

1 GENERAL OFFICE ADMINISTRATION

1.1 Communication

- 1.1.1 ATPS seeks to provide all employees with current information on activities and developments affecting the organization. Staff are strongly encouraged to ask questions, maintain an active interest in ATPS activities, and offer suggestions. To promote staff involvement in ATPS's work, periodic retreats will be arranged by the Secretariat.
- 1.1.2 Staff use of photocopying, long distance telephone, telex and fax equipment for personal needs are to be recorded and reimbursed on a monthly basis. Staff should limit personal telephone calls and other communications to essential matters. When absent from the office, staff should provide information as to where they can be contacted if necessary.
- 1.1.3 The Messenger handles incoming and outgoing mail under the supervision of the Receptionist, who arranges for its distribution. All incoming and outgoing mail is registered in the Mail Register by the Receptionist. A Fax Register is also maintained by the Receptionist. However, any employee who picks a fax memo must record its particulars in the fax Register.

1.2 Office Security

- 1.2.1 Access to the offices will be strictly controlled, and visitors will be permitted access through the Receptionist. The front door will remain locked outside office hours, and suitable security measures taken through the use of alarms and intruder detection systems. Movement of equipment will be controlled by procedures operating under the Fixed Assets procedure.
- 1.2.2 All visitors to the premises will be issued with visitors' badges at the reception. Badges must be displayed at all times on the premises. Employees should escort any person on the premises who is not displaying an identification badge back to the reception. Visitors will remain at the reception until the appropriate member of staff is available to escort them in and out of the office area.
- 1.2.3 To assist in maintaining office security, the last employee to leave the office should ensure that all entrances are locked. No money or valuable property should be left unattended as ATPS insurance coverage does not extend to personal property.
- 1.2.4 In the event of a fire or emergency, staff should leave their workstations immediately and not stop to clear papers or collect personal belongings. Staff should note the location of fire exits and extinguishers. In the event of fire, lifts must not be used.

1.2.5 Staff should ensure that all **ATPS** materials and correspondence are properly secured and not accessible to unauthorized persons.

1.2.6 **ATPS** will not accept liability for loss of employee's belongings on the premises. The **Finance and Administration Manager** will discourage employees from bringing valuables to the workplace. Where this is unavoidable, employees will be encouraged to safeguard their belongings.

1.3 Information

1.3.1 The confidentiality of the Secretariat's business is to be maintained at all times. All letterheads, forms, and other stationery bearing the logo of **ATPS** are kept under lock and key. Back-up copies of computer data files are regularly updated to ensure security of documentation. Hard disks of computers being loaned to other departments, National Chapters or for use at meetings, are to be cleared of data. External visitors are not permitted the use of office computers; computers are available in the library for the use of researchers and students.

1.3.2 Backups of all important documents and records, including computerised information essential to the basic operation of the Secretariat's business, is maintained outside the offices. This ensures **ATPS's** ability to continue unimpeded in the event of major disruptions, such as earthquake, fire, or prolonged civil disorder. Typically, such records include those pertaining to the training and research grants management, publications, the accounts, personnel contracts, and any other record of a commitment by **ATPS**.

1.4 Travel

1.4.1 Travellers to **ATPS** meetings shall be informed in a letter of invitation of:

- The subject, venue and dates of the meeting;
- Their manner of participation
- Travel arrangements with details of the itinerary, accommodation and per diem;
- Insurance coverage details, if any.

1.4.2 For ATPS employees, travel and per diem details are available from the **Finance and Administration Manager** and will be administered as detailed in the Finance Policies and Procedures Manual.

1.5 Office Cleaning

1.5.1 The office shall be cleaned between 7am and 8am before staff officially arrive and again over lunch hour (12.30pm-1.00pm). The **Finance and Administration Manager** will be the person responsible for co-ordinating all cleaning activities. At his/her discretion and after consultation with the **Executive Director**, he/she may opt to employ cleaning personnel or engage the services of a cleaning company.

2 HEALTH AND SAFETY

2.1 Safety

- 2.1.1 It is ATPS's intention to provide a safe and healthy working environment. The health, safety and welfare of employees at work is ATPS's responsibility. To meet this obligation, the **Finance and Administration Manager** will conduct periodic workplace inspections.
- 2.1.2 A checklist has been developed to ensure a systematic approach for carrying out the inspections.
- 2.1.3 Once completed, the workplace inspection form will be held by the person responsible for co-ordinating health and safety matters so that a record of the inspections carried out can be produced when required. Additionally, if certain remedial work needs to be carried out, a copy should be forwarded to the **Finance and Administration Manager** for authorisation and action.
- 2.1.4 Corrective action should be taken within a specified and reasonable period of time by the responsible ATPS representative in collaboration with appropriate authorities. Failure to take action by the responsible ATPS representative may result in disciplinary action.

2.2 First Aid

- 2.2.1 First aid will only be administered either by qualified medical practitioners or trained first aiders within ATPS
- 2.2.2 A list of the members of staff trained in first aid will be circulated to all employees on a periodic basis and at least once a year. New staff will also be provided with these same lists. When these trained staff are on mission/absent from the premises, the name(s) of alternate first aiders/safety officers will be circulated. A person, who will be appointed by the Finance and Administration Manager, will be responsible for co-ordinating health and safety matters in ATPS and charged with the duty of updating this information.

2.2.3 A first aider record form has been developed to note when first aiders require refresher courses and further training.

2.2.4 In the event of an accident, first aid boxes are installed at clearly identified locations for emergency treatment.

2.3 Accidents at Work-Place

2.3.1 Should an employee be injured in the workplace during office hours, it will be the responsibility of the employee's manager together with the Finance and Administration Manager, to make appropriate arrangements for medical attention.

2.3.2 Accident reporting procedure:

- All incidents involving injury must be reported to the Finance and Administration Manager.
- The **Finance and Administration Manager** is responsible for keeping full and accurate records and investigating the incident as soon as possible.
- Every employee who is injured at work and employees assisting the injured individual must report the accident as soon as reasonably practical.
- Accident log forms are available for recording all incidents and actions taken to prevent occurrence of similar incidents.

2.4 Fire procedures

2.4.1 A list of members of staff trained as fire wardens will be circulated to all employees, including new employees, together with diagrams of the office layout indicating fire exits, location of fire extinguishers and location at which all employees and visitors will assemble prior to evacuation of the building. Keys to the emergency exits will also be prominently displayed.

2.4.2 The procedures to be followed in the event of fire will be displayed in prominent areas in the corridor/s.

2.4.3 The safety officer or person responsible for co-ordinating health and safety matters in ATPS will be charged with updating this information.

2.4.4 It is the responsibility of the **Finance and Administration Manager** to ensure

that fire wardens know how to use fire extinguishers and how they should be applied. A fire warden record form will be maintained to note when fire wardens require refresher courses and further training.

- 2.4.5 Emergency exits will be clearly identified and prominently displayed. Fire wardens will evacuate their allocated areas of the building. Employees are required to familiarise themselves with the best escape route in event of an emergency.
- 2.4.6 The **Receptionist** will be responsible for notifying the emergency services.
- 2.4.7 All employees must be accounted for before employees are permitted to return to the building or disperse.
- 2.4.8 No employee will be permitted to return to the building until emergency services or fire wardens give clearance.
- 2.4.9 Emergency evacuation exercises will be organised and carried out on a regular basis by the **Finance and Administration Manager** and fire wardens.
- 2.4.10 Fire alarms will be tested periodically by the **Finance and Administration Manager**.
- 2.4.11 A minimum of three days' notice will be given before such testing takes place.

2.5 Fire Precautions

- 2.5.1 Although some computers need to be left on occasionally, it will be the responsibility of each member of staff to ensure that all other electrical appliances are switched off at main wall sockets prior to leaving the office at end of the working day.

- 2.5.2 Particular attention will be given and periodic inspection will be carried out to ensure that flammable materials (paper, liquids) are not being stored on or in close proximity to electrical equipment (transformers, UPS, voltage regulators, etc.). Any loose switches, faulty plugs or other defective apparatus must be reported immediately to the **Finance and Administration Manager** or the person responsible for co-ordinating health and safety matters in ATPS. Unauthorised personnel should not correct such faults.
- 2.5.3 Any suspicion of burning or smoldering must be reported to the **Finance and Administration Manager** or fire warden, who will be responsible for its investigation.

2.6 Vehicle inspection

- 2.6.1 All vehicles operated by ATPS will be checked by the driver on a monthly basis, and prior to use on long or extended trips away from duty station. The inspection should be carried and noted on the vehicle inspection form, which should be forwarded to the head of the **Finance and Administration Manager**.
- 2.6.2 All trips made by vehicles must be authorised by the **Finance and Administration Manager**.
- 2.6.3 In case a vehicle has to be driven by a member of staff, the staff member must have a valid Kenyan driving license.
- 2.6.4 The vehicle checklist is intended to ensure that nothing is overlooked. The checks on the form are intended to cover most vehicles, but space has been left for additional checks, which might relate specifically to a particular vehicle.

3 TRAVEL

3.1 Official Travel

- 3.1.1 An employee intending to travel on official business should inform the Finance and Administration manager of the intended trip, the destination, travelling itinerary, purpose and duration. This should be done in writing by filling out the travel requisition form or by email.
- 3.1.2 The Program Manager or the acting Executive Director in the absence of the Executive Director should approve the Travel Requisition Form.
- 3.1.3 Upon receipt of the approved form, the Finance and Administration Manager will then liaise with the Secretary/Administrative Assistant to make reservations with the appropriate carriers, hotel and car agencies. This process will be greatly facilitated by using an appointed travel agency.
- 3.1.4 It should be noted that:
- (i) Tickets are provided one day prior to the date of departure unless otherwise requested for.
 - (ii) Unauthorised routings and stopovers will be at the traveller's personal expense.

3.2 Travel Policy

- 3.2.1 Employees and project advisors of ATPS shall normally travel on the basis of the most direct route.
- 3.2.2 All employees will be encouraged to travel using the economy class. Business class is permitted in the following circumstances:
- (iii) Journeys in excess of eight hours' flying time, and intercontinental overnight flights
 - (iv) Lack of available space in economy class and lack of alternative flights
 - (v) Health reasons, including physical handicaps (supported by medical advice) and medical emergencies;
 - (vi) Civil unrest requiring departure on the first available flight.

3.3 Travel Industry Promotions

- 3.3.1 Promotional activities in the travel industry are aimed at attracting business travelers. Benefits such as vouchers, discount coupons and free trips are offered to travelers as well as to those responsible for making bookings on carriers and in commercial accommodation.
- 3.3.2 Employees shall not accept, directly or indirectly, for themselves or on behalf of any person or organisation with whom they are in close social, family or economic relationship, any gift, hospitality or other benefit from any person, group or organisation having dealings with ATPS where such gift, hospitality or other

benefit could possibly influence employees in the exercise of their duties and responsibilities. All such offers must be reported to the Executive Director who will determine whether they can be accepted or not.

3.4 Travel Advances

3.4.1 Travel advances will be requested on the Travel Requisition Form, and must be approved together with the authorisation to travel. Normally, this advance will be provided as US dollar travelers cheques except where cash payment may be required e.g. for airport taxes. No travel advances shall be authorised until prior travel advances have been settled.

3.4.2 Employees and project advisors are responsible for acquiring the necessary foreign currency or travelers cheques and may include exchange and normal bank service charges in their expense claims.

3.5 Cancellation or Amendment of Travel

3.5.1 The traveller is responsible for canceling flight and hotel reservations when changes occur during the course of travel. Otherwise the finance director should be informed within a reasonable timeframe of intended cancellations so that they may execute them.

3.5.2 Amendments to the form should be made in time with reasons for such amendments being given.

3.6 Allowable Travel

3.6.1 ATPS shall pay reasonable travel and living expenses of employees, advisors and consultants traveling on ATPS business according to the per diem rates maintained by the Finance and Administration Manager. This Per Diem Schedule shall be revised annually and shall be similar to that of comparable organisations.

3.6.2 For ATPS employees using the meals/incidentals per diem rates, all other expenses including hotel charges are to be accounted for on an actual and reasonable basis. Receipts should be obtained for taxi fares in excess of US\$15.

3.6.3 ATPS employees will be reimbursed the costs incurred for necessary communications on ATPS business. Such expenses should be supported by details as to the purpose of the call.

3.6.4 ATPS will bear any costs incurred in complying with immunisation requirements for ATPS staff members and accompanying dependents and project advisors required to travel on ATPS business.

3.7 Completion of Expense Reports

3.7.1 On completion of official duty travel, an employee or project advisor shall submit an expense statement to the Finance and Administration manager with supporting

receipts within ten (10) working days.

- 3.7.2 After verification by the Finance and Administration Manager, the expense statement shall be forwarded to Finance Assistant for entry into the accounts and for settlement of any reimbursements.

3.8 Insurance Coverage

- 3.8.1 Employees and project advisors who travel on behalf of ATPS according to an approved Travel Authority are covered by an ATPS insurance policy.
- 3.8.2 Items included for this coverage include currency, money, notes, securities, railroad, airline or other tickets, passports and other documentation. Also excluded are jewelry, semi-precious stones, watches and furs totaling together more than 25% of applicable insurance. No more than a maximum of \$500 each for any of the stated category of items. The policy is also subject to the usual terrorist, war and nuclear exclusion clauses.
- 3.8.3 A claim should be made immediately in writing with a copy of the first-hand report given to the local applicable authority i.e. police hotel, airport etc.

3.9 Medical emergencies

- 3.9.1 ATPS shall assist staff members with deferring some of the costs associated with medical emergencies incurred in the course of ATPS business travel where such costs are not covered by the staff member's medical scheme or any additional travel insurance purchased by ATPS. This would be at the discretion of the Executive Director. When an ATPS traveler combines personal travel with business travel, ATPS will assume no responsibility for the costs associated with medical emergencies which occur during the personal portion of the trip or involving accompanying dependents who are not traveling on ATPS business.

4 MOTOR VEHICLE ADMINISTRATION

The overall administration of motor vehicle falls directly under the administration department.

Authorisation to drive ATPS vehicles will be granted to those who hold valid driving licenses and who, in the opinion of management, qualify to do so.

4.1 Use of Vehicles

The Secretariat's vehicles are meant to be used for ATPS work. However, members of staff can use ATPS vehicles for private use if the vehicles are available. At all times, ATPS work must be given priority.

Private mileage is charged at a rate determined by the Finance and Administration Manager and dependent on the class of vehicle. These charges are available on request.

There is no private allocation of vehicles to any individual. However, due to parking security reasons, especially after work, no private vehicle shall be left overnight outside the office.

Employees who are allocated a company vehicle should adhere to the following instructions

- The vehicle allocated should not be driven by any other party other than the employee to whom the vehicle is allocated or by employees of the company without the employer's authority.
- Individual employees to whom vehicles are allocated must make sure that details in the log book are properly entered and up to date.
- Service booking must be anticipated in advance and requisition for work to be carried out made in writing to the Finance and Administration Manager who will arrange for the booking.

4.2 Motor Vehicle Maintenance

The Finance and Administration Manager will ensure that:

- All vehicles have valid insurance, road licenses and other stickers as required by law.
- All vehicles are in good working condition.
- Any dents or other damages on any vehicle are identified in good time for the appropriate action to be taken.
- All vehicles are taken for service on a regular basis.

4.3 Motor Vehicle Accidents

When an employee is involved in an accident, the following steps must be taken:

- Inform the **Finance and Administration Manager** by phone immediately and submit a written statement giving full details of the accident within 24 hours.
- Note the names of witnesses, the third party and the third party insurance and the vehicle number
- Complete as appropriate the insurance claim form and submit it to the **Finance and Administration Manager**.

5 PROCUREMENT MANAGEMENT AND PROCEDURES

5.1 Purchase requisitions

- 5.1.1 At the end of each year, each department will identify or determine the supplies that they need to acquire and use during the course of the coming year.
- 5.1.2 Once the items required have been determined, reorder and minimum stock levels will be set for each and every item.
- 5.1.3 On a periodic basis, each department will requisition for stock through the Receptionist once the predetermined re-order levels have been reached. In the case of technical high value supplies, the IT/Network Administrator shall liaise with the Finance and Administration Manager in the requisitioning process.
- 5.1.4 Where applicable, the major suppliers of identified materials will be approached and credit facilities established. Negotiations will be carried out with these suppliers to establish discount terms, bulk discounts and the credit period. These suppliers will be requested to provide updated price lists (monthly) to ATPS to facilitate decision-making.
- 5.1.5 Purchase requisitions in duplicate will be originated by the Receptionist (stores clerk) once the reorder level is reached and must be approved by the responsible manager. The purchase requisition should contain the specifications of the materials/items required as well as the proposed price. These details should be available from the stores ledger card.
- 5.1.6 The top copy of the requisition will be sent to the Finance and Administration Manager for approval of purchase and the second copy filed in the goods in transit file in the store. Once approved, it will be sent to the Finance Assistant.
- 5.1.7 The Local Purchase Order (LPO) will be prepared by the Finance Assistant and approved and signed by the Finance and Administration Manager. If the Finance and Administration Manager is not available the Executive Director will sign the LPO. The LPO will be attached to the latest price lists of the suppliers. The decision to select suppliers will rest with the Finance and Administration Manager and the Executive Director.
- 5.1.8 The LPO will be in filled in triplicate. The top copy will be sent to the supplier through the Receptionist to organise for delivery of the goods, the second copy filed by the Finance Assistant while the third copy will be retained as a book copy.

5.2 Receipt of supplies

- 5.2.1 The Receptionist will organise for the delivery of materials and will therefore be responsible for ensuring that ATPS receives the right quality of materials.

- 5.2.2 Once the materials/items are delivered, the Finance Assistant together with the Receptionist will inspect them (if the goods are technical in nature, the IT/Network Administrator, where appropriate, will also inspect them). If accepted, the Receptionist will supervise their storage. The delivery note will be matched to the copy of the purchase requisition in the goods in transit file, and moved to a goods received file.
- 5.2.3 A goods received note (GRN) will then be raised by the Receptionist in duplicate. The original will be sent to the Finance Assistant while the copy will be filed in the goods received file together with purchase requisition and the delivery note.
- 5.2.4 When the invoice is received it will be handled exclusively by the Finance and Administration Department. They will retrieve their copy of the Local Purchase Order (LPO) and attach it to the goods received note (GRN) from the stores as well as the invoice. The liability for the goods will be noted in the GL (General Ledger) as well as in the Creditors Ledger. Thereafter, the invoice and its attachments will be filed in an aging file waiting for payment.
- 5.2.5 Once the payment is made the documents plus the payment voucher will be filed in the suppliers file while the cheque and its remittance advice will be sent to the supplier through mail or messenger.
- 5.2.6 Suppliers will be encouraged to collect their cheques whenever possible. In all instances a cheque register will be used to indicate the date the cheque was prepared, date the cheque was sent out and how it was dispatched.

5.3 Urgent Purchases

- 5.3.1 A threshold should be created to enable a manager purchase goods (items) quickly and efficiently.
- 5.3.2 On identification of such a need, a petty cash voucher would be raised and passed on to the Finance and Administration Manager to approve it and advance the money to the manager for immediate purchase.
- 5.3.3 A cash sale or invoice stamped paid would be obtained and immediately passed back to the Finance Assistant. This would be attached to the petty cash voucher and used as evidence to support petty cash replenishments. This should be done at the latest within two working days of the Finance and Administration Manager disbursing the cash.
- 5.3.4 At the end of every month the Finance and Administration Manager should receive a report prepared by the Finance Assistant, detailing the items purchased and amounts. The Finance and Administration Manager should then file the report and action on it as the need arises.

5.3.5 This facility, however, should not be misused for items that would ordinarily have been stocked.

5.4 Engagement of Consultants

5.4.1 ATPS may, for a designated time period engage consultants to undertake specified tasks, which may include;

- Reviewing research and policy issues in a given field;
- Studying different types of training requirements;
- Advising on administrative and managerial procedures; and
- Provide specialized services in support of ATPS programs and National Chapters.

5.4.2 Requests for consultancy services will be initiated by the Board of Directors or the Executive Director and co-ordinated by the Executive Director. The costs of consultancy services will be agreed on between the consultant and the Executive Director the following having taken into consideration:

- The experience and qualifications of the consultant
- The prevailing market rates applicable in the consultant's locality.

5.5 Procurement of Consultancy Services

5.5.1 The Executive Director upon mutual agreement between the said Director and the consultant will assign consultancy services. This agreement will be in the form of a signed contract.

5.5.2 The letter of contract to a consultant will state the following:

- Date of commencement and termination of the contract;
- Terms of reference including the work to be carried out;
- Maximum number of consulting days;
- Consultancy fee;
- Terms of reference including details of travel;
- Amount available for disbursements e.g. travel and other expenses;
- Mobilization fee details, if applicable;

- Terms of insurance coverage and other benefits where these are to be provided by ATPS;
- Required notice for termination of the contract by either party;
- Obligation of the consultant to comply with legislation in his or her country of residence, particularly with regard to tax regulations and any countries to be visited;
- Statement to the effect that any reports are the property of ATPS;
- Statement clarifying that the consultant is not an employee and restricting their benefits to only those stated in the contract. It should also be made clear that the consultant is responsible for their own taxes levied by the government;
- Details of ATPS and that they are a company limited by guarantee and incorporated in Kenya.

5.5.3 It will also be required that the consultant provide their PIN or Social security number before any payment is made.

5.5.4 The Executive Director will, with the assistance of the relevant Departmental Head, maintain a roster of consultants, which will be updated every two years.

5.5.5 Once the consultants work is completed, the evaluation form in Appendix I will be used to evaluate their work. On completion of the assignment and submission of a satisfactory report by the consultant, the final contract fee will be paid.

6 PROGRAMME ADMINISTRATION

6.1 Grants and Awards

6.1.1 ATPS offers grants and awards to institutions and individuals to implement activities in accordance with the approved Programme of Work and Budget.

6.1.2 Grants will only be considered after a formal request has been submitted except where commissioned by the Secretariat itself. This formal request should give:

- The purpose/objective of the grant
- A description of the proposed activity and its implementation
- The individual/s or institution receiving the grant; and
- A proposed budget

6.1.3 The request shall identify the grant recipient who will subsequently be responsible for financial and technical reports.

6.1.4 Approval of the grant shall be communicated to the recipient by means of a grant letter stating the:

- Objectives of the grant including reference to any other documentation;
- Date of commitment of the grant and its duration;
- List of participating researchers;
- Individual or institutional recipient of funds;
- Budget; and
- Schedule of payments and reporting procedures.

6.1.5 The grant letter shall state that the grant has been given in accordance with ATPS's objectives and where applicable, it shall also state that the results of the activity should not be construed as reflecting the view's of ATPS's Secretariat or its Board of Directors.

6.1.6 The grant shall state that it is the responsibility of the recipient to comply with any relevant legislation as may pertain to the implementation of the activity, including income tax, customs, immigration, exchange control or research clearance.

6.1.7 Where applicable the grant research shall state that ATPS, by virtue of its support of the activity in question, has right of prior refusal of publishing the results.

- 6.1.8 Approval of the grant will also be communicated to the recipient's national chapter.
- 6.1.9 The Executive Director may, at his discretion terminate any grants and where so justified demand repayment of grant for the following reasons:
- Failure to undertake the agreed activity within the specified and agreed period;
 - Failure to undertake the activity in accordance with the grant letter and relevant documentation;
 - Evidence of misappropriation of funds; and
 - Failure to comply with other conditions stated in the grant letter e.g. compliance with national legislation pertaining to taxation, customs, immigration, exchange control and research clearance.
- 6.1.10 The Secretariat shall maintain accurate records for each request and grant, in accordance with general and specific grant procedures.
- 6.1.11 The Executive Director and Research Co-ordinator shall at their discretion treat certain correspondence, as confidential and such items shall not be filed as part of the general correspondence/records.

6.2 Equipment

- 6.2.1 Whereas small items of equipment with a net value of USD 100 can be retained, significant items of equipment shall be transferred upon completion of the project to the activity or institution that the Executive Director will have stated in the grant letter.
- 6.2.2 The grant letter will state that such equipment will be properly used and maintained, suitably insured, and that it cannot be removed, sold or otherwise disposed of without prior written consent of ATPS.

6.3 Accounting for Grants

- 6.3.1 The recipient shall report expenditures in local currency and US dollars, and indicate the relevant exchange rate. Expenditures made in a currency other than that of the recipient's locality should be reported in US dollars.
- 6.3.2 The recipient must substantiate any expenditure in excess of USD 100 with the itemised receipts.
- 6.3.3 The recipients should submit financial reports according to the reporting schedule set out in the grant letter. This report should state the:
- Estimated total expenditure (Per approved budget);
 - Actual expenditure to date;
 - Committed expenditure so far; and
 - Projected expenditure to completion of the activity.
- 6.3.4 For individuals, itemised receipts will be required. Institutions will also be required to keep receipts to facilitate audits and submit signed financial reports, where these may be requested by the donor. The signatories to these reports will be the institution's Accountant and another representative.
- 6.3.5 Upon satisfactory completion of the financial report and receipt of a satisfactory technical report, the Secretariat can release the next scheduled payment.
- 6.3.6 Should the financial analysis so indicate, the Programme Manager may postpone release of payment, or release a partial payment, pending receipt of further information from the recipient.

6.4 Payment of Research Grants

6.4.1 The following represents the payment schedule that will be used in the payment of grants:

- 50% on presentation of a signed contract;
- 30% on presentation of an interim technical and financial report and;
- 20% upon satisfactory completion.

6.5 Technical Reporting Procedures

6.5.1 The recipient shall submit technical reports in accordance with a schedule set out in the grant letter. Usually this shall be submitted together with the financial report.

6.5.2 In the case of research activities, a paper containing a full satisfactory account of interim or final results presented at a workshop can be considered a technical report.

6.5.3 In other cases, the technical report should contain a detailed account of activities undertaken under the terms of the grant.

6.6 Supplementary grants and extensions

6.6.1 In general, the ATPS's policy is to discourage requests or expenditure in excess of that set out in the original grant or award.

6.6.2 The National Chapters or the Secretariat may recommend a supplementary grant where such results are considered justified. Requests for a supplementary grant shall be governed by the relevant general and specific procedures applicable to the grant in question.

6.6.3 The Executive Director may however, extend the duration of a grant and alter the original schedules of payments and reports accordingly. The reasons for any extension shall be documented and the revised schedules communicated to the receipt.

7 RESEARCH GRANTS

7.1 General

- 7.1.1 ATPS provides grants for "thematic", "non-thematic" and "Regional" research, as well as thematic Plenary paper and Special Workshops in accordance with the approved Programme of Work and Budget.
- 7.1.2 Grants for thematic research on a designated theme are given to individual teams of researchers, linked together by means of a network.
- 7.1.3 Themes are determined through the work of the National Coordinators and approved by the Board. In selecting a given theme, the National Coordinators shall be guided by such criteria as:
- its relevance to their countries;
 - its relevance to science and technology policy making;
 - whether it is researchable;
 - whether it is doable, in terms of research skills and data;
 - financial resources time frame
 - and its continuity with other research supported by ATPS.
- 7.1.4 Grants for non-thematic research are provided on an exceptional basis, and as such, are subject to different procedures than those for thematic research. Such grants shall be offered to successful proposals following a recommendation by the Board.
- 7.1.5 In all cases, research grants must be formally recommended by the Research Coordinator to the Executive Director, who is responsible for the disbursement of funds. The Executive Director may delegate responsibility for disbursement of an approved budget to the Programme Manager.
- 7.1.6 For consideration, research proposals must meet the ATPS's guidelines for presenting research proposals.

7.2 Honoraria

- 7.2.1 Research grants may provide for honoraria. The purpose of such honoraria is not to compensate researchers at commercial rates, but rather to enable them to devote sufficient time to research of immediate interest to themselves and ATPS.
- 7.2.2 The researchers receiving honoraria shall be identified in an appendix to the grant letter.
- 7.2.3 Honoraria shall be payable upon (100%) satisfactory completion of a project.
- 7.2.4 The following maximum levels shall apply for thematic research:
- \$1,000 for the principal researcher, who will normally also be the grant recipient; and
 - \$800 for other designated researchers.
- 7.2.5 These levels shall be reviewed periodically by the Executive Director in consultation with the Research Coordinator.

Grant Approval Procedures

7.3 Thematic Research

- 7.3.1 The Executive Director at his discretion may approve grants of less than \$5,000 for the purposes of:
- preparing a research proposal for possible financing by the ATPS;
 - engaging in preliminary research;
 - undertaking a research project; and
 - preparing the results of research for publication in the Research Papers series, a scholarly journal, or a monograph/book.

7.3.2 All other grants for thematic research recommended by the National Chapters shall first be subject to review by the Research Coordinator who will also document it.

7.3.3 The purpose of external review is to ensure that:

- the proposal has scientific merit, both in its definition of the research issue and proposed methods of analysis;
- the researcher(s) is/are made aware of any other relevant literature and studies; and
- the research will ultimately contribute to further knowledge or public policy.

7.3.4 In selecting proposals for review, the Research Coordinator will be guided by the results of prior exchanges with the researcher(s) and in consultation with members of the Board of Directors and other recognised authorities in the field.

7.3.5 The review itself in the case of individual grants will normally take place in two stages:

- (i) presentation of the proposals to the National Chapters and selection of a suitable number of proposals, currently 15, for review by the Board.
- (ii) an assessment of the National Chapters' proposal by the Board of Directors.

The assessment will indicate whether the proposal is rejected, accepted or accepted subject to revision.

7.3.6 The National Chapters may also recommend that rejected proposals be resubmitted at a later date, subject to agreed revisions.

7.3.7 Subsequent to the assessment of individual proposals, the Research Coordinator may also rank approved proposals in order of merit, should financial constraints so dictate.

7.3.8 Where this review procedure is not feasible, e.g. because it may entail an unnecessarily long delay, or because the researchers, for acceptable reasons, cannot attend a workshop, external review will be undertaken by the Research Coordinator or Executive Director through telephone and written exchanges with the National Chapters which will later be documented.

7.3.9 Recommended grants to individuals in excess of \$40,000 must be approved separately by the Chairman of the Board.

7.4 Non-Thematic Research

- 7.4.1 All grant requests for non-thematic research must first be referred to the Board of Directors for approval in principle. Where this referral cannot be conducted at a meeting of the Board, the Research Coordinator shall forward a copy of the proposal to members, requesting a written response within three weeks of receiving the proposal.
- 7.4.2 A proposal approved in principle by the Board of Directors shall be governed by the same procedures for review that apply to thematic research.

7.5 Regional Research

- 7.5.1 In certain circumstances, ATPS would undertake special projects cutting across different National Chapters and hence requiring special funding. Efforts would therefore be made to seek special funding where no allocations have been made from the core funding. Regional research may however be thematic in nature.
- 7.5.2 It will be coordinated by the Secretariat through the National Chapters.

7.6 Special Workshops

- 7.6.1 The Research Coordinator is responsible for special workshops which are governed by the same procedures that apply to thematic research.
- 7.6.2 In implementing special workshops, the Research Coordinator will be guided by the results of prior exchanges with the researcher(s) and will consult as necessary with the Executive Director, the Steering Committees and the Board of Directors.
- 7.6.3 Special workshops will be subject to regular review at scheduled workshops.

7.7 Plenary Papers

- 7.7.1 In selecting a given topic, the Research Coordinator will be guided by such criteria as is relevant to science and technology policy making following consultation with the Executive Director and the Board of Directors.
- 7.7.2 In selecting authors for plenary papers, the Research Coordinator will be guided by the results of prior exchanges with potential authors, and the Executive Director.
- 7.7.3 Grants for plenary papers are given to individuals or a team of experts to work on a designated topic.
- 7.7.4 The Research Coordinator will document all decisions and maintain records of grant actions.

8 MEETINGS

8.1 General

8.1.1 ATPS finances various types of meetings in accordance with the approved Programme of Work and Budget.

8.1.2 These meetings may be administered by the Secretariat or a designated recipient, but in both cases, in accordance with the ATPS 's travel procedures.

8.2 Secretariat-Administered Meetings

8.2.1 ATPS typically administers research workshops, senior policy seminars, special meetings, training and other technical workshops or exchanges related to ATPS 's supported research.

8.2.2 ATPS may, from time to time and on a selective basis, finance the participation of an individual researcher in meetings other than those sponsored by ATPS for the purposes of presenting research findings to other scholars and policy makers and for establishing contacts with other researchers.

8.3 Recipient-Administered Meetings

8.3.1 Meetings financed by ATPS may be administered directly by a designated recipient.

8.3.2 Funds will be expended in accordance with ATPS 's guidelines for Travel and as stipulated in the grant agreement, or the recipient's procedures, as approved by the Executive Director.

8.3.3 Requests for grants for such meetings shall contain the following information:

- object, venue, duration, participants and outcome;
- institution or association administering the meeting; and
- an itemized budget setting out travel and administrative costs.

8.3.4 The ATPS 's grant letter to the recipient shall state:

- the agreed objective and outcome of the meeting;
- an itemized budget; and
- submission of detailed financial and technical reports of the meeting.

8.3.5 Grant requests shall be approved by the Executive Director upon the recommendation of the Programme Manager.

9 PUBLICATIONS

9.1.1 ATPS supports publishing activities for the purposes of:

- disseminating the results of research and of other studies to researchers, institutions and policy makers;
- promoting scholarly exchanges and an informed discussion of public policy; and
- enhancing the professional status of African researchers.

9.1.2 These publications include:

- Research Paper Series
- Special Papers Series and derivatives therefrom
- Technology Brief Series
- Research Newsletters
- Books
- An Annual Report
- A biannual ATPS Network Newsletter
- Brochures
- Executive summaries and
- Selective support for local publications.

9.1.3 ATPS Research Papers, Special Papers and books include a statement of the Consortium's aims and a disclaimer to the effect that views are those of the author(s) alone and should not be attributed to ATPS 's sponsoring Members, National Chapters or Secretariat.

9.2 Working Paper Series

9.2.1 The ATPS Working Paper series is directed toward the effective and timely dissemination of research results among scholars and policy makers in a suitable professional format.

9.2.2 The Working Papers series contains the results of research financed by ATPS. Papers are published after positive internal and external reviews. Prior to external review, a technically-edited Final Report is distributed in limited numbers to facilitate timely dissemination to policy makers and teachers.

9.2.3 Research grant letters encourage authors to use material contained in Working Papers for other publications including journal articles, monographs and books with appropriate acknowledgment of ATPS 's support.

9.2.4 The manuscript of a final report is reviewed initially by the Regional Coordinator following technical editing for language, clarity and format. The Regional

Coordinator determines whether to reject the manuscript, suggest revisions or forward it for external review.

9.2.5 External review is conducted by two reviewers selected by the Regional Coordinator . At the discretion of the Executive Director, a modest honorarium may be paid to ensure a careful and rapid reading of the manuscript. Reviewers are normally expected to return the manuscript to the Regional Coordinator within six weeks of its receipt by them. The reviewer's comments are then forwarded to the authors along with any revisions suggested by the Regional Coordinator.

9.2.6 An externally reviewed and revised manuscript must be approved by the Regional Coordinator for publication in a distinctive cover bearing ATPS logo.

9.2.7 For each Working Paper, authors also prepare an abstract to facilitate cataloguing and a two to three page non-technical executive summary for policy makers and others.

9.3 Special Paper Series

9.3.1 The special paper series are publications presenting research work commissioned to experts covering a specified area of interest to ATPS and its interests.

9.3.2 Procedures followed in the approval and eventual publication of this paper are the same as those for the Working Paper Series.

9.4 Technopolicy Brief Series

9.4.1 At certain times, ATPS will commission experts to undertake a specific study with the aim of contributing to a specific policy. The research findings are summarised in the brief document (max 12-page document), Technopolicy Brief Series.

9.5 ATPS Books

9.5.1 ATPS's books may contain a synthesis of ATPS -supported research on specific themes; the results of research financed by ATPS; and other books commissioned by ATPS for teaching purposes. Materials recommended for publication are reviewed by the Secretariat and approved by the Executive Director. Publication may also be undertaken jointly with commercial publishers.

9.6 Distribution

9.6.1 ATPS maintains a comprehensive mailing list to ensure effective dissemination of its various publications to researchers, policy makers, institutions, libraries and teachers. No charge is levied for ATPS publications distributed to Africa-based

researchers and institutions. Charges for publications distributed outside Africa are intended to recoup the cost of distribution, except in those cases where the Secretariat has arranged for exchange on a reciprocal basis.

9.7 Support for Journals

9.7.1 ATPS support is guided by the following criteria, namely:

- regional purview in terms of ownership, content, and readership;
- likely contribution to the dissemination of research findings and an informed discussion of public policy;
- evidence of sound editorial and financial management; and
- potential access to additional sources of financial support.

9.7.2 The Board of Directors approves support for journals as part of the annual Programme of Work and Budget.

10 EVALUATION

- 10.1.1 The Board of Directors conducts an evaluation of each four-year phase of work with a view to:
- (i) Assess the validity of the objectives set for the phase;
 - (ii) Determine the extent to which the objectives are being achieved in a cost-effective fashion; and
 - (iii) Use the insights and information of the evaluation in planning the programme of work for the next triennial phase.
- 10.1.2 The cost of the evaluation is budgeted in the Programme of Work and Budget under Programme Management. The Executive Director is responsible to the Board for its implementation.
- 10.1.3 At the Board's discretion the results of the evaluation may be published or otherwise disseminated by ATPS.
- 10.1.4 The implementation of any other evaluations, pursuant to the regulations or requests of a contributing Member of ATPS is scheduled with due regard to the priorities, capacity, and finances of the Secretariat.

Appendix I: Consultant Assessment Form

AFRICAN TECHNOLOG POLICY STUDIES NETWORKS
CONSULTANT ASSESSMENT FORM

Name of Consultant _____

Nature of Work Commissioned _____

Agreed Completion Date _____ Actual Date Completed _____

Comments on quality and thoroughness of work _____

Rating

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Good

Adequate

Poor

(Exceeds desired standards)

(Meets desired standards)

(Fails to meet desired standards)

Fee Payable US\$ _____

I request that payment of the above fee is made

Signed _____

Position _____ Date _____

I request that payment of the above fees is deferred pending satisfactory completion of the work agreed.

Signed _____ Position _____ Date _____

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