



Governance & Management Policies 2020

[Adapted from Twaweza East Africa 2015 Governance & Management Policies]

Approved by the Board of Directors, Uwezo Uganda
29 September 2020

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Definitions

- “Board” or “Board of Directors” means the Board of Directors of Uwezo
- “Employee” means any person engaged by Uwezo on a contract basis
- “Employer” means the Board of Directors of Uwezo
- “Executive Director” means the Executive Director of Uwezo, to whom the Board has delegated powers to manage the day to day affairs of Uwezo Uganda.
- “HR Manual” means the Uwezo Uganda Human Resource (HR) Manual
- “Long term contract employee” – means an employee of Uwezo working full time with a continuous contract of more than six months
- “Supervisor” means an employee responsible for overseeing and supporting the work of other employee(s)
- “Management” means the executive authority of the organization vested in the Executive Director.
- “Management team” means a grouping headed by the Executive Director and consisting of directors or managers or senior advisors or other staff whom the Executive Director designates as senior staff, whose exact composition may be adjusted from time to time by the Executive Director.
- “Organization” means Uwezo Uganda.
- “Partners” means an organization or other entity with whom Uwezo formally collaborates in the pursuit of a common aim.
- “Policies” means the Uwezo Governance and Management Policies and other major policies as articulated herein and as may be amended by the Board of Directors from time to time.
- “Probation” means the period of initial employment, during which appointment to the position is yet to be confirmed by the employer
- “Uwezo” means “Uwezo Uganda”

The Uwezo Governance and Management Policies provide the general rules and guidance for Uwezo, consistent with its Memorandum and Articles of Association.

1. Introduction

1.1 Status

Uwezo Uganda (“Uwezo”) is a (not for profit) company limited by guarantee with a registration number 80020002150575 of P.O Box 33275 Kampala Uganda. The Organisation’s activities throughout Uganda and globally are managed through Uwezo. From 2009-2019, Uwezo was a program of Twaweza East Africa and as of 15th October 2019, it became fully independent and manages its own affairs.

2. Setting of policies

Purpose

This Governance and Management Policies document has been prepared to enable the application of fair, consistent, transparent and accountable governance and management of Uwezo. The terms of this Policy apply to each staff member unless determined otherwise by the Board.

2.1 Considerations shaping policies

The conditions of service have been developed with reference to and in consideration of the following:

- Statutory regulations and obligations
- Uwezo Vision, Mission and Values
- Progressive practices in similar organizations
- Seeking to ensure the highest level of transparency and accountability at Uwezo
- Seeking to provide a supportive working environment

2.2 Setting of policies

2.2.1 The major policies and regulations of Uwezo shall be set by the Board consistent with Uwezo Articles of Association and applicable legislation. The Board reserves the right to revoke, add to or amend the Policies at any time as it deems fit.

2.2.2 Uwezo employees shall generally enjoy the right to information and consultation in respect to the formation of the Policies. Major policy review and recommendations shall generally be considered every two years, though critical changes that need consideration earlier shall also be considered in the intervening year where needed.

2.2.3 All policy proposals from the staff and management for the Board’s consideration shall be routed through the Executive Director. The Executive Director shall establish an appropriate process and mechanism through which employees and/or management may make recommendations. Ideas submitted shall as a minimum state:

- The specific policy provision that should be changed, removed or added
- The phrasing of the proposed policy
- The purpose of making the change and value it is expected to accrue to the organization and/or to its people
- The ways in which the proposed change is consistent with Uwezo values and principles
- The budget, organizational, reputational and other implications of the change and how they will be mitigated.

2.2.4 The Executive Director shall review the recommendations, in consultation with the senior management team (SMT), taking into account organizational values, interests, budgets, morale and sustainability. After review the Executive Director shall determine the ideas that are appropriate for Board attention and submit formal recommendations. The Executive Director shall provide feedback to staff on the basis of his or her determinations and Board response.

2.2.5 Once approved, the Executive Director shall be the interpreter of Policies on behalf of the Board of Directors. The Executive Director may also delegate interpretation of the Policies of routine matters to the appropriate Director or Manager or Senior Staff.

2.2.6 Where the Policies are silent or unclear on a particular matter, the Executive Director may provide further elaboration or set interim policies, provided these are consistent with and do not contradict policies already set by the Board. Interim policies set by the Executive Director shall be subject to confirmation by the Board at its next regular meeting.

2.3 Access to Policies

2.3.1 All Uwezo employees shall have the right to access the most recent policies (including adopted updates) at all times, through common computer folders and/or internal document sharing networks.

2.3.2 Unless determined otherwise by the Board, all organizational policies (including approved updates) shall be made public and posted on the organizational website.

2.4 Compliance

2.4.1 All Uwezo employees are required to read, understand, abide by and promote organizational Policies. Ignorance of the policies or specific part thereof shall not constitute a defense.

2.4.2 Where specific responsibilities are delineated, officers or persons responsible shall discharge their responsibilities fully in accordance with the Policies.

2.4.3 Non-compliance with the policies or any part thereof shall constitute a breach of employment contract and the Code of Conduct as specified herein.

2.4.4 All employees who have knowledge of non-compliance of the Policies shall be responsible for promptly alerting their Supervisor/Director and/or Executive Director of the matter.

2.4.5 The Executive Director shall regularly but no less than once a year engage an independent consultant to undertake a systematic audit of compliance with policies, and draw up actions to be taken to strengthen policy understanding and compliance. A copy of this report shall be shared with the Board Chair within three months of the field audit exercise.

2.4.6 The Executive Director shall from time to time arrange to conduct unannounced spot checks regarding policy compliance and management, and draw up actions to be taken to strengthen policy understanding and compliance.

2.5 Documentation

2.5.1 In the interest of transparency, accountability and communication, and to aid institutional memory, all employees at Uwezo shall strive to ensure clear, thorough and accurate documentation of policy application. In submitting requests and determinations employees should to the extent possibly refer to a specific policy applied. To the extent possible documentation should be succinct.

3. Code of conduct

Purpose

The purpose of the Code of Conduct is to promote and safeguard the interests of Uwezo, and create conditions for all employees to conduct themselves with integrity and work together to create a good working environment and get things done with quality. Failure to comply with the Code of Conduct shall be considered a breach of the terms of employment and warrant disciplinary action.

3.1 Discharge of duties

Every employee shall discharge the duties entrusted to him/her with the highest degree of excellence, professionalism, skill, punctuality, integrity and loyalty to Uwezo. Every employee shall comply with all lawful instructions regarding the work of Uwezo given to him/her by the Board of Directors, Executive Director and/or Line Manager as the case may be. Every employee shall devote working hours to the work of Uwezo, and may not undertake private work during working hours, unless duly authorized in writing.

3.2 Learning and development

Every employee is responsible for his/her learning and development. Every employee is expected to seek to continually reflect and learn about how he/she can perform his/her responsibilities and contribute to Uwezo more effectively. Each year the employee shall develop a learning plan in conjunction with the needs of his/her job responsibilities and the advice of his/her Line Manager. Uwezo shall in turn promote an environment that fosters personal and organizational learning and development through activities such as learning sessions, coaching, and engagement with others.

3.3 Reputation of Uwezo

All employees shall at all times act in a manner that shall enhance the reputation and wellbeing of Uwezo. No employee shall act in a manner that could bring Uwezo into disrepute or otherwise jeopardize its reputation.

3.4 Mutual respect and non-discrimination

Every employee shall conduct him/herself with courtesy, respect and integrity towards all persons in the course of doing his/her work. No employee may discriminate against any other person on the basis of race, ethnicity, age, sex, sexual orientation, marital status, origin, disability, creed, political belief, religion or HIV status. No employee may abuse or deliberately intimidate any other person. No employee may make sexual advances where he/she knows or ought to know that the solicitation is unwelcome or in any other way sexually harass another person.

3.5 Zero tolerance for corruption

Uwezo has zero tolerance for corruption, theft, fraud and dishonesty. No employee may request, induce, demand or accept gifts, financial or otherwise, for actual or perceived direct or indirect performance of assigned responsibilities. All gifts received by Uwezo or employees in the course of working at Uwezo shall be reported to management and duly registered in the Gift Register. No employee may falsify or otherwise provide false information. An employee who engages in such illegal actions shall be subject to termination on the grounds of misconduct. An employee who has caused loss to Uwezo through such illegal actions may additionally be held liable for reimbursing the cost of the loss or damage caused.

3.6 Conflict of interest

No employee shall, while in the employment of Uwezo, engage in any business or activity that would undermine his/her performance or conflict with the interests of the Organization. Uwezo shall generally not enter into agreements with or procure goods or services from employees, directors or their relatives, except for exceptional circumstances where it is demonstrated to be in the best interest of Uwezo and no viable alternatives are possible. All such decisions shall be fully documented and disclosed/ communicated in writing to the Board. No employee or director may involve him/her in any decision-making process, or seek to in any way to influence it, where he/she or his/her relatives may be in a position to gain privately from the decision. All employees shall disclose forthwith any or potential conflict of interest and seek

approval before proceeding. Upon commencement of long-term contract employment status for the first time and at a designated period annual thereafter each employee shall complete and sign a conflict of interest declaration form.

3.7 Use and care of Uwezo property

Uwezo properties, equipment and other assets may only be used for the work of the Organization, unless authorized otherwise in writing by the Board or Executive Director as the case may be. All employees shall safeguard all properties and materials entrusted to them, and exercise the utmost care in their use.

3.8 Confidentiality

3.8.1 Due to the nature of Uwezo work, it is expected that confidentiality of information be respected at all times. No employee may disclose, transmit or otherwise share any unpublished information in any form related to the work of Uwezo or its staff/partners which come to his/her knowledge as a result of his/her employment. Particular care shall be taken not to disclose, furnish or give any information to unauthorized persons that may harm the reputation or interests of Uwezo. This provision applies during and after employment.

3.8.2 Individual staff salary and benefit levels, annual staff appraisals and decisions regarding promotion, demotion or other disciplinary action shall be confidential.

3.8.3 Every employee of Uwezo may be asked to sign a declaration of confidentiality and any breach of confidentiality will lead to disciplinary and/or legal action.

3.8.4 Upon termination of contract, no employee may take any unpublished information in any form (physical, electronic or otherwise) with them or continue to use/access any electronic or web resources that were made available to him/her by virtue of their association with Uwezo.

3.8.5 The Executive Director may from time to time as needed issue general or specific guidance regarding confidentiality and disclosure.

4. Transparency

Purpose

We seek to reflect and practice sound principles of effective and transparent governance. Transparency is one of the six key values at Uwezo, and in line with this principle it is important to develop and implement our own internal transparency policy that confirms this and guides our work. Citizens with access to information become citizens who can exercise greater agency from a perspective of cognizance and awareness; able to take informed decisions to bring about change in their own lives. Through transparent and accountable organizations, we can make this happen.

4.1 Access to information

4.1.1 Available information that is relevant must be made accessible in easy-to-understand formats that reflect the high standards that Uwezo believes in.

4.1.2 Timeliness and accuracy are also at the cornerstone of transparency, ensuring that what is accessible is relevant and readily available. Final versions of key documents (e.g. Annual Plan and Budget, Annual Reports, Audited Financial Statements) will be available on our website within five working days of them having been finalized.

4.1.4 Save for a few confidential files related to staff personal details, our default posturing is to make information as open as we can. Except for a few aspects that must remain confidential in line with legal norms and organizational policies around individual and organizational privacy, all other information about Uwezo should be accessible and readily available at all times.

4.2 Leading by example

4.2.1 When generating new material, we work from the assumption that it will be made public, unless specifically instructed otherwise.

4.2.2 We also aim to hold our partners to similar standards of transparency, as an indicator of good governance, which is at the heart of what we do.

5. Organizational management

Purpose

The purpose of this policy is to ensure clear guidelines on the Management of Uwezo. Here, roles and responsibilities are articulated, to enable Management to understand their mandate, and the level of authority delegated to the Management by the Board of Uwezo. Similarly, it provides guidance on compliance matters that must be adhered to consistent with the Uwezo Articles of Association and applicable legislation.

5.1 Representation and delegation

5.1.1 The spokesperson for Uwezo shall be the Executive Director. No employee, intern or other staff shall, without the express authority of the Executive Director, speak with the media, publish or make other or transmit official statements on behalf of Uwezo and/or its projects. All official publications or statements of Uwezo shall be signed by the Executive Director or an employee delegated by him/her in writing. The Official Seal and Stamp of Uwezo may only be used by the Executive Director or officers designated by him/her to do so in writing. Notwithstanding these provisions, employees may share prior published or approved information with interested parties.

5.1.2 When the Executive Director is absent from the duty station for two days or more, s/he may appoint a Manager or Senior Staff to serve as Acting Executive Director or Officer in Charge. An acting appointment of the Executive Director of more than one month must be endorsed by the Board Chairperson in consultation with the Board. When a Director or Manager is absent for two days or more, s/he may appoint, with endorsement of the Executive Director, another manager or competent employee of the unit to serve as Acting Director or Acting Manager.

5.1.3 Persons serving in acting appointments shall be adequately briefed and prepared to undertake their roles. Major issues and guidelines should be discussed during the handover process.

5.1.4 Staff shall normally be appointed as 'Acting Executive Director' (or 'Acting Manager' as the case may be) when the normal holder of the post is on long term leave or otherwise not available to undertake their duties while out of the office. Officers shall normally be appointed as 'Officers in Charge' when the normal holder of the post is out of the office (e.g. on work travel) but is able from time to time to engage remotely with work responsibilities.

5.1.5 The powers of officers in acting positions shall normally be limited to managing the day to day affairs commensurate to the position, and shall not extend to changing agreed programs/work-plans, reversing prior decisions or deciding on major matters that shall incur obligations over a longer term beyond the acting appointment. The powers of officers in charge shall normally be limited to execution of routine matters and handling emergencies that cannot wait for the normal holder of the post.

5.1.6 All acting and officer in charge appointments and duration thereof shall be authorized in writing, communicated to staff and recorded on Salesforce Chatter.

5.2 Roles and Responsibilities of Directors, Managers and Supervisors

5.2.1 The Directors of Uwezo represent the highest level of management within the organization. While the Executive Director continues to fulfil an oversight role, the Directors, Managers and Supervisors have been delegated authority by the Executive Director to execute duties.

5.2.2 Confirmed Directors are delegated to make decisions on activities and total partnership investments of up to US Dollars 20,000 (for entire activity) provided:

- It is consistent with approved strategy, criteria and guidelines, and unit mandate, and clearly contributes to Uwezo goals
- It is consistent with approved annual/quarterly plan and budget (and budget balance allows)
- The Executive Director is kept informed in real time of such decisions via Salesforce or by carbon copied email.

5.2.3 Directors are accountable for the decisions they make, ensure that high standards are set and that all applicable policies/procedures and required documentation are fully adhered to.

5.2.4 To support increased delegated responsibility, Uwezo shall ensure sufficient in-house learning opportunities to build the required level of knowledge, skills and attitude.

5.2.5 Exceptions: Decisions below USD 20,000 need approval of the Executive Director:

- If in the judgment of the Director the issue/activity is (potentially) sensitive or involves government relationships.
- If in the judgment of the Director the issue could pose significant risk to Uwezo

5.2.6 Confirmed Managers or Supervisors are delegated to make decisions on activities up to US Dollars 10,000 (for entire activity) provided these are consistent with approved activities and plans.

5.3 Statutory Compliance

5.3.1 The Executive Director shall ensure that Uwezo complies with the laws of the country.

5.3.2 The Executive Director shall remain abreast on changes in laws as applicable.

5.4 Promotion of Values

5.4.1 The Executive Director shall work with Uwezo staff to find creative and effective ways to promote Uwezo's values. This can include through learning activities, through using various communication tactics, or through ensuring that the organization's practices bring the values to life.

5.4.2 Though all staff are required to understand Uwezo's values, it is the responsibility of the Executive Director to promote them and adjust processes wherever they are not in congruence with what has been articulated.

5.4.3 A handbook with key documents and associate material shall be developed and shared with all staff upon joining Uwezo, and with Board members and others as relevant.

6. Board and Governance

Purpose

The purpose of this policy is to ensure clear guidelines on the management of Uwezo. This policy defines roles and responsibilities of the Board in order to guide its effective functioning. Similarly, it provides guidance on compliance matters consistent with the Uwezo Articles of Association, Board charter and applicable legislation.

6.1 Roles and Responsibilities

6.1.1 The Board of Uwezo shall be the highest governance body of Uwezo that exercises legal and fiscal oversight. It shall critically review and advise on programmatic strategy, monitoring and evaluation frameworks, and on the ongoing conceptual and intellectual development of Uwezo.

6.1.2 The Board of Uwezo also reviews and approves annual plans, budgets and reports; appoints external auditors and bankers; and ensures statutory compliance.

6.1.3 The Uwezo Board shall appoint and contract the Executive Director and determines appropriate remuneration. The Board shall support the Executive Director to its capacity and hold him/her accountable. The Board may delegate specific powers and responsibilities to the executive Director.

6.1.4 The Uwezo Board shall meet at least three times per year to enable it to exercise adequate oversight and support.

6.1.5 Board members shall act in the best interests of the organisation as a whole at all times, for as long as they serve on the Uwezo Board.

6.1.6 The Board shall not use their position and information for personal benefit or advantage at the expense of Uwezo.

6.2 Conflict of interest

6.2.1 Board Directors are to disclose potential conflicts of interest as soon as they arise. This includes financial, political or personal benefit from:

- other business or professional activities
- employment or accountability to other people or organisations
- membership of other organisations
- ownership of property or other assets.

6.2.2 Where there is a conflict of interest, Board members are to remove themselves from particular discussions, decisions or votes, or resign altogether from the Uwezo Board.

7. Planning

Purpose

The annual plan and budget, prepared in an easy to follow, systematic matrix format, elaborates on the indicative directions described in the strategy document, and specifies in more detail the activities to be undertaken and how funds will be spent. Planning is to be done in a manner that is thoughtful, that truly aligns with the overarching ideas articulated in the Board approved strategy.

7.1 Annual planning process

7.1.1 Each year, normally in the third quarter, an annual strategic retreat shall be held, featuring management as well as other key staff, as determined by the Executive Director.

7.1.2 This meeting shall feed into the annual planning process as the key moment in which staff meet to discuss key strategic elements articulating in more detail aspects of the strategy that will be implemented in the coming year.

7.1.3 Using the Human-Centred Design approach and taking formulated problem areas and desired solutions and successes as a starting point, activities and budgets are formulated. This approach shall articulate advantages, strengthens, challenges and threats about the actors and Uwezo' focus areas and identify problems to explore, and design core steps and solutions to solve the problems.

7.2 Formats of plans and budgets

7.2.1 The formats of the annual plans and budgets shall normally be in a matrix format, organized by goal and problem statement. Unless determined otherwise by the Board, in consultation with donors, the prevailing formats for annual plans and budgets shall remain.

7.2.2 Language and style of the plans and budgets shall be guided by the relevant brand and communication guidelines.

7.3 Approval of annual plans and budgets

7.3.1 The annual planning process shall normally be driven by the Executive Director, with direct support from the Advisor for Innovations, Fundraising and Research, the officer in charge of finance and any other senior staff that may be identified by the Executive Director. All units will be called upon to provide inputs to ensure this document is finalized in time for approval by the Uwezo Board.

7.3.2 The annual plan for the following year shall normally be presented to the Board in December for their approval prior to the closing of the year.

7.3.3 Following Board approval, the annual plans and budgets shall be made readily available to all staff, shall be shared with all donors, and uploaded onto the Uwezo website.

8. Donors

Purpose

Uwezo values donors for several reasons: provision of financial resources, knowledge, sharing of ideas and linkages with others, feedback on Uwezo's approaches and effectiveness, and as one component of accountability. Uwezo seeks to work with donors in a manner where its identity, intellectual and operational autonomy are affirmed and safeguarded; including independence of thought, publication and positions that may be critical of the donors.

8.1 Relationship with donors

8.1.1 The partnership with donors is based on a congruence of goals and mission; where both Uwezo and donors work in a manner that can best propel the goals and interests of Uwezo.

8.1.2 Donors may inform the development of the standards and structure of Uwezo's annual reports, but Uwezo does not provide separate specialized reports to suit requirements of individual donors.

8.1.3 To the maximum extent possible, exchanges are handled in donor meetings held twice a year rather than bilaterally, to minimize transaction costs and encourage mutual dialogue among the donors.

8.1.4 Separate bilateral donor missions and visits are generally discouraged, though donor representatives may participate in on-going work where this does not undermine program purpose or cause disruption.

8.2 Fundraising

8.2.1 The Executive Director shall source for funding for Uwezo from international and local donors, ensuring there is congruence in values and ethos between Uwezo and potential donors, and shall use this as a primary consideration when selecting donor partners.

8.2.2 In the interest of organizational sustainability, the Executive Director shall ensure that there are multiple funders and that as much as possible no one funding source comprises more than 50% of Uwezo's overall funding.

8.2.3 Wherever practicable, donors will be encouraged to contribute towards Uwezo in its entirety, rather than choosing only certain aspects of its activities.

8.2.4 Uwezo prioritises funding that supports its planned activities and will as much as possible avoid tendering for projects or bidding for activities, whether alone or in collaboration with other organizations. Ultimately, the organization is driven by its own activities, as articulated in its annual plan and budget for the year.

8.2.5 Uwezo is directed by a clear mandate, set of objectives, vision, mission and values that shall not be overlooked or ignored in the quest for funding.

8.3 Reporting

8.3.1 The Annual reporting process starts in January each year and ends when the reports are presented to the Board and donors at annual in-person meetings in March. These consist of a narrative report, a matrix report, and an audited financial report.

8.3.2 Around late August a brief mid-year progress report is generated to provide an update on progress made up to the half year point. These common reports provide comprehensive information and are provided to all donors, usually after they have gone through Uwezo's internal governance structure.

8.3.3 The mid-year reports shall be brief, of about 10 pages in length, and cover the January to June period. They highlight key achievements, setbacks and insights, and provide a succinct account in point form of progress against plan, as well as an (unaudited) budget vs. expenditure report for the same period and if required a mid-term review.

8.3.4 The narrative report and audited financial statements are also published online, and must therefore be well-designed and easy to navigate; the writing must be professional, yet easy to understand; the visual style consistent and presentable.

8.3.5 The matrix report is prepared for internal consumption, to ensure that staff keep track of their progress throughout the year. This report can also be shared with external parties such as donors upon request.

8.3.6 Deviations of more than 15% across key budget lines must be explained to the Board.

8.3.7 The process of writing the annual reports include 1) managers assigning specific sections of the draft report to staff members from their units to fill in, 2) quality check and approval from managers, 3) approval of content from Executive Director, 4) graphic designing the annual narrative report and quality assurance, and finally 5) sign off from Executive Director.

8.3.8 The intended audience for the annual reports is all staff within Uwezo, our Board, and donors. The annual reports will also be published on our website for those who are interested.

8.3.9 Information is captured in the Annual Report as a means of improving transparency of Uwezo's budget control process. The budget column shows the amount that was budgeted for that specific program, and the expenditure is the actual expense for the period for that program. The percentage reflects the difference in the actual expenditure from what was budgeted.

8.3.10 Uwezo generally does not provide separate specialized reports to comply with the requirements of individual donors. All donors agree to one high quality set of documents in a set format.

8.4 Reserves

8.4.1 Operating reserves are essential to the sustainability and stability of Uwezo, particularly as the organization has become newly independent and continues to fundraise for its programs and operations.

8.4.2 The policy will ensure sufficient liquidity in the event of short-term fluctuations in donor support.

8.4.3 The reserve will enable Uwezo to honour commitments made contractually even as its environment or circumstances change, such as the unanticipated reduction or loss of expected donor support due to changing priorities or budgetary restrictions. This policy shall assist Uwezo to avoid legal action that could result from abrupt termination of contracts due to political instability.

8.4.4 Understanding that there is no minimum operating reserve ratio, Uwezo shall maintain a reserve of 30% of its annual operating budget. This is commensurate with its longest commitment/notice period, allowing Uwezo to submit notice to end contracts, should it fail to recover from the downturn.

8.4.5 Authorization to utilize the reserves shall be approved by the Uwezo Board, following consultation with Uwezo's management.

8.4.6 Requests for use of the reserves shall be accompanied by a financial forecast showing:

- current balance
- income and its likely timing
- planned activities and their associated costs
- when activities need to be paid by, apportioned by month.

9. Meetings

Purpose

While some belong to the school of thought that meetings should be kept to a minimum, they are, all the same, important for information sharing and making decisions. At Uwezo there are a number of key meetings that are a part of our makeup, and each serves a specific function to get things done.

9.1 Monday staff meetings

9.1.1 Once a week, usually on Monday afternoons, the Executive Director shall hold a meeting with all staff. Attendance at this meeting is mandatory for all staff, including interns and long-term consultants. Where the topic of discussion is sensitive or only pertains to fulltime employees, interns and consultants are to be excused.

9.1.2 Where it is not practicable for the Executive Director to lead the meetings she /he shall delegate the responsibility to another member of staff.

9.1.3 The purpose of these meetings is to share key updates that cannot be posted on Salesforce Chatter and ensure that everyone in the office is aware of what is going on.

9.1.4 Meetings should be interesting, vibrant, valuable and effective. They can have cross cutting themes or focus on current affairs. The meetings are also an opportunity for the Executive Director to engage with staff on key general issues and check progress made towards achieving quarterly deliverables.

9.1.5 Meeting minutes for each staff meeting are to be shared via email and also posted on Salesforce Chatter within 72 hours of the end of the meeting.

9.2 Management Team meeting

9.2.1 Normally once a week, but also whenever deemed necessary, the Executive Director, Directors, Managers and Supervisors shall meet. This meeting is a quick chance for the Executive Director to share key updates/issues or discuss sensitive matters with the management team.

9.2.2 Decisions that require input from the management team prior to sharing with the staff are discussed and agreed upon. Managers and Supervisors who wish to share any other items with other managers are encouraged to do so.

9.2.3 The Idea Huddle Meeting is an additional meeting in which Idea Memos are discussed and approved. This meeting is attended by the SMT plus invited Managers and staff, depending on the nature of the presented Idea Memo. The meeting is chaired Executive Director who also makes the final decisions. Occasionally, the Executive Director may delegate the responsibility of chairing the Idea Huddle to another staff.

Monthly strategic meeting

9.3.1 The Executive Director shall call a meeting with the senior management team, supervisors or unit leads to discuss major decisions that have significant effect. They either: affect the entire organization, involve large financial investment, have a long-term effect, or are sensitive in nature.

9.3.2 The agenda shall be clear, and examines forward-looking or planning related elements, and where possible limited to two or three agenda items.

9.3.3 The chair of this meeting shall be the Executive Director.

9.4 Monthly bilateral

9.4.1 Once a month, each Director or unit lead is to meet with the Executive Director to review progress made and ensure timely delivery of outputs. The purpose is to ensure activities are on track and to tweak/sharpen outputs if necessary.

9.4.2 Directors or unit leads are responsible for sharing their report and plan at least 2 days prior to the meeting. Concrete actions are to be decided and implemented during the meeting.

9.4.3 If there are extenuating circumstances that will lead to the meeting being postponed Directors or unit leads are to share this with the Executive Director as soon as possible.

9.4.4 It is the responsibility of the Executive Assistant to the Executive Director to ensure that the bilateral does not clash with scheduled travel and key meetings.

9.4.5 After each bilateral Directors or unit leads are to share the notes and action points with the Executive Director and implement before the next meeting.

9.5 Quarterly Reflection Meeting

9.5.1 On a quarterly basis, all managers, unit leads and senior staff shall meet in person to review progress against the annual plan and plan for the next quarter.

9.5.2 Any issues that may affect the effectiveness and work environment of the organization are discussed and decided at the meeting.

9.5.3 Managers or unit leads are encouraged to use this time to have side meetings with each other to discuss key issues and plan for activities that may need cross unit collaboration. During this time visits to partners may also be arranged.

9.5.4 Quarterly reflection meetings are held in late March, June and September.

9.5.5 Locations for these meetings are determined by the Executive Director's office.

9.5.6 Under normal circumstances, the duration for these meetings is 2-3 days.

9.5.7 To make these meetings effective and save time, only issues that are critical and organization-wide and that cannot be effectively handled outside the meeting will be put on the agenda.

9.5.8 For each quarterly reflection meeting the agenda will be set 1-2 weeks in advance and short notes prepared, with all managers and unit leads playing a supportive role as requested.

9.6 Annual Retreat

9.6.1 Once a year, usually in the third or beginning of the fourth quarter, Uwezo shall hold its annual strategic retreat. This meeting is to hold strategic discussions and review Uwezo's direction and key operations. The retreat is a chance to have an overview of the entire organization and see how processes and operations are functioning. The retreat marks the start of the Annual Planning process.

9.6.2 In the lead up to the retreat, managers and unit leads are to gather feedback from their respective units which will be discussed at the retreat used to inform planning the following year's annual plan.

9.6.3 Participation at this meeting shall normally be Directors, Managers, unit leads plus one additional member from each unit. External guests may also be invited to attend.

9.6.4 The duration of the annual retreat is normally three days.

10. Knowledge Management

Purpose

Workflows, processes, and documentation within the organization have been mapped out to create greater clarity and efficiency. Particularly as the team grows, there will be need to document processes and decisions, and have them be accessible to all staff such that they are able to understand and work within the workflows documented. Similarly, as staff come and go, it is important that their colleagues who remain or who join are able to find documents and learn what has been done before.

10.1 Ideas Memos

10.1.1 Ideas Memos shall be prepared to document, within the established Salesforce platform, the initial thinking on a particular set of activities that Uwezo units want to do. The Idea Memos ensure that all relevant managers and unit leads are on board, and prevents unnecessary investment on ideas that are not feasible, or viable, by making the decision early to not proceed.

10.1.2 Responsible staff shall request consultations on the Idea Memos from relevant internal expertise on time, making roles clear, and shortening the decision-making process.

10.1.3 The unit submitting an idea shall ensure sufficient time for it to be presented to selected members of the management team and staff, factoring in time for review and discussion, as applicable.

10.2 Decision memos

10.2.1 Ideas memos, once approved, shall be converted into decision memos, all within Salesforce.

10.2.2 Decision memo shall be required for any activity that is either sensitive, or over US Dollars 500 related to programmatic activities, rather than operational ones. However, recurring activities need only one memo per year, provided they are largely similar. Multi-part activities that are large require only one memo provided each major component of the activity is sufficiently explained and provided that specific moments are marked during implementation when other members of the management team are consulted.

10.2.3 Decision memos provide the general guidance for a particular activity that was explored in the idea memo.

10.3 Workflows

10.3.1 Requirements for all processes must be documented in advance, to allow for clarity and efficiency.

10.3.2 The number of days each step will take is important to allow staff to effectively plan their work with these in mind. The number of days will be documented.

10.3.3 The supporting documents and considerations needed to make things happen well quickly need to be articulated in advance, to allow staff to reduce unnecessary iteration.

10.4 Salesforce

10.4.1 Once customisation of Salesforce to Uwezo was has been completed, it will be the platform upon which workflows are affected, enabling Uwezo to operate in a manner that is increasingly transparent, paperless, and that works seamlessly where Uwezo staff submit their ideas for approval; are able to view what others are working on; are able to have a central location to share articles; can broadcast messages that are of interest to others and relevance to our work; and have a central database for contacts.

10.4.2 The dashboard functionality allows for a snapshot view of where bottlenecks exist – meaning everyone remains current on information, decisions and activities. This should be used and updated to reflect the types of reports that Uwezo staff find useful and relevant.

10.4.3 Clear guidance shall be provided by the IT Officer and HR Associate on how to troubleshoot problems and who to call when problems arise.

10.4.4 The Salesforce system is easily customizable to match the needs and requirements of Uwezo and the HR Associate (with the support of the IT Assistant) shall work with relevant managers and unit leads to continue to build it to meet the needs of Uwezo's units.

10.5 Salesforce Chatter

10.5.1 The Chatter functionality within Salesforce is the main internal space within which staff are to post updates on their work, or interesting material they wish to share with colleagues.

10.5.2 Only Uwezo staff, long term consultants, and interns shall have access to Chatter. Interns shall have access to Chatter only, and no other areas in Salesforce, unless such additional access is authorized in writing by the Executive Director.

10.5.3 Material posted on Chatter is for organization-wide information sharing and learning. It should not be used for material that can otherwise be shared using the Uwezo email addresses, or personal addresses, as per the policy articulated in the HR Manual.

10.6 File saving

10.6.1 Documents must be spell-checked, paginated and formatted in the Uwezo formats before they are shared.

10.6.2 To enable others to find files that have been saved, and especially for institutional memory, all files in the Common Drive should be saved in the following format: [Name of document] [type of doc][status] [6 digit date][initials of the person saving the file]. E.g. GovernancePoliciesDraft020920jnt.

10.6.3 Each word should begin with capital letters; and each reviewer of the document should add their initials with a '+' sign. E.g. GovernancePolicies020920jnt+am. Aim at keeping the file name as short as possible.

10.6.4 Following the structure and coding of the Annual Plan, files shall be saved in the common folder, which is backed up in the cloud continuously. All draft and working documents shall also be saved in the common folder to ensure transparency and avoid loss.

11. Collaboration

Purpose

Uwezo Uganda acknowledges the importance of collaborating with partners to accomplish its goals. Bearing in mind that value for money is a key principle and value of ours, this policy serves to articulate what we can and cannot cover when we collaborate with partner overheads and equipment. Allowances and fees are covered in separate policies. Without our partners, Uwezo would not be able to do the work we need at the scale we desire. In order to improve, one way is to learn by gaining insights from others and applying those insights to enhance our activities.

11.1 Partner overheads

11.1.1 Uwezo shall normally pay up to 5% of the total activity costs towards organizational overheads where overhead covers generally administrative support (such as to universities, think tank/research firms, other CSOs and consultancy firms).

11.1.2 Where overhead covers specific technical and/or programmatic oversight and quality assurance, such as managing survey firms, cleaning data, and editing material, Uwezo shall pay up to 15% of overhead costs.

11.1.3 Where the ceilings detailed above are seen to be inadequate to cover actual costs, organizations may opt to provide a detailed budget for specific services and outputs that shall be provided to the activity instead of overhead amounts, payable upon delivery of such services and outputs.

11.2 Partner equipment

11.2.1 Organizations shall procure equipment and services in a manner that represents value for money and is consistent with generally acceptable procurement and financial accountability requirements.

11.2.2 Partner organizations shall maintain at all times an asset register of all equipment valued over US Dollars 500 purchased with the use of Uwezo funding.

11.3 Partner feedback

11.3.1 Once in every two years, Uwezo shall conduct a partner feedback survey to gain feedback and insights from our partners on how we can better communicate, learn, and understand each other.

11.3.2. In order to have a less biased sample, the survey shall be sent to all partners – current, failed, or successful – such that we can get an invaluable, clearer reflection.

11.3.3 The survey shall be completely anonymous, to ensure partners are able to respond with complete candor.

11.3.4 Generally, the survey shall ask:

- Are we a good partner?
- Do we communicate well? Are we clear and straightforward?
- Does our approach make sense and is it implemented well?
- What can we do better?

11.3.5 Feedback from this survey shall be shared on the Uwezo website within one month of the deadline for collecting responses, following analysis of the feedback, and the writing of a report.

12. Concerns

Purpose

The purpose of this policy is to ensure that serious concerns – such as bribery, corruption, extortion, or sexual harassment – and serious delays – such as non-responsive officers or delayed payments without explanation – can be addressed in a confidential and efficient manner. The policy has been developed and will be implemented in consultation with employees at all levels. It is in compliance with existing Uwezo HR policy on the Code of Conduct and reflects our core values of transparency and accountability.

12.1 General considerations

12.1.1 Any case of the above listed serious concerns, the complainant can write an email to Uwezo at info@uwezouganda.org. Emails sent to this address will be forwarded straight to the Executive Director of Uwezo. If the complaint is about the Executive Director, the complainant can write to the Chairperson, Uwezo Board of Directors at ajluta lobosa@yahoo.com

12.1.2 Complaints can be sent anonymously or in confidentiality. Complainants can also choose whether or not a response is required.

12.1.3 Once a complaint is received; an automatic email would be sent as a reply of acknowledgement. Received emails will also be recorded in a log, which will be periodically submitted to the Board.

12.1.4 The Executive Director (or Board Chair if the matter concerns the Executive Director) must investigate the complaint and reply with a preliminary response within one week. A log of actions taken will be kept at all times.

12.1.5 For persistent problems that are reported repeatedly, the Executive Director must take systematic action to resolve the matter.

12.1.6 This policy will be mentioned in all our contracts, and selected communication materials, to make sure our partners, consultants and staff are informed.

12.1.7 The concerns policy and the email addresses shall be explained in the ‘Contact us’ section of the Uwezo website.