisation. At least three members of the committee, including the CEO, should be responsible for conducting the selection interviews which must treat all applicants fairly and equitably.

### 8.2 EMPLOYMENT CONDITIONS

#### Policy

AADO:

- is committed to providing a positive work environment in which employees feel that they are valued, treated fairly and given recognition for their contribution to the

success of the organisation. AADO aims to provide an environment that fosters good working relationships at all levels and offers flexible and supportive work practices

AADO is committed to providing employees with working conditions that comply with relevant legislation and which are comparable with industry standards for similar positions.

A formal Employment Agreement is signed with each employee which covers all standard working conditions such as hours of work, salaries, superannuation and leave entitlements as well as confidentiality requirements. This Agreement, which complies with the Australian Fair Work Act 2009, is signed by the ED or President and the employee at the start of employment.

## **Procedures**

### **Salaries**

Salaries are paid on a fortnightly basis by direct EFT. Salaries are credited to the employees' bank accounts prior to close of business on the last Thursday of the pay period which ends on the Friday. If a public holiday or an unforeseen circumstance affects this payment schedule, arrangements will be made for salaries to be paid earlier. In such an event, notification will always be given by the Treasurer.

At the start of employment, staff must provide the Treasurer with their bank account details, tax file number and superannuation details to be held in their personal file.

### **Superannuation**

As required by legislation, AADO makes the basic contribution to the employee's nominated superannuation fund. This contribution is set as a percentage of earnings as specified by the Government's Superannuation Guarantee. The current rate is 9%. All employees are automatically covered by this non-contributory scheme.

An employee may also wish to make a pre-tax salary sacrifice of a portion of each salary payment. This arrangement has to be confirmed in a jointly signed agreement.

### **Travel expenses and reimbursement of other out of pocket expenses**

As AADO is a not for profit organisation, all travel, both domestic and international is paid at the level of economy class, and all accommodation at 3-4 star rate. A per diem including the cost of meals, will be paid and taxi and bus fares reimbursed.

All overseas travel is approved by the Committee of Management prior to bookings and arrangements being made.

### **Hours of work**

AADO's normal working week is 37.5 hours.

### **Time Off In Lieu (TOIL)**

#### **Policy**

As funding does not provide for overtime payments, extra hours worked must be taken as TOIL, and must be formally approved in advance.

#### **Time sheets**

Employees must record hours of work each day on a monthly time sheets. Time sheets must accurately report the hours worked as well as any sick leave, annual leave or any other leave taken. Staff submit time sheets to the Treasurer on a monthly basis. Annual or sick leave taken within a given fortnight will be reflected in the following pay period.

## **8.3 OCCUPATIONAL HEALTH AND SAFETY**

### **Policy**

AADO is committed to providing a healthy and safe working environment to its employees, committee members, volunteers and visitors. As a consequence, AADO encourages everyone to regard accident prevention and working safely as a collective and individual responsibility.

### **Procedures**

- AADO implements an OHS policy on a continuous improvement basis which includes consulting with workers, staff and volunteers, training staff in OHS management and displaying WorkSafe notices and the OH&S Regulation 2001 on the office notice board.
- Management and consultation are vital requirements of the OHS Act and effective consultation results in better decision making about health and safety for everyone. The Committee of Management acknowledges that it has primary responsibility for implementation of the OHS policy and takes all practical measures to comply with the OHS requirements.
- All workers and volunteers are directed to follow the AADO OHS policy and safety procedures which require them to report any hazards, participate in any training and observe and promote safe working practices. In addition, a *Register of Injuries* is

maintained in the office and any accidents or incidents are to be recorded in the Register within 24 hours of the occurrence.

- AADO complies with all statutory requirements in relation to the provision of insurance against work related injury. AADO WorkSafe Injury Insurance is covered by QBE Insurance.

### **Recording Injuries**

In the case of an accident or incident, if medical treatment is required, medical or first aid help should be sought and an *Incident Report Form* completed.

If the staff member requires time off as a result of the injury, a WorkCover medical certificate must be obtained from their doctor so that a workers compensation claim can be lodged. This form must be lodged with QBE within seven days of the injury occurring. In the case of a 'significant injury', as defined in the Act, a WorkCover *Accident Report Form* is completed and sent to the nearest WorkCover office.

### **Return-to-work policy**

Following any injury which may have impact on someone's capacity to work, employees are not permitted to return to work without a medical clearance.

In the case of significant injury, the management of AADO will co-operate with the insurance company in developing and complying with an injury management plan. If required and if possible in a very small organisation, a Return-to-Work program will be developed offering suitable duties.

### **Disputes**

If there are disputes about suitable duties or the return-to-work process, management will work with the injured worker and the Insurance Company, WorkCover Authority or an injury management consultant to try and resolve the dispute.

### **Related Documents:**

- AADO Incident Report Form
- WorkCover Accident Report Form

## **8.4 ILLNESS OR ACCIDENT**

### **Policy**

In the event that an employee is prevented by personal ill health or accident from performing their duties, the employee shall be entitled to sick leave without loss of pay for up to 10 days for each 12 month of service.

#### **Procedures**

- Sick leave for a period of more than two days will be paid for on presentation of a doctor's certificate on each occasion.
- The employee will not be entitled to any pay in lieu of accumulated sick leave upon termination of employment.

### **8.5 ANNUAL AND SPECIAL LEAVE**

#### **Policy**

Employees are entitled pro rata to the equivalent of twenty working days annual leave without loss of pay, on completion of each year of service.

#### **Procedures**

Annual leave will be taken by an employee at such time or times as are mutually agreed between the employee and the ED who may also consult with members of the AADO COM. Every effort is to be made to take leave as it falls due and not more than ten days leave may be carried forward from one year to the next.

AADO's office is generally closed from Christmas to New Year each year and arrangements will be agreed in advance to work additional hours so that scheduled normal working days during this period may be taken as leave in lieu. Alternatively, employees may choose to take these days as annual leave, or leave without pay.

In the event that special leave may need to be arranged to cover bereavement leave, jury service, or other immediate family demands, it is expected that on each occasion, special leave requirements will be discussed as immediately as possible, and no later than 24 hours after commencement, with the CEO who will consider and decide on each application.

### **8.6 MATERNITY AND PARENTAL LEAVE**

#### **Policy**

#### **Maternity Leave**

Maternity leave is available for up to 52 continuous weeks of unpaid leave, which includes a compulsory period of 6 weeks, provided the employee has given at least 12

months continuous service and the employee is the primary caregiver of the child. The employee is entitled to resume the same position she had prior to the leave.

## **Parental Leave**

Parental leave may be shared between parents, who may choose a part time parental leave/work arrangement.

## **Procedures**

Maternity and parental leave arrangements will be formally recorded and signed by the staff member concerned and on behalf of AADO.

Confirmation in writing of return to work is required by the employee, at least 4 weeks prior to the expiration of maternity or parental leave.

## **8.7 PROFESSIONAL DEVELOPMENT AND PERFORMANCE**

### **Policy**

AADO acknowledges that professional development is integral to personal job satisfaction, workplace productivity, reward and recognition and for the successful achievement of the organisation's mission, as well as continuous improvement in the quality of its programs and services.

AADO is committed to providing opportunities for staff members to increase their skills in order to increase job satisfaction and raise the professional standards of the organisation.

Performance measures and staff development reviews are a means by which professional development needs can be assessed and incorporated into further staff development plans and achievements

### **Procedures**

Professional development programs can include external courses, attendances at conferences or seminars, support for undertaking research or project work, networking and travel to experience the culture of other countries, particularly those with which AADO is associated.

Professional development courses for AADO staff are to be mutually agreed by the staff member and COM. Some external courses, while being educational and necessary for

improvement, can be a significant expense for a small organisation and may require special funding.

Travel, as part of professional development, is a necessary requisite for senior AADO staff and where possible will be implemented. Travel is approved by the COM and arrangements are agreed by the employees and the ED.

The annual performance review is designed to give staff and the ED the opportunity to assess work performance, receive feedback, identify development and training needs and establish achievable goals for staff and therefore for the organisation

## **ABSENCE AND LATENESS**

### **Policy**

The reasons for staff absences or late arrival for work will be noted and where possible, time made up by working the missed hours in the future. In the case of an absent day, this can be debited as leave without pay or annual leave.

In situations where staff absence or lateness continues without due cause, the staff member concerned will be counselled by the ED about the impact of their absence on the operations of the organisation and the terms of their employment contract and the standard of employment required.

Counselling will continue and written notification given to the employee if the work performance does not improve. The principles of natural justice will apply during this process.

## **8.8 HARASSMENT**

### **Policy**

AADO is committed to providing an employment environment that is free from bullying, sexual or other harassment, and to the establishment of procedures for the resolution of claims of such behaviour.

Bullying, sexual or other harassment, represent unacceptable standards of behaviour and the Committee of Management has a legal responsibility to ensure that they never occur.

These forms of harassment will not occur if each individual respects the right of others to work in an environment free from harassment and acts accordingly.

## **Procedure**

Complaints should be made immediately to the ED or Committee of Management who will treat all complaints with the utmost seriousness and confidentiality.

The process by which complaints can be resolved includes advice regarding rights and responsibilities, clarity of what constitutes harassment or bullying of any kind, exploration/implementation of strategies, mediation and counselling.

All complaints will be fully documented and signed off by the complainant and respondent on resolution of the complaint. These records will not be kept on staff files unless formal disciplinary procedures are instituted.

## **8.9 CONFIDENTIAL INFORMATION AND NONDISCLOSURE**

### **Policy**

Employees shall not at any time either during the period of their employment agreement, or after its completion, divulge either directly or indirectly to any person or organisation, confidential knowledge or information acquired during the course of their employment.

The exceptions are when:

- (a) the divulging of the confidential knowledge or information is reasonably necessary in the course of the employee's duties
- (b) the divulging of the confidential knowledge or information is required by law

Confidential knowledge or information shall include for the purposes of this policy, information regarding the business transactions, affairs, property, policies, processes or activities of AADO, its Committee of Management and/or subcommittees.

## **8.10 USE OF EQUIPMENT**

### **Policy**

AADO office equipment including a computer, laser printer and digital camera is to be used to support AADO's operations in the normal course of the working week.

In the event that the computer and camera are required for transporting records and information and for recording overseas travel, then the designated employee will take all precautions and responsibility for safe keeping of the equipment.

Such equipment will be covered under a travel insurance policy and a backup of the hard drive of the computer secured in the AADO office.

## **8.11 USE OF COMPUTER, INTERNET AND EMAIL**

### **Policy**

The use of AADO's computer, internet and email facilities is limited to the conduct of AADO's affairs and must not be used for any other purposes.

### **Procedures**

- All computer files will be routinely backed up and updated with copies being kept offsite.
- Email facilities are provided for formal business correspondence.
- Care is to be taken to maintain the confidentiality of sensitive information. If emails need to be preserved, they should also be backed up and stored offsite.
- Limited private use of email is permissible if this doesn't distract from an employee's work.
- Excessive internet and email use eg Facebook by any staff member is not permitted.

## **8.12 RESOLUTION OF DISPUTES**

### **Policy**

In line with fair work practices, AADO will ensure thorough investigation and a process for the resolution of disputes

### **Procedures**

- In the event of a dispute between AADO and an employee, both parties agree to confer initially to determine whether the dispute can be resolved. In the event that it cannot be resolved within seven days from the commencement of negotiations, then the parties shall:
  - a) refer the dispute for mediation before a mediator and
  - b) In the event that mediation does not resolve the dispute within twenty-one days of the appointment of a mediator, then refer the matter to a mutually agreed independent arbitration body according to current Australian Work Practices Law. The parties would then voluntarily submit to the jurisdiction of the said body and agree to be bound by its determination.

## **8.13 EMPLOYMENT TERMINATION/RSIGNATION**

### **Policy**

In line with fair work practices, AADO will ensure thorough investigation and a process for the suspension/termination of any staff member

### **Suspension of employment procedure**

Related to counselling and disciplinary procedures, for instances of misconduct, it may be appropriate for an employee to be suspended until a thorough investigation of the issue has been conducted. This would also apply to a volunteer.

The investigation should be conducted by the CEO, Committee of Management or an independent person.

The staff member will be entitled to normal pay during the time of suspension.

### **Termination of employment procedure**

AADO reserves the right to terminate the employment of an employee immediately for misconduct or gross inefficiency. A staff member's employment or a volunteer's work may be terminated by AADO through:

- the counselling and disciplinary process;
- instant dismissal for conduct such as theft or accessing pornography
- redundancy; or guilty of conduct bringing the staff member or AADO into disrepute
- being absent from work without permission and not providing an explanation for that absence which is considered as satisfactory. AADO is entitled to assume that the employee has abandoned (i.e. terminated) employment and pay would be forfeited in lieu of notice.

When a termination arises due to redundancy, or to dismissal through a procedure of counselling and discipline, an employee shall be given 4 weeks' notice of termination of their employment.

Employees who are aged 45 years at the time of giving notice, with no less than one year's continuous service, shall be entitled to an additional 1 weeks' notice.

### **Summary dismissal**

If an employee is summarily dismissed for gross misconduct, their employment may be terminated without notice. The principles of natural justice will apply during this process which include, the employee being notified of the allegations and being given the opportunity to respond.

Upon termination of employment, a staff member shall return to AADO forthwith all property of AADO which is then in their possession

## **8.14 VOLUNTEERS**

### **Policy**

AADO recognises that volunteers make a valuable and vital contribution to the effective operation of community based organisations. AADO also recognises that when based on sound principles, volunteering benefits the volunteers, the organisation, its projects and the community which profits from these services.

### **Procedures**

AADO's Committee of Management, including the Executive Director are all volunteers and many members of the organisation also volunteer to assist with fundraising events.

The COM has an obligation to conduct the organisation's affairs legally, honestly and ethically and as all committee members are volunteers, this obligation is not diminished.

Volunteers are expected to conduct their duties in a co-operative and honest manner, to be reliable, punctual and respect confidentiality. They will be representing the interests of the organisation above their own and will maintain a positive, optimistic attitude in supporting AADO.

AADO's existence relies on volunteer services and the organisation respects this commitment and has resolved that all volunteers are covered by OHS legislation and insurance indemnity.

All volunteers have the same right to a working environment which is safe and free from harassment whilst working in the office or at other formal gatherings of the association.

As part of AADO's expectation of their role, volunteers may be required to undertake training or attend seminars in order to gain new skills or information for the organisation.

## **8.15 COMPLAINTS**

### **1. The value of complaints and our commitment to good complaint handling**

AADO recognises the importance and value of listening and responding to concerns and complaints. We are committed to achieving the highest standard we can in every area of

our work and to continuous improvement. Receiving concerns and complaints is one of the most important ways of learning what we need to do to improve our work as AADO seeks to maintain its reputation as an honest and committed not for profit organisation delivering educational programs in Afghanistan.

This Policy applies to all of our people, employees, trainers, trainees and volunteers who are, in principle, familiarised with the policy. We trust that any complaints will be handled in an efficient, effective and professional manner. Receiving complaints is an important way of learning what we need to do to improve our administration and programmes. Our policy document is available on our website and the information contained therein is intended to apply to any complaint, regardless of who makes it.

## **2. Guiding Principles for our Policy.**

- 1 We will clearly publicise about how and where to complain
- 2 We will ensure that our complaint handling process is as accessible as we can possibly make it to all complainants
- 3 We will respond to complaints according to our predetermined timeframes
- 4 We will address all complaints in an equitable, fair and unbiased manner.
- 5 Access to the complaint process is free of charge to complainants
- 6 We will observe strict confidentiality in complaint handling
- 7 The interests of our students/trainees are foremost in our approach to complaint handling.
- 8 We will ensure that accountability for and reporting on the actions and decisions with respect to complaint handling is clearly established.
- 9 Continual improvement of the complaint handling process and the quality of services is one of our permanent objectives, so that we will maintain data collection on complaints, keep abreast of best practices and encourage innovation in complaint handling development.
- 10

## **3. Scope of our Policy**

This policy is intended to apply to any complaint, regardless of who makes it.

We regard a complaint as any expression of dissatisfaction about our organisation, our staff, our volunteers, our partners, our contracted service providers or anyone else acting on our behalf

## **4. Educating the Organisation**

Our Complaints Policy is available online to staff and committee members and a hard copy is located in the AADO Office. We conduct annual strategic planning workshops for the staff and committee when policies and organisational matters are reviewed and discussed in order to ensure all attendees are familiar with this policy.

In Afghanistan, our staff are made aware of the complaints policy by email and site visits and they are encouraged to receive and handle complaints accordingly.

## **5. Publicising Our Policy**

Our Policies and Procedures Manual is available on our website, [www.aado.org.au](http://www.aado.org.au) so that Complaints Handling is readily available as a source of information or as encouragement to proceed with a complaint or concern. We make clear in this policy that we value receiving concerns and complaints as it encourages us to improve our procedures and to rectify any inadequacies of our organisation.

In Afghanistan the Complaints Policy needs to be publicised verbally as the document has not been translated into Dari or Pashtun. All staff, trainers and trainees are encouraged to lodge complaints if desired and these can readily be written down and followed through according to the Complaints Policy.

## **6. Where and How Complaints may be made**

We are able to receive complaints orally in person, by telephone and in writing by post, email or online via our website. Where complaints are made verbally, we will ensure that the write up of the complaint contains all the information the complainant wishes to provide.

Complaints may be made by a friend or advocate of the complainant on their behalf. Where appropriate we may utilise complaint/suggestion boxes. We recognise that in some circumstances complainants may wish to remain anonymous. Because such complaints can alert us to problems that need fixing, we will accept them though clearly it may not be possible to provide a remedy to an individual.

Contact details are:

### **Melbourne**

71 Argyle Street  
Fitzroy, VIC, 3065  
Ph: +61 3 9279 1845  
[info@aado.org.au](mailto:info@aado.org.au)

### **Kabul**

House 72, Ashraf Watt, Haji Yaqoob Square  
Shar-e-naw, Kabul, Afghanistan  
Ph: +93 706 13 13 77  
[aado.kabul@aado.org.au](mailto:aado.kabul@aado.org.au)

## **7. How Complaints are handled**

When an oral complaint is made we will:

1. Listen, record details and determine the outcome desired
2. Confirm that the details given have been firmly understood by us
3. Show empathy but not take sides, lay blame or become defensive

For all complaints we will:

1. Seek from the client the outcome they are expecting
2. Make an initial assessment of the severity of the complaint and the urgency of action
3. Clearly explain the course of action that will follow if:
  - o The complaint is out of our jurisdiction
  - o We may exercise a discretion not to investigate
  - o Preliminary enquiries need to be made
  - o Further consideration needs to be given
  - o The complaint is to be investigated
4. Not create false expectations
5. Give an estimated time frame if possible
6. Check whether the client is satisfied with the proposed action and if not, suggest alternatives
7. Ensure the complaint is acknowledged and registered
8. Follow up where necessary and monitor the client's satisfaction.
9. Make sure our personnel are appropriately trained to encourage and handle enquiries
10. Ensure a complainant is not required to express their complaint to a person implicated in their complaint or for that person to be involved in any way.

To determine how a complaint should be managed, we use the following criteria:

- a Severity
- b health and safety implications
- c financial implications for the complainant and others
- d complexity
- e impact on the individual, public and organisation
- f potential to escalate
- g the need for and possibility of immediate action

If we assess the complaint as significant in terms of one or more of these criteria, we will classify the complaint accordingly

## **8. Inquiries, minor complaints and jurisdiction**

On receipt of a complaint we will attempt to determine whether investigation is required or not, depending on jurisdictional questions and whether the complaint is ill conceived.

If the complainant disputes an assessment that a complaint should not be investigated, the person handling the complaint should refer it to a more senior colleague for review. If such a dispute is unresolvable we will refer the complainant to Code Committee of Australian Council for International Development (ACFID), at 14 Napier Close, Deakin ACT 2600, Australia. Phone: +61 2 6285 1816 Email: code@acfid.asn.au

## **9. How complaints are investigated**

We will make every reasonable effort to investigate all the relevant circumstances and information surrounding a complaint. The level of investigation will be commensurate with the seriousness and frequency of the complaint.

The process by which complaints can be resolved includes advice regarding rights and responsibilities, clarity of what the complaint is about, exploration/implementation of strategies, mediation and counselling.

## **10. Timeframes**

1. We will acknowledge written complaints within 5 days
2. We will acknowledge oral complaints immediately
3. We will resolve complaints as quickly as possible and within 30 days unless there are exceptional circumstances.
4. If the complaint is unresolved after 30 days, the complainant will be informed of any progress and kept informed of progress every two weeks
- 5.

## **11. Responding to and closing a complaint**

Our CEO or Senior Manager will normally make the decision on a complaint that has been investigated. Decisions on more serious complaints may be referred to the Committee of Management.

The decision will be communicated in writing unless the written language is not understood and a verbal decision needs to be given.

The complainant will be encouraged to respond to the decision and if dissatisfied, will be encouraged to provide additional information for a review.

## **12. Outcomes of complaints**

We will learn from the complaints by:

- a. Ensuring that all personnel are informed of the outcomes and the implications for our services, procedures and processes
- b. Taking all required remedial action including changing the way we operate and training staff appropriately
- c. Consulting and taking advice from ACFID or other enforcement agencies

### **13. Confidentiality**

We will not reveal a complainant's name or personal details to anyone in or outside our organisation other than staff involved in handling the complaint without obtaining the complainant's permission

### **14. Recording Complaint Data**

All complaints will be acknowledged immediately upon receipt and documented in a complaints register which will record:

- a. Date of receipt
- b. A description of the complaint and relevant supporting data
- c. The requested remedy
- d. The services and or practice or procedure complained about
- e. The due date for a response
- f. Immediate action taken (if any) to resolve the complaint
- g.

### **15. Reporting about Complaints**

1. Complex and/or major complaints will be immediately escalated to the CEO or other Senior Manager
2. All complaints will be reported at the monthly Committee Meetings or Management meetings in Kabul
3. Minor complaints will be summarised and major complaints detailed.
4. An analysis will be included in the complaints report provided with the complaints Data

### **16. Continuous Improvement**

The effectiveness of complaints handling should be monitored and will be reviewed from time to time as appropriate.

As part of the annual strategic planning workshop for the Committee of Management complaints handling should be discussed.

## 9 EMERGENCY MANAGEMENT

Policy number	9	Version	1
Drafted by	Mark Drew Bianca Pilla	Approved by COM	12/07/2011
Responsible person	Committee of Management	Scheduled review date	<<insert date>>

### 9.1 Fire safety AADO Directorate- Melbourne

#### Policy

AADO staff in Australia work within the *Australian Volunteers International (AVI)* building, owned by the organisation. As Landlords, the building owners are legally obliged to have a fire safety procedure and escape plan diagram on display, with which all tenants and employees are conversant and which they practise. Appropriate Fire Extinguishers must be kept on the premises and checked by an approved authority annually.

#### Procedures

AADO staff will comply with all fire safety procedures for the building. Below are the Fire Safety procedures taken from AVI's *Occupational Health and Safety Manual* and are endorsed for AADO's use:

**In the event of a fire at the AVI office at 71 Argyle Street, Fitzroy or the AVI office at 88 Kerr Street, Fitzroy**

**If a fire occurs in either Argyle or Kerr street buildings**, the following procedures should be followed as closely as possible.

**The person who first sights the fire should:**

- Make sure no one has been hurt or is in the immediate vicinity of the fire (if safe to do so)
- Close the door/windows to help contain the fire
- Quickly phone the fire brigade (000)
  - Provide AVI address, suburb and STATE (71 Argyle Street, Fitzroy, Victoria or 88Kerr Street, Fitzroy, Victoria)
  - give specific directions for the location of the fire (ie most appropriate AVI entrance, nearest street corners)
- Notify a fire warden
- Alert reception (Ext 9)

***Note: Screaming and other behaviour liable to create panic should be avoided at this and all future stages***

In the event of a fire or fire drill all other staff members should cooperate fully by following their wardens directions and instructions promptly and giving whatever support and assistance they request.

#### **Fire Warden's emergency duties (affected area)**

- Put on yellow helmet and grab red clipboard and mobile phone
- Pick up closest fire extinguisher if convenient
- Investigate fire (if safe to do so) – assess if an attempt should be made to put out fire or evacuate
- If evacuation is ordered – alert staff using 3 sharp whistle blasts – and evacuate immediate area
- Ensure that OOO has been called
- Ensure Chief Warden has been notified
- Evacuate floor – using best exit or set of stairs. If dense smoke is part of the scenario, people moving towards safe exits should crouch down and keep as low to the floor as possible.
- Coopt personnel to assist anyone with disability or injury
- Evacuated personnel to be directed to assembly area
  - Kerr Street Building – lane behind Fitz Café
  - Argyle Street Building – lane behind Penang Affair
- Check all areas of floor – toilets, meeting rooms – make sure all personnel have left. Switch off lights and close doors
- Before leaving area report evacuation completion to Chief Warden, then proceed to Evacuation Assembly Area.

#### **Fire Warden's emergency duties (unaffected area)**

- Put on yellow helmet and grab red clipboard and mobile phone

- Go to Primary Emergency Control Point – Reception Argyle Street – Extn 9.  
(Secondary Emergency Control Point is Briefing Office Kerr Street – Extn 791)
- Chief Warden will allocate duties

### **Chief Warden emergency duties**

- Put on white helmet and grab red clipboard and mobile phone
- Go to Primary Emergency Control Point – Reception Argyle Street – Extn 9.  
(Secondary Emergency Control Point is Briefing Office Kerr Street – Extn 791)
- Ascertain the nature of the emergency by communicating with Fire Warden on affected area.
- Ensure Fire Brigade have been notified
- Make public address announcement if required
- Ensure all Fire Wardens are advised of the situation
- Allocate Fire Warden to meet and direct Emergency Services personnel, and stop people entering the building.
- Allocate Fire Wardens duties – accounting for personnel at Assembly areas, assisting floor evacuation, communications assistant/runner, pick up of visitors book.
- Document actions on an Incident log

### **Receptionist emergency duties**

When notified of an emergency the receptionist will;

- Telephone OOO – providing AVI address, suburb and STATE
  - (71 Argyle Street, Fitzroy, Victoria or 88 Kerr Street, Fitzroy, Victoria)
  - give specific directions for the location of the fire (ie. most appropriate AVI entrance, nearest street corners)
- Notify Chief Warden
- Make public address announcement – on Chief Warden's instruction
- The Receptionist should remain at the Primary Emergency Control Point – Reception Argyle Street as long as it is safe to do so and evacuate with Chief Warden.

### **First Aid Officer emergency duties**

- Qualified First Aiders should pick up closest First Aid kit  
Report to Primary Emergency Control Point to receive instructions from Chief Warden

### **Related Documents**

- Australian Volunteers International Occupational Health and Safety Manual

## **9.2 DISASTER PREPAREDNESS AND PREVENTION IN AADO AFGHANISTAN COUNTRY OFFICE**

### **Policy**

AADO is committed to ensuring the safety of its staff, volunteers, visitors and project participants at all times. This includes preventing and minimising potential and actual disasters, including security threats. This policy provides AADO staff and project stakeholders who are likely to be directly affected by a rapid onset of a disaster with a set of emergency procedure guidelines that will be updated annually to ensure their accuracy and currency.

Potential threats fall into the following general categories:

### **Natural hazards**

- Cyclone and tidal surge
- Windstorm
- Lightning strike
- Rain, hail, sleet
- Flooding
- Bushfire, fire in adjacent buildings
- Earthquake and landslide

### **Criminal or terrorist attack**

- Vandalism
- Theft
- Arson
- Bombing and bomb hoax
- Demonstrations
- Sabotage
- Terrorist attack

### **Industrial accidents**

- Fire
- Explosion
- Chemical or fuel spillage
- Gas leaks
- Falling object damage

### **System failure**

- Energy failure and computer failure
- Sewer/stormwater/drainage failure

- Leaks in roofs
- Sprinkler malfunction
- Structural failure

## **Procedures**

### **Staff Responsibilities to Prevent/Minimise Disaster**

- Ensure that all security procedures outlined here are vigilantly adhered to.
- Turn off all nonessential machines, such as kettles, computers etc., at night, on weekends, and holidays.
- Never let water run unattended.
- Ensure that exits are not blocked.
- Learn where emergency exits are located.
- Be aware of basic procedures to follow when emergencies occur.
- Be aware where emergency phone numbers and Record of Emergency Data (RED) documents are kept.

## **Fire Safety**

- In all cases of fire, activate the fire alarm to warn others in the building and evacuate the building. When the fire alarm sounds, all rooms must be evacuated. Stay calm. Leave the room and close but do not lock the room door. It should not be assumed that the alarm is being tested or has developed a fault.
- If it is safe to do so, remove the portable safe, RED and other secure documents from the locked filing cabinet in the main office, as well as the primary laptop external back-up drive.
- Immediately exit the building at the closest building exit, do not stop to take personal belongings.
- If possible, and safe to do so, secure the area. Switch off fume cupboards, close windows and leave the room closed if you are the last to leave.
- Gather in the appropriate outside locations. See *Emergency Evacuation Plan* for outside gathering locations.
- The Emergency Evacuation Plan and Emergency Contacts List are clearly displayed in every room on lower basement and ground floors.
- In all cases of fire or explosion, call fire department immediately. Always use a cellular phone away from the affected area.
- Assist people with disabilities to the nearest stairwell or the closest exit. If able, assist them in exiting the building and gathering in the outside location. If you are not able to help the people with disabilities exit the building, exit yourself and notify the police or fire department of their location.
- If your exit is blocked by smoke or fire, use an alternate way out. If smoke is present, crawl low below the smoke.

- If trapped in a room, close the doors between you and the smoke or fire. Seal cracks around the doors and vents with clothing (wet, if possible). Open windows slightly to let fresh air inside. Signal at a window for rescue.
- Do not re-enter the building until the fire department has arrived, cleared the fire, and has given the all clear to return to the building.
- Document actions in an incident report are to be sent to the Australian office team as soon as conveniently possible.

### **Bomb blast or other explosion**

- Following a bomb blast, gunfire or any other type of explosion occurring outside but nearby the Kabul office all staff must proceed immediately to one of the two storerooms in the basement. These storerooms only contain small internal windows.
- The Senior Project Manager should immediately contact the local police and the local security officer from the National Department of Security, both to notify them of the incident and to gain a better understanding of the security incident where possible.
- Usually, an IOM representative contacts AADO's Senior Project Manager to notify staff of severe security situations. If staff members have not received a phone call from the IOM within 30 minutes of the incident occurring, they should notify IOM immediately of the incident.
- All staff should remain in the storeroom until all outside activity has ceased for a minimum of 30 minutes. Under no circumstances must any staff member leave the building premises until the local police or the local security officer have cleared the security situation.
- Document actions in an incident report to be sent to the Australian Management team as soon as conveniently possible.

### **Site Security and Management**

- AADO has two security guards onsite at all times. In the evening the security guards sleep in an appointed room adjoining the front entrance gates.
- The front security gates are kept locked at all times. All staff members must carry their ID cards with them at all times.
- All staff are expected to sign their movements in and out of the building in the logbook situated in the entrance of the foyer.
- All project trainers and participants who attend training at AADO's learning centre (Kabul Office) must register their full details with AADO's project staff at least one week prior to training, including next of kin and emergency contact details. All participants are issued with a temporary ID card for the duration of their training. An AADO project officer takes a roll call of participants daily.
- The Emergency Evacuation Plan and Emergency Contacts List are clearly displayed in every room on lower basement and ground floors.

- First Aid kits are available in the foyer, directly outside the kitchen, and in the basement teaching centre, directly next to the projector. The Kits are administered and maintained by the Senior Project Manager at all times.
- There is a Generator onsite that is to be used in cases of power failure. Generator fuel must always be stored in an undercover and remote location at the front of the property, near the security fence, away from the main office building. The Generator is tested regularly and maintenance performed when required.
- Project funds stored in cash are kept in a locked portable safe, inside a locked filing cabinet. The Senior Project Manager and the Accounting Officer are the only two staff members with a key to this cabinet.
- All documents of a personal or politically sensitive nature are also secured in this locked filing cabinet.

### **Record of Emergency Data (RED)**

- All staff members are required to have a Record of Emergency Data (RED) on file.
- During an emergency, the RED can provide a central point to access critical information on pre-existing medical conditions, next of kin, religious restrictions, etc.
- The RED file should be taken during emergency office relocation to prevent unauthorised disclosure of personal information. The
- RED should be completed immediately upon hire and reviewed and updated at least annually or as required.

### **Field Travel and Security Precautions**

AADO staff travelling outside of the Kabul Office to run errands or visit programs, partners or government ministries, must follow these procedures:

- Listen to the Radio and watch the News for updates on local security issues and events prior to any travel outside of AADO's office.
- Call the International Organisation for Migration (IOM) if a potentially dangerous security situation is suspected. If the IOM representative notifies AADO staff that the security level is 'White' (Severe) then all staff members must remain within AADO's office.
- Ensure that at least one other staff member knows where staff are going and approximate return times. If there are any unexpected delays in estimated return time, the Kabul Office must be notified.
- Staff must always wear a seatbelt when travelling in a car, avoid excessive speed if driving, ensure that all doors are locked whilst driving and comply with all local traffic laws and regulations.
- Staff must always carry a fully charged cellular phone with sufficient phone credit.

- Staff must always ensure that any cash being carried for projects etc. is well concealed and stored out of sight when driving.
- Staff must always ensure that all local customs are duly respected.

### **Overseas Travel and Staff Security**

- International staff travelling to Afghanistan must ensure that they are up to date with inoculations that are both required and suggested for the region.
- To reduce the likelihood of a medical emergency, international staff must receive a comprehensive medical and dental examination prior to overseas assignment.
- Travel and health Insurance for international staff should be sufficient to allow quality, timely medical treatment.
- International staff must register their details on the DFAT website prior to leaving Australia, including the address and contact phone number of the Kabul office.
- At least one week prior to arrival, international staff must send a scanned copy of their passport and visa to the Senior Project Manager Kabul.
- The Senior Project Manager Kabul will call the relevant local security officer from the Afghan National Department of Security with details of the international staff member one week prior to their arrival Kabul. The local security officer will make an appointment to meet with the staff member soon after their arrival to record identification and travel details.
- Immediately upon arrival the international staff member or Senior Project Manager must also send an email to the Australian Embassy in Kabul with details of their stay.
- The Senior Project Manager, or Executive Director if present, will provide the international staff member with a security briefing and an orientation of the building, including details of emergency exits, first aid kits and procedures, fire extinguishers, evacuation plans and lists of emergency phone numbers.
- All international staff members will be given a cellular phone with a local sim card and the numbers of all local staff members, emergency contacts and the Australian embassy stored.
- International staff members must never travel alone. They must always be accompanied by at least one local staff member.
- International staff members must respect local customs and traditions at all times.

### **Incident Reporting**

- Timely reporting of security incidents can aid in protecting humanitarian staff. The following security-related incidents may indicate mounting tension or a possible trend of threats, and warrant the submission of a security incident report. They include:
  - Attacks or assault, sexual assault or attempted assault
  - Thefts of funds, goods, or other assets
  - Vehicle accidents involving AADO staff that result in injury or death

- Arrests
  - Kidnapping or attempted kidnapping
  - Extortion attempts
  - Ambush
  - Credible threats of harm to staff or property or patterns of hostile acts
  - Bombings or other significant disturbances
  - Other incidents as appropriate
- Reports must be made directly and immediately to the local police, the nominated local Security Officer from the Afghan Ministry of Internal Security, and to the Executive Director or Project and Communications Coordinator in Australia.
  - Incident report format: to facilitate analysis and appropriate response, incident reports must be complete and timely and should include:
    - Status (national/international, staff/family member, etc.)
    - Name, gender, age and other pertinent data
    - Detailed description of incident
    - Was the incident the first of its kind? If not, indicate approximate dates of previous incidents and/or reports
    - Actions taken, (including police reports as applicable to Australian Management staff)
  - Reports must be kept in a secure location with access restricted to the appropriate staff to ensure confidentiality.
  - The incident report file will accompany the senior staff during office evacuation or relocation to prevent disclosure of sensitive information.
  - AADO staff should assume that all communications, including telephone, fax and e-mail, are monitored or will be viewed by persons hostile to the organization or the humanitarian community. Therefore it is imperative to use caution in sending incident or situation reports in order to ensure protection of confidential information and prevent potential harm to AADO staff.
-