

POLICY MANUAL

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Governance

Board

Board Governance Policy GV01

Policy Number: GV01

Effective Date: 19th April 2013

Version: 04

Revised Date: 22nd January, 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2023

Introduction

Governance in the community sector is concerned with the systems and processes that ensure the overall direction, effectiveness, supervision and accountability of an organisation.

Board members take ultimate responsibility for the governance of their organisations. However, governance is not a role for Boards and Board members alone. Governance is also concerned with the way Boards work with chief executives and staff, volunteers, service users, members and other stakeholders to ensure the organisation is effectively and properly run and meets the needs for which the organisation was set up.

Purpose

The Governance Policy is intended to clarify the content of the organisation's constitution by making explicit the underlying principles of governance approved by the organisation.

This policy does not cover legal or ethical issues concerning the role of the Board or its members, which are addressed separately elsewhere.

Policy

The Board of This Life is an elective, representative, and collective body.

- It is **elective**, in that the determination of Board members is the prerogative of members through the election process.
- It is **representative**, in that no member can be mandated by their constituency to adopt a particular position if they do not believe it to be in the best interests of the organisation. Whatever the constituency of any member, all members are committed to acting selflessly and making decisions and voting on governance decisions solely in the best interests of the organisation.
- It is **collective**, in that while each member should put the point of view of their constituency, and each member has the right to argue for their own point of view and to vote for that position, once a collective decision has been taken Board members are required to support that decision.

The function of the Board of This Life is to collectively ensure the delivery of the organisation's objectives, to set its strategic direction, and to uphold its values. The Board should collectively be responsible and accountable for

ensuring and monitoring that the organisation is performing well, is solvent, and is complying with all its legal, financial, and ethical obligations.

The responsibilities of the Board that cannot be delegated to any other person or body include

- Compliance monitoring – ensuring compliance with the objects, purposes and values of the organisation, and with its constitution
- Organisational governance – setting or approving policies, plans and budgets to achieve those objectives, and monitoring performance against them
- Strategic planning – reviewing and approving strategic direction and initiatives
- Regulatory monitoring – ensuring that the organisation complies with all relevant laws, regulations and regulatory requirements
- Financial monitoring – reviewing the organisation’s budget, monitoring management and financial performance to ensure the solvency, financial strength and good performance of the organisation
- Financial reporting – considering and approving annual financial statements and required reports to government;
- Organisational structure – setting and maintaining a framework of delegation and internal control
- Leadership selection – selecting, evaluating the performance of, rewarding and, if necessary, dismissing the organisation’s Executive Director
- Succession and remuneration planning – planning for Board, Executive Director and executive succession, and determining senior management remuneration
- Risk management – reviewing and monitoring the effectiveness of risk management and compliance in the organisation; agreeing or ratifying all policies and decisions on matters which might create significant risk to the organisation, financial or otherwise
- Dispute management – dealing with and managing conflicts that may arise within the organisation, including conflicts arising between Board members, staff, the Executive Director, members, volunteers, or service users.
- Social responsibility – considering the social, ethical and environmental impact of all activities and operations and ensuring that these are acceptable
- Board performance and composition – evaluating and improving the performance of the Board
- Building Capacity of organisation - where practical contribute to the capacity building of Senior Staff
- Human Resource Management - Identify where a Board member’s expertise overlaps with a manager’s field of work and reach out to request guidance via the Executive Director

Relationship with management

The Board should focus on the strategic direction and the core policies of the organisation, and avoid becoming involved in day-to-day operational decisions. Where individual Board members do need to become involved in operational matters, they should separate their strategic role (where they operate independently of any direction) from their operational role (where they act at the direction of management).

Procedures

Responsibilities

It shall be the responsibility of the Board to establish and maintain standing orders, policies and procedures, and systems of financial control, internal control, and performance reporting.

It shall be the responsibility of the Board to clearly demarcate and delegate the functions of sub-committees, officers, the Executive Director, and other staff and agents.

It shall be the responsibility of the Executive Director to address key management and operational issues within the direction and the policies laid down by the Board, including

- Developing and implementing organisational strategies and making recommendations to the Board on significant strategic initiatives;
- Making recommendations for the appointment of staff, determining terms of appointment, evaluating performance, and developing and maintaining succession plans for staff;
- Developing the annual budget and managing day-to-day operations within the budget;
- Maintaining an effective risk management framework;
- Keeping the Board and regulators informed about any developments with a material impact on the organisation's performance; and
- Managing day-to-day operations in accordance with agreed standards for social, ethical and environmental practices.

Procedures

Internal controls

The Board should set and maintain standing orders, policies and procedures, and systems of financial control, internal control, and performance reporting. The Board should ensure that there is a system for the regular review of the effectiveness of its financial control, internal control, performance reporting, and policies and procedures.

Managing risk

The Board should undertake a full risk assessment (either periodically or on a rolling basis) and take appropriate steps to manage the organisation's exposure to significant risks. The Board must regularly review the risks to which the organisation is subject, and take action to mitigate risks identified.

Board review

The Board should ensure that there is a system for the regular review of its own effectiveness in meeting its responsibilities.

Related Documents

- Code of Ethics
- Conflict of Interest Policy
- Employment of Executive Director Policy
- Access and Equity Policy
- Grievance and Dispute Resolution Policy
- Transparency and Accountability Policy

Board Attendance Policy GV02

Policy Number: GV02

Effective Date: 19th April 2013

Version: 02

Revised Date: 18th August 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

Regular attendance at Board and committee meetings is essential in order to maintain continuity and cohesion in the governance of This Life.

Purpose

This Board Attendance Policy is intended to encourage regular attendance at This Life's Board and committee meetings and to provide procedures to deal with any failures in such attendance.

Policy

Board and committee members are expected to demonstrate their commitment to the organisation by unbroken attendance at the Board or committee on which they sit, except when prevented by unforeseeable events.

PROCEDURES

Responsibilities

It is the responsibility of the Board Chair and Sub-Committee Chair to monitor the attendance of each member and to issue warnings as appropriate.

Procedures

The Secretary shall notify members of forthcoming meetings no sooner than 21 working days before the set date of the meeting.

Where Board members are prevented from attending any Board meeting, they should notify the Chair of their intended absence.

Where a meeting is to be held either in the form of a teleconference or online, the Chair should notify members accordingly. Participation in these meetings shall be equivalent to attendance at a regular meeting.

Attendance requirements

If a Board member is absent for two consecutive meetings without first notifying the chair of their absence, or if a Board member is absent for three consecutive meetings having notified the chair of their absence, that Board member is in breach of their obligations and is liable to be removed from the Board, subject to the following processes.

Prospective members of the Board shall be issued with copies of the attendance policy and asked to commit themselves to observing its terms.

Process

If a Board member is in breach of their attendance requirements then the Chair shall consult them to discuss this matter.

If the Board member's difficulties are resolvable, then the chair shall attempt to resolve them.

If no mutually satisfactory resolution is possible, and if the Board member wishes to continue on the Board, then the member's response will be put to the Board at its next meeting. The Board member shall be entitled to speak to this item, and to vote on it. The Board will then decide what actions to take regarding that Board member's future membership on the Board.

If the Board decides that termination is justified, the Board may suspend that person's membership of the Board. In the event the member wishes to continue in his or her position, the suspension shall be put to a general meeting for approval. The suspended member shall be given an opportunity to be heard, either personally or through a representative, and may submit materials in writing to be circulated.

The Board may remove any person from any Board sub-committee for any reason, including (but not limited to) non-attendance.

When any person has been removed from the Board or from any committee under this provision, the Board or committee will promptly initiate a process to recruit a new Board member. The person whose membership has been terminated shall retain the right to stand again at the next election for the Board.

Related Documents

- Constitution

Board Confidentiality Policy GV03

Policy Number: GV03

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

This Life is committed to openness, transparency, and accountability. Our policies shall reflect our wish to release all information we hold as far as this is consistent with the protection of individual privacy, the effective management of our organisation, and relevant legislation.

Purpose

This Board Confidentiality Policy is intended to regulate the release or retention of Board material by Board members.

Policy

Board members shall be authorised to release to any person any material that has not been ruled by the Board to be confidential. Board members must not release to any person any material that has been ruled by the Board to be confidential.

PROCEDURE

Responsibilities

It is the responsibility of the Board Chair to ensure that Board materials are appropriately classified as confidential or open to release.

The Chair is responsible for bringing this policy to the attention of prospective Board members.

All Board members are responsible for respecting this policy.

Procedures

The Board shall review and approve the confidentiality policy of the organisation as a whole.

The Board shall decide from time to time whether any or all of its agendas, minutes, or papers, or those of its sub-committees (not otherwise required by legislation, regulation, or its rules to be made public) shall be made public. Where no express decision has been recorded, the assumption shall be that the material is not confidential.

Where release of any material would involve the unreasonable release of personal information regarding any person, the Board may

- declare that material to be confidential, or,
- if appropriate, remove identifying material from the material before release.

For those matters that the Board elects not to make public, Board members shall respect the confidentiality of those documents and of any deliberations in the Board on those matters.

In particular, Board members shall not

- disclose to any member of the public any confidential information acquired by virtue of their position as a Board member;
- use any confidential information acquired by virtue of their position on the Board for their personal financial or other benefit or for that of any other person;
- disclose to any member of the public any confidential information related to the interests of individuals, groups or organisations acquired by virtue of their position on the Board;
- make statements to the media in the name of the organisation except as specified in the Board's Media Relations Policy; or
- permit any unauthorised person to inspect or have access to any confidential documents or other information.

The obligation to protect such confidential matters from disclosure continues even after the individual Board member is no longer serving on the Board.

The Board shall decide from time to time whether any observers shall be permitted to attend any or all of its meetings. Where appropriate, observers may be admitted subject to their undertaking to maintain confidentiality. Where appropriate, information identifying individuals may, with the consent of the Board, be removed by the Chair from material before its consideration by the Board, or may be removed from material before it is released.

Related Documents

- Transparency and Accountability Policy
- Privacy Policy
- Code of Ethics

Board Dispute Resolution Policy GV04

Policy Number: GV04

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life is committed to reaching a speedy and just resolution of any disputes or grievances that may arise and that may threaten the harmonious functioning of the Board.

Purpose

This policy is designed to set out the process for resolution of disputes or grievances involving Board members that are unable to be resolved through respectful debate in Board meetings.

Policy

Disputes will be resolved by mediation.

PROCEDURES

Responsibilities

It is the responsibility of the Chair to ensure that:

- Board members are aware of this policy;
- Disputes are handled respectfully, confidentially, and in accordance with natural justice.

It is the responsibility of all employees to ensure that their usage of electronic media conforms to this policy.

Processes

The parties to the dispute must meet and discuss the matter in dispute, and, if possible, resolve the dispute within 14 days after the dispute comes to the attention of all of the parties.

If the parties are unable to resolve the dispute at such a meeting, or if a party fails to attend that meeting, then the parties must, within 10 days, hold a meeting in the presence of a mediator.

The mediator must be –

- a person chosen by agreement between the parties; or
- in the absence of agreement, a person appointed by the Board.

A member of This Life can be a mediator, but may not be a member who is a party to the dispute.

The parties to the dispute must, in good faith, attempt to settle the dispute by mediation.

The mediator, in conducting the mediation, must –

- give the parties to the mediation process every opportunity to be heard; and
- allow due consideration by all parties of any written statement submitted by any party; and
- ensure that natural justice is accorded to the parties to the dispute throughout the mediation process.
- The mediator must not determine the dispute.
- The mediation must be confidential and without prejudice.
- If the mediation process does not result in the dispute being resolved, the parties may seek to resolve the dispute otherwise in the Board or at law.

Related Documents

- Harassment policy
- Bullying Policy

Board Member Induction Policy GV05

Policy Number: GV05

Effective Date: 19th April 2013

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Revised Date: 18th August 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The effective operation of any organisation relies on its Board, and the effective operation of the Board relies on all its members having a full command of the necessary information and expertise.

Purpose

This policy seeks to ensure that new members of the Board are provided with all the information and training necessary to enable them to contribute appropriately to the operations of the Board from the time of their election.

Policy

New Board members shall be provided with all the information and training necessary to enable them to contribute appropriately to the operations of the Board.

PROCEDURES

Responsibilities

It shall be the responsibility of the Executive Director to ensure that the materials specified in this policy are prepared and copied and to ensure that the procedures specified in this policy are implemented appropriately.

Procedures

Initial Contact

As soon as possible after the Board has confirmed the appointment of a new member the Executive Director shall make contact with the new member to let them know the outcome. The Chair will write a letter of congratulations and welcome.

Board Manual

The Executive Director shall forward to the new member a copy of This Life's Board Manual. The manual will serve as an initial introduction to the group as well as an ongoing reference. It should include:

- relevant organisational documents such as the mission statement, constitution/rules, strategic plan, policies, current year-to-date budget, and the most recent annual report;
- basic biographical and contact information about Board members, and senior staff;
- meeting schedule and calendar of upcoming events;
- introduction to the group's operational and committee structure;
- information about the Board and Board members' roles and responsibilities, including the Board Attendance Policy;
- any other necessary background information.

Introductions

The Executive Director shall introduce the new member to other members of the Board (and senior staff, if appropriate) as soon as possible after their appointment, and seek to involve the member socially in Board activities by inviting them to social functions.

The Executive Director shall nominate a member of the Board to act as mentor to the new member.

Briefing

The Executive Director shall

- draw the new member's attention to the roles and responsibilities of the Board in general, and the roles and responsibilities they will be expected to undertake as an individual;
- discuss any concerns they may have.

The assigned mentor shall take the new member through the minutes of recent meetings and brief them on the issues the Board is dealing with at the moment, or will be looking at in the future.

Tour

The Executive Director shall invite the new Board member to take a tour of the organisation's facilities and introduce them to staff, volunteers, members and the beneficiaries of the group's services.

Related Documents

- Board Attendance Policy
- Conflict of Interest Policy
- Developing an Effective Induction Process help sheet
- Induction Checklist

Board Recruitment Policy GV06

Policy Number: GV06

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The nomination and selection of Board members is the prerogative of the members of This Life through the election process. However, given the responsibilities of the Board, there is a need for the Board to have an appropriate mix of expertise and experience. Policies and procedures must facilitate the election of those people who best meet the needs of the Board.

Purpose

Board members should provide an appropriate mix of skills to provide the necessary breadth and depth of knowledge and experience to meet the Board's responsibilities and objectives. The Board also aims for a composition which will appropriately represent the interests of the various groups contained within the organisation's common bond and which will include a diversity of Australia's peoples.

Policy

The Board should attempt, using its network of contacts within and without the organisation's membership, to identify appropriate individuals with needed skills and interests as potential Board members. When vacancies arise among the elected Board positions, such individuals should be encouraged to nominate for election. Such individuals may also be appointed by the Board, where the Constitution provides, to vacant Board positions.

PROCEDURES

Responsibilities

It shall be the responsibility of each member of the Board to explore among their networks the possibility of nominating for a position on the Board of the organisation.

It shall be the responsibility of the Secretary to draw up and maintain a list of prospective candidates for the Board. All entries on this list shall be reported to the Board.

It shall be the responsibility of the Board to ensure that any nominees, candidates, or new members are acquainted with the organisation's purposes, policies, and procedures.

Procedures

The Board shall regularly assess its composition by reference to

- Necessary areas of expertise
- The ideal balance between experience and freshness
- Desirable diversity in relevant areas
- Contributions from relevant stakeholders.

The Board shall identify areas where existing Board composition falls short of the ideal.

Board members shall attempt to recruit from their networks Board candidates who would fill those gaps.

The Board shall collect suggestions from members and draw up a list of suitable candidates for the Board, and for Board committees and working parties.

Where vacancies occur on the Board or its committees and working parties other than at the expiration of elected terms, appointments shall be made from this list.

Before each annual election the Board shall attempt to recruit nominations for the Board from this list.

Related Documents

- Code of Ethics
- Conflict of Interest Policy
- Access and Equity Policy

Board Office-bearer Policy and Position GV07

Policy Number: GV07

Effective Date: 19th April 2013

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Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

A Board operates more effectively if the members and office-bearers of the Board know their respective duties and obligations.

Purpose

This policy seeks to ensure that members and office-bearers of the Board know their respective duties and obligations.

Policy

Members and Office-bearers of the Board shall have the duties and obligations set out in [Appendix #1](#), below.

PROCEDURES

Responsibilities

The Executive Director shall be responsible for including this policy in the induction package provided to new Board members.

The Secretary of the Board shall be responsible for ensuring that a copy of this policy is available for reference in Board meetings.

The Board Chair shall be responsible for making a ruling on any point in dispute in this policy.

Procedures

This policy shall be included in the induction package provided to new Board members.

A copy of this policy shall be available for reference in Board meetings.

Any point in dispute in this policy shall be resolved by the Chair.

Related Documents

- Board Attendance Policy
- Conflict of Interest Policy
- Developing an Effective Induction Process help sheet
- Induction Checklist

General

Committees Policy GV08

Policy Number: GV08

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life recognises that there are times when a sub-committee can act more effectively than can the full Board.

The Board of This Life may put in place standing sub-committees and ad hoc committees to engage in business that can be more efficiently transacted by such means.

Purpose

To give direction on the policy and procedures relating to the formation of Board standing sub-committees and ad hoc committees.

Policy

The Board has the authority to establish standing sub-committees and ad hoc committees to assist it in its work.

The number of committees will be kept to a minimum.

The Board shall clearly define the terms of reference of each committee, including their membership, roles, procedures and functions, and the boundaries of their authority.

Boards may from time to time co-opt non-Board members to serve on a committee in order to bring additional skills, experience or networks.

Unless explicitly empowered by the full Board, committees cannot make binding Board decisions. For the most part, the function of committees is to solve problems for and/or make recommendations to the Board on which the latter, and only the latter, has the power to make decisions or policy.

The Executive Director shall sit ex-officio on all Board committees, but may delegate their attendance to any other person.

PROCEDURES

Responsibilities

The Board is responsible for appointing, disbanding, and setting the terms of reference for committees.

The Secretary is responsible for keeping records of terms of reference of Board committees and for ensuring that committee minutes and papers are submitted to the Board for consideration.

The Executive Director shall sit ex-officio on all Board committees, but may delegate their attendance to any other person.

Procedures

Committees, whether ad hoc or standing sub-committees, cannot exercise authority over staff, nor shall they delegate tasks to any staff unless the Executive Director has specifically agreed to such delegations.

All committees of the Board shall submit their minutes to the Board.

All committees of the Board shall review their terms of reference annually, including their membership and the results of their work and so report to the Board.

All ad hoc committees shall be dissolved by Board resolution once they have completed their work and, if requested, have provided a written report to the Board.

Related Documents

- Governance Policy
- Constitution

Conduct of Meeting Policy GV09

Policy Number: GV09	Effective Date: 19 th April 2013
Version: 02	Revised Date: 18 th August 2021
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

Meetings are necessary in order that This Life can be governed efficiently under its constitution.

Meetings need to be conducted under rules that are fair, understandable, efficient, and capable of overriding attempts at obstruction.

The Chairship of the organisation and of the Board is an elected position, and that election should confer a wide discretion on the elected candidate to ensure that the conduct of business runs smoothly.

The powers of the Chair should be restrained by the ability of the meeting as a whole to override any particular decision of the Chair.

Purpose

This policy is designed to

- identify a minimum set of conditions that will allow necessary decisions to be taken efficiently and, if possible, expeditiously; and
- assign discretion to rule on matters not covered.

Policy

The conduct of meetings within This Life shall be governed by the standing orders of the Board or committee concerned (for the Board's standing orders, see [Appendix A](#)).

PROCEDURES

Responsibilities

The Chair of This Life's Board shall be elected as laid down in the organisation's constitution/rules.

The Board Chair shall preside over General Meetings of the organisation and the meetings of the Board according to the Standing Orders of the Board (see Appendix A).

In the Chair's absence, the Vice-Chair shall preside as Chair at each General Meeting of the Organisation. If the Chair and the Vice-Chair are absent from a General Meeting or a Board meeting, or are unable to preside, or decline to preside, the Members present must elect one of their number to preside as Chair.

Meetings of any Board sub-committees shall be chaired in the manner laid down by the Board in their terms of reference.

Procedures

The Chair shall conduct the meeting according to the Standing Orders (see Appendix A).

Where the Standing Orders are ambiguous or contestable or silent, the Board may rule as to the practices to be followed.

Where there is continuing disagreement on any ruling by the Chair, any member may move a motion of dissent to the Chair's ruling. If this motion is seconded a vote shall be taken. If the motion of dissent is carried, the Chair's decision is reversed.

Related Documents

- Constitution
- Standing Orders
- Conflict of Interest Policy
- Privacy Policy
- Transparency Policy

Crisis Response Policy GV10

Policy Number: GV10

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

Unforeseen incidents may occur at short notice that must be dealt with urgently outside the standard policy framework. While precise procedures cannot be laid down, there is a need for a general policy to guide the organisational response to crisis.

Purpose

The Crisis Response Policy is intended to facilitate the management of a crisis within This Life to minimise risks to people and property, to protect the reputation of This Life, and to implement urgent recovery procedures.

Policy

Management of the physical aspects of any crisis (fire, flood, etc.) will be handled according to plans drawn up under This Life's Health and Safety procedures. The Crisis Response Policy Committee (see Crisis Response Procedures) shall address managerial, media, and budgeting issues.

PROCEDURES

Responsibilities

The Board is responsible for establishing a Crisis Response Committee with appropriate delegated powers.

The Crisis Response Committee is responsible for responding to the crisis.

Procedures

- The Board shall establish a Crisis Response Committee consisting of the Chair, the Executive Director, the Health and Safety Coordinator and the Communications Officer. All members of the Committee must be prepared to meet at short notice.
- The Board shall delegate to the Crisis Response Committee the authority to take action to facilitate the management of the crisis if required urgently.
- Members of the Crisis Response Committee shall maintain records of the contact details (phone, mobile phone, fax, and email) of all other members. On being informed of any crisis situation, the Crisis Response Committee shall arrange to meet, in person or electronically.
- The Crisis Response Committee shall
 - ascertain the nature and extent of any damage to the organisation
 - coordinate the organisation's media response
 - institute any urgent recovery procedures.
- The Crisis Response Committee shall return to the standard policy and managerial framework at the first feasible opportunity.
- The Crisis Response Committee shall call a Board meeting at the first feasible opportunity and report on any actions taken.

Related Documents

- Workplace Occupational Health and Safety Policy
- Media Relations Policy

Counter-Terrorism Policy GV11

Policy Number: GV11

Effective Date: 19th April 2013

Version: 02

Revised Date: 23rd September, 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

This Life has awareness of terrorism related issues and will endeavour to ensure that its activities do not provide direct or indirect support or resources to organisations and individuals associated with terrorism. This Life ensures that relationships with partners are in adherence with the Australian Criminal Code Act 1995 (Cth) and the Charter of the United Nations Act 1945 (Cth) that prescribe that individuals or organisations may face criminal penalties if they provide financial support to a terrorist or criminal individual, organisation or act.

Scope

All associates (Board members, employees, consultants, contractors, volunteers, interns) of This Life, and all associates of This Life's partner organisations are subject to this policy. It is required that if organisations entering into a formal partnership with This Life do not possess a similar policy holding them to equal or higher standards, they commit to adhere to this policy.

Purpose

The purpose of this policy is to outline the ways in which This Life safeguards the organizations activities against terrorism through the following processes and mechanisms;

- Transparency/accountability
- Due Diligence
- Legal Obligations
- Risk Awareness
- Partnership Agreement & Memorandum Of Understandings

Definitions

Terrorism is the use of violence by groups or individuals pursuing political objectives. Terrorists are frequently indiscriminate in their attacks and can deliberately target civilians and non-combatants, often seeking to inflict mass casualties.

Counter-terrorism is the practice, techniques and strategy used to combat or prevent terrorism.

Money Laundering is the process of concealing the origin, ownership or destination of illegally or dishonestly obtained money and hiding it within legitimate economic activities to make them appear legal.

Terrorism Financing is intentionally providing or collecting funds and being reckless as to whether those funds would be used to facilitate or engage in a terrorist act.

Policy

In accordance with ACFID Code of Conduct requirements, This Life supports the UN resolution 1373 of 2001, and the subsequent guidelines adopted by the Australian government in relation to overseas aid programs. This resolution calls for all bodies to work together to prevent and suppress terrorist activities through all lawful means possible, prevent any funds reaching these unlawful bodies, and freeze funds going to individuals or groups who commit, facilitate or participate in such activities. Any and all suspicious activities are reported to the appropriate authorities in Cambodia, Australia, and any implicated additional national jurisdictions.

Financial Management

- All financial activities through This Life are documented and monitored through internal accountability measures.
- This Life's financial records are independently audited on an annual basis by External Financial Auditors, in compliance with International Standards on Auditing.
- Financial Policy stipulates that This Life is subscribed to the Department of Foreign Affairs and Trade's Australian Terrorist Asset Freezing Regime.

Monitoring and Evaluation

- Through our Community Research and Consultancy Program we conduct rigorous monitoring and evaluation to ensure transparency and accountability of all programs and projects.
- Follow-up checks are conducted where possible to ensure that assistance was delivered as intended

Due Diligence

This Life takes all necessary steps to reduce the risk of funds being misdirected to terrorist or criminal activity via a third party This includes:

- Making best efforts to confirm the identity, credentials and good standing of third parties and beneficiaries;
- Ensuring that This Life staff, volunteers, Board Members, partners and preferred suppliers are not found on the Department of Foreign Affairs and Trade (DFAT) list of proscribed organisations: http://www.dfat.gov.au/icat/unsc_financial_sanctions.html or the National Security Council; <http://www.nationalsecurity.gov.au/>
- Requiring assurances from the third party (as a pre-condition of funding) that it will not provide funding or make assets available to a terrorist or criminal organisation, in MOU documentation.

Personnel Selection and Recruitment

- In accordance with This Life's Probation Policy, all applicants, Khmer and expatriate will be checked against [DFAT's consolidated list](#) of all persons and entities who are subject to targeted financial sanctions or travel bans. Additionally, the organisations included in their employment history will be checked against the [World Bank Listing of ineligible firms and individuals](#), the [Asian Development Bank Sanctions List](#), the [Attorney General's Department List of Terrorist organisations](#).
- Criminal record/police and terrorist activity checks will be repeated every three years for the duration of the individual's association with This Life.

How to make a complaint or provide feedback

If you would like to provide feedback or lodge a complaint against This Life, a partner, employee, volunteer, or intern you can use the process set out in This Life's Feedback and Complaints Policy.

Delegation Policy GV12

Policy Number: GV12	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

This policy sets out the circumstances under which the Board may delegate its responsibilities.

Delegations of authority are the mechanisms by which This Life enables officers of This Life to act on behalf of This Life.

Purpose

The purpose of the Delegations Policy is to establish a framework for delegating authority within This Life in a manner that facilitates efficiency and effectiveness and increases the accountability of staff and volunteers for their performance.

The policy applies to all members of the Board and the staff and volunteers of This Life who have delegated authority to act and sign documents on behalf of This Life.

Delegations of authority within This Life are intended to achieve four objectives:

- to ensure the efficiency and effectiveness of the organisation's administrative processes;
- to ensure that the appropriate officers have been provided with the level of authority necessary to discharge their responsibilities; and
- to ensure that delegated authority is exercised by the most appropriate and best-informed individuals within the organisation; and
- to ensure internal controls are effective.

Delegations are a key element in effective governance and management of This Life and provide formal authority to particular staff and volunteers to commit the organisation and/or incur liabilities for the organisation.

Policy

The Board of This Life is responsible for the governance of the organisation.

Under the Associations Incorporation Act 1984 and This Life's constitution, the Board can delegate any of its functions except

- the power of delegation and
- any functions reserved to the Board under the Act.

The Board may delegate its functions to

- A member or members of the Board; and
- A sub-committee of the Board; and
- The Executive Director and through the Executive Director to members of the staff of the organisation.

However, the Board may not delegate its power

- to adopt the organisation's strategic plan; or
- to adopt the organisation's business plan; or
- to adopt the organisation's annual budget.

The Executive Director

- is charged with the duty of promoting the interests and furthering the development of This Life; and
- is responsible for the administrative, financial, and other business of This Life; and
- exercises a general supervision over the staff and volunteers of This Life.

The Executive Director may seek the approval of the Board to delegate any function or any power or duty conferred or imposed upon them, subject to this delegations policy, to any member of the staff of the organisation, or any person or persons, or any committee of persons.

This Life is committed to the highest standards of integrity, fairness and ethical conduct, including full compliance with all relevant legal requirements, and in turn requires that all its Board members, officers (including its Executive Director), managers, employees, volunteers and contractors acting on its behalf meet those same standards of integrity, fairness and ethical behaviour, including compliance with all legal requirements.

There is no circumstance under which it is acceptable for This Life or any of its employees or contractors to knowingly and deliberately not comply with the law or to act unethically in the course of performing or advancing This Life's business.

PROCEDURES

Responsibilities

The Secretary must maintain records of any delegations to members of the Board and of the terms of reference of any sub-committees of the Board.

The Executive Director must prepare delegation schedules within the framework of the Delegations Policy for approval by the Board.

Processes

The overarching delegations policy applies to This Life as a whole, and units within the organisation must align their delegations policies with the central policy.

Delegations are to be exercised within the framework of the Act, regulations, rules, policies, and any external legislative requirements.

Any delegation may be made subject to any conditions and limitations as the Board shall approve.

Delegations to members of the Board

Delegations to members of the Board shall be made by resolution of the Board and recorded in the minutes of the Board.

Delegations to sub-committees of the Board

Delegations to sub-committees of the Board shall be made by resolution of the Board and recorded in the terms of reference of the sub-committee.

Delegations to the Director of Shared Service

Delegations to the Executive Director and through the Executive Director to members of the staff of This Life shall be made by resolution of the Board and recorded in the Delegation Schedules approved by the Board.

Delegations are attached to the position occupied, not to the occupant of the position. The responsibilities of a position appear in a duty statement, role statement or statement of responsibility appropriate to the position.

Delegations reflect This Life's organisational structure. Levels of authority are hierarchical through relevant lines of responsibility up to and including the Executive Officer. This means that formal authorities held by any delegate are included in those held by that delegate's supervisor or line manager. A delegate who sub-delegates authority remains responsible and accountable for the decision or action.

The Executive Officer may at any time vary or terminate any delegation, subject to confirmation by the Board at its next meeting.

A delegation cannot be exercised where the officer holding the delegation has a conflict of interest or where the delegation will result, either directly or indirectly, in any tangible benefit to the delegate. In such cases a transfer of the function to another appropriate position must be arranged with the Executive Officer.

Permanent changes to delegations, either permissive or restrictive, require a written authority from the Executive Officer. Any major variation to the standard delegations must be approved by the Executive Officer.

Sub-delegation on a temporary basis is appropriate in circumstances where the officer normally responsible is absent for a period of less than two weeks by reason of authorised leave or secondment to other duties. Sub-delegations require a written authority from the individual with the delegated power, or a person in a position to approve the delegated authority.

This policy applies only to formal delegations. All delegations of an informal nature where there no commitment or liability is incurred on behalf of This Life are carried out in the normal business of the organisation without the requirement for a written authority.

When an employee is acting in a higher position, that person will hold the delegation level appropriate to the higher position unless otherwise determined by the Executive Officer.

A financial delegation can be exercised only within the approved line item budget.

A staffing delegation cannot be exercised in regard to staff for whom the delegate does not hold line management responsibility.

Separate Delegations Schedules shall be prepared for Financial Delegations and for Human Resources Delegations. The schedule will provide reports by function, by position profile and by administrative area.

Special care must be taken to retain currency of the Delegations Schedules when delegated authorities are redistributed, a position is reclassified, or a business unit is restructured in ways that affect position profiles.

The Board will, on advice from the Executive Officer, approve the Delegations Schedule on an annual basis.

The Delegations Schedule will be accessible to all staff.

Related Documents

- Committees Policy
- Authority to sign cheques policy
- Credit card policy

Legislative Compliance Policy GV13

Policy Number: GV13	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

The operations of This Life are subject to a wide range of legal requirements, embodied in legislation, regulations, licences, codes, guidelines and similar binding instruments. These include (but are not limited to):

- Occupational Health & Safety legislation
- Anti-discrimination legislation, including that relating to equal opportunity, racial vilification and disability discrimination
- Taxation legislation
- Privacy legislation

Purpose

This document sets out This Life's policy for compliance with the law and the governance structures, responsibilities and processes that have been established to give effect to that policy.

Policy

This Life is committed to the highest standards of integrity, fairness and ethical conduct, including full compliance with all relevant legal requirements, and requires that all its Board members, officers (including its Executive Director), managers, employees, volunteers and contractors acting on its behalf meet those same standards of integrity, fairness and ethical behaviour, including compliance with any legal requirement.

There is no circumstance under which it is acceptable for This Life or any of its employees or contractors to knowingly and deliberately not comply with the law or to act unethically in the course of performing or advancing This Life's business.

PROCEDURES

Responsibilities

The Board will:

- Review and monitor the leadership and commitment given to legislative compliance through active promotion of the organisation's Legislative Compliance Policy.
- Review compliance management objectives and plans for legislative compliance.
- Monitor compliance performance by way of periodic management reports and assurances.

The Executive Director will:

- Prepare legislative compliance objectives and plans for review and consideration by the Board.
- Monitor performance against legislative compliance objectives and plans, and report to the Board on progress toward accomplishment of objectives.
- Where appropriate, delegate responsibility for compliance to officers with responsibility for particular sections.
- Oversee the performance of subordinate officers in these matters, including
 - conforming to and applying relevant requirements of the Law within the workplace;
 - ensuring that systems and procedures established to make the policy effective are operational;
 - ensuring that staff are trained and have the necessary knowledge and understanding to perform their duties in compliance with the policy and all relevant requirements of the law;
 - ensuring that significant compliance responsibilities and accountabilities are included in position descriptions and performance reviews;
 - reporting and investigating any incident or occurrence thought or known to constitute a breach of any legal requirement; and
 - designing and implementing system enhancements to correct weaknesses that could result in a breach of such a requirement.
- Review and report annually to the Board on the effectiveness of the management systems established to deliver legislative compliance.
- Analyse material breaches and identified compliance system weaknesses for systematic trends and ensure that any adverse trends are addressed.
- Promote a culture of effective legislative compliance across the organisation.
- Provide formal assurance to the Board as to the state of compliance of the organisation.
- All staff, volunteers and contractors, at all levels, will:
- Ensure that they are aware of any legal requirements that apply to their work activities and that they comply with them.
- Report all incidents of breaches of legal requirements.
- Where appropriate, suggest ways in which practices, systems and procedures could be improved so as to reduce the likelihood of a breach occurring.

Processes

The Board will, at least once a year, feature as an agenda item the monitoring of compliance performance.

Legislative compliance objectives and plans will be prepared by the Executive Director, approved by the Board, and held on file.

Delegation by the Executive Director of responsibility for compliance in any area will be managed under the organisation's Delegations Policy.

Related Documents

- Legislative Compliance Objectives and Plans
- Delegations Policy

Transparency and Accountability Policy GV14

Policy Number: GV14

Effective Date: 19th April 2013

Version: 02

Revised Date: 18th September 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

This Life wishes to be proactively concerned with its relationship with its clients, its members, its stakeholders, and the general public. This Life realises the importance of transparency in its operations, and wishes to withhold from public scrutiny as little of its operations as is possible.

Purpose

The purpose of this document is to state This Life's commitment to transparency and to document the standards expected in achieving transparency.

Policy

Board Records

- All Board deliberations, and the deliberations of the Board's sub-committees, shall be open to the public, except where the Board or the sub-committee passes a motion to make any specific portion confidential.
- All Board minutes, and the minutes of the Board's sub-committees, shall be open to the public once accepted by the Board, except where the Board passes a motion to make any specific portion confidential.
- All papers and materials considered by the Board shall be open to the public following the meeting at which they are considered, except where the Board passes a motion to make any specific paper or material confidential.

Client Records

- All client records shall be available for consultation by the client concerned or by their legal representatives.
- No client records shall be made available to any other person outside the organisation other than with the consent of the client concerned.
- Within the organisation, client records shall be made available only to those persons with responsibilities for that client, except that
- Client records shall be made available to the Board when requested but should be, where possible, rendered anonymous.

Staff Records

- All staff records shall be available for consultation by the staff member concerned or by their legal representatives.
- No staff records shall be made available to any person outside the organisation other than with the consent of the staff member concerned.

- Within the organisation, staff records shall be made available only to those persons with managerial or personnel responsibilities for that staff member, except that
- Staff records shall be made available to the Board when requested.

Board Member and Donor Records

- All member and donor records shall be available for consultation by the members and donors concerned or by their legal representatives.
- No Board member or donor records shall be made available to any person outside the organisation other than with the consent of the Board member or donor concerned.
- Any member shall be entitled to receive on request a list of members with contact addresses, except where this right is qualified in the organisation's constitution.
- Within the organisation, member and donor records shall be made available only to those persons with managerial or personnel responsibilities for dealing with those members and donors, except that
- Member and donor records shall be made available to the Board when requested.

Administrative records

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

PROCEDURES

Responsibilities

The Board shall nominate an Access to Information Officer to be responsible for ensuring that proper procedure for the classification and release of information is adhered to.

The responsibilities of the Access to Information Officer shall be as described below.

Procedures

Requests for access

- Any request for access to records or materials shall be made in the first instance to the organisation's Access to Information Officer.

- Where requests are made for client files or staff files by any person not the client or staff member, the Access to Information Officer shall inform the client or staff member and allow them to make any submissions they wish.
- The Access to Information Officer may, where appropriate, consult with the Executive Director or the Board.

Procedures and charges for access

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

Record keeping

The Access to Information Officer shall report to every meeting of the Board on the number, nature and outcome of requests for records or materials since the previous meeting.

The Access to Information Officer shall ensure that membership applicants and prospective clients are aware of and consent to the organisation's Privacy Policy.

Related Documents

- Copyright Policy
- Privacy Policy
- Board Confidentiality Policy

Risk Management Policy GV15

Policy Number: GV15	Effective Date: 19 th April 2013
Version: 01	Revised Date: 28 th September 2021
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 20 th August 2009	Scheduled Review Date: September 2024

Introduction

This Life will endeavor to minimise the risk any particular operation poses to our organisation, our staff, our volunteers, our clients, or the general public.

This life will manage risks, make decisions, set and achieve objectives and improve performance to create and protect value in our organisation.

As our organisation faces internal and external factors and influences that make it uncertain whether we will meet our objectives, This Life acknowledges managing risk is fundamental and will assist us in setting strategy, achieving objectives and making informed decisions.

Managing risk is part of our governance and leadership and is fundamental as to how our organisation is managed at all levels. It contributes to the improvement of our management systems. It is part of all activities associated with our organisation and includes interaction with stakeholders. It considers the internal and external context of our organisation including human behavior and cultural factors.

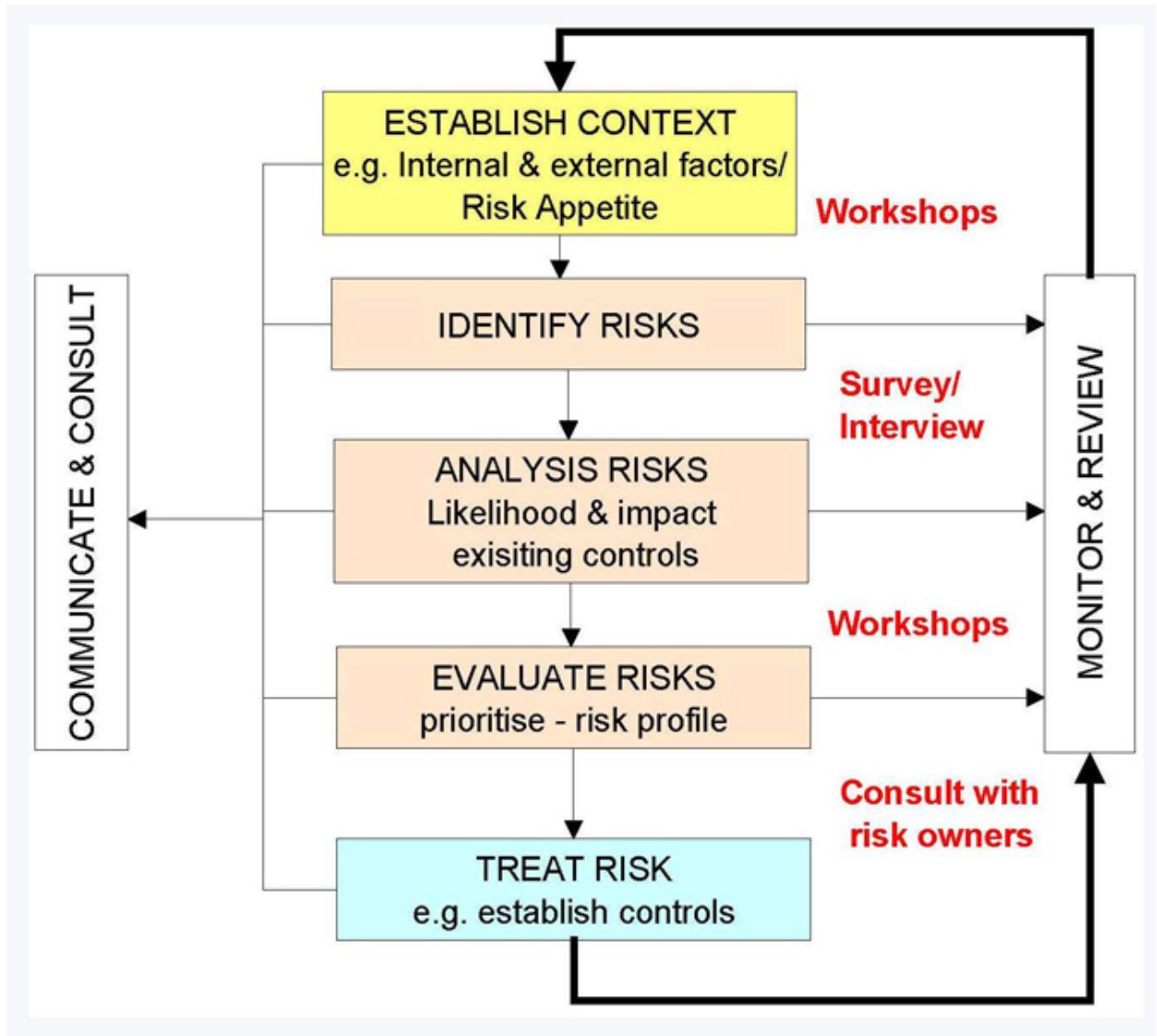
Managing Risk is based on the principles, framework and process outlined in this document as illustrated in Figure 1. Some of these components already exist in our organisation, however, they may need to be adapted or improved so that managing risk is efficient, effective and improved. Monitoring the expected benefits of a program/project/activity (PPA) against the identified risks, informs our decision-making processes and rationalizes our position. Well-managed risk reduces the likelihood of issues occurring that prevent our organisation meeting our objectives

- **Note:** This Life's Risk Management Policy follows the requirements of and reflects the **DFAT RISK MANAGEMENT FOR AID INVESTMENTS**, January 2019 guidelines and the [International Standard for Risk Management \(ISO31000:2018\)](#).

THE RISK MANAGEMENT PROCESS

Risk management occurs at all steps in the PPA cycle; **Figure 1** provides a summary of the risk process at each point in the PPA cycle. The process has seven steps as indicated in the diagram below. This process should occur during the planning, concept and design phases and continues throughout the implementation phase of the PPA Management Cycle.

Figure 1: Risk Management through the Program/Project/Activity (PPA) process.



Purpose

The purpose of this document is to identify applicable risks and to enable risk management procedures to be satisfactorily identified, organised and maintained.

Definitions

Risk is the effect of uncertainty on objectives. Risks include events that cause damage or are negative in impact as well as events which prevent realising positive opportunities or benefits. It is the probability that an occasion will arise that presents a danger to our organisation, our staff, our volunteers, our clients, or the general public. It includes, but is not limited to:

- Physical hazards
- Financial hazards
- Reputational hazards
- Legal hazards

Policy

This Life has a duty to provide a safe workplace for its staff and volunteers, a safe environment for its clients, and a reliable development path for the organisation. This Life will put procedures in place that will as far as possible ensure that risks are minimised and their consequences averted.

Risk Management

KEY RISK PRINCIPLES

Identify risks early: This is the key to effective risk management. By identifying and managing risk in the early stages of program planning and design, it may be possible to remove or greatly reduce risk through the design process. Identifying risks early improves investment outputs and outcomes.

Objective-based risk management: It is essential that the culture of risk management incorporate the principles of identifying risks against clearly stated business objectives and actively assessing risks as measured against the benefits of the activity and not just simply choosing the lowest risk option.

Fit for purpose: the approach to risk management must be fit for purpose; it should be in proportion with the level of risk and adaptable to suit changes in the external environment. Eliminating risk is not the goal; risk management involves considering ways to minimise risks, avoid risks, share risks or mitigate and accept risks. High risks may be acceptable because of the potential benefits, or the costs of not taking action. It is usually impossible and unrealistic to eliminate all risks in a PPA.

Active Management: Active management of risks includes discussion of risks at meetings, both with partners and within This Life. Risk registers are updated in response to changes in the risk environment and controls reviewed for effectiveness. All risk and contract management activity is documented.

Accountability: It is expected that staff will manage risk within the scope of their business activities and escalate risks that require higher management level attention as part of a positive risk culture. An active communication flow that supports both a bottom-up and top-down approach is critical.

Responsibilities

It is the responsibility of the Board, with the assistance of the Executive Director and the Risk Management Officer, to carry out risk management analyses of the organisation and any PPA and to take appropriate measures.

It is the responsibility of the Executive Director to ensure that:

- a Risk Management Officer for the organisation is nominated;
- effective risk management procedures are in place, applicable to all relevant areas;
- risk management procedures are reviewed regularly;
- recommendations arising out of the risk management process are evaluated and, if necessary, implemented; and
- employees and volunteers are aware of all applicable risks and familiar with the organisation's risk management procedures.

It is the responsibility of the Risk Management Officer to ensure that:

- risk management analyses are carried out for all relevant sectors of the organisation;
- risk management checklists are prepared for each relevant section;
- risk management checklists are reviewed regularly by relevant staff with the assistance of the Risk Management Officer to ensure that no risks have been overlooked;
- each risk management checklist is reviewed by every section to which it is applicable at least once a year to ensure that procedures are in place to avert the risk or, if that is not possible, to mitigate its impact; and
- copies of up-to-date risk management checklists are kept in a central Risk Management Register.

It is the responsibility of all employees and volunteers to ensure that:

- they are familiar with the organisation's risk management procedures applicable to their section;
- they observe those risk management procedures; and
- they inform their supervisor if they become aware of any risk not covered by existing procedures.

Procedures

Managing Risk

The Risk Management Officer shall nominate appropriate officers in each section of the organisation to carry out risk assessment exercises; this should involve:

- identifying the risks attached to every element of their operation and the likelihood of that risk eventuating (see [Our Community's Risk Management Helpsheets](#));
- assessing the risks as part of the standard risk management processes at design, implementation, monitoring and evaluation – and managing it throughout the lifecycle of the PPA.
- identifying practices to avert those risks;
- identifying practices to mitigate the effects of those risks; and
- recording those risks, those precautions and those remedies in the form of deliverable checklists.

The Risk Management Officer shall participate in each section's risk management exercise to ensure consistency of approach.

Risk Management Checklists

The Risk Management Officer will ensure that:

- each section of the organisation has available to it all relevant risk management checklists;
- each risk management checklist is reviewed by the organisation at least once a year to ensure that no risks have been overlooked;
- each risk management checklist is reviewed by every section to which it is applicable at least once a year to ensure that procedures are in place to avert the risk or, if that is not possible, to mitigate its impact; and
- a current copy of each risk management checklist is held centrally in the organisation's Risk Management Register. This includes maintaining and updating the electronic TLC's [risk register](#) which must be reviewed at least quarterly and documenting any changes in the risk register including any risk discussions.

Guide to Risk Management

This Guide provides the following information for each step:

- The purpose of the step (Purpose)
- The better practice approach to completing the step (Key Actions)
- How to document the information obtained in the step in the risk register (Documentation)

STEP 1 – COMMUNICATING AND CONSULTING

Purpose - Effective communication ensures that those responsible for implementing the process, as well as other relevant stakeholders, understand the basis of decisions and the reasons why particular actions are required. It also supports and encourages accountability for ownership of risks.

Key Actions

- Identify key internal and external stakeholders and determine their influence, views, expectations and issues (through direct discussions and/or other research).
- Review key relevant documentation (legislation, plans, strategies, policies, procedures, agreements, etc.).
- Build risk into meeting agendas and everyday conversations.

Documentation - Records of conversation, analysis and other key documents referenced kept.

STEP 2 – ESTABLISHING THE CONTEXT AND OBJECTIVES

Purpose - Risk is the possibility of an event or activity preventing an activity from achieving its outcomes or objectives. Risk is always about what **may** prevent the achievement of objectives. Hence the importance of clearly articulating the objectives of any investment. This step defines the objectives and develops an understanding of the broad context/operating environment that the program, project or activity (PPA) will be operating.

Key Actions

- Specify the key objectives of the PPA, including internal business objectives (such as national interest, safety of staff, value for money, safeguards, gender inclusion etc.).
- Identify the external and internal factors influencing the objectives (political, social, environmental, regulatory, cultural, competitive, financial, institutional, corruption, etc.) and their level of uncertainty and/or complexity.
- Identify which of the factors are most likely to impact on the achievement of objectives.
- Determine whether the internal and external structures and business processes in place are adequate to achieve the objectives.

Documentation - Record the objective in the risk register and record other information from this step in the file for the PPA.

STEP 3 – IDENTIFYING THE RISKS

Purpose -This step is to identify the risks arising, using the context identified in the previous step and to generate a list of risks that might affect the achievement of the identified objectives. Record the risk event, source and impacts in your risk register. Some risks may be too low a risk, outside the scope of the PPA or will not require active management or monitoring so will not be included in your risk register.

Key Actions

- Create a list of risks based on those events that might enhance, prevent, degrade, accelerate or delay the achievement of the relevant objectives.
- Articulate each risk as (examples are at [Appendix B](#)):
 - the event (what can happen)
 - the source (what can cause the event to happen)
 - the impact (what will happen if the event occurs)

Documentation - Document these risk events with the reason for the decision. Save this document to your PPA file.

STEP 4 – ANALYSING THE RISKS

Purpose - This step has three parts.

1. In the first part we determine the inherent risk rating of the event. This is determined by analysing the chance that the event will happen and the consequence if the event happens. Using the likelihood and consequence, we use the This Life Risk Assessment Matrix to determine the risk rating.
2. The second part of this step is to identify any controls that may currently be in place for this risk.
3. In the third part of this step determine the residual or current risk rating, this is the risk level that exists at the current point in time with controls in place.

Likelihood – Chance of something happening. How likely is it that this risk will occur?

Consequence – Outcome of an event affecting objectives. How serious the consequences of the risk will be.

Documentation - Record the likelihood, existing controls for each risk, consequence and risk rating for each risk in the risk register.

Key Actions Part 1 – risk rating

Using the This life Risk Assessment Matrix, determine the inherent risk rating by:

- assessing how likely it is that each risk event will occur
- assessing the consequence on the objective if the risk occurred

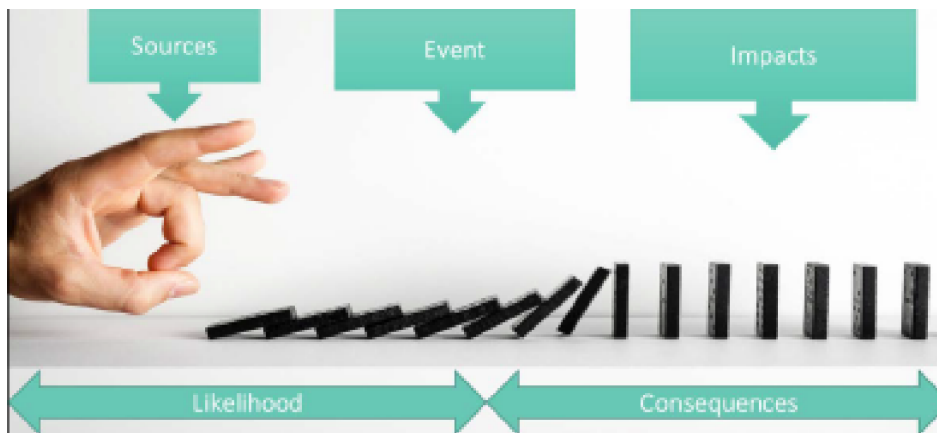


Figure 2: Relationship between sources, risks and impacts

Key Actions Part 2 – Controls

- Identify the controls currently in place that help to prevent the risk from occurring or to limit the impact of the possible consequences if the risk occurred.
- Utilise your stakeholders and other similar projects to help identify controls and their effectiveness in the past.
- Controls can include policies, procedures, processes, regular meetings, monitoring, etc.

Key Actions – Part 3

Using the This Life Risk Assessment Matrix, determine the inherent risk rating by:

- assessing how likely it is that each risk event will occur
- assessing the consequence on the objective if the risk occurred

Sources	Risk event	Impacts
<p>Inadequate governance arrangements Poor financial situation/viability Location of Project:</p> <ul style="list-style-type: none"> Ability of providers to service location Cultural sensitivities Weather and access Implications on monitoring and access <p>Nature of project activity (eg: construction, working with children)</p> <p>Engagement level:</p> <ul style="list-style-type: none"> Provider with community This Life – provider <p>Lack of experience/qualifications of provider</p> <p>Failure of monitoring/ inadequate compliance checking</p> <p>Programme/ project objectives unclear</p> <p>Failure to run background checks / due diligence</p> <p>Change in partner government priorities</p>	<p>Provider lacks capacity to deliver project/activity</p> <p>Delivery is ineffective or does not contribute to programme outcomes</p> <p>Harm/injury to staff/provider/public</p> <p>Fraud/misappropriation of funds/ funding is diverted to terrorism</p> <p>Non-compliance with legislation/ other</p> <p>Breach of security</p> <p>Relationship with partner government/other damaged</p> <p>A natural disaster occurs</p>	<p>Damage to reputation</p> <p>Adverse media</p> <p>Financial loss</p> <p>Legislative breach</p> <p>Potential legal action against This Life</p> <p>Programme objectives not achieved</p> <p>Leave the area worse off than we found it</p> <p>Physical /mental harm</p> <p>/injury /death</p> <p>Loss/inappropriate use of sensitive information</p> <p>Essential services not delivered</p> <p>Community view of Government/Provider decreases and reduces the ability to deliver future projects damaged.</p>

Common Risk, sources, and impacts

The table below contains common risks, sources and impacts, it is a guide only, it is not exhaustive, and components of risk should always be tailored to the specific PPA.

STEP 5 – EVALUATING THE RISKS

Purpose - This step involves determining whether the **current level of risk is acceptable or not** to the risk owner. It informs managers of the relative significance of identified risks and supports sound decision making on how to prioritise the management of risks.

Key Actions

- The risk owner is to determine if the current risk rating is acceptable based on both their individual and the Department's /Partner's risk appetite and tolerance – this determines whether treatments are required.
- If a risk is acceptable, document why it is acceptable and why no further treatment is needed (in the treatments column of the risk register)
- If a risk is not acceptable, it should be treated (treatments are identified at the next step in the process).
- It is important to have a clear understanding of why a risk is accepted and to document the decision.

Documentation - Record in the risk register if additional treatments are required.

STEP 6 – TREAT THE RISKS

Purpose - This step determines what measures should be implemented in addition to the current controls in order to reduce the risks that have been evaluated as unacceptable in the previous step. These measures are known as “treatments”. These may, once implemented, become controls.

This step also includes identifying a target risk rating based on the expected effectiveness of the proposed treatments. Considering what would be the level of risk remaining after proposed risk treatments are implemented and helps to evaluate whether the proposed treatments are enough to reduce the risk to the desired risk rating.

Key Actions

- Determine the appropriate specific risk treatment actions to be implemented based on one or a combination of the following option(s):
 - **Avoid the risk** by deciding not to start or continue with the activity that gives rise to the risk.
 - **Take the risk** to pursue an opportunity.
 - **Reduce the likelihood of the risk** by removing/reducing the source or cause of the risk or strengthening the current controls and/or compliance with them.
 - **Reduce the consequences of the risk** through contingency plans, public affairs strategies, consultation with stakeholders, etc.
 - **Share the risk** with another party or parties, including through contracts and insurance – noting there are risks associated with sharing and that all of the consequences of a risk cannot be fully transferred.
 - **Accept the risk** where the risk cannot be avoided, reduced or shared.
- Determine who/what position is responsible for implementing each of the agreed risk treatments.
- Determine the timeframe within which each agreed risk treatment will be implemented.
- Ensure risk treatments are approved by the appropriate level of management.
- Determine what the risk rating (using the This Life Risk Assessment Matrix) will be when all proposed treatments are implemented and whether that rating is acceptable or if more treatments are needed.
- Implement the agreed risk treatments.
- Once treatments are implemented, they may become controls.

Documentation

- Record for each risk in the risk register the treatments, the treatment action owner and the due date of the treatment.
- Record the target risk rating for each risk in the risk register.
- Where a risk needs to be escalated, record this in the risk register.

Types of controls/treatments



Figure 3: Types of controls

In general, preventative controls are more cost effective than detective/reactive controls. To determine whether the controls or treatments will lower the level of the risk to an acceptable level, an assessment should again be made of the possible consequences and likelihood of the risk materialising and the risk rated again, that is the 'target risk rating'. Consider additional controls or treatments if the level is still unacceptable.

Controls and treatments should be proportionate to the level of risk they are treating. Where the risk is low, the level of resources committed to treating that risk should also be low. In general, the higher the overall rating for the risk, the greater the required level of management attention

Escalating risks

Some risks may be above your level of delegation or authority to manage and may require escalation to the appropriate level of management for their oversight and accountability. This is done by discussing the risk with the higher level of management and ensuring they agree to accept the accountability for the risk.

Risks of any risk level may need to be escalated in the following instances:

- When agreement cannot be reached on how to manage a shared risk or the organisation or partner is not managing the risk as agreed.
- Where the control or treatment of the risk would add additional costs over what has already been budgeted.
- Where the control of the risk is above your level of authority.
- Where the risk event is about to become an issue and you need direction on what action to take.

High and very high risks should be brought to the attention of the next level of management so that they are aware of the risk and can take action or ownership of the risk where appropriate. They may decide to escalate the risk to the next level of management.

STEP 7 – DOCUMENT, MONITOR AND REVIEW

Purpose - Risk management must be responsive to change – both from within This Life and in the external environment. Therefore, the activities of monitoring and reviewing must be ongoing, and are integral to each step in the Risk Management Process. Through monitoring risks, controls and risk treatment implementation, we can determine the effectiveness (impact, benefits and costs) of our risk management.

Formal documentation of the risk management process is essential for transparency, communication of risk, accountability for managing risk, facilitating monitoring and review processes and program review processes, including internal and external audits. Accordingly, documentation needs to be clear, comprehensive and available for scrutiny upon request. It is important, once the risk management plan/risk register is developed, that a formal, regular process is adopted to monitor and review progress with implementing risk treatments, the effectiveness of risk treatments and identify new and emerging risks. This includes monitoring how partners are managing our shared risks.

Documentation

- Keep a record or minutes of meetings where risks are discussed, particularly where any risk based decisions are made.
- Maintain a register of conversations with partners and related people as part of your day-to-day contract management processes.
- Record the details of the risk register reviews.

Key Actions

- Include an agenda item in regular internal team/management meetings (minimum monthly) to discuss existing and new/emerging risks and the progress/effectiveness of treatment implementation and whether additional treatments are needed. Record relevant information in the risk register.
- Include an agenda item in regular meetings with partners (minimum monthly) to discuss existing and new/emerging risks and the progress/effectiveness of treatment implementation and whether additional treatments are needed. Record relevant information in the risk register. Document conversations.

Review

- Risk registers should be reviewed at least quarterly to determine their currency, and in particular, progress with implementing risk treatments and whether risk management should be escalated to more senior levels or de-escalated after the overall risk rating has decreased to an acceptable level.
- Review the partner's risk register (minimum quarterly) to ensure risks are still current, treatments have been appropriately identified and implemented etc.
- Where possible and appropriate, schedule conversations with other stakeholders and review relevant information to monitor the operating environment on a regular basis.
- Where there are concerns about how a risk is being managed, it should be escalated to the appropriate level of management for their oversight and accountability. This is done by discussing the risk with the higher level of management and ensuring they agree to accept the accountability of the risk. Record the escalated risk in the risk register. Where a risk can be managed at a lower level of management, de-escalate the risk to the appropriate level of management. This is done by discussing the risk with the lower level of management and providing the reasons why the risk is being de-escalated and ensuring they agree to accept the accountability of the risk.

Documentation - Record the de-escalated risk in the risk register. Keep a record of your reviews.

Related Documents

- [Our Community's Risk Management help sheets & checklists](#)

Referenced Documents

- [International Standard for Risk Management \(ISO31000:2018\)](#)

Project Site Visitation Policy GV16

Policy Number: GV16

Effective Date:

Version:

Revised Date: 18th August 2021

Drafted by: Executive Assistant

Responsible person: DD, ED

Date Approved by Board:

Scheduled Review Date: August 2024

Without the support of our generous donors, the work This Life (This Life) undertakes would be impossible. This Life understands that donors may wish to visit the project sites they fund and as such has created a set of guidelines to be followed.

This Life works with alongside other institutions; we do not run our own schools or institutions. Therefore, any visits that occur require the permission of school principals, prison directors and/or any relevant leaders of our project sites. Only This Life's donors and potential donors are considered for visits to This Life's project sites. However, any visitors are encouraged to visit This Life's office where our Program Coordinators will present their programs to provide an overview of the work of This Life.

All visits (to project sites and/or the This Life office) must be scheduled with This Life, at least 3 working days prior to the visit. Visitors must provide This Life with the number of visitors attending as well as the day and time of the visit.

For visits to project sites, This Life will make all necessary travel arrangements for the visit. All visitors must be accompanied by the relevant Program Coordinator, Section Lead, Deputy Director or Executive Director for the duration of their visit.

This Life is a certified Child Wise, Child Safe organisation and as such, all visitors to This Life project sites must sign the This Life Child Protection Policy and Code of Conduct before making their visit.

Lower Secondary School Development Program

Donors wishing to visit one of the secondary schools This Life works with will be able to meet the school principal and members of the School Support Committee – the key group the Lower Secondary School Development Program works with.

Visitors will be able to see and take photos of any construction projects that have taken place at the school. Please see This Life's Child Protection Policy for guidelines regarding photographing students. Any interaction between teachers and students will be at the school principal's discretion. Visitors should be aware that they may not be able to meet with or see students in their classes. This is for a number of reasons. This Life strives to improve the access to and quality of education for these students, therefore it is detrimental to both teachers and students to have visitors interrupt lessons

This Life Beyond Bars

Donors wishing to visit one of the prisons This Life work with will be able to do so, however, visitors will only be able to see This Life's Vocational Training Centre.

Visitors will not be able to take any photographs of the prison or prisoners, as per prison guidelines.

As per all visitations, permission must be sought prior to the visit, and visitors must be accompanied by relevant This Life staff at all times.

Community Visits

Donors wishing to visit any local community This Life works with must be accompanied by This Life staff at all times.

Visitors will be able to meet with local leaders and key participants in This Life's programs. Community visits will be assessed on a case by case basis.

As per all visitations, permission must be sought prior to the visit, and visitors must be accompanied by relevant This Life staff at all times.

Child Protection Policy GV17

Policy Number: GV17

Effective Date: 20th August 2009

Version: 07

Revised Date: 24th May 2023

Drafted by: Executive Director

Responsible person: DD, ED

Date Approved by Board: 20th August 2009

Scheduled Review Date: September 2024

1. Introduction

Child abuse happens in all societies throughout the world. The child abusers can be anyone, including those who work and care for children, family or community members. The UN Convention on the Rights of the Child states that:

- All children have equal rights to protection from abuse and exploitation
- Everybody has a responsibility to support the care and protection of children.
- The duty bearers are accountable to eradicate child abuse.

Based on the above guiding context and principles, This Life is obliged and committed to ensuring that children involved with its programs are protected from any form of abuse.

Additional Authority: Law and related organisational documents

- Cambodian constitution, especially articles 41 and 42
- United Nations Convention on the Rights of the Child
- Recruitment Policy
- Induction Policy
- Confidentiality Policy
- Code of Conduct
- Communications Policy
- Partner and Affiliated Organisations Policy
- Program Management Manual

- Child Protection Training Course
- Ethical Decision-Making Framework
- Guidelines for use of images, video, and messages

2. Definitions

A child means every human being below the age of eighteen (18) years.

Exploitation of a child, commercial or otherwise, refers to the use of the child in work or other activities for the benefit of others that are to the detriment of the child's physical and mental health, education, or moral and social-emotional development. It includes, but is not limited to, child labour, child trafficking and child sexual exploitation.

Physical abuse occurs when a person purposefully injures or threatens to injure a child or young person. This may take the form of slapping, punching, shaking, kicking, burning, shoving or grabbing. The injury may take the form of bruises, cuts, burns or fractures.

Emotional abuse occurs when a child is repeatedly rejected or frightened by threats. This may involve name calling, being put down or continual coldness from parent or caregiver; to the extent that it affects the child's physical and emotional growth.

Sexual abuse occurs when a child or young person is used by an older or bigger child, adolescent or adult for his or her own sexual stimulation or gratification - regardless of the age of majority or age of consent locally. These can be contact or noncontact acts, including sexualised language, voyeurism, fondling genitals or breasts, masturbation, oral sex, vaginal or anal penetration by a penis, finger or any other object and exposing a child to, or involving a child in pornography.

Child abuse or maltreatment constitutes all forms of physical and/or emotional ill-treatment, sexual abuse, neglect or negligent treatment or commercial or other exploitation, resulting in actual or potential harm to the child's health, survival, development or dignity in the context of a relationship of responsibility, trust or power. Put simply, child abuse is acts or behaviours which result in harm to children. It encompasses physical abuse, sexual assault, emotional abuse and, neglect. Child abuse also includes non-contact behaviours; such as producing, viewing or showing materials that are pornographic or sexual in nature.

Child Protection Policy is a statement of intent that demonstrates a commitment to safeguard children from harm and makes clear to all what is required in relation to the protection of children. It helps to create a safe and positive environment for children and to show that the organisation is taking its duty of care seriously.

Senior Staff are the Senior Management Team (including the Executive Director, Deputy Director and Section Leads) and Program Coordinators of This Life.

3. Statement of Commitment

As a community organisation, This Life's first priority is the safety and wellbeing of the children under its care. This Life is committed to a strict child protection policy to ensure the children are not exposed to abuse, exploitation, violence or neglect. This policy conforms to the general principles of the UN Convention of the Rights of the Child as follows:

Best Interests of the Child: The best interests of the child will be This Life's primary consideration. All decisions and actions concerning a child will serve the best interests of the child. When weighing up alternatives This Life will

seek to ensure that the final decision or action arrived at will be that in which the child receives the maximum benefit possible. This Life will at all times consider the impact a decision or action will have on the child and ensure the positive impacts outweigh any negative impacts.

Non-Discrimination: This Life will enforce a policy of non-discrimination at all times and all children will be treated with equal respect.

Participation and Self-Determination: This Life abides by the principle that a child has the right to have his or her views taken into account in accordance with their age development in decisions affecting their life. They will be given the opportunity to express their ideas and views and be heard on matters affecting them. This Life will in all cases give serious consideration to the child's wishes (and those of their legal guardians where appropriate) throughout the decision-making process. All children have the right to self-determination.

This Life associations will at all times:

- Respect the rights and dignity of the children, families and communities with whom we work, and always act according to the best interest of children.
- Have an awareness of child protection matters and demonstrate commitment to actively preventing child abuse and exploitation.
- Commit to This Life's Child Protection Policy, including signing the Child Protection Policy Contract, and immediately report any child protection matters. Child protection is both an individual and shared responsibility of all adults and is backed by comprehensive legal obligations.
- Take positive action to prevent child abusers becoming involved with This Life in any way and apply stringent measures against any This Life associate who is in breach of any aspects of This Life's Child Protection Policy.
- Assess, monitor and evaluate child safeguarding risks, processes and mitigation strategies at all stages of program design and implementation.
- Immediately report any safeguarding concerns, allegations or breaches of This Life's Child Protection Policy.
- Regularly report on any potential or actual child safeguarding issues to the Board as a standing agenda item at all Board meetings.
- Maintain complete records including a full description of any incident that is alleged to have occurred, the date, time, and location of the incident, and details of all persons involved.

To ensure the above commitment, This Life is committed to upholding:

- The UN Convention of the Rights of the Child
- Cambodian constitution, especially articles 41 and 42 (Please see appendix I)
- The Cambodian current and future laws and tools on child rights.
- Positive traditional practice

4. Responsibilities

This Life associates

This policy applies to all associates of This Life, which includes: All members of the governance board and its sub-committees ("the Board"), interns, volunteers, employees, consultants, contractors, partner organisation members and visitors. The term "This Life associates" will be used to define this group.

This Life associates must be aware of child protection matters, commit to the This Life Child Protection Policy, sign the Child Protection Policy Contract, and immediately report any alleged or suspected child protection matters.

Child Protection Officer (CPO)

This Life's Child Protection Officer (CPO) is responsible for ensuring that the Child Protection Policy training is satisfactorily completed by all This Life associates at the commencement of their association, that they all acknowledge understanding of and commitment to their responsibilities under this policy by signing the Child Protection Policy Contract, and that they receive periodic refresher training for the duration of that association.

This Life will ensure the Child Protection Policy remains relevant and effective. This Life will monitor all risks pertaining to Children on a quarterly basis as detailed in the Program Management Manual, and will make any necessary changes to the Child Protection Policy as soon as the need is identified.

This Life will advise and assist all This Life associates in the implementation of the policy. The Child Protection Officer and/or Executive Director will be responsible for the effective implementation of the Child Protection Policy.

Summary of responsibilities

All This Life Associates are responsible for **reporting** incidents in accordance with the This Life Child Protection Policy.

In addition, the following table summarises specific responsibilities:

Responsible team or position	Responsibility
All This Life employees	<ul style="list-style-type: none">● Record keeping and compliance with confidentiality obligations
Child Protection Officer	<ul style="list-style-type: none">● Monitor reports received via the CPO email address or This Life phone number, receive reports via these or any other channel.● Provide reports to the Senior Management Team or Executive Director.
Members of the Senior Management Team	<ul style="list-style-type: none">● Receive reports if the CPO is unavailable for any reason, or if the CPO is the subject of a report.

	<ul style="list-style-type: none"> • Take action in accordance with This Life's Child Protection Policy and/or escalate to the Executive Director.
Executive Director	<ul style="list-style-type: none"> • Receive a report if the CPO is unavailable for any reason, or if the CPO is the subject of the report. • Take action in accordance with This Life's Child Protection Policy.
Chair or Deputy Chair of the Board	<ul style="list-style-type: none"> • Receive a report if the Executive Director is the subject of the report. • Take action in accordance with This Life's Child Protection Policy, or direct any member of the Senior Management Team to take that action.

Note: See section 9 for further details on reporting responsibilities and procedures.

Visitors to This Life's workplaces

A The Life "workplace" includes the head office, all offices other than the head office, and any other work location as designated by the Executive Director, either within or outside of Cambodia.

The following procedures must be followed when a visitor enters a This Life workplace:

- All visitors to This Life's workplaces children below the age of 18 are present must sign in and receive a This Life pass. Additionally, they will be required to read this Child Protection Policy and sign the Child Protection Policy Contract to acknowledge their understanding of it.
- For the purposes of storing signed Child Protection Policy Contracts, and other relevant paperwork, all visitors to This Life's workplaces where children are present must have a record in Salesforce. By signing the Child Protection Policy Contract, the visitor consents to This Life retaining the contract, and storing it in against their Salesforce record. In accordance with our Privacy and Data Protection policy, This Life undertakes to keep this Salesforce record and its content secure, protecting it from unauthorised access; providing the visitor with access to their information on request, and the right to seek its correction.
- A Salesforce record must be created at the earliest opportunity for visitors who do not already have one at the time of their visit. The timely creation and revision of this record is the responsibility of the staff member coordinating the visit. In the event that that staff member does not have access to Salesforce, it is their responsibility to request that their Section Lead make the entries and updates on their behalf.
- The signed Child Protection Policy Contract should be scanned in and uploaded to the visitor's Salesforce

record.

- No visitor should be allowed to a This Life workplace without informing This Life's Executive Director, coordinator or senior staff member, unless prior authority has been granted by the This Life's Executive Director. A copy of this authorisation must be given to the staff who are organising the visit, and uploaded to the visitor's Salesforce record.
- All visitors must be closely monitored by This Life staff. No visitor can be left alone, with or without children when in This Life workplaces. Photography is only permitted if This Life management gives approval. This approval must be noted against the visitor's Salesforce record, along with details of any photographs taken and consent forms of the subjects if relevant. In signing the Child Protection Policy Contract, the visitor agrees that all photographs taken in This Life's workspaces and/or of This Life's clients, beneficiaries and/or associates will adhere to This Life's [Communications Policy](#), [Ethical Decision-Making Framework](#), and [Guidelines for use of images, video, and messages](#) (available at www.thislife.ngo/policies).
- Any visitor to This Life that will spend more than two consecutive days at a workplace where children are present (such as a student on an educational visit), or who intend to engage with project activities beyond basic observation, will be required to take This Life's Child Protection Training Course.

5. Personnel recruitment, screening and orientation

This Life will not employ (in any capacity, paid or unpaid) or appoint to its governance board any person with a known history of abuse or violence towards children.

Hiring Managers are responsible for assessing the level of contact with children and the level of risk when drafting terms of reference for all roles in the organisation, including at board level. The level of contact can be assessed using the following template:

Question	Comment
Will the position work directly with children?	
How much direct contact with children will the job involve?	
Will there be any contact with children (including via phone, letter, email, social media, etc)	
Will the role require travel to remote areas/communicated where there will be contact with children?	

Does the role involve working with children with disabilities or vulnerable children in complex situations?	
Is the role largely unsupervised?	
Assessment:	

For all positions:

- Advertisements for job vacancies will make clear that This Life is committed to child protection and that prospective employees' commitment to child protection must be a condition of employment.
- Advertisements and terms of reference contain a statement about This Life's commitment to child protection and any requirements;
- Screening of applicants will include a written application, personal interviews , copies of passport/ID cards, any Child Safe children's cards eg: Australian 'Blue Card', reference/police checks and reference checks. During the interview process, applicants will be asked about previous work with children and, for positions that involve working with children, behavioural based interview questions relating to Child Protection issues. Child Protection questions will also feature in reference checks with previous employers.
- Where possible and permissible by local law, applicants for positions as a staff member or volunteer are requested to give permission for a criminal record or police check for any conviction related to child abuse or other relevant offences. Expatriates will be subject to the same background checks as possible and permissible by law in their home countries. Foreign staff members and volunteers must complete and bring their criminal record or police check from the country of last residence before beginning work at This Life.
- This Life associates who provide a police check (for the purpose of working with children or vulnerable adults) must report any criminal charges that ensue after the police clearance has been issued. Reporting of charges must be done within 72 hours of the charge, disclosure of charges must be made to the Executive Director or Deputy Director at This Life. This Life will then take immediate and necessary actions to ensure that This Life's child protection policies are adhered to.
- A minimum of two documented in-depth verbal referee checks with professional and personal associates;
- This Life reserves the right to terminate a contract if reference checks (and background check in the future) reveal that the person is not suitable to work with children or for any reason that may put children at risk.
- The Child Protection Policy will be reviewed during new staff orientation, and new personnel will be required to take This Life's Child Protection Training Course. The CPO shall ensure all new personnel acknowledge in writing their receipt and understanding of the policy, with signed copies of their acknowledgement kept in the personnel files. The staff member will be required to take a refresher course on an annual basis.

Where positions are assessed as "working directly with children" or have a "high level of contact with children", the additional measures must be undertaken in addition to the above:

- documented request for an applicant to disclose whether they have been charged with child exploitation offences, and their response;

- resolution of employment gaps; and
- targeted behavioural interview questions on prior work with children / child protection issues relevant to the role.

Position assessments must be documented and retained on personnel files for audit purposes.

6. Code of Conduct for This Life associates

A code of conduct gives guidelines deemed to be appropriate and proper behaviour for This Life associates when interacting with children in the care of This Life. Strict adherence to the Code of Conduct is mandatory.

Code of Conduct

- All This Life associates will immediately report concerns or allegations of child exploitation and abuse and any non-compliance with this policy in strict accordance with procedures as provided under the sub-heading 'Reporting and investigating abuse or suspected abuse'.
- All This Life associates will strictly comply with policy and procedures as stated under the sub-heading 'Communications about children' at page 6 herein regarding the creation or distribution of images of children.
- All This Life associates will strictly comply with policy and procedures as stated under the sub-heading 'Child Labour' at pages 8-9 herein regarding compliance with Cambodian, Australian and international law prohibiting child labour.
- All This Life associates will not engage with children in any form of sexual activity or intercourse including; paying for sexual services and acts, acts that may be sexually provocative, or producing, viewing or showing materials that are pornographic or sexual in nature.
- No child is to be taken on a motorbike, tuk-tuk or car without the responsible staff member making prior arrangements with the Executive Director or Child Protection Officer (CPO). This prior arrangement must be documented in an email from the Executive Director or CPO and the staff member who made the request.
- This Life associates must not invite unaccompanied children into private residences unless they are at immediate risk of injury or in physical danger.
- This Life associates must not sleep close to unsupervised children unless absolutely necessary, in which case a supervisor's permission must be obtained, and ensuring that another adult is present if possible (noting that this does not apply to an individual's own children).
- No This Life associate is permitted to interact with beneficiaries under the age of 18 outside the This Life workplaces apart from a friendly hello.
- This Life associates will not initiate unnecessary physical contact with children, or do things of a personal nature for children that they can do for themselves. Associates will respect the personal space of children and young people.
- No This Life associate is permitted to take beneficiaries under the age of 18 to a café, restaurant or buy them food, unless permission has expressly been given by This Life's Executive Director. If the children are obviously hungry, then the Executive Director or CPO are to be informed immediately. This and any subsequent action to address the situation must be documented in emails between the Executive Director or CPO and the staff member who raised the issue, according to a treatment plan or vulnerability.
- No presents of any kind are to be bought for beneficiaries under the age of 18 without prior arrangement with the Executive Director or CPO, and are actively discouraged under any circumstances. This prior arrangement must be documented in an email from the Executive Director or CPO. Associates will not develop 'special' relationships with specific children, or show any favouritism through the provision of gift-giving or attention.
- This Life associates should not act in ways intended to shame, humiliate, belittle or degrade children or perpetrate any form of emotional abuse.
- This Life associates must ensure that language and behaviour is in line with Cambodian culture and

- customs, and reflect appropriate male-female relationships
- n. Permission must be sought from the Executive Director of This Life for any contact with beneficiaries under the age of 18 outside of This Life working hours. This permission must be documented in an email from the Executive Director to the staff member who made the request.
 - o. This Life associates should not hire any children associated with This Life to do domestic work
 - p. This Life associates must not exert physical force when dealing with children. This includes, but is not limited to, pushing, shoving, hitting, slapping etc.
 - q. This Life associates are responsible for their actions and reactions to children at all times.
 - r. This Life associates will treat children and young people with respect, listen to and value their ideas and opinions. Children have the right to be involved in making choices and decisions which directly affect them.
 - s. This Life associates must ensure two or more adults supervise all activities with children. If for any reason an individual conversation or counselling session is deemed warranted by senior staff with a child, another adult must be within visual contact.
 - t. A This Life staff member must accompany any visitor or non-staff member to any This Life workplace.
 - u. Inappropriate conduct toward children, including failure to follow the behaviour standards stated above is grounds for discipline, up to and including dismissal from employment or placement and/or police notification and legal action.
 - v. It is strictly prohibited for any This Life associate to provide or supply drugs or alcohol to any child.

7. Raising awareness and education

This Life is obliged to make all This Life's associates aware of the issue of child protection and the Child Protection Policy.

This Child Protection Policy will be included as a mandatory element in staff induction training and periodic refresher training sessions.

All This Life associates and local communities should be provided with opportunities to learn about how to safeguard children, to recognise and respond to concerns about child abuse.

When and where possible, children will be educated in self-protection from physical and sexual abuse. Children will be taught that they have a right to do something if an adult or another young person behaves or talks to them in a way that makes them feel uncomfortable or in danger, and to trust and act on their instincts.

The Executive Director of This Life will initiate an open culture, encouraging opportunities for staff to raise concerns, to question, to discuss, to feedback, and learn about child protection issues. This will be done during all-staff, section and program team meetings (as a standing agenda item), through training, through anonymous feedback mechanisms (such as This Life's website, and the office suggestion box), and on other occasions. Any concerns, questions, feedback or learning points raised here will also be explored in more depth, in an open and supportive manner, as part of the regular one-on-one or team supervision sessions with Line Managers or Section Leads (see Supervision Policy).

Appropriate literature such as help-line posters, leaflets regarding how to report an incident and child-safe information will be made available to This Life's clients and beneficiaries. Regular training and awareness raising regarding child protection will take place with the children as part of program activities such as case management and community events. Child Protection will be discussed regularly at meetings and forums that take place with This Life's clients and beneficiaries, particularly those with a focus on children's issues.

8. Confidentiality and communications about children

- All communications regarding This Life’s clients and beneficiaries will ensure that the protection, privacy, dignity and best interests of the child is paramount, and will follow This Life’s Communications Policy, Ethical Decision-Making Framework, and Guidelines for use of images, video, and messages.
- This Life will not share information about a child or family with another organisation without getting prior consent from the legal guardians. The only exception to this is when making a report to the authorities about sexual abuse. While it is best practice for This Life to first talk to the family, sometimes this will jeopardise child safety. An example of this is when the parent or legal guardian is the perpetrator.
- The informed consent of the child and his/her parents or guardians must always be obtained before a recording, photograph or image is taken and its intended use(s) explained. This consent is captured on a paper or digital form after the process, considerations, implications and rights of the child are explained. Where possible, the child and family should be shown the finished product before it is published.
- Care must be taken to ensure photographs, films, videos and DVDs present children in a dignified and respectful manner and not in a vulnerable or submissive manner.
- Children should be adequately clothed in photographs or images taken of them and not in poses that could be interpreted as sexually suggestive.
- Real names of children should be changed and it should be indicated that they have been changed.
- Care must be taken to ensure local traditions or restrictions for reproducing personal images are adhered to before photographing or filming a child, and to ensure images are honest representations of the context and the facts.
- File labels, meta data or text descriptions must not reveal identifying information about a child when sending images electronically or publishing images in any form.
- This Life associates must never use any computers, mobile phones, video cameras, cameras or social media to exploit or harass children, or access child exploitation material through any medium.

9. Reporting suspected breaches of child protection policy

It is mandatory for all This Life associates to immediately report any suspected or alleged case of child exploitation, abuse, safety, possession of child exploitation material, or policy non-compliance.

Failure to report suspected child abuse or misconduct may result in disciplinary action or legal action.

Any This Life associate who has knowledge of, suspects, or has witnessed a potential child protection issue must immediately report the matter in accordance with this section. This is not limited to acts perpetrated by This Life associates but any person mistreating a child, including family and community members.

Reports and other information relating to suspected breaches of the Child Protection Policy are to be maintained in the strictest confidence. Sensitive information related to child protection reports and investigations will be shared strictly on a ‘need to know’ basis, and otherwise must not be disclosed to any third party without the express written consent of the persons involved or unless the disclosure is required by law. Reports and other references to an incident that are provided to senior management, the board or third parties must be de-identified and anonymised, with sensitive information redacted or removed.

Who is required to make a report?

Reporting is mandatory for all This Life associates as defined at section 4 in this Child Protection Policy.

When should I report?

A report should be made immediately and **within 24 hours**. A verbal report should be followed with a written report within a further 48 hours.

What to report?

- Breach of This Life's Child Protection Policy;
- Breach of DFAT's Child Protection Policy, including professional behaviours;
- A child protection related misconduct issue;
- A person having committed, or been arrested for, or convicted of, a criminal offence(s) relating to any child exploitation or abuse;
- Child disclosure of exploitation and abuse;
- Suspicion or allegation of possession or accessing of child pornography or child exploitation material;
- Criminal proceedings being undertaken in regard to child exploitation and abuse;
- Any report made to you by anyone, including a child or community member, relating to notifiable behaviour;
- Any child safety incident related to or This Life workplace or a managed activity.

Reporting does not depend on whether an allegation is substantiated. The fact that an allegation or suspicion has been raised is sufficient to commence the reporting process. Reporting is not restricted to suspected breaches of the Child Protection Policy by This Life associates. For example, if the activity involves DFAT, It could also include:

- A DFAT staff member, including locally engaged staff;
- Any personnel of a DFAT-funded contractor or civil society organisation, including sub-contractors and grantees;
- Personnel of a DFAT-funded multilateral organisation;
- A DFAT-funded volunteer or internship;
- An employee of another Commonwealth government agency;
- An Australian Volunteers program participant or host organisation;
- any Australian citizen, Australian permanent resident or Australian company.

How do I make a report?

(a) This Life board members, employees, volunteers and interns ("The Life staff")

This Life staff are required to report breaches of the Child Protection Policy to the **Child Protection Officer (CPO)**.

Reports can be made to the CPO by telephone during office hours (8:00 am - 5:00 pm ICT) on **+855 (0) 63 966 050**

Reports can be made to the CPO by email at any time via **cpo@thislife.ngo**

If the CPO is unavailable for any reason, or in the event that the CPO is the subject of the report, the report can be made to the Executive Director or to any other on-duty or available member of the Senior Management Team.

In the event that the Executive Director is the subject of the report, the report should be made to the Chair or Deputy Chair of the Board, or to any other on-duty or available member of the Senior Management Team.

(b) All other This Life associates

All This Life associates other than employees are required to submit reports to: **cpo@thislife.ngo**

Alternatively, a report may be made directly to the CPO during office hours (8:00 am - 5:00 pm ICT) on **+855 (0) 63 966 050**

10. Investigations

On receipt of the report, the CPO and/or Executive Director of This Life will begin an internal investigation and where appropriate file a complaint with the relevant Police, other government authorities or NGO. Full cooperation will be afforded to them during any external investigation.

Where appropriate, if the accused is an expatriate, the relevant law enforcement authorities will also be informed with due regard given to the potential for extraterritorial proceedings by the expatriate's country of origin.

The internal investigation will be launched within 48 hours of receipt of the complaint and will be carried out by the CPO and/or Executive Director. In the event that the complaint is connected to the CPO and/or Executive Director, the investigation must involve the This Life Management Committee.

At the discretion of the Executive Director, any This Life associate could be suspended, on full pay (where applicable) pending investigation. The associate will be informed that an allegation has been made against him/her and they will be given the opportunity to respond.

The nature of the investigation will depend on the matter and must be conducted in a fair and responsible manner to establish the facts. All attendees should be given time to prepare for any meetings.

The rights and welfare of the child is of prime importance to This Life. The best interests of the child should always govern decisions regarding what action should be taken in response to concerns, and the safety of the child must always be the overriding consideration in managing internal reporting procedures and investigations.

Where there is a conflict of interest the needs of the child must come first; no child should be put at more risk by actions taken.

Response to Internal Investigation Findings

1. Child exploitation and abuse, including child pornography, is a serious transnational crime. Failure to act in accordance with this policy may result in disciplinary action, dismissal, or referral to authorities.
2. At the conclusion of the investigation, the associate, the child and/or his or her family as appropriate should be informed of concerns or allegations, the results of the investigation and what corrective action, if any, will be taken.
3. In the event an allegation is proven to be untrue, or even fabricated, appropriate steps will be taken for follow-up with the person who has been accused, the child, and the person who reported the incident. Every effort will be made to assist the child in coping with any physical or emotional trauma he or she may be experiencing. This may include medical treatment, psychological counselling or any other form of assistance deemed necessary and appropriate.
4. If the investigation concludes that child abuse or exploitation has occurred which is not subject to criminal prosecution, staff will be subject to disciplinary action within This Life, up to and including dismissal.
5. If the investigation concludes that abuse or exploitation has occurred which is subject to criminal prosecution according to national laws, all findings will be reported to the relevant national police authorities and full cooperation afforded them during an external investigation. If the accused is an expatriate, the relevant law enforcement authorities will also be informed with due regard given to the potential for extraterritorial proceedings by the expatriate's country of origin.

6. In the event an associate is discharged for proven child abuse, This Life will disclose such information as requested by police, a prospective employer, etc. Such disclosures will be made in accordance with applicable law and/or customs.

The media may become involved when a concern or allegation is raised within This Life. Only the Executive Director will liaise with the media.

This Life will provide staff with training on recognising signs of abuse in children, and materials exploring signs of abuse in children will be available in the This Life library. A record of this and subsequent refresher training will be kept on the staff member's HR record.

11. Child Labour

Background

Considerable differences exist between the many kinds of work children do. Sometime the work can be difficult and demanding, and may be hazardous and even morally reprehensible.

This policy is aligned with the International Labour Organisation's (ILO) definition of child labour which explains that considerable differences exist between the many kinds of work children do. Some are difficult and demanding, others are more hazardous and even morally reprehensible.

Children carry out a very wide range of tasks and activities when they work. The term "child labour" is often defined as work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. As such, not all work done by children should be classified as child labour that is targeted for elimination. Children's or adolescents' participation in work that does not affect their health and personal development or interfere with their schooling, is generally regarded as being something positive. This includes activities such as helping their parents around the home, assisting in a family business or earning pocket money outside school hours and during school holidays. These kinds of activities contribute to children's development and to the welfare of their families; they provide them with skills and experience, and help to prepare them to be productive members of society during their adult life.

Work that is classified as "child labour" is mentally, physically, socially or morally dangerous and harmful to children, and interferes with their schooling by:

- depriving them of the opportunity to attend school
- obliging them to leave school prematurely, or
- requiring them to attempt to combine school attendance with excessively long and heavy work.

This Life Child Labour Policy Postion

This Life is committed to ensuring that all This Life associates and partner organisations are fully aware of and compliant with Cambodian law, Australian law and international law relating to child labour.

There is a strict obligation to report any suspected breaches of any or all of the above-stated labour law in accordance with the procedure stated in this Policy Protection Policy.

Prevention of Sexual Exploitation, Abuse and Harassment Policy GV18

Policy Number: GV18	Effective Date: 31 st August 2022
Version: 01	Revised Date: NA
Drafted by: Business Development Manager	Responsible person: ED, DD, DSS, DSE
Date Approved by Board: 31st August 2022	Scheduled Review Date: September 2023

Introduction

This Life is committed to the prevention of sexual exploitation, abuse and harassment with a particular focus on those who are most vulnerable.

1. Purpose of policy

The purpose of the Prevention of Sexual Exploitation, Abuse and Harassment Policy (“the policy”) is to protect persons from sexual exploitation, abuse or harassment. It directly addresses issues in the aid sector at large concerning reported sexual misconduct by various agencies in a wide range of countries.

This Life understands and acknowledges that the communities we work with are often vulnerable to exploitation and abuse due to multiple factors, including:

- Frequent staff rotations in implementing agencies
- Weak institutional support from police and judicial systems for survivors of sexual misconduct
- Multiple levels of partnership and reporting, affecting oversight of individual activities
- Socio-economic disadvantages in local communities, particularly with respect to women, ethnic minorities, people living with disability, and rural communities; and
- Vulnerabilities to natural disasters and political and civil conflict.

Sexual misconduct encompasses a wide range of behaviours, including sexual abuse, exploitation, harassment and intimidation. This Life has a zero-tolerance towards sexual misconduct and makes every effort to ensure that all stakeholders engaged by and with This Life, including our partners, beneficiaries, directors, staff, volunteers and interns are protected against sexual exploitation, abuse and harassment.

Scope

This policy applies to:

- Directors, employees, volunteers and interns of This Life
- Contractors to This Life
- Employees of This Life
- Partners of This Life

- Employees of This Life's partners.

Hereinafter these individuals, groups and organisations are referred to as 'This Life representatives'.

This Life commits to sharing and raising awareness of this policy with all partners via memoranda of understanding or other mechanism, and to make the information readily available to any person or organisation who may request it.

Additional Authority

This policy is supported by This Life's other safeguarding and related policies, including:

- Child Protection Policy
- Code of Conduct Policy
- Discrimination, Bully and Harassment Conduct Policy
- Equal Opportunity, Valuing Diversity and Affirmative Action Policy
- Feedback and Complaints Policy
- Whistleblower Policy
- Disciplinary Policy
- Program Management Manual

2. Definitions

This Life adopts the following definitions from the Department of Foreign Affairs and Trade (DFAT), Preventing Sexual Exploitation and Harassment Policy (April 2019):

Sexual exploitation is any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes. It includes profiting monetarily, socially, or politically from sexual exploitation of another.

Sexual abuse is the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. It covers sexual offences including but not limited to; attempted rape (which includes attempts to force someone to perform oral sex); and sexual assault (which includes nonconsensual kissing and touching). All sexual activity with someone under the age of consent (in the law of the host country or under Australian Capital Territory law [16 years], whichever is greater) is considered to be sexual abuse.

Sexual harassment is where a person makes an unwelcome sexual advance or an unwelcome request for sexual favours of another person, or engages in other unwelcome conduct of a sexual nature, in circumstances in which a reasonable person, having regard to all the circumstances, would have anticipated the possibility that the person harassed would be offended, humiliated or intimidated. Sexual harassment can take various forms. It can be obvious or indirect, physical or verbal, repeated or one-off and perpetrated by any person of any gender towards any person of any gender. Sexual harassment can be perpetrated against beneficiaries, community members, citizens, as well as staff and personnel.

Prevention of Sexual Exploitation, Abuse and Harassment Code of Conduct

This Life has a zero-tolerance of sexual exploitation, abuse or harassment. This Code of Conduct is to be followed by all This Life representatives, at all times when working for and with This Life.

3. Behaviour

This Life representatives must:

- Conduct themselves in a manner that protects others from sexual misconduct at all times.
- Comply with all relevant Australian legislation and legislation of the host country, including laws intended to prevent sexual exploitation, abuse or harassment.
- Be aware of public perception and act with respect regarding cultural sensitivities as to choice of language, actions, and interactions with others.
- Report any concerns of sexual misconduct by proceeding via the processes outlined Feedback and Complaints Policy and/or Whistleblower Policy.

This Life representatives must not:

- Engage in actual or attempted abuse of individuals in a position of vulnerability, differential power or trust, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation, abuse or harassment of another.
- Engage in actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
- Engage in sexual harassment, which includes but is not limited to:
 - unwelcome sexual advances;
 - requests for sexual favours;
 - verbal or physical conduct or gesture of a sexual nature; and
 - any other behaviour of a sexual nature that might be reasonably be expected or be perceived to cause offence or humiliation to another.
- Engage in sexual violence, which includes but is not limited to:
 - Unwanted sexual comments;
 - Unwanted sexual touching;
 - Aggressive sexual behaviour;

- Attempted sexual assault;
 - Sexual assault; and
 - Rape.
- Use This Life or partner organisation facilities, personnel or resources for the purpose of arranging or facilitating access to sex workers by any person, including visitors to This Life offices or programs.
 - Engage in sexual relationships with program participants or program beneficiaries, which are inherently unequal and where there is the potential for abuse of power. Such relationships undermine the credibility and integrity of This Life and its programs.

4. Risk Assessment

Risk Assessments must identify areas of This Life's work that are of higher risk and the appropriate controls required to reduce the risk. Risk factors may include:

- Personnel deployed away from their usual location/country of residence and/or to remote/rural location/s.
- Programs which facilitate interaction with individuals, especially women, who: are young adults; have a disability; are of an ethnic, indigenous, religious or sexual minority; are experiencing poverty; are sex workers; are part of families impacted by disasters; are displaced, refugees, migrants or asylum seekers; are part of female headed households; are victims/survivors of trafficking and/or other forms of sexual and gender based violence; are in contact with the law; and/or are accessing residential/shelter services.
- Circumstances where staff have access to sensitive/ confidential personal information.
- Provision of goods and/or services that may create a power imbalance, for example: services for vulnerable groups of women (eg. escaping trafficking or gender based violence); training; residential/shelter services; disability services; justice facilities; community consultation (data collection, surveying, training); and/or parenting and child protection programs
- Staff or personnel who have an actual or perceived level of authority.

Reporting misconduct under this policy

Incidences of suspected or alleged sexual exploitation, abuse or harassment committed by a This Life representative must be reported by proceeding via the processes outlined Feedback and Complaints Policy and/or Whistleblower Policy.

Assistance in languages other than English

If a person wishes to make a complaint or report but has limited English language ability, This Life will arrange for translation and the provision of interpreting services as appropriate. Copies of written translations should be made available to the person making the complaint or report.

Complaints handling process

When a case of suspected abuse is reported, the Executive Director and Board of Directors must be notified of the complaint. An internal investigation must be launched as appropriate.

If the complaint involves a person who is a Director of the Board, the Executive Director, or any other member staff, that person must be excluded or removed from the complaints handling process.

If the person making the complaint or report is an expatriate, and taking into consideration any legal advice received and the potential for extra-territorial proceedings conducted by judicial or other government authorities in the expatriate's country of origin, the incident may be reported to local law enforcement authorities as required. Any decision not to refer a criminal offence to law enforcement requires the approval of the Executive Director. This will be documented in order to record the reasons for the decision.

All complaints, suspected incidences and reports of violations of the PSEAH Policy must be reported to DFAT using the Sexual Exploitation, Abuse and Harassment Notification Form and emailed to seah.reports@dfat.gov.au.

All reports of alleged complaints or reports of misconduct relating to the delivery of DFAT business must be reported to DFAT within two (2) working days of This Life becoming aware of the alleged incident.

All other reports of incidences of non compliance with this policy must be reported to DFAT within five (5) working days of This Life becoming aware of the incident.

The welfare and interests of the victim are of utmost concern to This Life. The privacy of the victim is to be upheld at all times, while all processes undertaken in accordance with this and all related policies are to be conducted in a manner that ensures confidentiality.

This Life will ensure that support and assistance is provided or made available to the victim, including trauma assistance, counseling and referrals to medical or other support as appropriate.

A This Life representative alleged to have perpetrated or otherwise participated in any act of sexual misconduct against another person will be temporarily suspended during the investigation. The representative will be informed of the allegations made against them and given a reasonable opportunity to respond. Assistance and support may be provided to the alleged perpetrator as appropriate.

Investigation and action

The nature of an allegation, local regulations, and disclosure requirements will determine the type of investigation. This Life will take steps to ascertain initial information and if required, engage authorities including police if required.

This Life senior management will determine the appropriate person(s) to undertake an investigation, taking advice from subject matter experts as applicable and, if required, third party investigators.

Where allegations involve This Life staff they may be suspended or allocated other duties while the investigation is carried out.

At the end of the investigation, the victim and any This Life representatives alleged to have committed misconduct under this policy will be informed of the outcome of the investigation.

Disciplinary action is to be taken against This Life representatives found by the investigation to have committed misconduct under this policy or to have made false or unfounded allegations of misconduct under this policy.

All records of or relating to any investigation must remain strictly confidential, and are to be kept on file or destroyed in accordance with record-keeping protocols.

Confidentiality

It is crucial all parties maintain strict confidentiality. Sharing of information, which could identify a victim or an alleged perpetrator, should be purely on a 'need to know' basis and only to those who have a legitimate need to receive the information. Unless exploitation, harassment, and abuse has actually been proved to have occurred, it must always be referred to as 'alleged'.

Documentation obtained or created as a result of investigations will be kept confidential until such time as it may be required to be handed to judicial mechanisms.

5. Awareness and Training

All employees must be made aware of This Life's PSEAH policy, read and sign This Life's policies and codes of conducts, and immediately report any SEAH matters. All staff shall complete induction training on PSEAH within 45 days of their commencement and annually thereafter.

All personnel must be made aware of reporting requirements (see above).

This Life policies must be made available at all offices and project sites, including through operational manuals, posters, flyers, training, and awareness activities with communities and beneficiaries.

This Life PSEAH requirements shall be included as terms in all This Life contracts, grants, and employment agreements or manuals.

Communities involved in This Life activities should also be informed on how to raise a SEAH concern.

Partner organisations

Due diligence assessments must be completed for all proposed and contracted entities of This Life. Due diligence must assess the extent the proposed organisation complies with This Life's PSEAH Policy. Where gaps are identified, additional controls may be required and/or additional capacity building and awareness activities may be needed.

6. Recruitment screening and on-boarding

This Life will not employ (in any capacity, paid or unpaid) any person with a known history of abuse or violence.

For all employment positions, the following minimum standards will apply:

- safeguarding questions as standard in interview questionnaires, and in reference check questionnaires;
- proof of identification and vetting of previous employment and qualifications, particularly for positions where there is direct working with children or a higher level of contact with children; and
- completion of criminal record checks as applicable; where not available or in jurisdictions with no national child protection database a statutory declaration may suffice; additional screening may be required if this requirement cannot be satisfied.

Position assessments must be documented and retained on personnel files for audit purposes.

Accountability

Fraud Risk Management Policy AC01

Policy Number: AC01

Effective Date: 19th September 2013

Version: 04

Revised Date: 28th September 2021

Drafted by: Executive Director

Responsible person: ED, SMT

Date Approved by Board: 19th September 2013

Scheduled Review Date: April 2024

Introduction

Not-for-profit organisations are as liable to fraud as commercial organisations, and effective prevention strategies need to be put in place and monitored.

Purpose

The purpose of this policy is

- To ensure that all parties are aware of their responsibilities for identifying exposures to fraudulent activities and for establishing controls and procedures for preventing such fraudulent activity and/or detecting such fraudulent activity when it occurs.
- To provide guidance to staff/volunteers/contractors as to action which should be taken where they suspect any fraudulent activity.
- To provide a clear statement to staff/volunteers/contractors forbidding any illegal activity, including fraud for the benefit of the organisation.
- To provide assurance that any and all suspected fraudulent activity will be fully investigated.
- It is required that if organisations entering into a formal partnership with This Life do not possess a similar policy holding them to equal or higher standards, they commit to adhere to this policy. In accordance with This Life's Partner and Affiliated Organisations Policy, and in compliance with the ACFID Code of Conduct, this requirement shall form part of all Memoranda of Understanding between This Life and partner organisations.

Definition

Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury. It may include, but is not limited to:

- Actions to gain non-monetary benefits such as power, status, control or information
- Corruption, the abuse of entrusted power for private gain, including bribery,
- Money-laundering, the process of concealing the origin, ownership or destination of illegally or dishonestly obtained money and hiding it within legitimate economic activities to make them appear legal.
- Terrorism financing, intentionally providing or collecting funds and being reckless as to whether those funds would be used to facilitate or engage in a terrorist act, and
- Violation of sanctions imposed by the Australian Government

Policy

This Life will not tolerate fraud or corruption in any aspect of its operations.

This Life provides induction and refresher training on Fraud Risk Management and This Life's Code of Conduct, which prohibits the acceptance of bribes and gifts, and strictly regulates conflicts of interest (see Induction and Orientation Policy). This training includes communicating their obligations, what fraud and corruption are, and how and where to report it. Checking for understanding of application in practice is a key component of the training by providing examples to illustrate the policy in action. All staff are informed they face immediate termination if they violate the Fraud and Corruption Management Policy.

This Life will investigate any suspected acts of fraud, corruption, misappropriation or other similar irregularity. An objective and impartial investigation, as deemed necessary, will be conducted regardless of the position, title, length of service or relationship with the organisation of any party who might be the subject of such investigation.

Any fraud or corruption shall constitute grounds for dismissal. Any serious case of fraud or corruption, whether suspected or proven, shall be reported to the police. Any person reporting an act of fraud or corruption, or a suspected act, shall suffer no penalty in their employment.

Responsibilities

The **Board** of This Life has ultimate responsibility for the prevention and detection of fraud and is responsible for ensuring that appropriate and effective internal control systems are in place. The Chairperson of the Board is also responsible for investigating any instances of fraud involving the Executive Director.

The **Executive Director** is responsible for investigating instances of fraud reported to them.

All **managers** must ensure that there are mechanisms in place within their area of control to:

- Assess the risk of fraud;
- Educate employees about fraud prevention and detection; and
- Facilitate the reporting of suspected fraudulent activities.

Management should be familiar with the types of improprieties that might occur within their area of responsibility and be alert for any indications of such conduct.

All **staff/volunteers/contractors** share in the responsibility for the prevention and detection of fraud in their areas of responsibility.

All staff/volunteers/contractors have the responsibility to report suspected fraud.

Any staff member, volunteer or contractor who suspects fraudulent activity must immediately notify their supervisor or those responsible for investigations.

In situations where the supervisor is suspected of involvement in the fraudulent activity, the matter should be notified to the next highest level of supervision or to the Executive Director.

Processes

Fraud prevention accounting procedures shall be incorporated in the organisation's policies relating to Authority to Sign Cheques, Reimbursement of Expenses, Financial Transaction (credit and debit) Cards, Acceptable Use of Computers, Acceptable Use of Vehicles and Equipment, Cash Management & Income Handling, and any other relevant policies.

Fraud prevention procedures shall be incorporated in the organisation's policies relating to Staff Recruitment and Staff Induction.

All complaints of suspected fraudulent behaviour must be reported to the Executive Director, unless the Executive Director is suspected of involvement in the fraudulent activity in which case the report must be made to the Chair of This Life's Board of Directors.

Reports to the Executive Director should be sent by email to billy@thislife.ngo . Reports to the Chair of the Board should be sent to chair@thislife.ngo.

Upon notification or discovery of a suspected fraud, the Executive Director will promptly arrange to investigate the fraud. The Executive Director will make every effort to keep the investigation confidential; however, from time to time other members of the management team will need to be consulted in conjunction with the investigation.

After an initial review and a determination that the suspected fraud warrants additional investigation, the Executive Director shall coordinate the investigation with the appropriate law enforcement officials. Internal or external legal representatives will be involved in the process, as deemed appropriate.

Once a suspected fraud is reported, immediate action will be taken to prevent the theft, alteration, or destruction of relevant records needs to occur. Such actions include, but are not necessarily limited to, removing the records and placing them in a secure location, limiting access to the location where the records currently exist, and preventing the individual suspected of committing the fraud from having access to the records.

Where a prima facie case of fraud has been established the matter shall be referred to police. Any action taken by police shall be pursued independent of any employment- related investigation by the organisation.

If a suspicion of fraud is substantiated by the investigation, disciplinary action, up to and including dismissal, shall be taken by the appropriate level of management.

The organisation will also pursue every reasonable effort, including court ordered restitution, to obtain recovery of the losses from the offender.

Vendors and contractors shall be asked to agree in writing to abide by these policies and procedures.

No employee of the organisation, or person acting on behalf of the organisation in attempting to comply with this policy shall:

- be dismissed or threatened to be dismissed;
- be disciplined or suspended or threatened to be disciplined or suspended; be penalised or any other retribution imposed, or
- be intimidated or coerced,
 - o based to any extent upon the fact that the employee has reported an incident or participated in an investigation in accordance with the requirements of this Policy. Violation of this section of the Policy will result in disciplinary action, up to and including dismissal.

If an allegation is made in good faith, but it is not confirmed by the investigation, no action will be taken against the originator.

Non-development Activities Policy AC02

Policy Number: AC02

Effective Date: 29th April 2013

Version: 03

Revised Date: 31st August 2022

Drafted by: Executive Assistant

Responsible person: DD, ED

Date Approved by Board: 29th April 2013

Scheduled Review Date: September 2023

Introduction

This Life is committed to ensuring that we accurately represent our activities to the people we work with, our donors, and the public.

Additional Authority: Law and related organisational documents

- Reporting Policy
- Partner and Affiliated Organisations Policy
- Program Management Manual
- Guide to Grants and Donor Reporting

Background

This Life is a non-political, non-religious organisation and does not engage in or support any activities to promote any political party or alignment, or any activities that promote a particular religious adherence or are undertaken with the intention of converting individuals or groups to any faith or denomination, including but not limited to dawah and evangelisation. This Life may partner with organisations that undertake religious activities, but only on the basis that the activities undertaken on behalf of This Life will not promote religious adherence. This Life may also partner with advocacy organisations from time to time on the basis that their activities are not in support of a political party or candidate.

Purpose

The purpose of this policy is to guide This Life and our partners to make a clear separation between development and humanitarian and non-development objectives and activities. Additionally, this policy addresses our ACFID compliance obligations when communicating with or soliciting donations from private donors and the public, including fundraising for restricted and unrestricted purposes from aid agencies, sponsors and supporters, and fundraising from the general public.

Scope

This Policy is intended to apply to all This Life activities. The policy is applicable to all This Life employees, consultants, interns and volunteers. Additionally, it is required that if organisations entering into a formal partnership with This Life do not possess a similar policy holding them to equal or higher standards, they commit to adhere to this policy. In accordance with This Life's Partner and Affiliated Organisations Policy, and in compliance with the ACFID Code of Conduct, this requirement shall form part of all Memoranda of Understanding between This Life and partner organisations.

Responsible Party

It is the responsibility of the Executive Director and the Deputy Director to ensure that this policy is understood and followed by everyone working for or with This Life.

Definitions

Development and humanitarian initiatives refer to the activities undertaken in order to reduce poverty and address global justice issues. In the non-government organisation sector, this may occur through a range of engagements that include community projects, humanitarian response and emergency management, community education, advocacy, volunteer sending, provision of technical and professional services and resources, environmental protection and restoration, and promotion and protection of human rights.

Aid and development activities are characterised by the following principles:

- Strengths based approaches which encourage people and communities to create solutions for themselves.
- Processes that seek to address the causes of poverty.
- Processes that seek to empower rights holders to claim their rights and ensure that duty bearers exercise their duties.
- Supporting systems and structures which enable people to move out of poverty.
- Humanitarian response and emergency relief, disaster recovery and meeting the immediate needs of refugees and internally displaced people.
- sustainability

Non-development activities include activity undertaken to promote a particular religious adherence or to support a particular party, candidate or organisation affiliated to a political party. It also includes "welfare" activities – see discussion below under the sub-heading 'Welfare.'

Partisan political activities are those that are associated with facilitating or supporting a specific political party, or candidate to gain power or to support organisation affiliated with a political party. This does not include advocacy which is aimed at persuading and influencing decision makers and opinion leaders, and is not aimed at promoting partisan political objectives.

Welfare

As per the explanatory notes for the Australian Non-Government Cooperation Program (ANCP):

“Funds disbursed overseas for welfare, religious or political activities [...] are inconsistent with Australia’s aid policy. NGOs must clearly document the assessment of inclusion or exclusion of disbursements in RDE calculations.

Welfare activities are defined as care and maintenance, other than in refugee and emergency situations, which aims to maintain people in a particular condition on a longer-term basis. Substantial and broad impact on social and economic conditions in the community is not normally expected from welfare programs. Welfare may be provided to an individual or family basis including home-based and institutional care programs, such as those provided by orphanages, homes for the elderly, hospices and the provision of food for those who are destitute.

Welfare activities are typically:

- implemented independently of other sustainable community development activities;
- include no strategy for integration into broader community development programs;
- provided on an individual or family basis, rather than on a community basis, and are unconnected to emergency needs; and
- implemented on a long-term basis with no clear exit strategy.”

Therefore This Life is unable to use any ANCP funds for welfare activities and the schools programs is cognizant of this and funds are not used for school maintenance or ongoing education programs.

Policy and Procedure

This Life supports and is committed to abiding by the following principles:

- Ensuring accurate representation of our activities to the people we work with, donors and the public.
- Ensuring that funds raised for aid and development purposes are not used to exploit people and communities who are vulnerable and do not place any conditions or obligations on recipients in terms of non-development, religious or political outcomes that would affect their access to services being offered.

To that end, the following procedures will be observed.

Separation of development and/or humanitarian and non-development in programs and projects:

- All project proposals will be appraised to determine whether they include non-aid and development components.
- Appraisers will record any issues, which must then be followed up to ensure that the policy requirements are satisfied before the project is approved.
- Appraisers record any aspects of the project that should be closely monitored over the life of the project to ensure compliance with this policy .

- Partner capacity assessment processes require the signatory to identify whether the partner is engaged in non-development activities, and if so, how it is able to manage and account for them separately to aid and development activity.
- Components of projects that represent non-development activity, such as expenditure, will be managed, reported on and accounted for separately to aid and development components.
- In-country project monitoring will include monitoring of the separation of non- development activities from development and/or humanitarian activities as part of project monitoring, learning and evaluation processes.

Separation of development and/or humanitarian and non-development in communications (including advocacy materials):

- Guidelines are in place that address appropriate reporting in organisational promotional materials.
- All articles written by overseas project partners or photos supplied by partners for reporting materials are reviewed for differentiation between development and/or humanitarian and non-development activities.
- Communications materials are reviewed prior to publication to ensure separation of reporting and fundraising for development and/or humanitarian and non- development activities.

Separation of development and/or humanitarian and non-development in fundraising and provision of choice for donors:

- Any fundraising materials will be reviewed prior to publication to ensure that solicitations make a clear distinction between aid and development and non- development activities.
- Where fundraising solicitations include references to both development and/or humanitarian and non-development activities, they will be reviewed to ensure that donors are provided with the choice of contributing to aid and development activity only.
- Funds raised non-development activity will be tracked, managed, reported and accounted for separately to those raised for development and/or humanitarian components.

Extending the separation of development and/or humanitarian and non-development activities to partners:

- Communication with new partners will state This Life's position on non-development activity.
- Existing partners of This Life will receive a copy of this policy at the time of its implementation.
- All partner agreements, Memorandum of Understanding (MoU) or equivalent, will include clear definitions of development and/or humanitarian activity and non- development activity.
- All partner agreements (MoU or equivalent) will require the partner to agree that This Life's funds designated for development and/or humanitarian purposes will not be used to fund any non-development activity.

Environmental Sustainability Policy AC03

Policy Number: AC03	Effective Date: 19 th April 2013
Version: 02	Revised Date: 22 nd September 2021
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: September 2024

Introduction

The earth's environment is under severe stress from uncontrolled human activity, threatening the survival of our society and the performance of This Life's mission.

This Life thus accepts that it must, as part of its core activities, work to preserve the environmental sustainability of the planet, at all levels of its operations – in its own practice, as a participant in a community of practice, and as a participant in the Australian social discourse.

This Life aspires to minimise its impact on our environment and maximise the effective use of resources. We strive to achieve this by increasing communication and awareness of our efforts in accordance with this policy and fostering responsible environmental behaviour amongst staff, volunteers, our partners, our clients and users at all levels.

This Life is committed not only to complying with applicable law in all of its operations but to absolutely minimising its risks and impacts through the development of robust and documented systems to implement, measure, monitor, and disseminate excellent environmental performance both within its operations and to the broader community.

Purpose

This Environmental Sustainability Policy is intended to provide a framework to bring together the different accountabilities involved in different areas of environmental responsibility, and to clarify the content of these responsibilities in each area.

It aims to integrate a philosophy of sustainable development into all the organisation's activities and to establish and promote sound environmental practice in our operations and collaborating with our partners to help cut greenhouse gases, reduce waste and educate young people about sustainability to create sustainable futures.

Working with our educational partners, This Life is helping children to be students of sustainability by promoting the next generation to explore the latest thinking in sustainable living. Working with schools to make sustainability part of our collective future, it's a partnership that promotes prosperity and secures our future.

As This Life recognises international concerns about climate change and resource scarcity, our organisation faces the challenge of growing while minimising our environmental footprint.

This Life's programs in Cambodia heavily depends on environmentally sensitive natural resources which can be impacted by project activities as well as by wider environmental change, including climate change. Acknowledging this, This Life integrates an environmental context into its interventions, both to capitalise and to maximise any possible positive environmental impact, and to minimise any negative environmental impact.

This strategy integrates learning from different programs and adopts relevant elements from the DFAT Environmental and Social Safeguard policy and operational procedures (March 2019)¹ thereby making it more proactive and at the same time compliant with environmental regulatory frameworks.

Policy

¹ DFAT Environmental and Social Safeguard Policy and [Environmental and Social Safeguard Operational Procedures and associated guidance notes: Environmental and Social Safeguard Policy | Australian Government Department of Foreign Affairs and Trade \(dfat.gov.au\)](#)

This Policy has been developed with reference to DFAT's Environmental and Social Safeguard Policy (February 2019) and its subsequent Operational Procedures (March 2019), and follows the five environmental safeguards principles outlined therein: The safeguard principles underpin the successful application of This Life's Environmental Sustainability Policy and applying the principles helps ensure This Life achieves positive development outcomes without harming the environment, people or communities.

This Life commits itself to minimising its impact on our environment through:

- Providing a safe, secure and healthy workplace;
- Creating an environmentally sustainable aware culture, where responsibility is assigned and understood;
- Being an environmentally responsible neighbour in our community;
- Conserving natural resources by reusing and recycling;
- Using, in our own operations, processes that do not adversely affect the environment;
- Ensuring the responsible use of energy throughout the organisation;
- Participating in efforts to improve environmental protection and understanding;
- Using our own professional expertise, where possible, to assist in the development of solutions to environmental problems;
- Striving to improve our environmental performance continually;
- Conducting rigorous audits, evaluations, and self-assessments of the implementation of this policy;
- Working with suppliers who promote sound environmental practices; and
- Enhancing awareness among our employees, volunteers, partners, clients and users – by educating and motivating them to act in an environmentally responsible manner.

Safeguard Principles

The following is a guide to the DFAT's principles on management of environmental and social impacts in the program. Applying the principles helps ensure programs achieve positive development outcomes without harming the environment, people or communities.

Program design and implementation must meet the safeguard principles, which must be considered at each stage of the program management cycle: policy and planning; design and procurement; implementation and performance management; and review and evaluation. The safeguard principles underpin the successful application of the five environmental and social safeguards. The environmental safeguard principle is implemented by This Life team members following various safeguarding steps throughout the three major stages (design, implementation, and maintenance and monitoring) of the program's simplified intervention life cycle

Principle 1: do no harm

- Seek to protect the rights, health, safety, and livelihoods of people including, children, women, indigenous peoples, and other vulnerable or disadvantaged groups. Maintain the health, diversity and productivity of the environment.

Principle 2: identify, assess and manage environmental and social impacts

- Identify potential environmental and social risks and impacts early in the program design process, to ensure they are adequately assessed and managed in program concepts, designs and implementation.

- Avoid, or where avoidance is not possible, minimise, mitigate or as a last resort, offset or compensate for negative impacts.
- Assess and manage direct and indirect environmental and social impacts of the program in a way that is proportional to potential impacts.
- Manage risks and impacts of the program through management plans and monitor and report on their delivery.
- Consider how the environment or different people groups are affected, including children, people of different genders, indigenous peoples and other vulnerable or disadvantaged groups. The assessment and management of potential impacts must consider these different needs.

Principle 3: engage effectively with stakeholders

- Be transparent about the program, its risks and impacts in a way that is timely, accessible, and culturally and socially suitable for the affected people.
- Engage with affected parties and other stakeholders early in identifying and managing risks and impacts and continue this throughout the program.
- Ensure consultations include affected parties, are inclusive, free of external manipulation, interference, coercion, or intimidation, and enable meaningful participation.
- Provide accessible and culturally appropriate grievance redress mechanisms and ensure that grievances are handled promptly, transparently, and without retribution or cost to the party that raised the concern.
- Disclose information about the social and environmental performance of aid investments in accordance with DFAT's aid transparency commitments.

Principle 4: work effectively with partners

- Comply with This Life requirements and policies and where possible build partners' capacity to develop and implement environmental and social governance systems.
- Work with multilateral, bilateral, partners and private sector development partners to ensure environmental and social impacts are managed in a way that is consistent with this policy.
- Work with partners to manage safeguard risks to maximise the use of This Life systems and avoids duplication or unnecessary safeguard assessment and management planning requirements

Principle 5: promote improved environmental and social outcomes

- Where possible, promote improved environmental and social outcomes by integrating ecologically sustainable development into programs. Improve the implementation and outcomes of programs by effectively identifying and managing risks.

Please see the 'Environmentally Sustainable Action Guidelines' and 'Project Management Manual' for further details of the methods by which this policy is implemented, and the mandatory steps for addressing safeguards throughout all programs.

Working with Partners

This Life seeks to work with partners who are committed to achieving a high standard of environmental and social outcomes.

Grievance and Dispute Resolution Policy AC04

Policy Number: AC04	Effective Date: 11 th April 2013
Version: 02	Revised Date: 18 th March 2020
Drafted by: Executive Director	Responsible person: ED, SMT
Date Approved by Board: 11 th April 2013	Scheduled Review Date: March 2024

Additional Authority: Law and related organisational policies.

- 1997 Cambodian Labour Law
- Board Dispute Resolution Policy
- Bullying Policy
- Anti-Discrimination Policy
- Disciplinary Policy

Scope

This policy is applicable for all employees, consultants, interns and volunteers.

Responsible Party

It is the responsibility of the Executive Director and the Senior Management Team to ensure that employees understand and abide by this policy.

Definitions

Grievance - a real or imagined wrong, concern or complaint about any act, behaviour, omission, situation or decision perceived to be unfair or unjustified.

Dispute - a difference in opinions, understanding and/or interpretation.

Dispute Resolution - refers to the processes by which grievances and disputes are brought to an end.

Resolution - resolution is sought when an aggrieved person confirms that their dispute or grievance has been satisfactorily addressed. Resolution can occur at any stage of the process.

Liaison Officer - Each organisation is required to appoint a liaison officer to address employee complaints. The appointed liaison officer at This Life is the Director of Shared Services. Their role is to serve as the first point of contact for aggrieved employees.

Aggrieved person - the person who raises the grievance or dispute.

Respondent - A person identified by an aggrieved person whose actions have allegedly caused or contributed to the grievance or dispute.

Support Person - A trusted friend or colleague who can provide assistance by listening supportively to the aggrieved person's concerns as well as providing emotional support during meetings.

Informal - where a grievance or dispute between an aggrieved person and respondent is resolved at the lowest level amongst themselves and with minimal intervention. For the purpose of this policy, a grievance or dispute remains informal until it is submitted in writing.

Formal - For the purpose of this policy, a grievance or dispute becomes formal when it is submitted in writing to the relevant section lead or line manager.

Natural Justice - a process that is fair and free of bias to all parties, based upon the principles of;

- a. The right for a respondent to be heard before any decision that has the potential to affect them is made.
- b. The right to be informed of all allegations made.
- c. The right of response; and
- d. Consistency in organisational approach to the issues.

Good faith - a state of mind requiring sincere and honest intentions or belief, regardless of the outcome of an action.

Management Team – The Program Coordinators of each of This Life's programs.

Senior Management Team – The Executive Director, Deputy Director and Section Leads.

Board of Directors – This Life's appointed Board members.

Grievance Panel – Three members from the Senior Management Team

POLICY

This Life is committed to providing a safe, healthy and inclusive work environment where all parties have the opportunity to express and resolve work related disputes and grievances fairly and impartially and in accordance with the principles of natural justice.

The purpose of this document is to provide guidelines and procedures through which all employees can resolve work-related grievances and disputes as they arise. It further aims to promote consistency and transparency for the manner in which all matters are managed within This Life by setting timeframes and clear procedures to ensure grievances are promptly, sensitively and confidentially managed.

This Life encourages all parties to raise any grievances or disputes that they may have at the earliest opportunity. Where an employee is concerned about a matter relating to relationships at work, matters of personal privacy or fear that there may have been a misunderstanding, they may wish to raise the matter directly with the person involved. This type of direct and informal approach is encouraged and This Life expects employees who are approached responsibly to respond in a similar manner.

A grievance may be raised about any matter concerning work or conditions of employment other than the outcome of any case in which the disciplinary procedure has been used.

The Labor Law sets out processes for individual and collective disputes relating to terms or conditions of employment. The This Life Liaison Officer is the first point of contact for aggrieved employees. If the Liaison Officer is unable to resolve the matter the Executive Director will be informed and will meet with the employee. If the employee and Executive Director cannot reach an agreement the Labor Inspector is to be contacted for conciliation.

It is the responsibility of all parties involved in a grievance or dispute to participate fully in the resolution process in good faith.

Grievances and disputes will be discussed and resolved within a general framework of natural justice and cooperation that emphasises prevention of further disputes.

Grievances and disputes will be handled within the normal reporting relationships that exist within the organisations program management structure.

Grievances and disputes will be addressed at the lowest possible operational level as prescribed by procedure.

Grievances and disputes will be addressed as quickly as possible to avoid the negative effects of ongoing problems within the work environment.

The wishes of all parties will be taken into account in determining the appropriate steps and/or action to be taken to resolve the issue.

Employees cannot demand the dismissal of a manager or any other employee.

All grievances or disputes will be handled internally in the first instance before recourse to external mediation.

All formal avenues for handling grievances and disputes will be fully documented in a way that respects the privacy and confidentiality of all parties concerned. All information, correspondence and/or documentation associated with a grievance or dispute will be treated with appropriate and adequate security and confidentiality. Details of the dispute or grievance will only be available to parties involved in the resolution process.

Employees may use the procedures described below without fear of retaliation from supervisors or others against whom a complaint may be lodged. No party will be intimidated or unfairly treated in any respect if they utilise this Policy to resolve an issue.

PROCEDURES

The following procedure provides a framework for the quick and effective resolution of difficulties that may arise in the workplace through open communication discussion between colleagues.

The aim of the procedure is to ensure that employees who feel aggrieved about the way they have been treated, either by management or by their colleagues, are given the opportunity to express their views and to have the issues resolved in a fair and speedy manner. The procedure seeks to achieve solutions through appropriate informal methods prior to the use of the formal processes, and is concerned to achieve a mutually acceptable resolution rather than to establish guilt or innocence. The procedure does not provide for sanctions against anyone involved. A separate procedure exists to deal with disciplinary issues.

The procedure has four stages of increasing escalation, however, as proscribed in policy, it is envisaged that disputes will be resolved at the lowest possible level.

1. The Informal Process

- a. The aggrieved person is to make an attempt to resolve the grievance or dispute as close to the source as practicably possible, generally through informal, verbal discussion of the matter with the respondent/s within 2 working days of the incident.
- b. The aggrieved person may ask a fellow employee, their line manager or someone else they trust to intervene informally on their behalf. Having agreed to assist in resolving the issues a typical approach would involve separate initial meetings with the parties followed by a meeting in which all of the parties meet to seek to reach an agreement.
- c. The aggrieved person may seek mediation with a view to finding a mutually acceptable resolution. Mediators will use their skills to assist but will not dictate, monitor or enforce any agreement. A record of agreement will only be kept if both parties consent to it.

The formal procedure should only be used if it has not proved possible to resolve the problem through the informal process.

2. The Formal Process

Stage 1

- a. The aggrieved person is to write to his or her Program Coordinator, or their section lead if the grievance is against the Program Coordinator, or the Deputy Director if the grievance is against the section lead asking for the matter to be formally considered under the grievance procedure. The person who receives the letter then becomes the investigator.
- b. The letter should clearly state the nature of their grievance or dispute, the respondent/s involved, their actions taken under the informal process to resolve the matter, and stating the intended outcome sought.
- c. The investigator is responsible for the investigation.
- d. the investigator may refer the aggrieved person back to the informal processes if little or no attempt has been made at that level.
- e. the investigator will meet with the parties individually and together in an attempt to resolve the matter - reaching a desired outcome for all.
- f. A Program Coordinator may seek the support and/or assistance of their section lead in managing the presented grievance or dispute.

Stage 2

- a. if the employee is not satisfied with the outcome from stage 1 he or she may ask for the grievance to be considered by a grievance panel of three people from the Management and Senior Management Teams.
- b. The panel will review the grievance including the aggrieved person's rationale for continuing the grievance and efforts made to date to resolve the matter. Requests that are without substance and/or merit, frivolous, vexatious and/or been occasioned substantially by the default of the aggrieved person will not be further considered. Feedback will be provided to both the aggrieved person and the respondent in these cases.
- c. If the panel deems that the grievance should continue the panel will meet, within two weeks of the referral, with the parties involved (and their support people) to further attempt to resolve the matter.

- d. Consideration can be given to a Board Member being involved in more contentious grievances.
- e. The decision of the grievance panel is final and will be communicated to both the aggrieved person and the respondent in writing within 5 days of the meeting.

If the matter remains unresolved proceed to Stage 3.

Stage 3

If the Grievance Panel is not able to come to a final decision, alternative recourse by way of external mediation or arbitration may be taken in line with the Labor Law

3. *Withdrawal/Lapsing of Grievances & Disputes*

Aggrieved persons may withdraw a grievance or dispute, formal or informal, at any time. Written grievances should be withdrawn in writing and the person responsible for that stage of the resolution process advised. Parties to the resolution process will also be advised if a grievance or dispute is withdrawn or has lapsed. If an aggrieved person fails to provide requested information or participate in the resolution process without reasonable grounds, written notification will be sent to the aggrieved person warning them that the grievance or dispute will lapse. If there is no written or email response within 10 working days of the advice, the grievance or dispute will be deemed lapsed. A lapsed or withdrawn grievance or dispute cannot be reinstated unless the person seeking to do so shows good cause for the reinstatement to occur.

Internal grievances and disputes may be finalised without achieving resolution in instances when the grievance procedure, as outlined herein, has been exhausted. This may occur, for example, when it is determined that a grievance or dispute cannot be substantiated or where the Senior Management Group determines that an appropriate action or remedy has been undertaken to address the grievance.

4. *Documentation*

All information, correspondence and/or documentation associated with a grievance or dispute is highly confidential, thus all parties are to treat such information with appropriate and adequate security and confidentiality.

Records are to be collected in a manner that respects the privacy and confidentiality of all parties concerned.

All records and documentation are to be contained and stored within an individual file relative to the grievance or dispute.

All files are to be securely stored within a locked cabinet accessible to involved parties only.

Details of the dispute or grievance are to be made available to those parties involved in the resolution process only.

Whistleblower Policy AC05

Policy Number: AC05

Effective Date: 15th July 2020

Version: 02

Revised Date: 31th July 2020

Drafted by: Executive Assistant

Responsible person: DD, ED

Date Approved by Board: 15th July 2020

Scheduled Review Date: July 2023

Introduction

This Life is committed to fostering a culture of legal, ethical and moral behaviour and exemplary corporate governance. This Life recognises the value of transparency and accountability in its administrative and management practices, and supports the reporting of improper conduct.

This Whistleblower Policy has been developed so that people can raise concerns regarding situations where they believe that This Life or anybody connected with This Life has acted in a way that constitutes serious wrongdoing, including unethical, illegal, corrupt or other inappropriate conduct, as set out below.

Additional Authority: Law and related organisational documents

- Australian Law
- Protected Disclosure Act
- Equal Opportunity Act

Organisational Docs:

- Code of Conduct
- Conflict of Interest Policy
- Equal Opportunity, Valuing Diversity & Affirmative Policy
- Discrimination Sexual Harassment Policy
- Grievance Policy
- Fraud Risk Management Policy
- Beneficiary Feedback and Complaints Policy

Purpose

This Policy aims to:

- Encourage a person to report improper conduct in good faith if they know or have reasonable grounds to suspect such conduct
- Provide a mechanism to report misconduct or dishonest or illegal activity that has occurred or is suspected within the organisation
- Enable This Life to deal with reports from whistleblowers in a way that will protect the identity of the whistleblower and provide for secure storage of the information
- Ensure that any Reportable Conduct is identified and dealt with appropriately
- Ensure that individuals who disclose wrongdoing can do so safely, securely and with confidence that they will be protected and supported, and

- Help to ensure that This Life maintains the highest standards of ethical behaviour and integrity.

Scope

This policy is applicable to all This Life employees, consultants, interns and volunteers. The policy also extends to This Life's partners and associated implementing organisations.

Within this policy all of these people are represented by the term "**Workers**".

Although they are under no obligation to do so, any associate, family member or dependent of any person in the above groups of people may also speak up. If they do choose to speak up in line with this Policy, we will extend to them the relevant rights and protections under this Policy.

Principles

Higher standard – This Policy is designed to comply with This Life's legal obligations. If anything in this Policy is inconsistent with any law imposed on This Life, that legal obligation or the "higher standard" will prevail over this Policy.

Speak up and report it! – We encourage Workers at This Life to report any concerns in line with our policies and procedures. Any worker from This Life or a partner organisation who is aware of possible wrongdoing has a responsibility to disclose that information.

Our expectations of Workers – This Life expects Workers to act honestly and ethically, and to make any report on reasonable grounds.

Our responsibility to Whistleblowers – Our obligations to Workers are spelled out in this policy, but in particular in 'Protection' section.

Confidentiality and consent – This Life will maintain confidentiality of all reports and protect the identity of reporters to the fullest extent possible. While This Life encourages Whistleblowers to identify themselves to the Whistleblowing Protection Officer (or the Executive Director where the reports concern a member of the Human Resources team), they may opt to report their concerns anonymously.

Reportable Conduct

Who can make a report? - A Whistleblower is a person who, whether anonymously or not, attempts to report misconduct or dishonest or illegal activity that has occurred in connection with This Life, and wishes to avail themselves of protection against reprisal for having made the report. A Whistleblower may be a current or former Worker with This Life. A person may disclose any information that the person has reasonable grounds to suspect concerns misconduct, or an improper state of affairs or circumstances in relation to This Life.

What is Reportable Conduct? - Reportable Conduct usually relates to the conduct of employees or directors, but it can also relate to the actions of a third party, such as a funder, customer/client, supplier or service provider. Reportable Conduct is any past, present or likely future activity, behaviour or state of affairs considered to be:

- Dishonest
- Corrupt (including soliciting, accepting or offering a bribe, or facilitating payments or other such benefits)
- Fraudulent

- Illegal (including theft, drug sale or use, violence or threatened violence, or property damage)
- In breach of regulation, internal policy or code (such as our Code of Conduct)
- Improper conduct relating to accounting, internal controls, compliance, actuarial, audit or other matters of concern to the whistleblower
- A serious impropriety or an improper state of affairs or circumstances
- Endangering health or safety
- Damaging or substantially risking damage to the environment
- A serious mismanagement of This Life's resources
- Detrimental to This Life's financial position or reputation
- Maladministration (an act or omission of a serious nature that is negligent, unjust, oppressive, discriminatory or is based on improper motives)
- Concealing reportable conduct

What is not Reportable Conduct? - While everybody is encouraged to speak up and report any concerns to This Life, not all types of conduct are intended to be covered by this Policy. This Policy does not apply to complaints by service providers or clients about a service or personal work-related grievances, unless the grievance includes victimisation due to whistleblowing. Those matters are dealt with under other policies.

What is a Personal Work-Related Grievance? - Those grievances that relate to the discloser's current or former employment with This Life that might have implications for the discloser personally but do not have any other significant implications for This Life (or another entity), or relate to any conduct or alleged conduct about a disclosable matter (as set out above).

Personal work-related grievances include grievances such as interpersonal conflicts, decisions about promotions, decisions that do not involve a breach of workplace laws, or terms and conditions of employment. However, personal work-related grievances may be covered by this policy where they include information about misconduct, an allegation that the entity has breached employment or other laws punishable by imprisonment by a period of 12 months or more, or the grievance includes victimisation due to whistleblowing.

What information do I need to make a report? - To make a protected report you must know of or have reasonable grounds to suspect the Reportable Conduct. For a report to be investigated, it must contain enough information to form a reasonable basis for investigation. It is important therefore that you provide as much information as possible. This includes any known details about the events underlying the report such as the:

- Date
- Time
- Location
- Name of person(s) involved
- Possible witnesses to the events
- Evidence of the events (e.g. documents, emails)

In your report, include any steps you may have already taken to report the matter elsewhere or to resolve the concern.

How can I make a report? - A report must be made to This Life's Whistleblowing Protection Officer who can be contacted by sending an email to hr@thislife.ngo (or billy@thislife.ngo where the reports concern a member of the Human Resources team)

This Life will also protect individuals who have made a report in connection with This Life: To the Australian Securities and Investments Commission (ASIC) or the Australian Prudential Regulation Authority (APRA) or another Commonwealth regulatory body prescribed in legislation

- To the relevant Cambodian Government Authorities
- To a legal practitioner for the purposes of obtaining legal advice or legal representation about whistleblower protections
- That qualifies as an emergency or public interest disclosure under the Corporations Act 2001(Cth). It is important that you understand the criteria for making a public interest or emergency disclosure and you may wish to consult an independent legal adviser before making a public interest or emergency disclosure

While This Life encourages you to identify yourself to the Whistleblowing Protection Officer (or the Executive Director where the reports concern a member of the Human Resources team), you may opt to report your concerns anonymously.

Protection

How will I be protected if I speak up about Reportable Conduct? - If you have reasonable grounds to suspect Reportable Conduct, even if it turns out your concerns are mistaken, This Life will support you and anyone else assisting in the investigation.

This Life will not tolerate any detriment inflicted on you because you or somebody else has made, or might make, a report of Reportable Conduct. Examples of a detriment include:

- Retaliation, dismissal, suspension, demotion, or termination of your role
- Bullying, harassment, threats or intimidation
- Discrimination, subject to current or future bias, or derogatory treatment
- Harm or injury
- Damage or threats to your property, business, financial position or reputation
- Revealing your identity as a Whistleblower without your consent or contrary to law
- Threatening to carry out any of the above actions

This protection applies regardless of whether any concerns raised in a report are found to be true, provided that you are acting honestly and ethically and made the report on reasonable grounds.

This protection also applies to individuals conducting, assisting or participating in an investigation. You will also be entitled to the protection if you make a report of Reportable Conduct to an external body under this Policy.

Anyone found to be victimising or disadvantaging another individual for making a disclosure under this Policy will be disciplined and may be dismissed or subject to criminal or civil penalties.

If you believe you have suffered a detriment in violation of this Policy, we encourage you to report this immediately to the Whistleblowing Protection Officer (or the Executive Director where the reports concern a member of the Human Resources team), or an external body under this Policy. Your concerns of being disadvantaged will be treated as a report of Reportable Conduct in line with this Policy.

Anyone engaging in detrimental conduct may be subject to serious consequences, including disciplinary action and/or termination of engagements or contracts, as applicable. They may also be subject to civil and criminal penalties.

You may also be entitled to the following legal protections for making a report in Australia, although it falls beyond This Life's responsibility to administer them:

- Protection from civil, criminal or administrative legal action
- Protection from having to give evidence in legal proceedings
- Compensation or other legal remedy

How will This Life ensure confidentiality? - A whistleblower can choose to remain anonymous while making a disclosure, over the course of the investigation and after the investigation is finalised. This Life will do all it can to protect confidentiality. However, we encourage all individuals to disclose their identity when raising a concern. This will assist us to gather further information on your report. If you choose to disclose your identity, your details will be treated confidentially to the fullest extent possible in connection with the investigation. This Life will take measures to protect your identity such as by redacting your personal information, storing your information and disclosure securely, referring to you in a gender-neutral context and only allowing qualified staff to investigate your disclosures. Please note, if This Life finds that the disclosure relates to legal misconduct, it may be obligated to report to legal authorities and anonymity may not be protected in that case.

You may choose to report your concerns anonymously. However, if you choose to disclose your identity, your details will be treated confidentially to the fullest extent possible in connection with the investigation, and your identity will not be disclosed unless:

- You consent in writing to the disclosure
- The disclosure is made to ASIC, APRA or the Australian Federal Police (AFP)
- The disclosure is made to a Legal Practitioner for the purpose of obtaining advice
- The disclosure is authorised under the Corporations Act 2001 (Cth)
- Disclosure is necessary to prevent or lessen a threat to a person's health, safety or welfare

All information relating to a report of Reportable Conduct will be stored securely and access will be limited to authorised staff.

It is illegal for a person to identify a discloser, or disclose information that is likely to lead to the identification of the discloser unless an exception above applies. If you feel that your confidentiality has been breached, you can lodge a complaint with a relevant regulator for investigation. This Life may also take disciplinary action against individuals that breach the confidentiality of a discloser, including summary dismissal.

False reports or disclosures - protected disclosures must be made on reasonable grounds. Anyone who knowingly makes a false report/disclosure of Reportable Conduct may be subject to disciplinary action, including dismissal. The disciplinary action will depend on the severity, nature and circumstance of the false disclosure.

Handling and investigating a disclosure

Upon receiving a protected disclosure, within 14 days, This Life will endeavour to assess the disclosure to determine whether it qualifies for protection, and whether formal, in-depth investigation is required. This Life will endeavour provide the discloser with regular updates.

This Life may not be able to investigate a disclosure if it is unable to contact the discloser.

Monitoring and assurance

This Policy will be available to all Workers via the HR Policies Folder in the Organisational Policies Shared Drive. To ensure effective protection under the Policy, the Director of Shared Services will monitor and review this Policy in line with the three yearly policy review rotation.

Feedback and Complaints Policy AC06

Policy Number: AC06	Effective Date: 12 th April 2018
Version: 05	Revised Date: 31 st July 2020
Drafted by: Human Resources Manager	Responsible person: DD, ED
Date Approved by Board: 12 th April 2018	Scheduled Review Date: April 2023

Purpose

The purpose of the Feedback and Complaints Policy is to hold This Life accountable to the Cambodian community for the quality of programs and services delivered by This Life. This policy provides an avenue to resolve issues and concerns, strengthens relationships with the communities we serve, identifies gaps and opportunities for improvement particularly in program delivery, and enhances This Life's reputation as a community based and driven organisation. It enables real time analysis of the impact of our programs, including the satisfaction of our communities and the extent to which their needs are being met. It allows This Life to identify problems or potential problems early, from the less serious to the most serious, such as incorrectly targeted programs or those not having the desired impact or having unintended consequences, gaps in information or process, misuse of assistance by staff or communities (fraud or bias), or poor staff behaviour including breach of our Child Protection Policy and Code of Conduct.

This policy will protect the safety and dignity of those who make a complaint, as well as those who are complained about and provide a respectful means for addressing grievances, and the provision of redress where it is required. It demonstrates our commitment to the rights of communities and our commitment to achieving our goals. As This Life works with many individuals under the age of 18, we endeavour to make the feedback and complaint process as child friendly and accessible as possible. We recognise that even children and young people who are not themselves primary stakeholders but are in the care of adults who are accessing our services are nevertheless This Life beneficiaries. This policy and how to access support through it is published in an age appropriate way via channels that are effective in communicating with children and young people. All complaints made by children and young people are responded to promptly and in an appropriate manner.

This policy encompasses both formal and informal mechanisms to provide for as many avenues of feedback to be provided to the community as possible. The use of either formal or informal channels will take into consideration gender and protection issues including for example cultural appropriateness of face-to-face communications between people of different gender groups, public mobility and participation, access to mobile phones for different gender and age groups, and what risks beneficiaries may face if it is found that they provided feedback of made a complaint. All feedback and complaints can be made anonymously.

Scope

This policy extends to all members of the Board of Directors, staff, consultants, volunteers and interns. Training on this policy will form part of the induction for new staff members, interns and volunteers. Additionally, it is required that if organisations entering into a formal partnership with This Life do not possess a similar policy holding them to equal or higher standards, they commit to adhere to this policy. In accordance with This Life's Partner and Affiliated

Organisations Policy, and in compliance with the ACFID Code of Conduct, this requirement shall form part of all Memoranda of Understanding between This Life and partner organisations.

This policy, and the feedback and complaint mechanisms that facilitate, are not restricted for Beneficiaries but are open for use by any stakeholder including donors, partners and members of the public.

Definitions

Stakeholders are individuals and groups that can affect or are affected by an organisation's policies and/or actions.

Beneficiaries are those who receive assistance as part of This Life's programs.

Beneficiary Feedback and Complaints Mechanisms: The systems and processes that give the recipients of This Life programs the opportunity to comment, make suggestions, express gratitude or criticise the products, services or targeting of a project or program of which they may be recipients.

Feedback: People have a right to have their voices heard in judging our response to their identified needs, whether proactively sought by This Life or initiated by the individual(s). Asking for the views of the affected population can help us understand the difference we are making during the course of our work, and not just at the end of a project. **Beneficiary feedback** includes comments, suggestions, statements of appreciation and criticisms expressed by the recipients of This Life's projects.

Complaints: A complaint is an expression of dissatisfaction made by an individual or group of individuals or communities who believes that This Life has failed to meet a stated commitment. This commitment can relate to a program or project plan, beneficiary selection, an activity schedule, a standard of technical performance, an organisational value, a legal requirement, or any other point. Less serious complaints may relate to poor quality or performance more serious complaints to fraud, abusive behaviour or child exploitation.

Whilst a complaint in itself is negative (a grievance), making a complaint and seeking redress can be a positive process enabling us to rectify issues and improve our program delivery.

If a complaint is received from a beneficiary that is outside the scope of This Life's programs or services, it will be assessed against the relevant support services in Cambodia with full consideration given to the nature of the complaint and any safeguarding issues it presents, and referred to the organisation or body best suited to address it appropriately.

Confidentiality:

Complaints received by This Life will be kept in confidence but may be discussed with relevant stakeholders in communities (with the permission of the complainant) or with appropriate staff within This Life who will be assisting directly in resolution of the complaint. Where the matter involves an allegation about the conduct of a specific staff member, this information will be restricted to the Executive Director and This Life's Board of Directors, and the person delegated by the Executive Director to undertake any investigation and mediation or resolution on This Life's behalf. Any such complaint will be managed in accordance with This Life's Code of Conduct and Disciplinary Policy.

Methods of Submission:

This Life will accept Feedback via **formal** and **informal** channels.

Stakeholders may choose to provide feedback directly to Program staff, Program Managers, Section Leads, the Executive Director or to the Board of Directors. Feedback forms will be provided in English and Khmer.

Submission of feedback or complaints may be made through any of the following channels:

- a. Face to face
- b. Through our Complaint Form (see appendix)
- c. By telephone (063 966 050)
- d. By email (contact@thislife.ngo)
- e. By Facebook (<https://www.facebook.com/thislifecambodia/>)
- f. Via the contact form on our website (<https://thislife.ngo/contact>)

Formal feedback is generally elicited through evaluation workshops or targeted interviews with primary beneficiaries in the program evaluation process, and through consultation with donors and partners.

Complaints to This Life may be made through any of the channels above. Hard copies of the Complaint Form will be carried by This Life staff when visiting communities and additionally may be found in This Life's office or downloaded from our website. The form captures key details including dates, name of complainant (complainants may remain anonymous), the names of any staff members affected, the nature of the complaint and any reasonable outcome sought by the complainant.

Additional Steps

If a complainant is not satisfied with the outcome of their complaint through This Life's complaints-handling process, they have the ability to make a complaint, should it include an alleged breach of the ACFID Code of Conduct, to the ACFID Code of Conduct Committee. The contact details and process can be found on the ACFID website (<https://acfid.asn.au/content/complaints>).

Process for Managing Beneficiary Feedback and Complaints:

On receipt of feedback or complaint, This Life will follow the following steps:

1. Acknowledge the feedback or complaint and collect the requisite information on the form
2. Assess and analyse the feedback or complaint to determine the severity of any concerns raised, and whether further investigation is required. Concerns relating to safeguarding, sexual abuse, abuse of funds, potential physical harm, staff misconduct or reputational risk to This Life are automatically considered serious incidents and are escalated immediately to Step 3.
3. Consult with the Executive Director and relevant Section Lead(s) to appoint, if required, an appropriate person to investigate the matter, to mediate and resolve any issues. A mediated solution is our preferred approach to managing complaints wherever that is possible
4. Any staff member who is assigned to investigate will provide a report on the resolution of the matter to the Section Lead(s) and Executive Director
5. Where a complaint alleges serious incident as defined in Step 2, the Executive Director will advise the Board of Directors who may require the Executive Director and the Director of Shared Services to investigate the matter and provide recommendations to the Board for action
6. This Life maintains a confidential database to track and monitor feedback and complaint resolution, to monitor any trends and to provide regular reports to the Board; the information on this database will be anonymised at the request of the complainant or survivor

7. From the outset of the investigation, This Life will provide assistance to complainants with referrals to services offering appropriate medical, social, legal and financial assistance. Where any acts of misconduct found to have been by members of This Life's Board of Directors, staff, consultants, volunteers or interns, This Life will also contribute to covering any cost incurred while accessing these service

Communication and Implementation of the Beneficiary Feedback and Complaints Process

Program Coordinators will be responsible for ensuring that their staff explain and promote this process to the communities with whom they work, and will provide hard copy forms to communities on request. Staff should encourage anyone to come and talk to them personally, or by phone call, if not confident submitting a complaint or feedback in writing, and should also familiarise themselves with This Life's Child-Friendly Complaints Guidelines to ensure their explanations and promotion tools are age appropriate. Section Leads and members of the Senior Management Team will be required to report on the implementation of this process for programs within their control and will report quarterly to the Executive Director.

It is the responsibility of the Senior Management Team to ensure that donor and partner organisations are familiar with this policy, and that lessons learned from instances of feedback and complaint are appropriately recorded and acted upon in a process of continuous and transparent quality improvement.

Human Resources

Introduction to Human Resources

Policy Number: NOT A POLICY	Effective Date: 20 th August 2009
Version: 03	Revised Date: N/A
Drafted by: Executive Director	Responsible person: Executive Director
Date Approved by Board: 20 th August 2009	Scheduled Review Date: AGM 2024

The This Life Personnel Policy Manual forms the This Life Internal Regulations to implement the Labour Law as required of every organisation under Cambodian Law. It is a resource document containing the practical policy and procedure for the employment and ongoing management of employees, contractors, volunteers and interns. It is made up of the personnel policy plus a number of adjunct policies and procedures that together form the framework from which This Life acts.

The policies apply to all employees, consultant, consultant counterparts, interns and volunteers unless otherwise indicated. The [1997 Cambodian Labor Law](#) and its amendments inform how employment in Cambodia is governed along with the Cambodian Constitution and Regulations enacted by the Royal Government (Sub-Decrees) and the Ministry of Labor (Prakas, Circulars, and Notices). In the event of a discrepancy between this manual and the applicable law the latter shall govern.

It is expected that This Life's Senior Management Team will administer these policies in a consistent and equitable manner. The Manual will be available in both Khmer and English.

This Life employees are encouraged to familiarise themselves with the organisational policies and procedures to enable their understanding of their rights and obligations as This Life staff. Regular policy training will be provided

at staff meetings. Hard Copies of this Personnel Policy Manual are available in the This Life library and the electronic version is available to all employees on the shared folder at the following link:

https://docs.google.com/document/d/1PmKlOn5sM_sXraFQK2fRqlpnrVkcNEEeDA-rlpwEVw/edit?usp=sharing

Those employment conditions and policy and procedure that have been collectively agreed with employees are referenced and will be reviewed on a yearly basis by the Director of Shared Service in cooperation with the Senior Management Team and employees. Any amendments to the Law will be updated in policy as soon as practicable.

Each of the included policies can be revised as required without revising the entire document. Revisions, deletions or additions to specific terms and conditions contained in this Policy will be negotiated between the Governing Board and the Senior Management Team and will take effect when Chairperson of Board and Executive Director sign an agreement to revise/delete/add to a specific term(s) or condition(s) unless it is a change to law which will take precedence.

Pre-employment, Orientation and Probation

Contract Policy HR01

Policy Number: HR01	Effective Date: 20 th August 2009
Version: 03	Revised Date: 22 nd January 2020
Drafted by: Executive Director	Responsible person: Executive Director
Date Approved by Board: 20 th August 2009	Scheduled Review Date: January 2024

Purpose

The purpose of this policy is to clearly explain the different work contracts and responsibilities that the employer and employee have to each other.

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- This Life Child Protection Policy
- Code of Conduct
- Fraud Risk Management Policy
- Termination Policy
- Confidentiality Policy
- Grievance & Dispute Resolution Policy
- Volunteer Policy

Scope

This policy describes the options of employment and contracts utilised by This Life.

Responsible Party

This Life's Executive Director is responsible for the management of This Life and has the overarching authority to hire, transfer, promote or dismiss any This Life Employee.

Definitions

The Executive Director is appointed by the governing board. In the ED's absence, the Governing Board will appoint an Acting Executive Director who will manage the Executive Director's duties for a specified period of time. Throughout this document, Executive Director refers to the regularly appointed Executive Director or, in that person's absence, to the Acting Executive Director.

The Senior Management Team refers to the group of senior staff officially recognised as constituting the management of the organisation. They are further defined as employees of the organisation.

Employees can be contracted full-time or part-time and are entitled to the benefits outlined in the personnel policy, unless otherwise stated, which are informed by the Labour Law. Employees are expected to abide by the behavioural standards outlined in the Code of Conduct and other policy documents.

Consultants are contracted to provide a specific service in exchange for a fee, and are not under the direction and supervision of the employer. They are employed under a contract with terms of reference outlining their responsibilities. While they are not considered employees of This Life while working on This Life's behalf they are expected to abide by the behavioural standards as outlined in the Child Protection Policy, the Code of Conduct, Fraud Risk Management Policy.

Consultant Counterparts are contracted and paid an additional benefit by This Life under a consultant contract to be involved in specific activities related to the implementation of This Life's programs. Consultant Counterparts are not entitled to employee benefits. Consultant Counterparts may be community organisers, local governance members, or community

members recruited in the field, while they are not expected to legally abide by This Life's code of conduct behaving in ways which brings This Life into disrepute will result in the termination of their contract.

Intern/Volunteers receive no remuneration, but are considered representatives of This Life and are expected to abide by This Life policy and procedure and behavioural standards and agree to this under the Intern/Volunteer Agreement.

Volunteers under the **Australian Volunteers Program (AVP)** are contracted and paid by organisations in Australia. They are employed in specific roles to assist meeting This Life's organisational objectives. They are both representatives of This Life and while contracted under the AVP program, their benefits are outlined by AVP policies and they are expected to abide by both AVP and This Life's behavioural policies.

Policy

This Life recruits employees and consultants, necessitating different types of contracts for paid work and occasionally provides remuneration for counterparts in the community or government organisations to enable them to work alongside This Life employees. This Life also offers internships and volunteer positions for people to undertake unpaid work in the organisation. This Life also engages Volunteers from the AVP who are paid by Australian organisations to undertake specific technical roles within the organisation.

Employees are recruited in accordance with the recruitment policy on either a full-time or part-time basis under an employee contract generally for a 12-month period with ongoing options ([Appendix 2.1 Employee contract](#)).

Consultants are contracted in accordance with the recruitment policy for short-term roles of fewer than 12 months with no intention of ongoing options. They are not entitled to the benefits of employees unless otherwise stated in their contract (Appendix 2.2 Consultant contract).

On occasion This Life will have cause to engage with individuals, government officials, community organisers or local labour; these people are contracted as consultant counterparts and are not considered to be employees (Appendix 2.3 Consultant Counterpart contract). They are engaged on an as needs basis most often relating to their role within the community.

Volunteers or interns are able to contact This Life directly or through a third party to offer their services or request an internship. The length of time an intern or volunteer works with This Life is negotiated on a case-by-case basis and they are expected to endorse and abide by an Intern/Volunteer agreement ([Appendix 2.4 Volunteer/Intern agreement](#)).

This Life applies to the aspiring agency for Australian Volunteers Program on an as needs basis. AVPs are contracted by the aspiring agency on behalf of This Life. In addition to abiding by the policies of the aspiring agency AVPs also abide by the This Life Policies.

Employee Contract

The Employee contract is a written document, which takes effect when signed by the Executive Director and the employee. Contracts will generally be for a fixed term of 12 months, beginning on an agreed date that is recorded in the contract. The contract is the legal document outlining the responsibilities of the employee to This Life, the job description also forms a part of the contract of employment and the employer's obligations to the employee are outlined in 1997 Labour Law that have been translated into practical policy and procedure in this manual. A contract anniversary date falls 12 months from the employees contracted start date.

The offer of a subsequent contract is dependent on organisational need and cannot be guaranteed. This Life will comply with the Cambodian Labour Law in issuing notice of intention not to renew a contract (See Termination Policy).

The Employee is eligible for the benefits outlined in this manual and is expected to abide by the Child Protection Policy, the Code of Conduct, Fraud Risk Management Policy and other behavioural policies.

Consultant and Consultant Counterpart Contracts

The Consultant contract is a written document that takes effect when signed by the Executive Director and the consultant. Contracts will be for a fixed term of less than 12 months, beginning on an agreed date that is recorded in the contract. The Consultant is contracted for a specific service or task, as described in the Terms of Reference, in exchange for a fee, and is not under the direction and supervision of the employer. While they are not considered employees of This Life and are thus not entitled to employee benefits, they are expected to abide by the behavioural standards as outlined in this and other policy documents. This Life has no long-term obligation towards the consultant and no intention to contract them as Employees.

The Consultant will carry out work and/or provide the services as described in the Terms of Reference (TOR) within a set budget outlining fees and costs of service. The TOR will set out the duties, specific tasks and implementation time frames, as well as points relating to intellectual property. The behavioural policies they are required to abide by will also be included in the TOR these will include the Child Protection Policy, the Code of Conduct, Fraud Risk Management Policy and the Confidentiality Policy. Disputes will be managed in accordance with the Grievance and Dispute Resolution Policy.

The Consultant/Consultant Counterpart will have a designated This Life associate who holds a middle management or senior management position. All work should be completed to the satisfaction of this person. The manager will provide the Consultant with a timesheet that must be approved, signed and submitted with the invoice ([Appendix 2.5 Timesheets](#)).

Changes to the contract can be made only upon written agreement signed by both the Executive Director and the consultant.

Volunteer/Intern Agreement

The volunteer/intern agreement sets out the role and responsibilities of the volunteer/intern. The key duties of each volunteer/intern will be negotiated on a case-by- case basis. The volunteer/intern will have a This Life supervisor who is responsible for their day-to-day management and oversight of work. The recruitment and management of volunteers is set out further in the Volunteer Policy.

Job Descriptions

Each position at This Life has a job description. People are employed to undertake the work related responsibilities as set out in their job description. Job descriptions are reviewed and updated as required by organisational demands with input from the employee and their line manager. Each job description must have the Executive Director's signature before it is considered approved and final. The job description the key responsibilities of an employee and forms a part of the contract documents.

Probation Policy HR02

Policy Number: HR02

Effective Date: 20th August 2009

Version: 03

Revised Date: 27th September 2023

Drafted by: Executive Director

Responsible person: Executive Director

Date Approved by Board: 20th August 2009

Scheduled Review Date: September 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Employee Appraisal and Review Policy
- Supervision Policy

Scope

This policy applies to all employees.

Responsible Party

It is the responsibility of the Director of Shared Services to ensure that this policy is followed.

Definitions

Probation is a period of time during which a new employee can be observed and monitored undertaking their role and responsibilities before being confirmed as an employee.

Policy and Procedure

All new employees will be subject to a probationary period of 3 months. Existing employees transferring into other positions will also be subject to a period of probation unless the position is deemed similar enough to their previous position for the organisation to have a good understanding of their capacity to undertake the role. All promoted employees will be subject to probation. For those employees continuing in the same role but in a new contracted period probation does not apply.

A new employee is contracted for a fixed term contract of 3 months during their probationary period, then automatically put on a UDC (Undetermined Duration Contract) or Fixed Term Contract (FDC) per their initial employment agreement. The probation period will allow This Life to determine whether the employee is suitable for the role and for the employee to determine if they are satisfied with the position. Either This Life or the employee can terminate this contract during the probationary period with 24 hours written notice.

It is the responsibility of the section lead or line manager to ensure that the probationer is given the tools and knowledge required to be able to undertake their role. It is the section lead or line manager's responsibility to monitor the performance of the new employee and to provide them with feedback about how they are progressing.

An employee's performance on probation will be managed in accordance with the Employee Appraisal and Performance Review Policy as well as the Supervision Policy to ensure fairness and accountability. An employee's performance appraisal will be completed in the Orange HRM system no later than 2 weeks prior to the expiry of the probation period. The line manager and employee under probation are prompted to complete the stages of probation through one-on-one and the HRM system outlined below.

1. Week 2: Meets Org values
2. Week 4: Aligns with Mission and Vision
3. Week 8: Meeting KPIs / on track / performing well or not
4. Week 10: Probation Appraisal - Face to Face. Discussing KPIs and performance. If required, a PIP will be provided with a one week turnaround. Signed and agreed to by both line manager and employee under probation.

In case the employee fails to complete their probation appraisal set in OrangeHRM after 2 written notifications, the employment contract will be deemed terminated without any compensation other than the salary to be paid for the duration of work completed. The outcome of this appraisal will outline the performance and the employee will have a discussion with their manager on the outcome of this appraisal which will determine if they have passed the probation period.

Both Khmer and expatriate applicants will be checked against DFAT's consolidated list of all persons and entities who are subject to targeted financial sanctions or travel bans. Additionally, the organisations included in their employment history will be checked against the World Bank Listing of ineligible firms and individuals, the Asian Development Bank Sanctions List, the Attorney General's Department List of Terrorist organisations.

Criminal record/police and terrorist activity checks will be repeated every three years for the duration of the individual's association with This Life.

Recruitment Policy HR03

Policy Number: HR03

Effective Date: 20th August 2009

Version: 2

Revised Date: 15th September 2021

Drafted by: Executive Director

Responsible person: Executive Director

Date Approved by Board: 20th August 2009

Scheduled Review Date: September 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Equal Opportunity, Valuing Diversity & Affirmative Action Policy
- Child Protection Policy
- Conflict of Interest Policy
- Travel Policy

Scope

This policy will inform the selection process for employees, contractors, and contract counterparts.

Responsible Party

It is the responsibility of the Director of Shared Services to ensure that employees undertaking staff selection processes are trained to understand and abide by this policy.

Definitions

Selection panel: The panel of people responsible for the decision making in the selection process.

Chair of the selection panel: The person who is responsible to ensure the smooth operation of the selection process.

Reference: Refers to information provided by a third party regarding an applicant's previous work history or character that is used to assist in the assessment of a candidate's suitability for employment.

Policy and Procedure

This Life hires individuals on the basis of their qualifications, skills and abilities. The following policy and procedures have been established to ensure selection processes are impartial and transparent.

Consideration of Current Employees

When a position becomes available or is created the Senior Management Team will first consider current suitably qualified employees for promotion or transfer.

Job Announcements

The chair of the selection panel is responsible for announcing the vacancy when positions are unable to be filled from within This Life. The vacancy will be advertised both internally and externally at the same time. Cambodia-based positions, open only to local applicants are advertised through Cambodia's job search websites, local universities and NGO networks. Positions open to international applicants are advertised through job search websites, the This Life website, and NGO networks.

All job announcements will indicate that This Life employs Child Safe practices along with a statement of expectation that all prospective employees will have a strong commitment to child protection, PSEAH, equal opportunity, and diversity inclusion.

All This Life employees are required to go through the Criminal record check. Applicants are requested to give permission for a criminal record or police check for any conviction related to child abuse or other relevant offences. Applicants are expected to provide a recent background check from their home country or country of most recent residence before beginning work at This Life.

Applicants are to be given no less than 14 days from the date of advertisement to supply their application.

Application

All applicants are expected to submit a cover letter addressing their suitability for the position, their curriculum vitae including the names and contact details of at least two (non-related) referees.

Chair of the Selection Panel – Responsibilities

- Manage the selection process from advertising to the written record of the process of selection of the most suitable applicant within a framework which is fair and equitable;
- Receive the applications from the nominated e-mail address;
- Disseminate applications and selection forms to selection panel members;
- Convene a meeting to short list applicants, devise interview questions, and arrange interview times;
- Contact short listed applicants to arrange interviews and/or any other selection processes for example written response to questions;
- Chair the interviews;
- Convene the meeting to decide on successful applicant;
- Advise successful applicant; and
- Advise unsuccessful applicants

Selection Panel - Responsibilities

- Read and rate applicants based on their written applications;
- Participate in all aspects of short-listing meeting and content of interview discussions;
- Participate in interviews at the direction of the chair and ask questions to clarify interviewee responses; and
- Participate in discussion and decision making about successful applicant.

Shortlisting

Prior to the shortlisting meeting, each panel member is to read all of the applications, and based on the criteria in the job description rate the applicants as being suitable or not suitable. At the shortlisting meeting the panel members will discuss their individual opinions and come to an agreement on which applicants should be interviewed. The number of people shortlisted will depend on the number of suitable applicants but for each position should not exceed 6 applicants.

Planning for the Interview

Planning the interview is an integral part of the selection process. The interview process is This Life's opportunity to learn about the applicant. Each interviewee needs to be given the same opportunity to showcase their skills, ability and knowledge.

At the shortlisting meeting, or a separate planning meeting convened soon after, the panel are to discuss the interview process. The process may involve a written component, interview questions, and/or a request for a brief presentation, and must include a number of behavioural questions devised with the expectation that the applicant will respond with specific examples of how they have previously behaved in similar circumstances.

Each of the interview processes is to be based on the criteria in the job description and must include behavioural questions about child protection and/or the code of conduct in relation to child protection for positions that involve contact with children, explore their attitudes towards PSEAH, diversity and inclusion. The child safe materials can be used to guide these questions ([Appendix 5 & 6](#)).

The format of the interview also needs to be decided. What is the expected length of the interview and how will time be managed? Will interviewees be interviewed in person, or online? Will an outline of the process be given to the interviewee prior to the day of interview? Will the interviewee be given an opportunity to review the questions prior to the interview? How will the chairing of the interview and asking of questions be managed? Is all of the interview related paperwork available and tailored to the current process?

Identification of any additional questions that need to be asked of individuals related to their applications, for example information about employment gaps or clarification of referee's details, are to be decided prior to the interview.

Interview Process

The interview room needs to be in a quiet location where the interviews will not be interrupted. Signs may need to be placed on doors and current employees advised that interviews are taking place.

Each interviewee will be welcomed and asked to wait until their scheduled interview time. The interview process decided upon in the interview planning process will be implemented. Interviewers will listen and carefully assess the candidate's responses. Interviewers can seek clarification of incomplete answers or ask probing questions for additional information.

Throughout the interview the selection panel needs to be mindful of child safe practices and highlighting any child protection concerns in post interview discussions.

Each interviewer should complete an interview evaluation form for each applicant interviewed.

Academic Transcripts and Reference Check

As part of the recruitment and selection process This Life requires two referees from all applicants and prospective employees, those two referees being their current or immediately previous employer and a second employer. If an applicant has not been employed previously, or is not able to offer their previous employer as a referee, they will be asked to provide an academic and a character referee. References and other pre-employment checks must be deemed as satisfactory before a formal offer of employment can be made. The Chair of the Selection Panel or a delegate will personally speak to the referees, asking them the same series of questions. The responses to these questions must be documented and kept in the candidate's HR file in the event that they are offered employment at This Life.

Employees are to provide certified copies of their academic transcript and/or their qualification.

Approval For Employment

The Executive Director has final approval authority for all decisions relating to recruitment. After the selection committee has decided on the best applicant, the following documents shall be submitted to the Executive Director for review:

- The successful candidate's application, completed referee reports, police checks, academic transcripts, along with rationale for selection of this applicant; and
- The Proposed contract

The Executive Director will review the panel's selection process and decision before deciding whether or not to endorse the panel's decision. They will then notify the chair of the selection panel. In the majority of cases the decision will be endorsed and the Chair of the selection panel can contact the successful candidate and make a verbal conditional offer. Following the candidates' verbal acceptance, the Chair will notify the Director of the candidate's start date, and a contract will be issued.

The Chair will notify all unsuccessful applicants that the position has been filled.

If the candidate declines the position, does not show up on the designated start date, refuses to agree to the This Life Child Protection Policy or Code of Conduct, or terminates within 30 days of the effective date of appointment, the selection committee may either select the next qualified applicant from the recruitment or re-advertise the vacancy.

Child Protection

If the employee will be having direct contact with children, they will be required to undertake Child Protection training to ensure they understand This Life's expectations of employees. This Life will pay for this training.

Medical Check

This Life reserves the right to request evidence of a candidate's good health prior to employment, in such a case the cost of the examination is the responsibility of This Life.

Record Keeping

Interview evaluations and applications for each interviewee must be kept on file in the This Life office.

Criminal Record Check

Applicants will be checked against Namescan (Anti Money Laundering & Counter Terrorism Financing), DFAT's consolidated list of all persons and entities who are subject to targeted financial sanctions or travel bans. Additionally, the organisations included in their employment history will be checked against the World Bank Listing of ineligible firms and individuals, the Asian Development Bank Sanctions List, and the Attorney General's Department List of Terrorist Organisations.

Criminal record/police and terrorist activity checks will be repeated every three years for the duration of the individual's association with This Life.

Induction and Orientation Policy HR04

Policy Number: HRO4

Effective Date: 20th August 2009

Version: 03

Revised Date: 17th June 2020

Drafted by: Deputy Director

Responsible person: Deputy Director

Date Approved by Board: 20th August 2009

Scheduled Review Date: June 2024

Additional Authority: Law and related organisational policies

- Child Protection Policy
- Conflict of Interest Policy
- Fraud Risk Management Policy
- Remuneration Policy
- Working Hours
- Savings Scheme Policy
- Equal Opportunity, Valuing Diversity & Affirmative Action Policy
- Grievance Policy and Procedure
- Leave Policy;
- Code of Conduct
- Confidentiality Policy
- Style Guide

Scope

All employees, interns and volunteers will be given a complete orientation. Consultants will be given an orientation as it relates to their specific role and responsibilities.

Responsible Party

It is the Deputy Directors responsibility to ensure the new employee, volunteer/intern or consultant receives an induction while the orientation is the responsibility of the section lead or line manager.

Definitions

Induction is the process of introducing the new employee, volunteer/intern or consultant to the organisation and work environment this includes completing any necessary paperwork and being given an overview of the organisational structure and mission, vision and objectives.

Orientation is the process of helping the new employee, volunteer/intern or consultant to understand their role and responsibilities.

This Life Counterpart: Consultants will have a This Life counterpart at PC level or above.

Policy

This Life is committed to ensuring all new employees, volunteer/interns and consultants participate in an orientation and induction program so that they understand the organisation, their work environment and their roles and responsibilities.

The induction and orientation will be planned prior to the new employee, volunteer/ intern consultant's first day to ensure they are provided with the best opportunity to learn about the organisation, its culture and the requirements of their role.

New employees, volunteers/interns and consultants are expected to engage in the induction and orientation process that will assist them in understanding their new role and responsibilities.

Induction will take place on the first day of employment while the orientation can take a longer period. In the orientation the new employee, volunteer/intern or consultant will learn about their responsibilities, their colleagues and work processes.

Cross Cultural Awareness (Foreign Nationals)

All international employees, volunteers/interns and consultants are expected to, or will need to develop an awareness of cultural issues in Cambodia. Khmer staff will have a candid discussion with the new employee, volunteer/intern or consultant about cultural appropriateness. A number of articles will be provided along with a number of references about working with children in Cambodia and voluntourism either prior to beginning work or during the induction.

Procedure

Preparation for Employees

Prior to the new employee starting the Director of Shared Service will delegate administrative tasks that are required for all new employees, including drawing up of contractual documents, any additional behavioural policies that require signatures, payroll information, bank accounts, access to computers, e-mail and the server, and office keys. A workstation is to be identified and current employees notified of their new colleagues arrival date. If the new employee requires external training this should be scheduled as soon as possible.

Preparation for Volunteers

Prior to the volunteer or intern starting the Director of Shared Service will delegate administrative tasks that are required for all new volunteers and interns, including drawing up of agreements, any additional behavioural

policies that require signatures, access to computers, e-mail and the server. A workstation is to be identified and current employees notified of their new colleagues arrival date. The This Life counterpart who the volunteer/intern will work with on a day-to-day basis is to be identified.

Induction/Orientation

The Director of Shared Service or their delegate is responsible for the induction of the employee, volunteer/intern or consultant. While the PC or line manager is responsible for the orientation of the employee the This Life Counterpart is responsible for the consultant or volunteer/interns orientation. The induction will take place on the new employee, volunteer/intern or consultant's first day at work while the orientation can take place over the following week.

The new employee's section lead or line manager will prepare a plan for the orientation of the new employee prior to their arrival ensuring that their first day proceeds smoothly based on the Induction and Orientation Checklist ([Appendix 9](#)). The section lead or line manager is responsible for ensuring the new employee participates in the orientation and induction activities provided.

On an employee or consultant's first day they will be met by the Director of Shared Service and their section lead or Line Manager who will review their contract, discuss administrative policy and procedure including the savings scheme, the leave policy, insurance, the Child Protection, Conflict of Interest, and Confidentiality Policies, Code of Conduct and the Fraud Risk Management Policy. The Director of Shared Service will give them the opportunity to ask any questions before giving an overview of the organisation and the program areas. The section lead will provide them with the orientation plan so that they are aware of the details and commitment to their induction and orientation. Volunteer/interns will also be met by the Director of Shared Service however policies relating to benefits and remuneration are not required to be discussed.

The section lead or line manager will then conduct an office tour and introduce the new employee, volunteer/intern or consultant to their colleagues, show them their work space and give them access to their work related manuals. The section lead will also explain how the new employee will learn their role through shadowing their colleagues and day-to-day supervision.

Over the following week the new employee, volunteer/intern or consultant will be given an introduction to each of This Life's program areas by the relevant section lead or a delegated person. Bearing in mind that people learn differently it is important that their orientation includes a mixture of reading, research, listening to presentations and conversations. Reading materials may include the most recent annual report, program outlines and/or proposals and program manuals. Other important information about when staff meetings are held, which external meetings the program area is involved in, any partnerships or referral pathways to organisations and introduce them to relevant people in other NGOs or government departments.

The section lead or line manager is to ensure that the new employee, volunteer/intern or consultant is given the tools and information required to be able to learn their duties and so that they can quickly begin to be productive.

Working Environment

Code of Conduct Policy HR05

Policy Number: HR05

Effective Date: 20th August 2009

Version: 02

Revised Date: 01st January 2017

Additional Authority: Law and related organisational policies

- Child Protection Policy
- Fraud Risk Management Policy
- Confidentiality Policy
- Conflict of Interest Policy
- Equality and Diversity Policy
- Discrimination, Harassment and Bullying Policy
- Disciplinary Policy

Scope

This policy applies to all employees, contractors, volunteers and interns. It also applies to the Board of Governance.

Responsible Party

It is the responsibility of the Deputy Director to ensure that all new employees are aware of this policy and that annual training about this code is conducted.

Policy**1. Introduction**

A fair, collaborative, inclusive and respectful workplace is central to This Life living its mission and upholding its values. This Life embraces the concept of a respectful workplace and is committed to promoting an environment where employees respect each other regardless of their roles or levels of responsibilities, or the nature or extent of their contributions.

Everyone working at This Life in a paid or unpaid capacity is responsible for a respectful workplace. All employees, contractors, volunteers and interns are responsible for behaving respectfully and for refraining from behaving disrespectful behaviours that violate other relevant This Life policies as listed above.

Our Code of Conduct provides the framework of principles for a respectful and ethical workplace. The Code of Conduct does not replace legislation and if any part of it is in conflict, then legislation takes precedence.

All employees, contractors, volunteers and interns:

1. Are responsible for their own behaviour.
 - 1.1. Will exercise fairness, equity, courtesy, consideration and sensitivity in dealing with colleagues, clients and other stakeholders, ensuring their conduct reflects our commitment to a workplace that is inclusive and free from harassment

- 1.2. Will be appropriate in their relationships with others and recognise each persons right to hold views that may differ from our own.
- 1.3. Will ensure their private conduct maintains the integrity of This Life and the work that we do in the community.
- 1.4. Perform their duties with skill, honesty, care and diligence.
- 1.5. Strive to improve the quality of our services through continuing professional development.

2. Conflict of Interest

- 2.1 Employees must avoid any real or apparent personal, financial or other interest, which may be in conflict with their duties and responsibilities.
- 2.2 Any interest which may constitute a conflict of interest must be promptly disclosed to your section lead,, line manager or the Deputy Director
- 2.3 All conflicts or benefits of interest will be monitored via the conflict of interest policy.

3. Child Protection

Abide by and work inline with This Life's Child Protection Policy.

4. This Life Property

- 4.1 Be economical and avoid waste and extravagance in the use of This Life's resources, funds, equipment and facilities
- 4.2 This Life property should not be used for personal benefit or convenience.
- 4.3 All This Life property and materials must be returned to This Life upon completion of employment with This Life.

5. Media and Public Relations

The Executive Director is responsible for all media comments unless otherwise arranged by them. All media inquiries are to be passed on to the Executive Director.

6. Internet Use

This Life provides the Internet for business use. Limited private use is permitted if the private use does not interfere with a person's work and that inappropriate sites are not accessed e.g. pornographic, gambling. The

Executive Director or their delegate has the right to access the system to check if private use is excessive or inappropriate.

7. Payment of Bribes, Gifts and Entertainment

Under no circumstances offer or accept money and avoid the perception that any business transaction may be influenced by offering or accepting gifts.

8. Confidentiality

Private or confidential information obtained through employment is not to be disclosed to any other party outside of This Life as outlined in the Confidentiality Policy.

9. Dress Code

Neat casual dress is acceptable. Shoulders and knees are to be covered in keeping with Cambodian custom. This Life will provide Tshirts that can be worn for official business and community activities and can also be worn on a day to day basis.

10. Compliance

10.1 Employee's contractors, volunteers and interns must be aware of and adhere to organisation policies.

10.2 Those who violate the code or policies and procedures will be subject to disciplinary action, up to and including dismissal.

10.3 If an employee should know of, or become aware of, any breach of this Code of Conduct by another employee, they are under an obligation to notify the Deputy Director and/or Executive Director as soon as possible.

10.4 A complaint or disclosure about an alleged breach of the code should be in writing and contain details about the date, time and nature of the alleged breach and include any available supporting material.

11. Breaches of the Code

11.1 Any employee, who in good faith, raises a complaint or discloses an alleged breach of the Code, whilst following correct reporting procedures, will not be disadvantaged or prejudiced. All reports will be dealt with in a timely and confidential manner.

11.2 Any employee in breach of this policy may be subject to disciplinary action, including termination as outlined in the Disciplinary Policy.

Working Hours, Salary & Annual Leave Calculation Policy HR06

Policy Number: HR06

Effective Date: 01st January 2017

Version: 01

Revised Date: 15 August 2023

Drafted by: Executive Director

Responsible person: Executive Director

Date Approved by Board: 01st January 2017

Scheduled Review Date: January 2024

Additional Authority: Law and related organisational policies.

- 1997 Cambodian Labor Law
- Remuneration Policy
- Termination Policy

Scope

All Employees of This Life are covered by this policy.

Responsible Party

It is the responsibility of the Director of Shared Services (DSS) to ensure that this policy is understood and followed.

Definitions

Full Time Employee According to the 1997 Labour Law a full time employee is one who works 48 hours per week.

Part Time Employee According to the 1997 Labour Law a part time employee is one who works less than 48 hours per week.

Standard This Life Working Hours Monday to Friday 8am-12pm and 1.30pm-5pm equalling 37.5 hours per week

Office Contact Hours - The hours during the day that staff who are working in the office must be available for communication and collaboration with their colleagues, supervisors, and external partners. The office contact hours are from 9:00 am to 4:00 pm.

Policy

This Life is a community development organisation that values balance as one of our core principles. For us to continue creating sustainable change, it is vital we are mindful of our personal lives and health, so we always pledge to find time to look after ourselves and look out for each other. To support this value, we have flexible working arrangements that allow our staff to choose their working hours between 8:00 am to 5:00 pm, with a maximum of 1 hour 30 minutes lunch break. Staff are expected to work for 7.5 hours per day, excluding the break time.

However, we also expect our staff to be available for communication and collaboration during the office contact hours of 9:00 am to 4:00 pm, unless they have prior approval from their supervisor or a valid reason. Staff are required to work 7.5 hours per day, which can be adjusted according to their personal needs and preferences as long as they meet the office contact hours and their work objectives. For example, a staff member could start at

8:00 am, have a half-hour lunch break and finish at 4:00 pm, or start at 9:00 am, have a one-hour lunch break and finish at 5:30 pm. We believe that this policy will help our staff achieve a healthy work-life balance and enhance their productivity and well-being.

Monitoring and Evaluation: This policy will be reviewed bi-annually by the Human Resources department in consultation with the staff and management to ensure its effectiveness and relevance. Any feedback or suggestions from the staff regarding this policy will be welcomed and considered in the review process.

Calculation of Hourly Rate

Employees at This Life are paid a salary based on working 37.5 hours per week. In recognition that some staff are not employed at the rate of 37.5 hours per week the hourly rate is calculated and multiplied by the number of hours to be worked to get a pro rata salary.

$365 - 104 = 261$; Days per year minus weekends

$261 \div 12 = 21.75$ Days per year divided by the number of months = work days per month

$21.75 \times 7.5 = 163.125$ hours worked per month gross monthly salary

$\div 163.25 =$ hourly rate

Calculation of Annual Leave

The Labour Law states that an employee working 48 hours per week is entitled to 1.5 days per month annual leave. Employees working less than 48 hours per week are entitled to annual leave at a pro-rata rate. The below formula calculates the pro-rata leave entitlement where X is the number of hours worked.

$(1.5 \times X = Y) (Y \div 48) \times 12 =$ Annual Leave

Job Descriptions and Contracts

Job descriptions will include the organisations expectations with respect to hours and working on weekends and public holidays. Contracts will include pro-rata benefits and any agreement reached for fair compensation for regular working hours including public holidays.

Identification Card Policy HR07

Policy Number: HR07

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: HRM

Responsible person: DSS

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Scope

This policy applies to all employees, consultants, volunteers and interns of This Life.

Responsible Party

It is the responsibility of the Director of Shared Services to ensure all staff have identification cards. It is the responsibility of all employees, consultants, volunteers and interns to ensure that they wear their identification as required.

Policy and Procedure

This Life will provide an identification card to each staff member. The identification card will have a photo of the employee as well as their position title and the This Life logo. Staff will ensure that they have their identification cards with them all times when on official business.

The loss of an identification card must be reported to the Director of Shared Services, and a replacement card will be issued. Upon termination of employment with This Life, the staff member shall return their identification card to the Director of Shared Services.

Confidentiality Policy HR08

Policy Number: HR08

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: DD, ED, DSS

Date Approved by Board: 01st January 2017

Scheduled Review Date: AMG 2024

Additional Authority: Law and related organisational policies

- Induction and Orientation Policy
- Code of Conduct

Scope

This policy applies to all This Life employees, consultants and volunteers/interns.

Responsible Party

It is the responsibility of the Executive Director, Deputy Director and Director of Shared Service to ensure that employees understand and agree to abide by this policy and is included in induction and training processes.

Definitions

Confidential Information is defined as non-public information (verbal, written, or machine readable) relating to an individual client or family, employee or certain business information that is accessible to an employee through the course of their employment that is considered confidential.

Client information: Any information pertaining to a client

Employee information: Is considered information that a person would not otherwise have access to outside of the work process.

Business information: Relates to information pertaining to the organisation that is not public and can relate to current proposals or non-public documents and photographs.

Policy and Procedure

The Confidentiality Policy defines and describes the management of confidential information for all employees, consultants, interns and volunteers of This Life. This policy sets out the requirements placed on all staff when sharing information within This Life and between This Life and other organisations. To ensure understanding at induction the Director of Shared Service will ensure that the employee understands and agrees to sign a confidentiality agreement that will be kept on their personnel file and form part of their contract ([Appendix 19](#)).

Client information is confidential and every safeguard should be taken to ensure information is kept confidential. All employees, consultants, volunteers and interns shall keep confidential and shall not, during their employment or any time after the termination thereof disclose to any information relating to clients which they have acquired during the course of employment.

Confidential information should be solely used for the purposes of performing the various work responsibilities and for no other purpose. This Life is responsible for protecting all the information it holds and must always be able to justify any decision to share information

All staff must ensure that the following principles are adhered to: -

- Confidential information must be maintained, stored, transmitted and disposed of in a manner, which ensures its privacy and safety.
- Access to confidential information must be on a need-to-know basis;
- Disclosure of confidential information must be limited to that purpose for which it is required;
- Disclosing client information to another organisation requires the clients permission;
- If the decision is taken to disclose information, that decision must be justified and documented;
- Any concerns about disclosure must be discussed with your section lead or line manager;
- It is not appropriate to have discussions about confidential information in public where individuals who do not have a need to know this information could overhear the conversation;
- When working away from This Life locations staff must ensure that their working practice complies with This Life's policies and procedures;
- Any comments or statements to the press or media and any broadcasts or articles for publication require the written permission of the Executive Director.

Contracts of Employment include a commitment to confidentiality. Breaches of confidentiality could be regarded as gross misconduct and may result in serious disciplinary action up to and including dismissal. Employees who disclose confidential information to those without a legitimate need to know or who disclose confidential information observed or heard without proper authorization may be subject to disciplinary action up to and including termination.

Conflict of Interest Policy HR09

Policy Number: HR09

Effective Date: 20th August 2009

Version: 02

Revised Date: 22nd January 2020

Drafted by: Executive Director

Responsible person: ED, DSS

Date Approved by Board: 20th August 2009

Scheduled Review Date: January 2024

Additional Authority: Law and related organisational policies

- Recruitment Policy
- Code of Conduct

Scope

This policy applies to all Directors, Board Members, Employees, Consultants, Volunteers and Interns.

Responsible Party

It is the responsibility of the Executive Director and the Director of Shared Services to ensure that employees are aware of and abide by this policy.

Purpose

The purpose of the conflict of interest policy is to maintain confidence in the integrity and accountability of This Life by making sure that the Directors, Board Members, Employees or others affiliated with This Life do not derive personal, professional or financial benefit from actions or decisions made in their official capacity, thus upholding the integrity of the organisation. While having a conflict of interest is not unusual and is not a wrongdoing in itself, failing to disclose or manage the conflict appropriately is likely to be considered wrongdoing. This Policy establishes expectations for balancing personal and business interests as well as guiding the administration of conflict or benefit of interest situations. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to not for profit and charitable organisations.

Policy

Each Employee owes professional loyalty to the organisation and will be alert to the possibility that outside obligations, financial interests, employment, and certain relationships can affect or be seen to affect that commitment. Therefore, they are responsible for determining whether they have a Conflict of Interest or Benefit covered by this policy. Because no policy can anticipate the full range of outside relationships and activities that may give rise to conflicts or benefits of interest, Employees must disclose any outside relationship or activity that may give the appearance of a conflict as soon as feasible after discovery of the conflict.

The organisation must determine whether a conflict or benefit of interest is manageable and how it will be managed before an employee may undertake the activity giving rise to the conflict. The employee must comply with all measures put in place to manage, reduce, or eliminate conflicts of interest. This includes any requirement that the employee provide a follow-up disclosure at a reasonable time interval after his or her initial disclosure to provide an update on the status of the conflict or benefit of interest, and the employee's compliance with the measures put in place to manage it.

All disclosures as well as decisions on how to manage the conflict should be documented and maintained by the Executive Director or Board to whom disclosure is made, as provided for in the procedures of this policy. This policy does not preclude the Board or Directors from requiring an employee to provide additional Conflict or benefit of interest information from time to time, or to do so on a more frequent basis (e.g., semi-annually).

If an employee has any questions about whether an outside activity must be disclosed, the employee should consult with the Director of Shared Service, their section lead or line manager. Supervisors who become aware

that Employees under their supervision have conflicts or benefits of interest covered by this policy are obligated to ensure that the conflict is appropriately disclosed.

Personal Conflict of Interest can arise when

- A. An employee seeks to participate directly or indirectly in/or influence directly or indirectly any employment decision that involves a direct benefit or detriment to the Employee or to a close relation of the Employee. An employment decision includes decisions relating to initial appointment or hire, retention, termination, promotion, compensation, benefits and leave of absence. A “close relation” means spouse, domestic partners, parents, children, siblings and each of their respective spouses or domestic partners.
- B. An employee directly supervises a close relative’s work or an employee begins dating a staff member who reports to them; and
- C. An employee knows or is related to a beneficiary.

Professional Conflict of Interest can arise when

- A. An employee’s participation in an outside activity interferes with the employee’s primary professional responsibility to This Life. Although participation in outside activities is encouraged, activities that interfere with the Employee’s primary professional responsibility to This Life create a Conflict of Commitment or Loyalty.
- B. An employee sets up an organisation or takes a second job with an organisation that is similar to This Life.
- C. An employee becomes a board member of an organisation similar to This Life in nature or location; and
- D. An employee uses This Life resources, donated materials and information as their own.

Financial Conflict of Interest can arise when

An employee has a financial (ownership or investment) interest directly or indirectly, through business, investment, or family:

- A. In any entity with which This Life has a transaction or arrangement,
- B. A compensation arrangement with This Life or with any entity or individual with which This Life has a transaction or arrangement, or
- C. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which This Life is negotiating a transaction or arrangement.

Unacceptable Conflict

An unacceptable Conflict is a Conflict of Interest that is never acceptable and therefore should not occur. Such conflicts include soliciting or receiving anything of value (gifts or favors) in exchange for an advantage from the employee in favor of the outside entity or individual.

Conflict of Interest or Benefit of Interest

In practice what makes something a conflict of interest can also end up being a benefit from interest, or a good arrangement for This Life. These situations require careful and transparent management.

Employment Of Close Relatives

This Life will not employ close relatives of current employees. Close relatives are defined as parents, children, siblings or partner.

If a member of the selection committee knows an applicant this must be discussed as a possible conflict of interest.

Procedure

1. Conflict of Interest Declaration ([Appendix 20](#)): Employees will complete the Conflict or Benefit of Interest Declaration on an annual basis at the renewal of their contract. Given that conflicts of interest can arise at any time these forms can be updated at any appropriate time.
2. Where a conflict of interest exists a discussion will take place between three This Life employees (the employee, the section lead plus the Deputy Director and/or Director and/or a Board Member) to determine whether the declared conflict is remote or significant, manageable or unmanageable.
3. The discussion will then focus on the management of the conflict and an agreed management plan will be developed (Conflict of Interest Register and Management Plan [Appendix 21](#)). The management plan may focus on removal from decision making, not being involved in case management or discussion relating to known beneficiaries, or strategies to manage professional conflicts of interest or commitment. With respect to case management decisions the section lead must be involved in the discussions or be made aware of the situation as soon as practicable.
4. The management plan will have an agreed timeframe for review which may be at a specified time when the conflict ceases to exist or at 3, 6, 9 or 12 months. Review will involve the employee, and at least two others including either the Deputy Director or the Executive Director. If the conflict requires ongoing monitoring a comment about how the management plan is currently working and any changes to the plan will be documented and a further review date set. If the conflict has ceased to be a concern it can be closed. To close the Conflict of Interest the employee and the Deputy Director or Executive Director are to sign the review.
5. All Documentation relating to the conflict of interest will be kept securely in a conflict of interest file, the contents of which will remain confidential unless exceptional circumstance requires disclosure.

Equal Opportunity, Valuing Diversity and Affirmative Action Policy HR10

Policy Number: HR10

Effective Date: 11th April 2013

Version: 03

Revised Date: 15th September 2021

Drafted by: Executive Director

Responsible person: ED, DSS

Date Approved by Board: 11th April 2013

Scheduled Review Date: February 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Recruitment Policy
- Grievance and Dispute Resolution
- Discrimination, Bullying and Harassment
- Equal Opportunity, Diversity and Affirmative Action Guidelines
- Project Management Manual

Scope

All employees, consultants, volunteers, interns and beneficiaries are both subject to and protected by this policy.

Responsible Parties

It is the responsibility of the Executive Director and Director of Shared Services to ensure that employees have an awareness and understanding of this policy through induction and training. Each staff member has the responsibility for familiarising themselves with this policy and ensuring that they support and respect equality, workplace diversity and safety and help prevent discrimination, harassment and bullying in the workplace.

Definitions

Equal Opportunity: The right to be treated without discrimination especially on the grounds of one's sex, age, race, ethnicity, colour, religious beliefs, political opinion, social origin, national origin, ancestry, disability, sexual orientation, marital status, parental status, gender identity, gender expression, or genetic information.

Diversity: Primarily refers to the groups as outlined above under equal opportunity.

Affirmative Action: The encouragement of increased representation of women and minority group members through positive discrimination.

Director of Shared Service is the person appointed by This Life (as required per Circular 21/99) to address employee complaints. Their role is to serve as the first point of contact for aggrieved employees. If the Director of Shared Services cannot solve the issue, they must inform the Deputy Director and/or Executive Director, who then meets with the employee. If the parties do not reach an agreement, they should notify the Labor Inspector for conciliation.

Policy

Equal Opportunity and Diversity

This Life considers equality as eliminating discrimination and ensuring equal opportunities and access for all groups in both employment and access to our services. Diversity is the valuing of everyone and the celebration of difference. Each person is an individual with visible and non-visible differences and by respecting this everyone can feel valued for their contributions benefiting both the organisation and the individual. This Life acknowledges that equality and diversity are interdependent; that there cannot be equal opportunity if difference is not valued except where affirmative action may be required to redress individual or social impediments of people from disadvantaged groups.

This Life is committed to providing a workplace that promotes dignity, equality and respect for all. This policy is to be read in conjunction with the *Discrimination, Bullying and Harassment Policy*, which outlines the processes for addressing discrimination relating to the above definitions. The first consideration should be the appropriateness and feasibility of attempting informal resolution through communicating directly with the person involved or by approaching Director of Shared Services.

Recruitment

Selection for employment will be on the basis of aptitude and ability. Further detail is set out in This Life's *Recruitment Policy*.

Promotion

All promotion decisions will be made on the basis of merit, and will not be influenced by the characteristics outlined in the above definition of equal opportunity.

Training & Professional Development

Employees may be required to participate in training and development activities from time to time to promote the principles of this policy. Professional Development opportunities will be provided to all employees.

Affirmative Action

This Life is committed to taking specific, result-oriented steps to increase the number of historically underrepresented persons, namely women and people with disability and those from the LGBTQI+ community, and increase overall diversity. Cultural and intellectual diversity are critical components of functioning organisations. Thus, This Life will actively recruit and encourage applications from underrepresented group members and will endeavour to provide a positive and supportive environment for members of these groups.

Affirmative Action means taking positive steps, by means of systematic activities, to identify and overcome past discrimination against marginalised groups, to identify and eliminate present discrimination, and to prevent discrimination against them in the future. Thus This Life will consider whether affirmative actions are required in each recruitment process and will encourage applications from under-represented groups.

This Life policies and practices will be reviewed regularly to ensure they provide adequate support for the career progress of under-represented groups. This Life will consult our employees about their needs, analyse our employment profile and other workplace statistics and accordingly establish goals and plans to give effective opportunities for under-represented groups. While recruitment will encourage applications from under-represented groups decisions will be based on merit. Recruitment processes will reflect fairness and include gender representation on selection committees.

Please see the 'Equal Opportunity, Diversity and Affirmative Action Guidelines' and 'Project Management Manual' for further details of the methods by which barriers to gender and disability inclusion are overcome, and how gender and disability-inclusive practices are implemented throughout all programs.

Discrimination, Bully and Harassment Conduct Policy HR11

Policy Number: HR11

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: ED, SMT

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Grievance and Dispute Resolution Policy
- Confidentiality Policy
- Equal opportunity, Diversity and Affirmative Action Policy
- Occupational health and Safety Policy
- Code of Conduct

- Disciplinary Policy

Scope

This policy applies to all employees, consultants, volunteers and interns.

Responsible Party

It is the responsibility of the Executive Director and Senior Management Team to ensure that employees, consultants, volunteers and interns understand and abide by this and the related policies. Information sessions will be provided at induction for all new staff, by the Director of Shared Service.

Definitions

Discrimination is the act of treating a person or particular group of people differently, especially in a worse way from the way in which you treat other people, because of their race, colour, sex, faith or religion, political opinion, birth, membership of a workers union or the exercise of union activities (Labour Law). Gender identity and expression are included in This Life's definition.

Workplace bullying is repeated and unreasonable behaviour directed towards a worker or a group of workers that creates a risk to health and safety.

- Repeated behaviour is persistent and can involve a range of actions over time.
- Unreasonable behaviour means actions that a reasonable person in the same circumstances would see as unreasonable. It includes victimising, humiliating, intimidating or threatening a person.

A single incident of unreasonable behaviour is not considered workplace bullying, but it could escalate and should not be ignored.

Harassment is systematic and/or continued unwanted and annoying actions of one party or a group towards another party or group. The purposes may vary including racial prejudice, personal malice, sexual gratification or merely gaining pleasure from making someone feel offended, humiliated or intimidated and where that reaction is reasonable in the circumstances. Examples of harassment include, but are not limited to: verbal, nonverbal, or physical aggression, intimidation, or hostility based the categories outlined under discrimination.

Director of Shared Service is the person appointed by This Life as required (Circular 21/99) to address employee complaints. Their role is to serve as the first point of contact for aggrieved employees. If the Director of Shared Service cannot solve the issue, they must inform the Deputy Director and/or Executive Director, who then meets with the employee. If the parties do not reach an agreement, they should notify the Labor Inspector for conciliation.

Unreasonable behaviour is behaviour that is offensive, humiliating, intimidating, degrading or threatening. It includes, but is not limited to: Verbal abuse; initiation pranks; excluding or isolating employees; giving a person the majority of an unpleasant or meaningless task; humiliation through sarcasm, or belittling someone's opinions; constant criticism or insults; spreading misinformation or malicious rumours; deliberately setting work routines or procedures to inconvenience certain employees; displaying written or pictorial material which may degrade or offend certain employees.

Repeated behaviour refers to the nature of the behaviour, not the specific form of that behaviour. “Repeated unreasonable behaviour” may be a pattern of diverse incidents.

Policy

This Life regards the health and safety of its employees, consultants, volunteers, interns and clients as a primary responsibility and promotes a culture of openness, support and accountability. Discrimination, bullying based on the misuse of power in human relationships, and negates the dignity and autonomy of its victims can affect health and wellbeing.

This Life recognises the right of all employees, contractors, volunteers and interns to attend work and perform their duties without being subjected to any form of discrimination, bullying or harassment. Equally, it is the obligation and responsibility of every employee, consultant, volunteer and intern to ensure that the workplace is free from discrimination, bullying and harassment. This Life is fully committed to its obligations to ensure that discrimination, bullying and harassment in the workplace and in customer relations is dealt with promptly and effectively. No employee or volunteer at any level should subject any other employee, volunteer, client or visitor to any form of discrimination, bullying or harassment.

Cambodian Labor Laws state that discrimination on the basis of the definition above is unlawful. This Life considers that legislative obligations under the laws establish minimum standards of behaviour for all employees, and thus have added bullying and harassment to further define this policy. The principles set out in this policy are intended to apply to any work-related context, including at the work place, conferences, work functions, social events and business trips.

This Life strongly encourages any employee who feels they have been discriminated against, bullied or harassed to take immediate action, in accordance with the grievance and dispute resolution processes outlined in the *Grievance and Dispute Resolution policy*, initially by making it clear that such behaviour is unwelcome and offensive and if it continues they will lodge a formal grievance. Alternatively, taking into account the sensitive nature of such claims they are able to approach the liaison officer who will assist them in these processes.

Formerly agreed behaviour may be found to be bullying or harassment when it continues after a request from the recipient for the behaviour to stop, or at the point it becomes intimidating, offensive or humiliating.

There are bound to be occasional differences of opinion, conflicts and problems in every workplace. Only when the treatment of another person is unreasonable, offensive or harmful does workplace bullying exist.

Similarly, the exercise of a supervisor’s legitimate authority at work through the direction and control of work responsibilities, the monitoring of workflow, and giving feedback on performance, is not bullying insofar as the supervisor’s actions are intended to assist staff to improve their tasks, their work performance, or the standard of their behaviour. If an employee has performance problems, however, these should be identified and dealt with in a constructive way that is neither humiliating nor threatening.

Bullying that directly inflicts physical pain, harm, or humiliation amounts to assault and should be dealt with as a police matter.

A breach of this policy will result in disciplinary action and will follow the *Disciplinary Policy*. Depending upon the severity of the case, consequences may include apology, counselling, transfer, demotion, dismissal, or other forms of disciplinary action deemed appropriate. Disciplinary action may also be taken against anyone who victimises or retaliates against a person who has complained of discrimination, bullying or harassment, or against any employee or volunteer who has been alleged to be a harasser.

Procedure

Any reports of discrimination, bullying or harassment will be treated seriously and promptly with sensitivity. Such reports will be treated as completely confidential up to the point where a formal or informal complaint is lodged against a particular person, at which point that person must be notified under the rules of natural justice and in accordance with This Life's *Grievance and Dispute Resolution Policy*.

Complainants have the right to determine how to have a complaint treated, to have support or representation throughout the process, and the option to discontinue a complaint at any stage of the process. The alleged perpetrator also has the right to have support or representation during any investigation, as well as the right to respond fully to any formal allegations made. There will be no presumptions of guilt and no determination made until a full investigation has been completed.

No employee or volunteer will be treated unfairly as a result of making a complaint.

In those circumstances where the parties do not reach an agreement employees and consultants have the right to seek the assistance of the Labor Inspector for conciliation.

Secondary Employment Policy HR12

Policy Number: HR12

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: ED, SMT

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies:

- Conflict of Interest Policy
- Confidentiality Policy
- Code of Conduct
- Disciplinary Policy

Scope

This policy applies to all employees This Life but does not apply to contractors, volunteers or interns.

Responsible Party

It is the responsibility of the Executive Director and Senior Management team to ensure that employees are aware of and understand this policy. It is the responsibility of employees to inform their section lead or line manager of their employment outside of the organisation.

Definitions

Secondary Employment ~ is employment with another organisation or business, voluntary work, self-employment or undertaking any form of paid activity.

Policy and Procedure

This Life accepts that employees are sometimes engaged in work outside of their employment at This Life, in their own business or in the employ of another organisation. This policy does not prevent employees undertaking secondary employment but it seeks to ensure that they inform This Life of such work so that any conflicts of interest arising from such work can be managed. If a conflict of interest arises it is to be managed under the Conflict of Interest Policy.

The employee is to inform This Life of secondary employment. All secondary employment is to be conducted outside of the employees contracted working hours. Employees wishing to undertake short-term work during annual leave should seek the approval of the Deputy Director and/or Executive Director prior to committing to such work. Employees must not use This Life resources or information in the course of their second job

Advice to This Life of Secondary Employment

All employees wishing to undertake Secondary Employment in any capacity must complete the Advice of Secondary Employment Form ([Appendix 29](#)) and give this to their section lead or line manager giving sufficient details about the proposed job role, the organisation, the number of hours per week and any other relevant information.

The Deputy Director and Executive Director will then consider the application with particular regard to conflict of interest and whether the second job impinges on the employee's work with This Life.

All concerns relating to secondary employment will be discussed with the employee. Permission to undertake secondary employment can be withdrawn at any time if there is any adverse effect or detriment to This Life, which could include work performance issues, attendance at work, unsatisfactory sickness record, conflicts of interest, disciplinary action or breach of conditions of employment.

Conflict of Interest:

Secondary employment may be approved where there is no conflict of interest or where the conflict of interest can be resolved or adequately managed. Where it becomes apparent that the conflict of interest is not being adequately managed the approval may be withdrawn. Consideration of potential conflict of interest will give due regard to:

- The nature of the second job and the extent to which it is similar work to that which the employee does with the organisation
- The business of the employer offering the second job, and whether that employer competes in any with the organisation
- The proposed hours of work in the second job and whether that might result in the employee having insufficient rest to work effectively in the organisation

Disciplinary Action

Disciplinary action will be taken when there is evidence that an employee has worked in a second job while on sick leave which can be considered a fraudulent act under the Labour Law and can result in termination of employment.

In the context of secondary employment employees are reminded that passing on any confidential information is an act of serious misconduct and may result in disciplinary action or immediate dismissal. Examples of confidential information include information relating to clients, This Life activities, business or documents or information relating to colleagues.

Data Protection Policy HR13

Policy Number: HR13	Effective Date: 17 th June 2020
Version: 01	Revised Date:
Drafted by: Executive Director	Responsible person: Deputy Director
Date Approved by Board: 17 th June 2020	Scheduled Review Date: June 2024

Context and Purpose

This Life is a community development organisation implementing development projects and programs in partnership with government and civil society stakeholders in Cambodia. This Life gathers and manages data about individuals when conducting community assessments and research, during routine project/ program implementation including monitoring and evaluation activities, marketing and communications activity, and when coordinating, collaborating and receiving funds from stakeholders.

The purpose of this policy is to support good practice in data protection within the organisation. This applies to the storing or handling (processing) of information (personal data) about living identifiable individuals (data subjects).

This Life needs to collect data about certain individuals, including community members, civil society and local authority partners, donors, and other key stakeholders, in the course of their involvement in the organisation's activities and initiatives.

At the time of writing this policy, the Kingdom of Cambodia had yet to pass a national law on privacy and data protection. There is therefore currently no Cambodian legislation or regulations regarding data protection which need to be adhered to by This Life.

This Life is required to comply with the European Union's General Data Protection Regulation (GDPR) as this law applies to all organisations processing or controlling the personal information of EU residents, regardless of where those firms are located. The organisation is therefore taking steps towards implementing the necessary practices and processes to ensure compliance.

Scope

This Life is committed to ensuring good internal practices are in place to ensure data protection. The policy aims to promote and ensure sound management of data and protection of data subject rights by This Life.

This Data Protection Policy identifies the point of contact within This Life for data protection, sets out the principles underpinning sound data protection processes, identifies when data is collected at This Life, how it is processed and lists the data use and management practices at This Life.

This policy applies to all staff members, consultants and individuals involved in undertaking activities on behalf of This Life. All staff members and other relevant individuals must familiarise themselves with this policy before commencing any work for This Life. Additionally, its protections extend to all This Life's stakeholders, supporters, partners, beneficiaries and the children, families and communities it works with. Everyone at This Life has a role to play in ensuring that personal information is dealt with properly in whatever way it is collected, used and stored.

This policy will be reviewed every 3 years and version control has been applied to record changes made to the document. The policy is freely available to potential funding agencies, partners and clients, in the interests of transparency.

Responsible Party

It is the responsibility of the Executive Director to ensure that this policy is understood and followed.

It is the responsibility of the Deputy Director to be the point of contact within This Life for data protection. This involves but is not limited to: ensuring staff are trained to follow data management practices, ensuring data is managed safely and ensuring data is disposed of safely and securely when necessary.

Definitions

Data protection: The granting of rights to individuals in respect of their information and the provision of enforcement of these rules, rights and practices. Breaches of these laws can result in significant consequences both financially and in terms of damage to organisational reputation and of the trust of those that we work with.

Personal data: This means that any data that relates to and can, whether on its own or in conjunction with other information, specifically identify an individual living person. For example, names and addresses, e-mail addresses, recruitment details, payment details, etc. It includes opinions about any individuals as well as facts. This data can be held electronically on a computer and in hard copy paper format.

Data subject: This is the term used to refer to any person or persons, for example employees, community members, donors or partners who are the subject of any data processing. This Life needs to collect, hold, process and transfer certain personal data relating to data subjects, from various sources, as part of our everyday operations.

Sensitive data: This is any information about an individual's physical or mental health, genetic or biometric information used to identify any individual, racial or ethnic origin, sexual life, politics, religion or any information about the alleged or committed criminal offences of the data subject. Particular caution is required when data is classed as sensitive and it is important not to store this type of data unless absolutely necessary and the data subject has explicitly consented.

Data processing: This is a very general term, and in practice covers any use of personal data including: i) obtaining, recording, viewing, holding or carrying out of any operation on the personal data; ii) organising or altering the personal data; or iii) retrieving, disclosing or using the personal data.

Principles

Use limitation: We will only collect personal data that is to be used for the specific, explicit and legitimate purpose(s) for which it was collected. If it is proposed to use personal data held by This Life for a different purpose from which it was originally collected, then the consent of the data subject will be sought in order to use their personal data for that new purpose, unless stipulated otherwise under relevant legislation or in writing.

Fair and transparent processing: When data is collected there is a clear and lawful reason for collating the data, and it will be clear as to where the data is going to. It will also be possible for the data subjects to see where and what the data is being used for.

Data minimisation: This principle ensures that only the data relevant for the purpose is collected. We will not process or ask for any data that is not relevant for our specific purpose.

Accuracy: Personal data must be kept up to date and accurate. Personal data must not be collected and held on a 'just-in-case' basis unless required or allowed by any applicable legislation.

Accountability: We will ensure that the data we collect is done so in a safe and secure way. We will input suitable processes and will ensure all data that is collected will be stored in compliance with relevant legislation and our Privacy Notice, available on our website.

When is Data Collected by This Life

This Life collects information (personal data) that relates to identifiable individuals (data subjects) to provide services to our clients and to undertake activities and initiatives. The type of personal data we collect depends on the situation at hand and these situations are discussed as follows.

Information about employees (data subjects) is collected as a consequence of their taking up employment with This Life as a full or part time member of staff, a consultant or a contractor. The personal data collected includes: address, bank account details, passport number and social security. Please also refer to our Personnel Policy which is in line with Cambodian Labour Law.

Information about members of the public (data subjects) is collected as a consequence of their agreement to participate in research conducted by This Life. The personal data collected in the process of conducting research may include: name, age, gender, and information about data subjects knowledge, experience, attitudes, practices, views, etc.

Information about members of the public, service providers and partners (data subjects) is collected as a consequence of their participation in programs implemented by This Life. The personal data collected with informed consent in the process of involvement in programs may include: name, age, gender, contact details and information about data subjects knowledge, experience, attitudes, practices, views, details about their involvement in program activities, etc. Such individuals are diverse and referred to using multiple often overlapping categorical terms, such as: children, women, juveniles, police, service providers, teachers, government staff, prison officers, local authorities, partner agencies, implementing partners, civil society, non-governmental organisations (NGO) etc.

Information about members of the public (data subjects) is collected as a consequence of their participation in marketing and communications activities undertaken by This Life. Such activity includes mass awareness campaigns, social media campaigns, posts on Instagram and Facebook, blogging and traditional media campaigns using radio and television. The personal data collected in the process of our marketing and communications activities includes: details of social media accounts, participant's name/s, email addresses, date of access, and IP address when participants interact with This Life emails and signup forms.

Information from third parties, such as national or international NGOs, donors and from government staff (data subjects), is collected as a consequence of This Life's activities to coordinate, collaborate and receive funding. The personal data collected includes: name, contact details, bank account details.

How is Data Processed at This Life

This Life processes information (personal data) that relates to identifiable individuals (data subjects) to provide services to our clients and to undertake activities and initiatives. Data processing concerns the use of data and is discussed as follows.

Letters and post: When data subjects choose to correspond with us through post, we may retain the contents of the letter and any further post correspondence that we have with you.

Email: When data subjects choose to correspond with us through email, we may retain the content of their email messages together with their email address and our responses. Only the relevant parties will be able to access these emails and there will be relevant encryptions on the emails received when sending them to these parties.

Employees: When data subjects take up employment with This Life as a full or part time member of staff, a volunteer, intern, consultant or a contractor, we will retain their personal data for the purpose of communication and payment for employment when applicable.

Research: When data subjects participate in research, we may retain the personal data collected, as well as using it to develop an analysis and a narrative summary of the findings. All personal data and use of quotes, if any, will be fully anonymised when used. Narrative research reports or any format developed using the findings from personal data that will be made public, will only use data that has been fully anonymised.

Programs: When data subjects participate in programs, we may retain the personal data collected from program activities and share this data with third parties as per program documentation and agreements, such as with relevant program partners, government agencies and donors. All personal data and use of quotes, if any, gathered during program implementation will be fully anonymised if and when used for any publications that are made public.

Marketing and communications: When data subjects participate in marketing and communications activities, we may retain the personal data collected and use this for future marketing and communication activities. For more information about the collection and use of marketing and communications related data and images see This Life's Communications Policy.

Third party information: When data subjects communicate with or provide funding to This Life, we may retain the personal data collected. We may use this for future activities and initiatives to communicate, collaborate and/ or to access funding.

Data Use and Management Practices

Responsibilities: This Life staff all need to take responsibility for data protection. This includes the whole process from collection, through management and use, to disposal. Care must be taken with collecting, handling and storing sensitive, classified and/ or personal data.

Necessity: When conducting research and assessments for programs, and when collecting data from the people who participate in our programs, all personal details gathered from participants should be applicable to and necessary for the activity taking place. No unnecessary personal information should be collected that is not essential.

Access: only the relevant parties will be able to access all types of data collected and processed at This Life, as detailed in sections 6 and 7 of this policy. This data will be saved in a password protected location, kept securely and protected from unauthorised access. Data subjects can request access to their personal data.

Retention and disposal: we will not retain any personal data, such as addresses, bank details, information about program or research participants etc, for longer than is reasonable and necessary for the purposes listed in this policy. We will make sure that all personal data is disposed of appropriately in a safe and secure manner, and in line with any legal and/ or funder requirements.

Backup and storage: This Life uses online data storage. All data that is collected is stored using relevant and secure encryptions and passwords. Staff at This Life are all responsible for maintaining these encryptions and passwords, and ensuring that any data that they access is closed after they have finished using it. No data will be stored for longer than is necessary and all data will be destroyed using a safe and secure method. All of these processes ensure that data subject information remains protected.

Research and program data: particular care is taken to ensure that human data collected during research and program activities cannot be linked back to individuals unless by authorised persons. All sensitive, classified and /or personal data should be kept electronically in a password protected location, accessible only to researchers or program staff working on the study/ program who need access. Hard copy signed consent forms must also be kept in a secure place at least to the end of the project.

Other mitigation activities: There are many ways in which This Life's staff mitigate potential data breaches or losses, such as: ensuring all software updates are carried out in a timely fashion; making sure all devices are locked when unattended; making sure there is sufficient and specific storage for devices so they are not lost; and making sure that data is kept on a need to know basis so as to avoid data breaches.

Disciplinary Policy HR14

Policy Number: HR14

Effective Date: 01stJanuary 2017

Version: 01

Revised Date: N/A

Drafted by: Deputy Director

Responsible person: DD, ED, DSS

Date Approved by Board: 01stJanuary 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Child Protection Policy
- Code of Conduct
- Fraud Risk Management Policy
- Employee Performance Appraisal and Review Policy
- Equal Opportunity, Diversity and Affirmative Action Policy
- Remuneration

Scope

This policy applies to all employees.

Responsible Party

It is the responsibility of the Deputy Director, Executive Director and Director of Shared Services to ensure that this policy is understood and followed.

Policy and Procedure

This Life expects satisfactory standards of behaviour, conduct and attendance from all of its employees. This disciplinary procedure provides a framework for dealing with instances where employees are alleged not to have met the required standards of conduct. The aim is to ensure prompt, consistent and fair treatment for all employees and to assist with clarity about the expectations of employees at This Life. This policy is based in an understanding of progressive discipline that gives the employee an opportunity to improve with clearly articulated expectations.

1. Principles

- 1.1. Section leads and line managers are responsible for addressing conduct and behaviour issues as early as possible and for taking appropriate action. Where appropriate, actions will be taken to resolve issues on an informal basis without recourse to the formal procedure.
- 1.2. Before disciplinary action is taken an investigation shall be undertaken. The section lead, line manager or other employee will inform the Deputy Director or Executive Director who will ensure that inquiries are made to clarify the incident and/or to ascertain any further information.
- 1.3. The employee against whom an allegation has been made shall be advised of the nature of the allegations made against them and will be given the opportunity to state their case before any decision is made to take disciplinary action except in cases of serious misconduct where the evidence is overwhelming.
- 1.4. First breach of discipline -Dismissal will not be a sanction for a first breach of discipline except in the case of serious misconduct as outlined in section 3.
- 1.5. Suspension - At any stage in the procedure, if appropriate, an employee may be suspended as outlined in section 5.
- 1.6. Right to be accompanied - All employees who are the subject of this procedure have the right to be accompanied at any formal meeting or disciplinary hearing held under the procedure by their chosen work colleague.

1.7. Equality and Diversity - To ensure fair treatment and, where appropriate, provision of support in the application of this procedure, employees should be invited to provide information about any equality or diversity issues which may be relevant.

1.8. Confidentiality – All parties involved in these procedures must ensure that they maintain, as appropriate, the confidentiality of the process within and outside This Life.

2. Time Frames

In accordance with the Labor Law disciplinary action for misconduct must occur within 15 days of the organisation becoming aware of it. For serious misconduct disciplinary action must take place within 7 days from the date that the organisation learns about the misconduct for the employee to leave without benefit apart from severance pay.

3. Serious Misconduct

The Labor Law sets out acts of serious misconduct, on the part of employer include the use of fraudulent measures to entice a worker into signing a contract under conditions to which he would not otherwise have agreed on realization of such conditions; refusal to pay all or part of the wages; repeated late payment of wages; abusive language, threats, violence or assault; and failure to implement the health and safety measures in the workplace as required by existing laws. The acts of serious misconduct on the part of worker include stealing, misappropriation, and embezzlement; fraudulent acts committed at the time of signing (misrepresentation of abilities) or during employment (sabotage, refusal to comply with the terms of the employment contract, divulging professional confidentiality); serious infractions of disciplinary, safety, and health regulations; use of threats, abusive language or assault against the employer or other workers; inciting other workers to commit serious offenses; use of political propaganda, activities or demonstrations in the establishment. This Life also considers breaches of the child protection policy or code of conduct including bribery, fraud or other offences involving graft or corruption as acts of serious misconduct.

4. Criminal Offences

If an employee is charged with a criminal offence they must inform the Deputy Director, who will in turn discuss the matter with the Executive Director. Where charges are in direct breach of the Child Protection Policy or code of conduct the employee's contract will be suspended. Given the sensitive nature of This Life's work in prisons consideration will be given to the relevance and effect the charge or conviction has to or on the employee's suitability to do their job and any impact this may have on their relationship with work colleagues and clients.

5. Suspension

An employee contract may be suspended without pay during investigations of employee misconduct or incarceration without a later conviction.

6. Informal Process

- 6.1. It is part of the normal supervisory process that managers bring to the attention of the employees the standards required and any failure to meet those standards.
- 6.2. Cases of minor misconduct (e.g. recurrent lateness) should be dealt with by the section lead or line manager informally and without delay. The section lead must speak to the employee, in private and should encourage them to conduct themselves in accordance with the required standards.
- 6.3. The purpose of these discussions is to ensure that the employee understands the nature of the concerns, expectations of improvements in conduct and where appropriate timescales and the nature of any support available.
- 6.4. It is advisable to confirm the outcomes of any discussions in writing to the employee.
- 6.5. The line manager should retain any note of these informal discussions or meetings. This is not a written warning.
- 6.6. Following a satisfactory outcome to the use of the informal procedure, the matter will be considered resolved. However, where an issue has been discussed with an employee informally and if: the issue has not been resolved and the problem persists or the required improvements in conduct are not achieved or further information becomes available during discussions which make the matter sufficiently serious the formal procedure should be invoked.

7. Formal Process

- 7.1. Where the informal process has not led to improved conduct, or where the alleged misconduct is deemed serious and informal action is inappropriate, formal action will be initiated. Serious misconduct is outlined under section 3.
- 7.2. An investigation of the facts will be conducted to determine whether there is a disciplinary case to answer.
- 7.3. Where an investigation indicates that there may have been an act of misconduct the employee will be required to attend a formal disciplinary meeting with their section lead or line manager and either the Deputy Director or Executive Director at which time they shall be given the opportunity to respond to the allegation.

8. Investigation

- 8.1. Before a disciplinary meeting is convened there will normally be an investigation into the circumstances of the alleged misconduct. The purpose of the investigation is to:
 - a. Establish the nature of the allegations
 - b. Gather evidence to enable a decision to be taken on whether there is a disciplinary case to answer
 - c. Consider if the matter should proceed

- 8.2. The employee will be informed promptly of any allegation and that an investigation to establish the facts will be undertaken. The investigation must be concluded as soon as reasonably possible taking into account legal timeframes for acting on disciplinary matters as outlined in section 2.
- a. If there is no disagreement concerning the facts of the case because the employee admits misconduct, an investigation may not be necessary before a disciplinary meeting is arranged. However, in cases where misconduct is not admitted or if there are conflicting views or evidence, further investigation will usually be appropriate before a decision is taken to proceed to a formal meeting.
 - b. The outcomes of an investigation may be:
 - i. There is no case to answer and therefore no disciplinary action is taken
 - ii. The matter is dealt with informally, if appropriate with support and or training to resolve the matter.

9. Outcomes

There are three levels in the formal disciplinary sanctions dependent upon the gravity of the case and/or the on-going nature of the misconduct. Any disciplinary action resulting in a written warning will automatically reduce the assessed annual bonus by 50%.

9.1. Level One Formal - Written warning

- iii. This is usually given if there has been either a minor breach in conduct, which remains unresolved, by informal action, or a first more serious breach of discipline.
- iv. The disciplinary sanction of a written warning given under level one will be retained on the employee's personal file, subject to satisfactory conduct and/or improvements for twelve months from the date the decision is confirmed.

9.2. Level Two Formal - Final written warning

- i. If the employee does not meet the required standard of conduct set out in level one or commits any other act of misconduct during the 12 months of an existing warning, a further formal disciplinary hearing may be convened under level two of this procedure.
- ii. In some circumstances, where an alleged misconduct is sufficiently serious, it may be appropriate to progress straight to level two of this procedure.
- iii. The disciplinary meeting will be conducted following an investigation as described above under section 7.
- iv. The disciplinary sanction of a final written warning given under level two will be retained on the employee's personal file, subject to satisfactory conduct and or improvements for twenty-four months from the date the decision is confirmed.

9.3. Level Three Formal – Dismissal

- i. If allegations are raised which are so serious as to constitute gross misconduct, such as those outlined above in Sections 3 and 4 it will be appropriate to consider taking formal action under level three of this procedure.
- ii. It may also be appropriate to move to level three if an employee does not meet the required standard of conduct set out in the final written warning given under level two of this procedure, or commits any other act of misconduct during the 24 months of an existing final warning.
- iii. If an investigation indicates that an act of further or serious misconduct may have occurred, the employee will be required to attend a formal disciplinary meeting
- iv. The letter requiring attendance at the formal disciplinary hearing shall include a statement of the alleged misconduct and warn the employee that one consequence of the meeting may be the termination of their employment with or without notice.
- v. The manager conducting the meeting will consider all representations then decide if on the balance of probabilities the allegation(s) are proved and if so what level of disciplinary sanction, including and up to dismissal, is appropriate. On the basis of the information presented that manager may decide:
 - A. To dismiss the employee (without notice in the case of gross misconduct)
 - B. That there are insufficient grounds to dismiss the employee under this procedure;
 - C. On the imposition, extension or renewal of a warning or final written warning issued under this procedure;
 - D. To withhold an increment of salary
 - E. To withhold 100% of the annual bonus
 - F. To demote the employee
 - G. That matter should be considered under an alternative procedure.

*** The above list is not exhaustive and the outcome may be varied according to the circumstances of the case.

Termination of Contract Policy HR15

Policy Number: HR15

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: DD, ED, DSS

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Fraud Risk Management Policy
- Savings Scheme Policy
- Remuneration Policy
- Employee Performance Review and Appraisal Policy
- Disciplinary Policy

Scope

This policy applies to all employees. Consultant's obligations are clearly articulated in their contractual documents.

Responsible Party

It is the responsibility of the Deputy Director, Executive Director and Director of Shared Service to ensure that this policy is understood and followed.

Definitions

Termination means the ending of a contract.

Voluntary Terminations - include resignations, retirement, failure to return from leave, unauthorised absence, and completion of a contract.

Involuntary Terminations include layoffs and disciplinary action.

Resignation – the employee gives notice of their intent to leave their job at This Life.

POLICY AND PROCEDURE

Termination of employment is to be treated in a confidential, professional manner by all concerned. The Executive Director and Deputy Director will ensure thorough, consistent and fair termination procedures.

As a general rule This Life employs under fixed term contracts of 12 months duration. Notice of termination of any fixed term employee of This Life shall be given in writing. At the termination of employment, whether voluntary or involuntary, any outstanding entitlements owing to the employee shall be paid in full.

At the termination of employment, whether by resignation or dismissal, the employee shall immediately pay in full any outstanding amounts owing to This Life, as outlined in their contract or supplementary agreement, through deductions from the employee's final pay.

This Life shall pay the employee on their last working day. At This Life's discretion an employee maybe paid their salary for the notice period in lieu of notice.

If the contract is terminated by This Life, except in cases of serious misconduct, the employee is entitled to seven days of wage and benefits if the employee has been continuously employed between six and twelve months. If the worker has been employed for longer than twelve months they will be paid fifteen days of wage and fringe benefits for each year of service not totalling more than six months wages. If an employee's contract is terminated for health reasons they are also entitled to this benefit.

Probation

During the first three months of the probationary period of employment, the Executive Director with input from the Deputy Director, section lead or line manager may terminate at any time with 24 hours written notice. Employees on probation may resign with 24 hours notice.

Termination at the end of a fixed term contract

A fixed term contract terminates at the end of its term or by cancellation by either of the parties. A termination at the expiration of a fixed term contract requires 10 days notice from either This Life or the employee. If no prior notice is given the fixed term contract is automatically renewed as per the Labour Laws.

Termination during the term of a fixed term contract

Resignation by any employee shall be given in writing with a notice period as outlined in the contract of employment.

The termination by either of the parties is either by agreement or on account of serious misconduct. A fixed term contract can also be cancelled, without agreement of the parties, in the event of force majeure (acts of God). The cancellation of contract by agreement must be in writing and witnessed by a Labour Inspector.

If This Life terminates an employee's contract with notice but does not require the person to work out their notice they will provide the wages and benefits that the employee would have earned during the notice period on the basis of average daily earnings over the past 12 months.

The notice period is not required in case of serious misconduct or during probation or for acts of God (force majeure) due to which one of the parties is unable to meet his/her contractual obligations.

In the case of This Life giving notice, the worker continues working with same terms and condition except that the worker may take up to 2 days of paid leave per week to look for a new job and may stop working early if they find a new job. Throughout the notice period, the employee will carry out their work related obligations.

Any employer-initiated termination in violation of this rule entitles the employee to the remaining pay under the contract.

If the employee quits in violation of this rule, they are required to pay the organization damages resulting from the termination of the contract.

Executive Director's Resignation

The Executive Director's resignation will be given, in writing, to the chairperson of the board of governance and will be governed by the terms of her/his employment contract.

Employment Certificate

At the end of an employee's service they will receive a certificate of employment containing the start date of employment, the date of departure, the kind of job or jobs held as well as the periods of time that the jobs were held.

Provision of References

This Life will, in most cases, provide references for employees and ex- employees where this is their wish. In accordance with our recruitment policy we recognise the importance of being able to access such information as a part of a selection process.

In the case that This Life closes.

As a result of a catastrophe (flooding, earthquake, war) that causes material destruction and make it impossible to resume work for a long time employees are entitled to a payment equal to that of the notice period.

Employment References Policy HR16

Policy Number: HR16

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

Exchange of information between employers maximises the opportunity for employees to be fitted into the positions for which they are best suited. Where possible, This Life wishes to provide and receive accurate information on the individuals with whom it deals. However, some routine precautions are necessary to safeguard the organisation against litigation.

Purpose

This policy seeks to ensure that the information needs of This Life, the individuals, and the other organisations concerned are met in a manner that places no party at risk of misunderstanding or conflict.

Definitions

'References' refers to material obtained or provided, in confidence or otherwise, to prospective employers to be used to assess a candidate's suitability for a post.

The purpose of references is to obtain information from a third party, providing a factual check on a candidate's employment history, qualifications, experience and/or an assessment of the candidate's suitability for the post in question.

Seeking employment references is a separate matter from requiring police record checks, and this policy does not apply to police record checks.

Policy

Giving references

This Life will, in most cases, provide references for employees and ex-employees where this is their wish. However, there is no obligation on the organisation to do so.

Requiring references

In the case of permanent full-time positions

As part of the recruitment and selection process This Life requests two referees from all applicants and prospective employees, those two referees being their current or immediately previous employer and a second employer. If an applicant has not been employed previously, or is not able to offer their previous employer as a referee, they will be asked to provide an academic and a character referee. References and other pre-employment checks must be deemed as satisfactory before a formal offer of employment can be made.

In the case of casual, short-term, or volunteer positions

As part of the recruitment and selection process This Life may, at the discretion of the selection committee, request two referees from applicants but is not obliged to do so, except in relation to positions involving significant financial responsibility or significant contact with vulnerable clients.

Family Friendly Policy HR17

Policy Number: HR17	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

This Life is committed to helping its employees achieve their personal, family and relationship goals. As part of this endeavour, the organisation fosters flexibility in employment arrangements to achieve the optimum balance between work and family responsibilities for all employees.

Purpose

Work flexibilities ensure that employees are able to balance work and family commitments while taking into account organisational needs.

Policy

This Life will mandate best practice employment arrangements in relation to

- Parental/maternity/paternity leave
- Personal/Carer's/Family leave
- Bereavement leave
- Flexible working arrangements

Staff are encouraged to voice their opinions about the availability, accessibility and application of flexible work arrangements in their area.

Managers should:

- become role models for flexibility, where possible accessing flexible work arrangements themselves;
- become knowledgeable about the range of flexibility options available and how to manage them;
- have the practical skills and confidence to lead a team with different working arrangements;
- track the career progression of staff who are working flexibly to ensure they have access to all training and other benefits and to ensure that they suffer no discrimination in opportunities for promotion;
- evaluate the outcomes of the arrangement and look for improvements; and
- seek appropriate training if lacking in any of the skills necessary to properly administer this program.

Documenting agreed family-friendly provisions enables both This Life and its employees to have a clear understanding of the available provisions and how they can be accessed.

Grief and Loss Policy HR18

Policy Number: HR18

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The experience of loss and grief can be rendered less destructive by appropriate management, and the organisation's response to loss and grief among its employees is thus both a matter of common humanity and an Occupational Health and Safety issue.

Purpose

This policy seeks to ensure that employees of This Life experiencing loss and grief are treated appropriately and given access to any internal and external resources that would assist them to cope.

Policy

Employees of This Life experiencing loss and grief shall be treated appropriately and given access to any internal and external resources that would assist them to cope.

Time in Lieu Policy HR19

Policy Number: HR19

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

From time to time employees may be required to work longer hours to accommodate a pressing work issue, attend meetings or represent the organisation outside of their usual working hours.

Time off in lieu of paid overtime will be offered as an option to employees who are required to work hours beyond their normal contractually agreed weekly hours.

This arrangement is designed to ensure that an employee is not working excessive hours and to ensure work/life balance. It is not expected that time in lieu will be a standard or regular occurrence.

Purpose

The purpose of this policy is to ensure that:

- All managers and staff have an understanding of the use of time in lieu arrangements in the organisation.
- All managers and staff are aware of the procedures for time in lieu.
- All staff are treated consistently.

Policy

Time in lieu can be accrued and taken only with the prior approval of the Executive Director or by their properly delegated authority.

If individuals choose to stay late to complete work then that is their own choice and cannot be taken as lieu time.

The Executive Director shall ensure that the use of time in lieu is not excessive and does not expose the organisation to staff shortages.

PROCEDURES

Responsibilities

It shall be the responsibility of the Executive Director to implement this policy and monitor its effects.

The Executive Director shall be responsible for authorising all instances of time in lieu.

Procedures

Time off in lieu will be at a ration of one hour worked to one hour time in lieu, except for public holidays and Sundays, where time in lieu will be granted on a time-and-a-half rate.

Time off in lieu should be calculated in 15-minute intervals, and can be claimed where the additional time worked exceeds 30 minutes.

Time in lieu of more than four days may not be accrued by any one employee. No more than one day a month can be taken as time in lieu, normally in half-day blocks. Time in lieu leave must be taken at a time approved by the employee's supervisor.

Staff must fill out a 'Time in Lieu Accrued and Taken Form' and lodge it with their supervisor. Time in lieu can only be accrued and taken in accordance with this policy.

Time in lieu should be redeemed as soon as possible after it has been accrued, and all time in lieu **must** be taken within 12 weeks of being accrued. After 12 weeks it must be taken as calculated overtime pay.

Time in lieu credits will not form part of any eligible termination payment.

Related Documents

- Leave Policies

COVID-19 Remote Working Policy HR20

Policy Number: HR20

Effective Date: 8th March 2020

Version: 1.3

Revised Date:

Drafted by: Ipshita Mondal

Responsible person: Executive Director

Date Approved by Board: 8th March 2020

Scheduled Review Date: June 2024

Purpose

This policy provides information on remote working in response to the novel coronavirus (COVID-19) and will come into effect if a pandemic is declared by the World Health Organisation (WHO) or at the discretion of the Executive Director at This Life. To mitigate the risks of infection spreading in the workplace and to ensure employee wellbeing, this policy provides guidelines for remote working in relation to COVID-19.

Scope

All employees, consultants, volunteers and interns are subject to this policy.

Responsible Party

It is the responsibility of the Executive Director to ensure that this policy is understood and followed.

Definitions

Coronavirus: the WHO defines coronaviruses as “a large family of viruses which may cause illness in animals or humans. In humans, several coronaviruses are known to cause respiratory infections ranging from the common cold to more severe diseases such as Middle East Respiratory Syndrome (MERS) and Severe Acute Respiratory Syndrome (SARS). The most recently discovered coronavirus causes coronavirus disease COVID-19.”

Pandemic: the WHO defines a pandemic as “the worldwide spread of a new disease.”

Remote working: working from an alternative location to This Life’s offices. For the purposes of this policy, which is in direct response to containing the spread of COVID-19, an alternative location is defined as the employee’s home.

Policy & Procedure

- Sick or at-risk employees, consultants, volunteers or interns should stay at home and work remotely if they are able to and should not undertake field visits.
- If an employee, consultant, volunteer or intern becomes sick during the day or develops a fever, cough, and has difficulty breathing, they should be separated from other employees in the office, sent home immediately and should seek medical attention as appropriate.
- Healthy employees, consultants, volunteers or interns with a sick family member should notify their supervisor and discuss a remote working strategy.
- Reconsider any non-essential travel related to work. If travel is required, check that you do not have symptoms of a respiratory illness prior to leaving. If you do, you must stay home and seek medical attention as appropriate.
- If employees, consultants, volunteers or interns are travelling to a COVID-19 affected area, they should inform their supervisor. They will need to work remotely from home for 14 days after their return. During this time, they should monitor their health. If they develop a fever, cough, and have difficulty breathing, they should seek medical attention.
- Continue to follow up to date WHO advice on prevention methods to avoid the spread of coronavirus e.g.
 - washing hands regularly with soap and water or an alcohol based rub
 - avoiding touching eyes, nose and mouth
 - covering your nose and mouth with a bent elbow or tissue when you cough or sneeze
 - used tissues should be disposed of immediately
- This Life will provide hand sanitiser around the office for staff to use.
- Salary and benefits do not change as a result of remote working and managers may not disadvantage an employee, consultant, volunteer or intern who is working remotely.

- Employees, consultants, volunteers or interns are required to continue delivering quality work and to attend scheduled meetings via Zoom or Hangouts. If this is not possible, meetings will need to be rescheduled or an alternative representative nominated to attend.
- When working remotely, employees, volunteers, and interns must complete the checklist at [Annex 30.1](#) to ensure they have the necessary equipment and meet the requirements of a remote working arrangement.

Acceptable Use of Computers, Internet and Email Policy HR21

Policy Number: HR21	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

This Life recognises that staff need access to email systems and the internet to assist in the efficient and professional delivery of services. This Life supports the right of staff to have access to reasonable personal use of the internet and email communications in the workplace.

Purpose

This policy sets out guidelines for acceptable use of the computer network, including internet and email by employees and volunteers of This Life. The primary purpose for which access to the internet and email is provided to This Life staff and volunteers is to assist them in carrying out the duties of their employment.

Policy

Staff may use the internet and email access provided by This Life for:

- Any work and work-related purposes
- Limited personal use (for details see Procedures, below)
- More extended personal use under specific circumstances (for details see Procedures, below).

PROCEDURES

Responsibilities

It is the responsibility of the Executive Director to ensure that:

- staff are aware of this policy;
- any breaches of this policy coming to the attention of management are dealt with appropriately.

It is the responsibility of the all employees and volunteers to ensure that their usage of electronic media conforms to this policy.

Processes

Limited personal use

Limited personal use of computer, internet and email facilities provided by the organisation is permitted where it:

- Is infrequent and brief
- Does not interfere with the duties of the employee or his/her colleagues
- Does not interfere with the operation of This Life
- Does not compromise the security of the This Life systems
- Does not impact on This Life's electronic storage capacity
- Does not decrease network performance (e.g. large email attachments can decrease system performance and potentially cause system outages)
- Corresponds to the procedures outlined in the Email Maintenance and Archiving Procedures document
- Conforms to the practices for file management and storage outlined in the current Technology Procedures Manual
- Incurs no additional expense for This Life
- Violates no laws
- Compromises none of the confidentiality requirements of This Life
- Does not fall under any of the 'unacceptable use' clauses outlined below.

Examples of what would be considered reasonable personal use are:

- Conducting a brief online bank transaction, or paying a bill
- Sending a brief personal email, similar to making a brief personal phone call

Permitted extended personal use

It is recognised that there may be times when staff need to use the internet or email for extended personal use. An example of this could be when a staff member needs to use the internet to access a considerable amount of materials related to study they are undertaking. In these situations it is expected that:

- The staff member advise and negotiate this use with their Manager
- The time spent on the internet replaces all or part of a staff member's break/s for that day, or that they adjust their timesheet accordingly for that day.

It is not expected that staff need to advise or negotiate with the Manager for personal use that would be reasonably considered to be of a limited nature.

Unacceptable use

Staff may not use internet or email access (including internal email access) provided by This Life to:

- Create or exchange messages that are offensive, harassing, obscene or threatening
- Visit websites containing objectionable (including pornographic) or criminal material
- Exchange any confidential or sensitive information held by This Life (unless in the authorised course of their duties)
- Create, store or exchange information in violation of copyright laws (including the uploading or downloading of commercial software, games, music or movies)
- Use internet-enabled activities such as gambling, gaming, conducting a business or conducting illegal activities

- Create or exchange advertisements, solicitations, chain letters and other unsolicited or bulk email.

Staff may not use the computers to play games in work time.

Related Documents

- Email Maintenance and Archiving Procedures
- Technology Procedures Manual

Acceptable Use of Vehicles and Equipment Policy HR22

Policy Number: HR22

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

Confusion as to whether employees or volunteers are entitled to make use of the organisation's vehicles and equipment is undesirable, and any misunderstandings and any ambiguity should be if at all possible avoided. The purpose of this policy is to ensure such confusion does not occur.

Purpose

The primary purpose for which vehicles and equipment are provided to This Life staff and volunteers is to assist them in carrying out the duties of their employment.

This policy sets out guidelines for acceptable personal use of This Life vehicles and equipment by employees and volunteers of This Life.

This policy is made up of specific policies governing the use of

- Mobile Phones
- Vehicles

A separate policy has been formulated to deal with acceptable use of computers, internet and email.

Policy

This Life's facilities, vehicles, and equipment are to be used to support its mission. This Life staff and volunteers may not use the organisation's resources (including any person, money, or property) under their control for personal benefit or gain, or for the benefit or gain of other individuals or organisations, except as specified below.

Employees and volunteers are permitted limited use of vehicles and equipment for personal needs where such use does not interfere with This Life business, involves minimal additional expense to This Life, involves minimal

additional risk to This Life, and conforms with applicable organisational procedures. Such permission may be revoked or limited at any time by the Board or the Executive Director.

This Life believes that staff and volunteers should be given the tools needed to effectively carry out their assigned responsibilities. Allowing limited personal use of these tools helps enhance the quality of the workplace and helps This Life to retain qualified and skilled workers.

This policy does not apply to those situations where personal use of This Life's equipment constitutes agreed remuneration under a contract of employment.

Volunteer Policy HR23

Policy Number: HR23	Effective Date: 20 th August 2009
Version: 02	Revised Date: 01 st January 2017
Drafted by: Deputy Director	Responsible person: Deputy Director
Date Approved by Board: 20 th August 2009	Scheduled Review Date: January 2024

Additional Authority: Law and related organisational policies

- Recruitment Policy
- Induction and Orientation Policy
- Equal Opportunity, Valuing Diversity & Affirmative Action Policy
- Travel and Per Diem Policy
- Code of Conduct
- Fraud Risk Management Policy
- Child Protection Policy
- Grievance and Dispute Resolution Policy
- Supervision Policy

Scope

This policy is applicable to all volunteers and interns.

Responsible Party

It is the responsibility of the Deputy Director to ensure that this policy is understood and followed.

Definitions

Volunteer: a person who works for an organisation without being paid.

Intern: a student or trainee who works, sometimes without pay, in order to gain work experience or satisfy requirements for a qualification.

Counterpart: This Life employee who works with the volunteer to provide work related support and who ensures they understand their role and assignments.

Policy & Procedure

This Life provides office-based opportunities for suitably qualified volunteers and interns to work in an international community development context. Depending on the skills of the volunteer and the projects available the minimum period of volunteering is 2 weeks.

This Life values volunteers for adding diversity to our workplace and for their skills and abilities that assist the organisation in meeting its mission and objectives. While working with us volunteers and interns are recognised as a core part of our team, with a distinctive but complementary role alongside employees.

Insofar as This Life benefits from the skills, experience and enthusiasm of volunteers/interns, we believe that volunteers/interns should be able to gain personal benefits from the experience too. We are committed to managing volunteers in a way that ensures that the needs of both parties are met. This Life is committed to ensuring equality to access to high quality volunteer opportunities and equality of treatment for our volunteers. This policy is intended to ensure that volunteers and interns have work that is safe, significant, fulfilling, and appreciated.

This Life is often requested to provide volunteer/intern opportunities. To ensure we implement a fair, effective and open system in the recruitment and selection of volunteers we ask that they complete a Volunteer Expression of Interest ([Appendix 7](#)) and provide their resume and a current working with children check or policy clearance. The application is then screened for relevant skills and abilities, and discussed with the management team to assess program needs and contact with referees before a final decision is made. The selected program will complete the volunteer assignment proposal outlining the duties and expectations of the volunteer as well as how that person will be supervised or assisted. To ensure the volunteer opportunity matches the volunteer's skills the volunteer is then contacted and the assignment proposal discussed and negotiated.

Prior to their arrival they are sent a number of documents as outlined on the Volunteer Induction and Orientation Form ([Appendix 8](#)).

Upon arrival volunteers/interns undertake an induction and orientation process as per the Induction and Orientation policy. The induction: explanation and signing of the volunteer agreement (Appendix 4), provides background information on This Life; explains its structures and procedures; describes the volunteer role and the work team and outlines how s/he will be supported. During the induction period volunteers will be provided with written information on relevant legislation, organisational policies and codes of practice and will be given the opportunity to discuss any issues with the Deputy Director and/or their PC or counterpart.

All volunteer placements are subject to a settling in period, the length of which depends on the nature and hours of the voluntary work. During this period volunteers are given additional support and a review meeting between the volunteer and his/her supervisor is held at the end of the settling in period to ensure that all parties are satisfied with the arrangement.

All volunteers are allocated a counterpart or supervisor who can provide day-to-day help and guidance on any issue related to the voluntary work and is responsible for providing regular support to, and supervision of, the volunteer. The frequency, duration and format of this support and supervision are agreed between the volunteer and his/her supervisor at the end of the settling in period, and are further defined in This Lifes Supervision Policy.

This Life aims to reflect the voluntary nature of our relationship with volunteers in all our policies and procedures for managing their involvement. Therefore, the volunteer/intern's designated supervisor deals with minor complaints or grievances about or by volunteers or their work through the usual support and supervision procedures, in the first instance as outlined in the grievance and dispute resolution policy. In the case of particularly serious offences, as specified in the Code of Practice, this process may be bypassed and/or the subject of the complaint asked to leave.

In order to effectively monitor the work that volunteers do and how they are managed, a personal file is maintained for all volunteers, which includes: contact details and other relevant personal information.

Employee Development

Employee Performance Review and Appraisal Policy HR24

Policy Number: HR24

Effective Date: 20th August 2009

Version: 02

Revised Date: 01st January 2017

Drafted by: Executive Director

Responsible person: DSS

Date Approved by Board: 20th August 2009

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- Supervision Policy
- Recruitment Policy
- Professional Development Policy
- Remuneration Policy
- Termination Policy

Scope

This Policy applies to employees only. If requested, volunteer and interns can participate in and have access to a review process in order to obtain feedback regarding their position and performance.

Responsible Party

It is the responsibility of the Director of Shared Services to ensure that section leads and line managers are trained and supported in implementing this policy.

Employees are to participate openly and honestly in planning and assessing their own performance objectives and receiving feedback from their section lead or line manager.

Definitions

Performance Appraisal – This is the process through which an employee's work performance is documented and evaluated.

Employee Development Plan – the annual plan designed to identify areas of growth for employees, either in their current position or in preparation for future roles. Areas of focus typically relate to the knowledge or skills outlined in their Job Description and can also include areas that an employee or supervisor identifies as development areas. Development goals may have a one-year completion timeline or they could cross over a number of years depending on the goal.

Policy

This Life's Annual Performance Review process has been designed to provide a vital link between the organisation's activities, its mission and guiding principles, and individual staff members. It is also designed to ensure that organisational goals and objectives are an integral component of the personal objectives of each individual.

The purpose of the Staff Performance Appraisal Evaluation Policy is to ensure the employees of This Life, as well as their managers have guidelines to ensure a fair and consistent approach to evaluate the employees' performance that promotes open discussion. This document provides guidelines, questions and evaluation tools for both the employee and manager to be able to effectively undertake performance appraisal.

The process begins with each new contract and includes employees on probation. During the first month of an employee's contract, section leads or line managers will work with the employee to develop an Employee Development Plan ([Appendix 22](#)). The Employee Development Plan will outline the employee's goals and objectives for the duration of their contract based on the key competencies outlined in their job descriptions, consideration is also to be given to the individual's long-term career objectives. This plan is reviewed every 3 months to monitor progress, update the plan and to ensure the employee understands how they are tracking against the plan (Employee Development Plan Review [Appendix 23](#)). When working with employees who are not performing well this policy lays the groundwork for an open and fair progressive process, which gives the person an opportunity to improve. In the first two weeks of the final month of the contract the employee will meet with their section lead or line manager for a Final Performance Appraisal ([Appendix 24](#)). The payment of the annual performance bonus is based on the outcome of this process.

Regular supervision is an integral part of the employee review and appraisal process (See Supervision Policy 18). Supervision provides a supportive environment in which the Employee can explore their work priorities through reflective practice and discussion. The Supervisor gains a comprehensive understanding of the employee's strengths and development needs that in turn inform the review and appraisal process. The Employee will have an understanding of how they are tracking against their performance development plan throughout the year by documenting their accomplishments, strengths and developmental needs. While supervision is conducted monthly and Employee Development Plan will not be discussed at every meeting it will be formally reviewed every three months.

Procedure

The Employee Performance Review and Appraisal process begins within the first month of all new contracts and will be reviewed quarterly.

Probation Period Evaluation

Each new employee contract has a three-month probation period. Within two weeks of the employee beginning work they will meet with their supervisor and complete a supervision contract (Supervision Policy 18), and begin formulating the employee development plan. During the second month of their probation the supervisor and employee will complete the employee development plan. During this time the supervisor is able to monitor the work of the employee to enable an objective evaluation of their skills and abilities and suitability to the role. Discussions about the employee's job performance during the probation period will be open and ongoing

ensuring that the employee understands what is required of them and how their performance is being monitored and evaluated. During the final week of the probation period the supervisor and employee will meet to discuss the employee's performance and it will be determined whether or not the employee has successfully completed the probationary period.

Employee Development Plan

The Employee Development Plan (Appendix 23) is designed to establish clear criteria which provide a challenge to employees and which can be reviewed and modified in response to employee achievements.

The DEPP will be developed by the Employee and the section lead or line manager during the first month of new contracts ensuring that it relates directly to the criteria set out in the Job Description and can include developmental and career objectives. The Employee Development Plan is to be reviewed quarterly and can be updated as required with input from both the employee and the line manager throughout the course of the employee's contract.

Prior to the development of the Employee Development Plan employees and their line manager are to review the job description and discuss the employee's needs and wants with reference to organisational capacity and objectives. The employee will then draft their Employee Development Plan, which will then be discussed and/or amended at a meeting with their line manager so that the Plan can be agreed and finalised.

The Employee Development Plan should outline the skills, knowledge and competencies the employee requires to successfully undertake their role during their contracted period. It will also outline the employee's career aspirations and development priorities for the following 12-month period, as well as the steps as to how these can be met. It is both the employee and their supervisor's responsibility to ensure that the plan is relevant to the Job Description and program objectives.

Quarterly ERA Discussions

The quarterly discussion about the employee's progress on their Employee Development Plan can form a part of the supervision cycle but will be documented so that the employee understands how their job performance is being viewed and whether or not any changes or updates need to be made to the Employee Development Plan.

End of Contract Evaluation

In the first two weeks of the final month of the contract the employee and line manager will meet to discuss the contract completion and the progress on the Employee Development Plan, and performance against the criteria outlined in the job description. The Final Performance Appraisal (Appendix 24) will be completed and signed by both parties and pending organisational need and satisfactory performance a further contract may be offered. As per the Labour Law if termination is being considered the employee is to be given 10 days' notice. Any decision relating to termination is to be made in consultation with the Executive Director.

Employees Disagreeing with the Evaluation

If the employee does not agree with the line manager's assessment in the evaluation, they are to discuss their concerns with their line manager during the process and are able to express their concerns in writing on the End of Contract Evaluation form. Where contentious decisions have been made the Deputy Director and Executive

Director will become involved. If this is unable to be resolved with their input the process outlined in the 1997 Labour Law is to be followed.

Deputy Director, Executive Director and Special Cases

Employee Review and Performance Appraisal for the Executive Director and Deputy Director may include a 360 degree evaluation to ensure that there is accountability for all people involved, this process will be managed by the Board of Directors. A 360-degree evaluation might also be asked for a section lead or line manager ([Appendix 25](#)). In these instances the employee will know that the 360-degree evaluation is being completed; however they will not know which employees have been asked by management to complete the evaluation. This anonymity ensures that the employees can complete honest evaluations without concern for their position or work relationships.

Link to Annual Bonus Payment

The Annual Performance Review process is linked to the Annual Bonus Payment.

If the employee is assessed as consistently exceeding their job requirements as outlined in their Job Description they will be paid 100% of the bonus. Employees who consistently meet the expectations for job requirements will be paid 75% of the bonus. Employee's whose performance is below expectations will not receive the annual bonus. Employees who have received a formal written warning will only be eligible for 50% of the bonus that would otherwise be paid.

Supervision Policy HR25

Policy Number: HR25

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: Executive Director

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- Employee Performance Review and Appraisal

Scope

All employees are expected to participate in formal supervision with their section lead or line manager. Formal supervision is in addition to responsive and skilled support and direction for employees requiring informal supervision or case consultation on a day-to-day basis.

Responsible Parties

It is the responsibility of the Executive Director to ensure that supervisory staff are provided with the developmental opportunities required to be able to facilitate supervision. Responsibility for the quality and value of supervision lies with both the supervisor and the staff member, both must be prepared to engage in open and respectful interactions.

Definitions

Supervision – is alternatively referred to as ‘*One-on-Ones*’, offers a regular, formal, planned and structured process of professional support to employees. Through supervision, employees are held accountable and responsible for their work and are assisted to increase their skills and practice knowledge through reflective practice. Further, they are supported to identify personal strengths or challenges that affect their job performance. Supervision is the place where progress on the employee development plan can be mapped and feedback given regularly. Good supervision also helps to improve client outcomes by developing competence and efficiency, as well as promoting worker moral and a sense of professional self-worth.

Employee Development Plan – the annual plan designed as a part of the employee appraisal process to identify areas of growth for employees, either in their current position or in preparation for future roles. Areas of focus typically relate to knowledge or skills that an employee would like to develop or that a supervisor identifies as development areas. Development goals may have a one-year completion timeline or they could cross over a number of years depending on the goal.

Learning and Development Needs – refers to identifying training and development opportunities that will lead to acquiring knowledge and skills as detailed in the employee’s job description and other relevant documents that are required to perform the position.

Strengths Based – refers to an approach to the supervision process and relationship that frames objectives in terms that build on what the supervisor can do well, as well as identifying opportunities to recognise and celebrate the supervisee’s small successes towards achieving their supervision objectives.

Policy

Supervision is aligned with and linked to the Performance Review and Appraisal process, and is considered to be an integral part of service delivery and workforce management. The development and maintenance of skilled and supported employees depends, by large, on the support and structured reflection provided by a supervision framework. Supervision has a number of benefits for employees, clients and the organisation as a whole, including:

- Protection and a commitment to quality service provision for clients through case review
- A forum of accountability for those whom the worker is accountable (*clients, organization, profession*)
- A reflective space for workers to identify their strengths and weaknesses and any personal issues that may impact on their professional practice
- An opportunity for workers to build their skills and identify areas for future development in a supportive environment
- An opportunity to discuss sensitive issues including child protection and any
- concerns about an individual or colleague’s practice.

For supervision to be effective, staff members need to have a clear understanding about the expectations of them in carrying out their role, which requires:

- An accurate and current position description
- An understanding of their key responsibilities within their position
- Familiarity with the case management procedures of their project
- Familiarity with any legislation or standards that apply to their work

Supervision and Employee Performance Review and Appraisal

Supervision is a key component of the Employee Performance Review and Appraisal process. The Supervisor is responsible for both processes. Supervision allows the Supervisor to continually assess the employee's work and developmental needs so that the initial appraisal will be informed by an understanding of the employee's strengths and abilities. Supervision allows for continual monitoring of the capacity and development of the employee leading to a balanced and fair appraisal of their work during the contracted period.

Components of Supervision

The five main components of formal supervision are as follows:

1. Case-Work/Activity Review

For staff members dealing with clients, this process includes a review of all allocated cases and a discussion on the progress, challenges, barriers and successes for each case.

2. Performance Feedback

This involves a discussion about how the staff member is managing their work commitments and timelines as well as the outcomes being achieved for clients or the program. Staff member confidence and competence in their role will also be a focus.

3. Reflective Practice

The employee is invited to share and reflect on their work and is encouraged to take responsibility for continuous improvement of their work practice such as identifying learning and development needs inclusive of culture and gender competence, and practice standards.

4. Personal Support

Personal issues, values and experiences can, and do, impact staff in their day-to-day work. Supervision provides an opportunity to explore these and to discuss any personal factors, which may be impacting on work participation or performance, as well as any work issues that may be impacting on the individual.

5. Professional Development

Ongoing and targeted professional development is an important part of an individual staff member's growth and expertise. Supervision provides a space to identify possible areas for development and to discuss the application of what has been learnt in any training they have attended.

All these components are to be conducted within a framework of *Reflective Practice*, which requires the staff member to understand their own experiences and personal responses to the work they do, as well as explore their related actions and reactions.

Procedure

Supervision Contract

Within two weeks of signing a contract the Supervisor will set an initial supervision meeting. At this meeting the supervisor will explain the purpose and conditions expected for supervision and discuss how the agenda for each

meeting will be set. A Supervision Contract will be negotiated (Appendix 25) this will include discussion about all of the following points.

Frequency and Duration of Supervision

Supervision sessions will be scheduled regularly and be;

- On an individual basis between staff member and Program Coordinator/Director
- For a *MINIMUM* of 1 hour per month guided by the subject matter, purpose and needs of the employee
- Documented by the section lead or line manager and signed by both the supervisor and the employee.

Supervisor's Roles and Responsibilities

- Agree on a regular time and place to meet
- Observe and listen carefully to the staff member and acknowledge their strengths
- Maintain an open and inquiring mind
- Provide opportunities for the staff member to reflect on their practice
- Review the staff members current caseload/work plan and their progress towards achieving outcomes
- Encourage the staff member to talk openly about their work experiences and how these may have impacted or effected personal responses
- Ensure any issues raised that require action are acted upon within agreed timeframes
- Ensure professional development needs are identified and addressed as a priority
- Ensure work is allocated based on the skill level and experience of the staff member
- Ensure each session is accurately recorded ([Appendix 26](#))
- Ensure that support is available after stressful situations
- Maintain confidentiality beyond the session

Employee's Responsibilities

- Agree on a regular time and place to met
- Attend supervision sessions regularly
- Come prepared to discuss details of your cases/work activities and experiences, including, progress, issues, challenges, barriers and any associated personal issues and associated personal responses
- Bring current summary of caseload and/or work activity record
- Maintain an open and enquiring mind
- Ensure professional development activities suggested and/or requested are attended
- Meet the designated timeframes to address any issues raised
- Keep supervisor informed if timelines cannot be met or work demands are becoming too difficult to manage
- Make time to seek support following stressful situations

Recording Evidence of Supervision

Supervisors need to maintain records as evidence that supervision has taken place; it also enables actions to be followed-up at the next scheduled session. Using the *Supervision Record* template ([Appendix 28](#)), supervisors need to record a summary of key discussion points, what action is to be taken, by whom, and in what timeframe. These records must be stored confidentially in individual staff member files and copies must be made available to the related staff member if they wish.

Training and Development Policy HR26

Policy Number: HR26	Effective Date: 01st January 2017
Version: 01	Revised Date: N/A
Drafted by: Executive Director	Responsible person: Staffs, LM, SL, SMT
Date Approved by Board: 01st January 2017	Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- Staff Supervision Policy
- Employee Appraisal and Review Policy
- Grievance and Dispute Resolution Policy

Scope

All Employees' are entitled to the training and development opportunities as outlined in this policy.

Responsible Party

It is the responsibility of each employee and their section lead or line manager the Senior Management Team to ensure that employees undertaking staff selection processes understand and abide by this policy.

Policy

This Policy is to be read in conjunction with the Staff Supervision Policy. In alignment with This Life's organizational values, we encourage employees to access training and development opportunities to ensure that our staff are trained and supported to achieve the organizations mission and objectives.

While provision of training is an organizational responsibility, employee development is a shared responsibility of management and the employee. The responsibility of management is to provide the right resources and an environment that supports growth and the development needs of the individual. As a part of each employee's development plan, the employee, with input from the section lead or Line Manager, will identify their individual training needs for knowledge and skills development.

It is the responsibility of the employee and their section lead or line manager to identify opportunities to attend conferences, meetings or training sessions that will result in the meeting the agreed plan. Employees may also request to attend conferences, meetings or training sessions that will further their personal career development.

All new employee's must complete training on understanding and responding to signs of child abuse.

Organizational Training Plan

The employee annual development plan will inform the organizational training plan which will be maintained by the Management Team (section lead level) ([Appendix 27](#)). Where four or more employees have identified the same training and development needs consideration will be given to how This Life can best facilitate this.

Training and personal development Budget

This Life will budget to ensure that each employee has access to USD 300 per year in funding for training. When the employee's allocated budget has been spent and they wish to attend further training the employee may need to consider self-funding.

Authorization to attend training

The employee is to complete a training application form (Appendix 28), which is to be authorized by their program coordinator before being authorized by the Section Lead or next highest Line Manager. In recognition that some training opportunities are given at short notice this authorization process is to be completed within 24 hours and can be completed over the phone or via email if the authorizing person is not in the office.

Internal Training

This Life has experienced and knowledgeable staff, which are able to provide training courses for their colleagues. In particular this refers to day-to-day program operations as well as any updated or new internal policy and procedure, and any area of particular expertise held by the employee.

On occasion This Life may employ an external trainer for internal training, which can be funded through using a proportion of each employee's budget allocation for training.

This Life may advertise for a professional volunteer trainer through the volunteer portal. On these occasions prior to the training the volunteer will work with a Khmer speaking counterpart from This Life for at least the same amount of time that it takes to deliver the training so that the counterpart is able to co-facilitate and translate the information.

External Training

Employees must inform their section lead or line manager of their intent to attend training.

Time off to Attend

Employees can apply, through their section lead or Line Manager, to attend training that is free, self-funded or granted to the employee via an application process. Permission to attend will be granted on a case-by-case basis.

English Lessons

This Life will support employees who want to improve their English by provision of an organizational letter to ACE so that they can receive the 20% discount for NGO workers. If an employee decides to use their allocated training money to improve their English they can receive up to USD 50 for each term that they pass until their training allocation has been spent. Lessons must be provided by ACE. Employees will be required to provide both their enrolment forms and end of term report indicating that they have passed to receive the This Life contribution to their education.

Grievances

Any grievances arising out of this policy will be managed through the processes outlined in the grievance process.

Leave and Salary

Remuneration Policy HR27

Policy Number: HR27	Effective Date: 01 st January 2017
Version: 03	Revised Date: 20 th March 2023
Drafted by: Executive Director	Responsible person: ED, FM
Date Approved by Board: 01 st January 2017	Scheduled Review Date: March 2025

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Working Hours, Salary and Annual Leave Calculation Policy
- Savings Scheme Policy
- Performance Appraisal and Review Policy
- Disciplinary Policy
- Termination Policy

Scope

This policy is relevant to all employees.

Responsible Party

It is the responsibility of the Executive Director and the Finance Manager to ensure that this policy is followed and that the adjunct salary scale is reviewed on an annual basis.

Definitions

Position – This is the job title of the employee.

Level: The level of a position is based on the level of responsibility of the position and the education, experience and or skills required for the position.

Grade: Within each level there are 5 salary grades from Junior to Senior Officer. An officer will graduate to the next salary grade after a positive annual appraisal.

Junior Grade 1 - this is the entry level for the given position, meaning the person is in training requires day-to-day supervision and assistance to fulfil the minimum requirements for the job.

Officer Grade 2 - The employee has some experience and knowledge and is beginning to master most of their duties related to the job in an independent manner. Employees whose salary falls between junior and Grade 1 are in the development phase because they are still learning their job.

Officer Grade 3 – The employee is experienced and has a working knowledge of their duties requiring minimal day-to-day oversight of their work. They are able to undertake most of their duties independently.

Officer Grade 4 - The employee is highly experienced and their level of productivity exceeds the job requirements. Employees at this grade are independent, and have mastery of their duties.

Senior Officer Grade 5 - The employee is continuously producing results that are well above the requirements of the job. Senior Officers are considered to be in the leadership phase because they have demonstrated superior leadership skills and a strong commitment to the organization.

Policy and Procedure

This Life is a professional organisation with a philosophy based in openness and transparency. The below salary scale is an adjunct to the This Life Personnel Policy which outlines process and ensures that remuneration is consistent for all employees.

Salary Tax

All This Life employees are legally required to pay tax, which will be withheld from their salaries in accordance with the current Law on Taxation in Cambodia or their home country.

Bank Account

All This Life employees are required to open a bank account, for their salaries to be paid into. HR will organise this for all new employees as part of the onboarding process.

Payment Of Salaries

All salaries and all financial payments for benefits are paid directly to the Employee in US Dollars. All salaries will be paid monthly in arrears, i.e. at the end of the month worked.

Starting Salary

The standard starting salary for each Level is grade 1. However, if the Employee has relevant previous experience, qualifications or skills, a higher starting grade may be negotiated but requires authorisation from the Executive Director.

An employee subject to probation will receive the same salary that they would normally receive after completing probation.

Salary Adjustment

A salary adjustment will be considered only in exceptional circumstances:

1. The employee's salary is excessive compared with their supervisor (i.e. exceeding the salary of his/her supervisor) and there is not adequate justification for such a situation; or
2. The employee's salary is excessive compared with their colleagues who are on the same salary grade or higher grades with similar experience.

The employee is to be informed of the need for an adjustment. The adjustment is implemented through limiting future salary increases to an agreed fraction of the normal incremental increase in salary on the anniversary date.

Higher Duties

Employees who agree to assume the duties of key positions for an agreed time period longer than 4 consecutive weeks, in the case of prolonged absence or vacancy of a line manager, shall be eligible for a Higher Duties Allowance. The higher duties allowance will be equal to the grade 1 salary of the higher position.

Acting opportunities of less than 4 weeks are considered developmental opportunities and will not receive additional salary.

Promotion

An Employee who is promoted to a higher level will move to the 1st grade of that level unless this would mean a decrease in their salary. A new contract and new anniversary date will come into force with effect from the date on which the promotion starts.

Salary Deductions

This Life deducts income tax from all salaries and employee contributions to for those who have agreed to participate in the savings scheme. Employees will be informed of any changes to law requiring This Life to make further deductions.

End of Contract Performance Bonus

In accordance with the Performance Appraisal and Review Policy all employees will undertake an evaluation of their performance with their section lead or line manager in the first two weeks of the month preceding the end of their contract. Based on the outcome of this evaluation the employee will receive a performance bonus, up to the equivalent of the Employee's basic salary in the final month of their contract. As outlined in the Disciplinary Policy if an employee has received a written warning they are only eligible for 50% of the assessed bonus. For those contracts that are continued employees are able to defer this payment to be paid at Khmer New Year and in these cases this will be paid on the last payday before Khmer New Year. Employees who have not completed 12 months of service prior to Khmer New Year are not eligible for the payment until they have completed their first contract.

Long Service Leave

An Employee is eligible for Long Service Leave of an additional 4 weeks after completing 8 consecutive years of employment with satisfactory performance reviews.

An employee who reaches this status will receive *a one-time bonus equal to one-month of their current salary*. They will also receive a certificate from This Life recognising their achievement.

Phone Card Allowance

A phone card allowance is provided to all employees. This amount is only to be used for This Life-related purposes. The phone card allowance is based on the position. A phone card allowance of USD5 is for vocational course trainers, field assistants, cleaner and Interns, USD20 for the Executive Director and USD10 for the rest of This Life Staff.

SALARY SCALE

Position	Grade / Level	Junior Grade 1	Officer Grade 2	Officer Grade 3	Officer Grade 4	Snr Officer Grade 5
Cleaner	1					
Intern				STIPEND		
Driver	3					
Finance and Admin Officer	4					
Project Officer	5					
Case Manager	5					
Team Leader/Senior Officer	6					
Project Coordinator	7					
Finance Manager	8					
VTSE Business Manager	8					
Communications and Marketing Officer	8					
Strategic Partnerships Manager	9					
Deputy Director	10					
Executive Director	11					

Insurance

Health Insurance

All Employees are covered by health insurance obtained by the organisation. However, for expatriate staff, This Life will cover the agreed insurance policy's cost for the employment contract's length to a maximum of USD 600 and USD 1200 for the Executive director for each twelve-month period.

Accident and Death Insurance

Since there is presence of Personal Accident Insurance in Cambodia and is favourable to the staff and is acceptable to This Life, then it is responsible for purchasing insurance from the Insurance Company every year for the staff. The Personal Accident Insurance covers on indemnity against bodily injured caused by violent accidental external and visible means. If an employee has accident or dies in the course of, or as a result of, carrying out official duties while employed by This Life, a payment to the employee's family will be covered by Insurance Company in compliance with Insurance Company's Personal Accident Policy.¹

Severance Pay

In accordance with the Savings Scheme Policy, severance pay is paid at the end of each contracted period unless rolled over into the following years savings.

1. The employee whose contract is terminated by This Life prior to the end of the term is entitled to severance pay of 5% of the salary based on the full contract term. They are also eligible to receive their salary for the remainder of the contracted term.
2. The employee who terminates their contract prior to the end of the term in mutual decision with This Life will receive 5% of the salary received under the current contract for the remainder of the contracted term.
3. The employee who terminates their contract without agreement from This Life is liable for to pay This Life damages resulting from the termination of the contract. (I'm not sure whether or not you want to include this clause in the policy and how if you want to include it such costs are calculated).
4. The employee who is dismissed for serious misconduct is entitled to severance pay of 5% of the salary received under the current contract to the date of termination but no other benefit.

If a worker resigns during the fixed term contract without any legal reason, he/she must pay the employer for any damages suffered by him/her as a result. On the other hand, if an employer cancels a fixed term contract without any legal reason, he must pay the worker the full amount (of wages) that the worker would have received if he/she had been allowed to work until the end of the contract.

On termination of the employment, severance pay is payable to retrenched workers (terminated for economic reasons and other reasons except for serious misconduct), depending upon the length of service, at the following rates:

- 7 days wages for employment from 6 months to 12 months; and
- 15 days wages for every year of employment (up to a maximum of 6 months wages) Workers are also entitled to severance pay on contract termination due to health reasons.

If a worker resigns during a fixed term contract and takes a new job, the new employer is jointly liable for damages caused to the former employer if it is proven that he encouraged the worker to leave the earlier job.

Saving Scheme Policy HR28

Policy Number: HR28

Effective Date: 20th August 2009

Version: 03

Revised Date: 22nd January 2020

Drafted by: Deputy Director

Responsible person: DD, FM Date

Date Approved by Board: 20th August 2009

Scheduled Review Date: January 2024

Additional Authority: Law and related organisational policies

- 1997 Labour Law
- Remuneration

Scope

All employees are eligible to participate in the Savings Scheme.

Responsible Party

It is the responsibility of the Deputy Director and Director of Shared Service to implement this policy.

Policy

The Savings Scheme provides employees with financial incentives and encouragement to save for their future. All employees are entitled to join the Savings Scheme after successfully passing their probationary period of employment ([Savings Scheme Contract Appendix 10](#)).

The Savings Scheme encourages employee savings through individual commitment to personal contributions alongside an additional organisational contribution that is paid as follows:

- a. The employee contributes 5% or 10% of their salary each month into savings based on their salary.
- b. This Life contributes a benefit of 5% of the employee's salary into their savings. This benefit is only paid to those employees who complete a full year of savings.
- c. The Labor Law mandates all organisations to pay 5% severance pay and This Life pays an additional 5% into the savings scheme to meet this obligation. Whether or not the employee withdraws their savings this 5% will be paid at the end of each contracted period.

To be eligible for the full benefit of the savings scheme the employee must remain in the scheme for a full 12 months. If they decide not to withdraw their savings at the end of the first year, during the second year their personal contribution is reduced by 50% and the This Life contribution and severance pay contribution remain at 5% of the salary. If the employee does not withdraw their savings at the end of their second year, in the third year the personal contribution is reduced to 0% while the This Life contribution and severance contribution remain at 5% of the salary. Thus the employee continues to receive the additional benefit for less personal contribution if they roll their contribution over for three consecutive years.

Alternatively if the employee chooses to withdraw their savings at the end of the first contracted period, they are able to remain in the scheme with their personal contribution being that rate set for the first year of contribution. If an employee withdraws money from the savings scheme prior to the completion of a contracted period they are not entitled to the additional 5% employer contribution for that contracted period nor the 5% severance payment which would be paid at the end of the contract.

Procedure

After successfully completing their probation period, the This Life employee will be offered the opportunity to choose whether or not they wish to contribute to the Savings Scheme for their remaining 9 months of their first year.

Thereafter at the beginning of each subsequent year, the employee will be given the opportunity to participate or continue in the savings scheme.

Employee and organisational contributions are based on the following tables. Employee contributions will be automatically deducted from their monthly salary and held in the This Life Savings Scheme account.

Table 1: Salary per month under 200USD.

YEAR	Personal Contribution	This Life Contribution	Severance Payment
1	5%	5%	5%
2	2.5%	5%	5%
3	0%	5% and thereon	5%

Table 2 Salary per month over 200 USD

YEAR	Personal Contribution	This Life Contribution	Severance Payment
1	10%	5%	5%
2	5%	5%	5%
3	0%	5% and thereon	5%

Withdrawal of Savings

An employee who wishes to withdraw their savings prior to the end of their contract must complete a Savings Scheme Withdrawal Form ([Appendix 11](#)) outlining the reason for their request and the amount that they want to withdraw. The request must be dated and signed and provided to the Deputy Director.

Reasons for requests to withdraw savings can include:

- The purchase or construction of a home
- Employee is getting married
- Employee is having a child
- In the event that the employee or a family member suffer a significant illness or accident
- Any other significant event where they require access to their savings.

An employee cannot withdraw This Life contributions for the current contracted period and any withdrawal renders them ineligible for the This Life contributions for that contracted period. The requested amount cannot exceed the amount to which they are entitled, and the 5% severance pay will be paid at the end of the contract.

The Deputy Director is responsible for approving the request based on the information provided. When approved the requested amount will be provided to the applicant.

Benefit at end of Contract

An Employee can complete the Savings Scheme Release Form ([Appendix 10](#)) at the end of their contract to receive their total accrued benefit for the contracted period.

If an employee does not wish to take part in the savings scheme they will be paid their 5% severance pay at the end of each contracted period.

If an employee has withdrawn from the Savings Scheme during their contract at the end of their contract they will receive any accrued personal contributions plus the 5% severance payment.

Benefit at Termination

In case of serious illness or disability, which makes it impossible for the employee to continue working for This Life, the person concerned will be paid 100% of their personal contribution plus the pro-rata This Life contribution and the 5% severance pay.

In case of an employee's death, 100% of their contributions plus their pro-rata This Life contribution and 5% severance pay will be paid to their beneficiary.

- a. An employee who resigns prior to the end of their contract is entitled to 100% of their personal contributions including the 5% pro rata severance pay but is not entitled to the This Life contribution.
- b. An employee who decides not to renew their contract at its expiry is entitled to 100% of their accrued benefit including the This Life contribution and 5% severance.
- c. An employee whose employment is terminated through no fault of their own will receive 100% of their personal contribution and the This Life contribution for completed contracts, if not already paid out, plus 100% of their personal and pro rata This Life contributions plus the 5% severance for the whole of the contracted period.
- d. When an employee is terminated as a result of misconduct as outlined in Article 83 and 84 of the Cambodian Labor Law they are entitled to 100% of their personal contribution and pro-rata severance pay to the date of their termination. They are not entitled to the This Life contribution.

Monitoring and Transparency

At the end of each contracted period the employee will be given a letter outlining their total benefit broken down into their personal contribution, the This Life contribution, plus the 5% severance payment.

Salary Advance Policy HR29

Policy Number: HR29

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: DD, Finance Team

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies.

- Remuneration Policy

Scope

All employees are eligible.

Responsible Party

It is the responsibility of the Deputy Director and Finance team to implement this policy.

Policy

In alignment with This Life's organisational values, This Life supports employee's needs by providing access to salary advance.

1. The This Life employee who has successfully completed their probation period is entitled to apply for a salary advance.
2. The This Life employee is eligible to apply for a maximum of one-month net salary.
3. The This Life employee is eligible to apply for a salary advance three times within each contracted period.
4. The salary advance will automatically be deducted from their next salary payment.
5. The salary advance shall not be given to This Life's employees who are under disciplinary procedures.

Procedures

1. The This Life employee completes the Salary Advance Request Form ([Appendix 12](#))
2. The This Life employee submits their completed Advance Salary request form to their Program Coordinator/Supervisor.
3. The Program Coordinator/Supervisor shall check and comment on the completed Advance Salary request form, and then submit to Deputy Director for approval.
4. Only the Deputy Director is authorized to approve the Salary Advance.
5. Postponement and Rejection:
 - a. As per Program Coordinator's/Supervisor's comments;
 - b. If the Deputy Director considers the request unreasonable.
6. The completed Advance Salary request form is to be submitted to the Deputy Director at least 3 working days prior to the date needed.
7. The Deputy Director shall forward the employee advance salary approval to Financial Department.
8. The Finance Manager will organize the salary advance, and will also keep the request form for financial records.

Leave Policy HR30

Policy Number: HR30	Effective Date: 01 st January 2017
Version: 02	Revised Date: 24 th May 2023
Drafted by: Deputy Director	Responsible person: DD, DSS
Date Approved by Board: 01 st January 2017	Scheduled Review Date: May 2025

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labor Law
- Probation Policy
- Working Hours a, Salary and Annual Leave Calculation Policy
- Remuneration Policy
- Termination of Contracts Policy

Scope

All Employees are entitled to the leave benefits outlined in this policy.

Responsible Party

It is the responsibility of the Deputy Director and Director of Shared Service to ensure that this policy is implemented and understood.

Policy

This policy outlines the expected work hours and leave entitlements for employees, interns and volunteers. This policy ensures employees are treated fairly and compensated as well as ensuring the Labour Law guides organisational policy. It also outlines an employee's obligation for communicating their movements to ensure the smooth running of the organisation.

Hours of Work

This Life office based Employees work Monday to Friday 7.5 hours per day, totalling 37.5 hours per week. Core business hours are from 8am to 12pm and from 1.30pm to 5pm. Occasionally office based employees may be required to work outside of the core business hours or on weekends. This Life also contracts employees to work from locations outside the office. The work hours for these employees are negotiated on an individual basis and included in their contracts. They may be required to work weekends and/or public holidays.

Overtime and Compensation Leave

As a general rule This Life does not pay overtime but will ensure that employees are fairly compensated for their time through time off in lieu that we refer to as compensation leave.

Employees who are required to work more than 48 hours per week are entitled to take compensation leave at the rates outlined in the Labour Law, hours worked at night will accrue a rate of 50% more than the hours worked. Hours worked on Sundays and Public Holidays will accrue double hours (Article 139). If an employee works beyond 48 hours in any one-week period, additional hours will be accrued at 50% more than hours worked. Employees are entitled to either compensation leave or a meal allowance when working overtime in the evening.

It is recognised that some This Life employees, namely the vocational trainers, are unable to take Compensation leave due to their structured part time work schedule.

Flexible Working Hours

Employees may be flexible with their daily starting and finishing times, however they must work 37.5 hours per week or 75 hours per fortnight. Flexi-time is to be discussed with your line manager.

Public holidays

Employees are entitled to all Public Holidays as identified by the annual Prakas issued by the Ministry of Labour and Vocational Training. Employees will not be compensated for Public holidays that fall on a Saturday. Employees will be paid for Public Holidays and these are not counted as annual leave.

Employees can exchange nominated Public Holidays for annual leave with agreement from the line manager.

Annual Leave

Employees who work 48 hours per week are entitled to 1.5 days of paid annual leave per month of continuous service to a total of 18 days per year. For agreed hours of less than 48, annual leave is calculated on a pro-rata basis. For every 3 years of continuous service, employees are entitled to an additional day of leave per year.

Employees are entitled to use their leave after 1 year of service, however with agreement from the line manager, employees with less than 1 years' service may access accrued annual leave days.

Employees on probation will also accrue Annual Leave, but they cannot use Annual Leave during probation.

Deferment of Annual Leave cannot exceed 3 consecutive years and can only apply to leave exceeding 6 days per year, except for Section Leads and Senior Management Team members, who can defer their entire leave. This Life will actively encourage staff to manage their leave so that they do not lose annual leave benefits and to minimise their end of contract costs.

Khmer New Year

In principle annual leave is given for Khmer New Year, unless there is a different agreement between the employee and employer.

Sick Leave

Employees are entitled to 10 days sick leave per year. If this is not used it does not accrue to the following year. It is a separate entitlement to annual leave.

An employee's contract may be suspended for up to 6 months in case of illness with a medical certificate from a doctor. In this case the employee will be paid 100% of their wage for the first month, 60% for the second and third months and for the 4th and following months no wages. Any bonus that is due during this period will be paid. After 6 months the contract may be terminated.

Special Leave

Staff who exhaust their annual leave can request a special leave under the following circumstances; however, the special leave will be deducted from the annual leave accrual for the current contract period. If there aren't enough months in the current contract period for annual leave accrual, the employee can make up the hours in overtime. The leave cannot be deducted from the following years' leave.

- Marriage of self and family members.
- If an employee's spouse, parent, or child falls ill.
- Death of an extended family member.
- Staff on probation may apply for Special Leave in the event that they contract COVID-19.

Any other reasonable circumstance that requires leave being taken at short notice. (Art. 171; Prakas 76/98, 267/01)

Compassionate Leave

Losing a loved one is an unavoidable situation, and in such events, employees can avail of five days of fully paid “Compassionate Leave” to grieve their loss and manage any responsibilities they may have due to the sudden loss. If this is not used, it does not accrue to the following year. It is a separate entitlement to annual leave.

- An employee can avail of compassionate leave in the event of the death of an employee's spouse, parents, children, grandparents, or siblings.

Maternity Leave

Employees who give birth are entitled to 90 days of maternity leave after one year of continuous service. There is no restriction on whether the leave must start before or after the birth.

During the maternity leave period, the employee will be paid 100% of their current monthly wage. The payment will be made monthly with the regular payroll.

Employees on maternity leave can apply for an additional two months leave under the suspension of contract. This time must be negotiated with the employer and may require medical evidence and is not paid leave.

Return to Work After Maternity Leave

For a period of two months after returning from leave, the employee is only obligated to perform light work.

An employee may not be terminated because they become pregnant, or while they are on maternity leave.

New mothers are entitled to take one hour per day, for the first year following the child's birth, to breastfeed during work hours. This hour period may be split into two 30-minute sessions, one in the morning, and one in the afternoon. The organisation and the employee should come to an agreement on the time the breaks should be taken, otherwise, the breaks should occur midway through each shift. Breastfeeding breaks are in addition to, not in place of, regular breaks. (Const. Art. 46; Art. 182-185; AC 48/07, 53/07)

Paternity Leave

The beginning of becoming parents is a very important time to be together. Hence, five days of fully paid “Paternity Leave” can be availed by any new father to provide emotional support and share the responsibility of welcoming the newborn with their spouse.

Paid Fellowship or Training Leave

Paid Fellowship or Training Leave will be granted in exceptional circumstances that benefit the organisation. For example an employee is granted an internship or scholarship of up to two months where the learning will benefit both the organisation and the employee. For every month, they must continue their contract for at least 12 months after taking the paid special leave. Therefore, if they take one month of paid special leave for an approved fellowship or training, they must return to work for at least 12 months. If the employee takes two months of paid

special leave for an approved fellowship or training, they must return to work for at least 24 months. If the employee terminates their employment within that 12 - 24 months they will be liable to repay their wages on a pro rata basis. They will not be required to repay any money if This Life terminates their contract.

Applications will be considered on a case-by-case basis.

Suspension of the Employment Contract

An employment contract may be suspended for a variety of reasons. During the suspension, the employee is not required to work, and the employer is not required to pay wages. The Labor Law outlines the only valid reasons for suspending a contract as:

- Military service by the employee or employer,
- Illness accompanied by a doctor's certification,
- Disability resulting from a work-related accident, or illness,
- Pregnancy, child-birth, or any post-natal illness,
- Absence authorised by the organisation based on any laws, or agreements between the organisation and employee,
- Temporary layoffs set-forth in the organisation's internal regulations,
- Absence during paid leave,
- Incarceration of a worker without a later conviction,
- During investigations of employee misconduct,
- As discipline for misconduct, though the length of suspension must be proportional to the offense,
- An act of God that prevents one, or both parties from performing contractual obligations, for a period of up to 3 months,
- Serious economic difficulties sustained by the organisation, or other serious material
- difficulties that prevents the continued operation of the organisation.
- Death of a significant person resulting in significant grief and loss

Such suspension cannot exceed two months, and must be determined by the Labor Inspector. Art. 27, 71, 72

Unauthorised Absence

An unauthorised absence is when an employee does not come to work and does not inform the Human Resource Department or their line manager of the reason for their absence within 24 hours.

The Human Resource Department will manage unauthorised absences, and following the recommendation of the Senior Management Team, a decision will be made by the signatory of the employment contract about suspension or termination.

End of Employment

Employees are entitled to payment for any outstanding annual leave including the pro-rata leave accrued during the current year.

If the employee ceases employment and has a negative leave entitlement the organisation is entitled to monetary compensation for the time owed at the rate of the employee's daily payment.

PROCEDURES

Flexi Time

Flexi Time is an adjustment to an employee's core working hours. Core working hours at This Life fall within the bandwidth of 8am to 12pm and 1.30pm to 5pm. Employees may request an ad hoc adjustment on a given day to attend appointments or meet other personal obligations, or they may request a regular arrangement in which they

work different hours within the bandwidth for example, starting later in the day with a shorter lunch break. All alternative working hours should be noted in the individual's timesheet and calendar.

If an employee is consistently working above their 7.5 hours per day and has in excess of 4 hours in credit at the end of the week they are able to convert this to compensation leave with line manager approval. Flexi time cannot be used as a way of accruing more than 7.5 hours compensation in any one-month period. Flexi time is accrued at a one hour for one-hour ratio.

Compensation Leave

Where an employee is required to work over 37.5 hours and wishes to be compensated with Compensation leave, they must speak with their line manager in advance to gain approval and demonstrate the need to work additional hours.

In order to claim compensation leave, an employee must provide a completed timesheet in OrangeHRM with details of the work that has been completed throughout the week, including the work produced from the additional hours.

For additional hours between 37.5 hours to 48 hours, employees are entitled to compensation leave at one hour for one hour. For hours worked in excess of 48 hours, compensation leave can be accessed at the following rates.

- Compensation is accrued at 150% for out of hours work on weekdays and 200% on weekends and public holidays.

Compensation leave can be taken in half day or full day blocks and a leave request must be submitted through OrangeHRM and their line manager in advance of the leave being taken.

Compensation leave is at the discretion of the line manager and may be reviewed at any time. Prior notice of 3 days is required and must be submitted through OrangeHRM.

Annual Leave

Employees are to apply for annual leave 2 weeks in advance by filling out the leave form on OrangeHRM. At the beginning of each year they are to nominate 7 days leave to be taken throughout the year. This is to ensure that employees utilise their leave entitlement while recognising that at times leave needs to be taken at shorter notice.

Special Leave

Special Leave by its nature cannot always be planned for. If it is planned special leave, the leave request on OrangeHRM is to be completed in advance.

When Special Leave is unplanned it is the employees' responsibility to ensure that the Human Resource Department, their line manager is informed of the nature and duration of the leave. Under special circumstances, the leave request can be submitted upon return from leave.

Paid Fellowship or Training Leave

Requests for paid fellowship or training leave will be considered on a case-by-case basis. The employee must provide the relevant information including paperwork from sponsoring bodies.

Sick Leave

An employee taking sick leave is to inform the Human Resource Department through OrangeHRM and their line manager by call, email or message as soon as possible in most cases before 8.30am on the day of their illness. The employee is to complete the leave request on OrangeHRM as soon as possible on the day they wish to take leave.

Sick leave is to be taken in units of half and full days. When sick for 2 or more consecutive days employees must provide evidence of their illness.

If an employee uses their quota of sick days within a 12-month period they can access special leave.

Maternity Leave

An employee taking Maternity Leave is to inform the Human Resource Department and their line manager of their due date and the approximate time that their leave will commence. Where possible, the Leave form on OrangeHRM is to be completed in advance but it is understood that this would not happen in all cases. The Human Resource Department or line manager can complete the leave form in the employee's absence.

Additional leave after the end of the maternity leave provision will be negotiated on a case-by-case basis.

Return To Work After Maternity Leave

Time off for breastfeeding is to be negotiated with the Human Resource Department or line manager.

Suspension of an Employee's Contract

Recommendations relating to contract suspension are to be made by the Senior Management Team. The final decision lies with the signatory of the employment contract.

Unauthorised Absence

When an employee takes an unauthorised absence, an attempt will be made by the organisation to locate them through direct telephone contact, home visit or contact with their next of kin. If the person is unable to be located and is considered to be an unauthorised absence, the Senior Management Team are to be informed. If the person has leave in credit the Human Resource Department or line manager can complete leave forms on OrangeHRM until their leave is used or 10 working days lapses, at which stage the Senior Management Team will make a recommendation on whether or not to suspend the employee's contract or to terminate employment. The final decision lies with the signatory of the employment contract.

Workplace Health and Safety and Sustainability

Occupational Health and Safety Policy HR31

Policy Number: HR31

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: ED, DSS

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies

- 1997 Cambodian Labour Law
- Civil Code
- First Aid Policy

Scope

This policy applies to all employees, consultants, volunteers, and interns working at This Life.

Responsible Party

It is the responsibility of the Executive Director and Director of Shared Service to ensure that this policy is disseminated, that appropriate training is provided for designated officers in first aid and occupational health and safety and that there are designated first aid and occupational health and safety officers at each work site.

Definitions

First Aid Officer – A designated employee who has a current First Aid certificate. **Occupational Health and Safety Officer** – A designated employee who has been trained in Occupational Health and Safety and risk assessment.

Policy and Procedure

This Life has a duty of care to its workers under the civil code and is firmly committed to providing a work environment where all work activities can be carried out safely, and with all possible measures taken to remove or at least reduce risks to the health, safety and welfare of employees, consultants, volunteers, students and interns, and anyone else who may be affected by our operations.

Under the law This Life is required to keep the workplace in a common state of cleanliness and presentation of hygiene & safety necessary for the health and safety of workers. The monitoring of the establishment to check the quality of the premises; cleanliness; hygienic arrangements for the needs of personnel; beverages and meals; work stations and the seating arrangements; ventilation and sanitation; individual protective instruments and work clothes; and lighting and noise levels in the workplace is the responsibility of the Executive Director or their delegate.

In our workshops in the community and in prison it will be ensured that the installing and maintaining the machinery, mechanisms, transmission apparatus, tools, equipment and machines is completed in best possible safety conditions. It is the responsibility of the trainers to ensure that tools, equipment, machines, or products used are organized properly guaranteeing the safety of workers.

Procedures regarding the monitoring of safety condition regarding risks of falling; moving heavy objects; protection from dangerous machines and apparatus; preventive measures to be taken for work in confined areas or for work done in an isolated environment; risks of liquids spilling and fire prevention form a part of this policy. Through quarterly risk assessments the OHS officer will undertake a systematic process to identify potential risks and actions that can be taken to mitigate them. Wherever possible identified risks will be addressed or minimised. Protective Equipment and training in its use will be provided to the relevant employees, the use of protective equipment reduces the risk of accidents and illnesses and helps in the creation of safer working environments.

In the event of a workplace accident or emergency This Life will endeavour to provide appropriate and adequate first aid treatment. A delegated First Aid Officer at each site will be trained and responsible for assessing the need for medical care and where appropriate provision of first aid treatment (see First Aid Policy).

Where required access will be granted to Labour Inspectors from the General Department of Labour.

Procedure

All employees are capable of identifying Occupational Health and Safety hazards and can ensure that they are addressed. If an employee is unable to address the hazard personally they are to advise the Occupational Health and Safety Officer who will arrange for the hazard to be addressed or managed.

The Occupational Health and Safety Officer will:

- Receive training on Occupational Health and Safety and management of hazards
- Be the contact person for employees who are unable to personally address identified hazards
- Assist addressing hazards either directly or by referring the matter to the Deputy Director if the officer is not able to mitigate the hazard on the OHS Hazard notification form ([Appendix 30](#)).
- Conduct quarterly inspections to ensure the workplace is free of hazards.

First Aid Policy HR32

Policy Number: HR32

Effective Date: 01st January 2017

Version: 01

Revised Date: N/A

Drafted by: Executive Director

Responsible person: ED, DSS

Date Approved by Board: 01st January 2017

Scheduled Review Date: AGM 2024

Additional Authority: Law and related organisational policies.

- 1997 Cambodian Labour Law
- Civil Code
- Occupational Health and Safety Policy
- Confidentiality Policy

Scope

This policy applies to all employees, consultants, volunteers and interns working at This Life.

Responsible Party

It is the responsibility of the Executive Director and Director of Shared Services to ensure that this policy is disseminated, that appropriate training is provided for designated First Aid Officers and that there are designated First Aid Officers at each work site.

Definitions

First aid is the provision of emergency treatment for people suffering injury or illness at work

First Aid Officer – A designated employee who has a current First Aid certificate.

Policy and Procedure

First aid is an important aspect of Occupational Health and Safety. In recognition of this, This Life is committed to providing suitably trained First Aid Officers, together with first aid equipment to administer first aid treatment. All designated First Aid Officers will be trained and must have a current first aid certificate. First Aid Officers will be given the opportunity to be vaccinated against Hepatitis B.

First Aid Officers

- Will receive biennial first aid training to ensure their knowledge and understanding is up to date.
- A copy of their qualification will be kept on their personnel file
- Their name and photograph will be displayed on the staff noticeboard within the workplace and if they permanently leave the work site another First Aid Officer will be identified within one month.

It is the First Aid Officers responsibility

- To assess if medical assistance is required in the case of a work injury or work-related illness.
- Administer first aid in accordance with their training.
- To maintain confidentiality with regard to information obtained as part of their role.
- To complete injury/incident report form and ensure they are received in a timely manner by the Admin and Finance Team Appendix XX.
- To maintain and restock the first aid kits and to ensure that they are checked monthly as per the First Aid Kit Checklist - Appendix XX.
- The checklist is to be given to the Finance and Admin Department to purchase any items required and to file in the First Aid File.

First Aid Treatment

If a person requires first aid treatment the nearest First Aid Officer must be contacted to assess the situation and refer if appropriate or administer first aid treatment.

The First Aid Officer will provide assistance that they consider the most appropriate. First Aid Officers must only provide assistance in accordance with their training.

Where an injury is of a more serious nature and requires the person to be referred to a doctor or taken to hospital, the First Aid Officer will determine the appropriate transport. The First Aid Officer will ask the sick/injured employee's manager or supervisor to arrange the transport.

First Aid Records

When using supplies from the first aid kit the 'First Aid Kit Log Book' must be completed. The logbook is to be kept inside the first aid kit. The following details must be entered into the log:

- Date and time;
- Name of injured person;
- Nature of injury/illness;
- Treatment provided;
- Supplies used;
- Name of attending First Aid Officer.

The First Aid Officer and/or the Occupational Health and Safety Officer must record details of all injuries using an Injury/Incident Report Form ([Appendix 32](#)).

The First Aid Officer and/or an Occupational Health and Safety Officer must complete an Injury/Incident Report Form and file on site, providing the original form to the Finance and Admin team to be kept in the first aid file.

OHS Policy Injury Incident Reporting HR33

Policy Number: HR33

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

This Life recognises that the health and safety of its employees is a priority and that if accidents or incidents do occur, they should be reported. Incidents should be investigated to ensure that the possibility of recurrence or further risk is minimised.

This Life understands the importance of incident reporting and investigation and has developed hazard inspection, hazard reporting and maintenance programs to minimise the workplace accidents or dangerous occurrences.

This policy applies to all employees, volunteers, contractors and visitors under the control of This Life.

Purpose

This policy has been developed to ensure that all employees (including volunteers) understand the processes to be taken in the event of a dangerous occurrence or accident.

Definition

Incident refers to any event which causes or could have caused injury, illness, damage to plant, equipment, vehicles, property, material, or the environment or public alarm.

It also includes losses of containment, fire, explosion, non-compliance with environmental regulatory requirements, vehicle incidents and off-site incidents.

Policy

This Life commits to preventing workplace accidents and minimising dangerous occurrences and will endeavour to achieve a zero accident rate.

This Life will:

- Provide a mechanism for reporting accidents, incidents, work-related illness and dangerous occurrences;
- Investigate accidents to determine the root cause with the objective of preventing a recurrence;
- Obtain statistical information about the accident or incidents;
- Meet legislative requirements for reporting accidents and incidents.

All accidents or incidents that result in an injury or work-related illness during the course of work must immediately be reported to the related Program Coordinator who is then responsible to inform Senior Management.

Any dangerous occurrence which has the potential to result in injury or damage to property must be reported in the same manner as an accident.

In the event of a dangerous occurrence or accident This Life must ensure that a full investigation is undertaken to determine the root cause.

The most appropriate corrective action will be taken to ensure the incident does not recur.

Finance

Introduction to Finance

The rapid growth of This Life (This Life) requires the development and implementation of strong financial management guidelines and procedures to ensure that internal standards at the organisation are upheld, legal and regulatory requirements are met, and that all stakeholders including This Life management and staff, donors, regulators, beneficiaries and the general public have confidence in This Life's finances.

This Life aims to ensure that resources provided by donors are used efficiently and effectively to achieve This Life's program objectives and that This Life's financial activities are reported on in a transparent and accountable way. This policy also links into other This Life policies such as the policy on Good Corporate Governance and the policy on Counter Terrorism.

This Life requires complete and maintained financial records with supporting documentation in accordance with generally accepted accounting principles for Cambodia and has developed a Financial Management Policy that provides:

- Accurate, current and complete disclosure of financial transactions;
- Records that identify the source and application of funds;
- Effective control and accountability for funds, property and other assets; and comparisons of expenditure versus budget amounts.
- Financial reports to stakeholders, including This Life management and staff, donors, potential donors and other external parties.

This manual may be revised from time to time depending on the needs and requirements of This Life and its donors. Updates made to the manual must follow the process outlined in Process Map 1A – Updates to Policy Manuals. This manual replaces any previous financial policies and procedures and will come into effect from the date it is approved by the This Life Board of Directors.

Financial Management

Board Fundraising Policy FN01

Policy Number: FN01	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

Board members have the responsibility of ensuring the survival and continuation of the organisation. This includes responsibility for ensuring funding is available to support the activities of the organisation.

While the Board may delegate many of the operations of fundraising to other parts of the organisation, the Board retains the responsibility for inspiring other fundraisers, demonstrating the perceived importance of fundraising to the organisation, and demonstrating their leadership in this area. To achieve this, each member of the Board must individually accept their key role in the fundraising process.

Board members should show leadership in fundraising by personally giving to the organisation in proportion to their ability, in recognition of the fact that Board members who do not give themselves will have difficulty asking others to give.

Purpose

This policy makes explicit the understanding that members of the Board will be asked to contribute to the fundraising activities of This Life.

Policy

Board members will be requested to

- Donate to This Life in proportion to their ability;
- Contribute to the short-term and long-term financial planning of This Life, including its fundraising plan;
- Support the fundraising efforts of other parts of the organisation;
- Support special events run by This Life to raise money or generate contacts;
- Where possible, supply This Life with names of prospective individual and corporate donors;
- Where requested, approach individual or corporate prospects to ask for donations on behalf of This Life, or sign letters to these prospects.

PROCEDURES

Responsibilities

The Chair is responsible for bringing this policy to the attention of prospective Board members.

All Board members are responsible for respecting this policy.

Procedures

In the planning of its short-term and long-term fundraising strategies, the Board will make appropriate arrangements to draw on the contributions of Board members.

Related Documents

- Fundraising Policy

Budget Planning Policy FN02

Policy Number: FN02

Effective Date: 19th April 2013

Version: 02

Revised Date: 23rd November 2022

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: November 2024

Introduction

The Board of This Life is responsible for overseeing the budget of the organisation and for ensuring that the organisation operates within a responsible, sustainable financial framework.

In line with this responsibility, the Board of This Life conducts a budget planning process each year as part of its annual business planning.

Purpose

This policy is designed to set out the process for compiling, monitoring and reviewing This Life's annual budget.

Policy

The Board of This Life conducts a budget planning process each year as part of its annual business planning.

The organisation operates under a budget that must be flexible in responding to unforeseen events, including possible reductions in cash flow. The annual operating budget must therefore be regularly monitored and reviewed.

PROCEDURES

Responsibilities

The Board of This Life has ultimate responsibility for overseeing the budget of the organisation and for ensuring that the organisation operates within a responsible, sustainable financial framework.

It is the responsibility of the Program Coordinators to prepare all budgets and review budgets in consultation with the Finance Committee and Executive Director.

The Finance Committee consists of:

- The Board Treasurer;
- Members of Audit Risk & Finance Committee;
- The Executive Director;
- The Director of Shared Services;
- The Finance Manager.

Procedures

Preparation of the Budget

In April each year, the Program Coordinator starts preparing the budget estimates as part of the Business Plan for the financial year. The process includes:

- considering operational costs;
- setting payroll costs; and
- estimating income.

The initial budget estimates are based on the current expenditure projections to end of year, plus Consumer Price Increments for salaries or relevant wage increases, revisions to awards/contracts, and a 10% increase on operating expenses such as power, telephones, etc. The Finance Committee shall be provided with information about how cost increases will be absorbed or will lead to increases in service charges (e.g. membership fees).

The Program Coordinator will present the draft budget for discussion at a Finance Committee meeting. The Finance Committee may accept the estimates as presented or may request variations, within the context of the Business Plan. A detailed report denoting reasons for decisions should be attached to the draft budget for discussion.

The Program Coordinator will then revise the draft and present the amended draft budget at the next available Board meeting, usually in April but no later than the end of May. Once adopted by the Board, this becomes the official operating budget for This Life for the following financial year, and all Board members and employees must work within the financial limits stated or implied by this document.

Monitoring and Reviewing the Budget

The Program Coordinator is responsible for monitoring the organisation's expenditure, reviewing the actual and budgeted expenditures, and reporting on the progress of such expenditure.

Financial reports will be prepared each month showing the year-to-date expenditure and its variation from the budget estimates, and indicating any increases or decreases in funding. A detailed commentary should be attached to Board reports detailing reasons for variations and recommendations for corrective action should that be required.

The Program Coordinator will indicate what effect any variations will have on the budget projections and provide this information to the Executive Director and the Board. The Program Coordinator will also report on any other financial matters that may be related to the Business Plan.

Once adopted by the Board, the Amended Budget will become the new operating budget for the remainder of that financial year.

Related Documents

- This Life Business Plan
- This Life Investment Plan

Ethical Fundraising Policy FN03

Policy Number: FN03

Effective Date: 19th April 2013

Version: 03

Revised Date: 17th March, 2021

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life is committed to ensuring that fundraising activities are carried out in an ethical manner.

This policy applies to the Board, casual, permanent and contract staff and volunteers.

Purpose

The purpose of this document is to identify This Life's position on fundraising practice and to document the standards expected in raising funds from the community.

Policy

This Life's guiding fundraising principle is a simple one – we will only use techniques that we would be happy to be used on ourselves.

In doing so, the organisation will adhere to the following standards:

- Fundraising activities carried out by This Life will comply with all relevant laws.
- Any communications to the public made in the course of carrying out a fundraising activity shall be truthful and non-deceptive.
- All monies raised via any fundraising activities will be for the stated purpose of the appeal. Should the program become fully funded, donations will be redirected to support program areas identified as most in need.
- All personal information collected by This Life is confidential and is not for sale or to be given away or disclosed to any third party without consent.
- Nobody directly or indirectly employed by or volunteering for This Life shall accept commissions, bonuses or payments for fundraising activities on behalf of the organisation.
- Fundraising activities should not be undertaken if they may be detrimental to the good name or community standing of This Life.
- Financial contributions will only be accepted from companies, organisations and individuals (**who are in line with This Life values**) the Executive Director and/or nominated representative of This Life considers ethical.

PROCEDURES

Responsibilities

The Board is responsible for the implementation and review of this policy.

All Board members, casual, permanent and contract staff and volunteers are responsible for adhering to this policy.

Procedures

A Fundraising Sub-Committee will be formed to provide support and advice as per the Terms of Reference for this committee. The Fundraising Sub-Committee will report regularly to the Board, including tabling of meeting minutes at Sub-committee and Board meetings.

Related Documents

- Board Fundraising Policy
- Investment Policy
- Code of Ethics

Investment Planning Policy FN04

Policy Number: FN04

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life is responsible for ensuring that the organisation operates within a responsible, sustainable financial framework and that the organisation has adequate resources to carry out its work. This Life's Investment Plan forms an important part of fulfilling this responsibility.

Purpose

This policy is designed to:

- Direct the use of investment funds of This Life; and
- Determine This Life's future financial planning strategies to ensure the organisation is able to maintain its operating budget and create growth.

Policy

The Board of This Life is responsible for maintaining and extending the assets of the organisation, to provide for its long-term financial viability. In its stewardship of This Life's financial assets, the Board has adopted this policy to ensure that any assets not required for the current operating budget will be invested in accordance with This Life's Investment Plan.

The purpose of This Life's Investment Plan is to manage the cash assets not required for current operating expenses so as to maximise the earnings of such assets, while retaining security and minimising risks.

All interest and other earnings from such investments are deposited into This Life operating account and thus become part of the annual operating budget.

The Investment Plan should be designed to ensure that:

- This Life's funds are utilised to achieve a balanced operating budget.
- This Life creates capital growth and generates income.
- There will be access to cash to cover current liabilities.
- This Life will have access to cash for establishing new projects.
- This Life will have access to cash for unforeseen expenses.

This Life's Investment Plan must conform with the following principles:

- Priorities set in the Business Plan are to be adhered to.
- Investments are to be made with low to medium risk ventures; that is, investments that provide for security of capital over the medium to long term.
- This Life will only invest with reputable, established, proven, financial institutions.
- 100% of any share portfolio will be invested with ethical investments.

Sponsorship Policy FN05

Policy Number: FN05

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life is committed to ensuring that its financial arrangements are carried out in an ethical manner.

Purpose

The purpose of this policy is to establish the framework and guidelines for the creation of productive partnerships between This Life and the private sector, i.e. sponsorship alliances with corporations, foundations, individuals and other non-government organisations.

A sponsorship is about relationship building and can be a powerful way to build and strengthen partnerships. It is recognised that such alliances can provide important financial and marketing support to potential partners of This Life while at the same time generate additional revenues to support This Life's mission and mandate.

Policy

The fundamental principles that shape This Life's relationships with sponsors are:

- Sponsorship of This Life or of any symposium, project, program or event held by This Life, will not entitle any sponsor to influence any decision of the organisation.
- This Life will not enter into any alliance or partnership with any corporation or organisation where the association with the prospective partner or acceptance of the sponsorship would jeopardise the financial, legal or moral integrity of This Life or adversely impact upon This Life's standing and reputation in the community. All tobacco/alcohol/etc. sponsorships are prohibited.
- This Life will accept sponsorships as an additional source of revenue generation provided that all sponsorship alliances are developed and maintained within the regulations embodied in this sponsorship policy.
- All sponsorship alliances or partnerships must be consistent with existing This Life policies.

PROCEDURES

Responsibilities

The Board is responsible for the development and review of this policy.

All Board members, casual, permanent and contract staff and volunteers are responsible for adhering to this policy.

Procedures

All event and project sponsorships must have significant financial commitment from the sponsor to help offset the costs associated with the activity.

All sponsorship relationships involving This Life must be identified and recorded for information purposes to encourage a donor-centered approach to revenue generation.

Naming rights associated with any sponsorship must be approved by the Board.

Sponsorship over USD 500 will be embodied in written contractual agreements between This Life and the sponsorship partner (See [Appendix A](#)).

Related Documents

- Ethical Fundraising Policy

APPENDIX A

sponsorship contracts/letters of agreement guidelines

Sponsorship contracts and letters of agreement involving This Life must include the following clauses:

- **Description of the Sponsorship Alliance:** The contract will contain a comprehensive description of the item, project or event around which the sponsorship alliance is constructed, including a list of obligations for both parties. Obligations of the parties in market research or sponsorship analysis will be explicitly itemised in the contract. (See also item 7 below.)
- **Terms of Agreement:** The dates for commencement and conclusion of sponsorship alliances must be included in the contract.
- **Key Personnel:** The contract will include the names of the individuals from both parties primarily responsible for the sponsorship, and to whom issues regarding the contract are to be referred.
- **Limitations on and Approval of the Use of the This Life's Name:** The following clause limits the use of our name by the sponsor in its own internal and external promotion and advertising as per the negotiated arrangements: *"Neither party, in any situation, whether within or outside the parameters of the sponsorship, shall be deemed to be the spokesperson for, or the representative, of the other party."* The accepted use of the This Life's word mark, logo or crest must be stipulated in all contracts and agreements.
- **Exclusivity:** This Life may wish to offer outright or industry exclusivity to a sponsor, or the sponsor may request such exclusivity within the sponsorship alliance. Where relevant, the following statement regarding exclusivity will be included in the contract: *"This Life agrees that [Name of Sponsor] shall be the sole and exclusive sponsor of [Name of Initiative] for the term of this agreement."*
- **Financial Terms and Schedule of Payments:** The total value and payment schedule of the sponsorship agreement between the parties will be clearly identified in the contract.
- **Obligations of the Parties to Each Other:** The obligations of the parties are dependent upon the form of the alliance and will be determined on an individual basis. Responsibility for any market research or program or evaluation duties, reporting, and approvals will be specified in the contract, along with specific criteria and methodologies for the evaluation of the sponsorship.
- **Breach of Contract:** The contract should stipulate what shall occur in the case of a breach of contract; for example: *"Prior to initiating formal notification of breach of contract, the parties will undertake all appropriate and reasonable efforts to resolve the matter. Should these efforts not prove successful, either party may notify the other of breach of contract in writing, sent by mail or courier, return receipt requested. Such notification will request a written response by a specific date. Non-compliance will constitute cause for dissolution of the contract."*
- **Right to Discontinue the Sponsored Program or Event:** The contract shall ensure This Life reserves the right to cancel the sponsorship should circumstances dictate; for example: *"When circumstances beyond the control of This Life force the cancellation or substitution of a sponsored event or project, This Life reserves the right to cancel without finding itself financially liable or in breach of contract."*

Financial Administration

Authority to Sign Cheques Policy FN06

Policy Number: FN06

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

An organisation without cheque signing procedures may be vulnerable to fraud or error.

Purpose

To spell out procedures that must be followed in the signing of cheques on behalf of This Life.

Policy

All cheques issued on behalf of the organisation must be signed by a sufficient number of authorised persons and documented adequately.

PROCEDURES

Responsibilities

It is the responsibility of the Executive Director to ensure that:

staff are aware of this policy;

any breaches of this policy coming to the attention of management are dealt with appropriately.

It is the responsibility of the employees and volunteers to ensure that their usage of organisational cheques conforms to this policy.

Processes

All cheques must contain two eligible signatures. Eligible signatories are Board members or staff members who have been previously nominated and endorsed by the Board.

Any two of the above have the authority to sign cheques.

Signatories cannot sign a cheque made payable to themselves, or a blank cheque. All details on the cheque form must be filled in before signature.

A list of all cheques issued each month, featuring amount, recipient, signatories, and explanation, will be provided to the Treasurer.

Related Documents

- Acceptable Use Policy
- Credit Card Policy
- Delegations Policy

Monthly Bank Reconciliation Policy FN07

Policy Number: FN07

Effective Date: 06th February 2017

Version: 01

Revised Date: N/A

Drafted by: ED / FM

Responsible person: ED, FM, FAO

Date Approved by Board: 05th February 2017

Scheduled Review Date: AGM 2024

Bank reconciliations will be performed on a monthly basis to reconcile the month-end balance per the Cash Book to the bank statement. When completed, the bank reconciliation statement must be reconciled, with relevant supporting documentation for any variance between the cash on hand according to the bank statement and the actual cash on hand per the Cash Book.

Variances may occur between the bank statement and Cash Book records for the following reasons:

- Issued cheques may not yet have cleared the bank at the time the bank statement is issued;
- The bank charges/fees have not been recorded in the Cash Book;
- Deposits may have been made close to the end of the month, after the bank statement has been issued by the bank; or
- Bank error.

8.1. MONTHLY BANK RECONCILIATION PROCESS

At the end of each month, the Accountant prepares the bank reconciliation using the standard template ([Appendix 8A](#)), following the below steps:

Accountant shall compare last month's bank statement ending balance to the beginning balance on the current month's bank statement and compare last month's bank reconciliation to the current bank statement. Verify that all items in the "Balance per Bank Statement" section from the prior months reconciliation have cleared the bank:

- Verify all deposits in transit have cleared.
- Verify that all outstanding cheques have cleared the bank. If not, list the cheque on this month's bank reconciliation.
- Verify that any bank errors have been rectified. If not, list the amount on this month's bank reconciliation and note that follow-up action is necessary.

Verify that each cheque and each deposit (every entry) in the general ledger Cash Book has been posted by the bank. If an item is in the general ledger Cash Book but not in the bank statement, the Accountant must record it in the bank reconciliation. If it is an item that should clear the bank, record it in the "Balance per

Bank Statement" section. If an error needs to be corrected, record it in the "Balance per Cash Book" and make the general journal entry to correct it the next month.

- For cheques shown in the Cash Book but not in the bank statement, list these as "Outstanding Cheques" on the bank reconciliation.
- For deposits shown in the Cash Book but not in the bank statement, list these as "Deposits in Transit" on the bank reconciliation.
- For errors that are found, i.e. an amount recorded incorrectly in the Cash Book; list these as adjustments to the "Balance per Cash Book" in the bank reconciliation. The general journal entry needs to be prepared to correct these errors. If the accounting system report has already closed for the period, the general journal entry must be posted in the following period.
- For any identified bank errors, notify the bank in writing and list these as adjustments to the "Balance per Bank statement."
- Verify that all items in the bank statement are now accounted for through the comparison with the general ledger Cash Book. If items still remain in the bank statement, those items need to be recorded in the bank reconciliation. If an item should appear in the Cash Book, it needs to be recorded in the "Balance per Cash Book" and prepare the general journal entry to pass next month. If it is an error on the bank's part, include the item in the "Balance per Bank Statement" section and notify the bank:
- For any deposits found in the bank statement that are not listed in the Cash Book, list these as additions to the "Balance Per Cash Book" on the bank reconciliations. This can include interest or deposits that had failed to record in the cash account.
- For any fees found in the bank statements that are not recorded in the Cash Book, list as deductions to the "Balance per Cash Book" on the bank reconciliation. These can include wire transfer fees, cheque printing charges, service fees, etc.
- For any errors found in a bank statement, if they are bank errors, notify the bank in writing and list these as adjustments to "Balance per Bank Statement."
- After every item has been checked off in both the bank statement and the general ledger Cash Book, the bank reconciliation is ready to be finalised:
 - List the balances per the bank statement (ending balance) and the general ledger Cash Book (ending balance) on the bank reconciliation.
 - Add and subtract all adjustments to these items as identified in the above steps.
 - The "Adjusted Balance Per Bank Statement" and the "Adjusted Balance Per Cash book" should be equal. If they are not equal, the Finance Manager (FM) needs to look for the differences.
- The final steps include the signing and review of the bank reconciliation by the FM:
 - The Accountant will sign the bank reconciliation and pass to the FM for review, attaching the following documents to the reconciliation:

- Signed Reconciliation.
- Current month bank statement.
- o The FM must review all reconciling items and general journal entries and initiate any correspondence with the bank regarding errors.
- o The FM must sign the bank reconciliation when they are comfortable with all reconciling items.

Policy Number: FN08

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Revised Date: 22nd January 2020

Drafted by: ED / FM

Responsible person: ED, FM

Date Approved by Board: 5th February 2017

Scheduled Review Date: January 2024

Acronyms:

1. ABA – Advanced Bank of Asia Ltd.

ED - Executive Director

DD - Deputy Director

DSS - Director of Shared Services

FM - Finance Manager

FO - Finance Officer

HR - Human Resources

USD - United States Dollar

To ensure the completeness and ease of recording transactions, transactions shall be classified according to the categories below.

2. DIRECT PAYMENT

Direct payment is a preferred method of payment as it allows separation of duties between the purchaser and the payer, eliminates the possibility of a payment being lost or delayed and reduces the amount of time to process payments. The following guidelines shall be followed for direct payments.

- Direct payment shall be made for any payments exceeding USD 100 to one supplier.
- In Central Office a payment to one shop/supplier amounting more than USD 1,000 shall be made through cheque or make transfer, unless officially authorised by the Executive Director (ED)/Deputy Director (DD) to pay cash.

3. CASH ADVANCE FOR OPERATIONAL ACTIVITY EXPENDITURE

- Cash advances may be released for some specific expenses, such as for domestic or international travels and for preparing trainings, workshops, forums, campaigns or meetings. No cash advances shall be given to employees for personal reasons.
- For activities that are implemented over several weeks or months, cash advances must be made in instalments so that large sums of money are not held insecurely by staff for long periods of time. This greatly reduces the risk of theft or loss.
- Cash advances can be made in different currencies (Riel and USD). Requests for cash advances are made using a [Request Form \(Section \[7.5\]\)](#), which must have adequate supporting documents attached. Cash advances shall be disbursed as close to the date of activities implementation and/or payment due date as possible. This is to ensure cash security for This Life as well as for staff.

- Cash advances may be temporarily given to Program Officers and other staff via a standard [This Life Advance Request Form \(Section \[7.5\]\)](#) for the purposes above. All cash advances require advance authorisation from the ED/DD or appropriate Program Coordinator.

4. CASH ADVANCE SETTLEMENT

- All cash advances shall be cleared as soon as possible (and within two weeks) from the date of issuing the advance, either by repayment or by submission of valid receipts covering the amount advanced with adequate supporting documents, or a combination of the two. The request for clearance is made via the [Clearance Form \(Section \[7.5\]\)](#).
- No new advances shall be granted to a member of staff who already has three outstanding cash advances. All advances must be fully cleared; that is, any unused cash must be returned to the Departement FM together with supporting documentation to cover the amount not used.
- Any late settlement must include in writing appropriate reasons or justifications and must be signed by the direct Program Coordinator and submitted to the FM.
- Currency of cash advance repayment must be the same as currency of cash advance disbursed unless the repayment is less than USD 5 in which case repayment can be in Riels.
- A standard exchange rate of USD 1 USD = 4000 Riel

5. REIMBURSEMENT

Reimbursement is required when cash paid to suppliers is not paid directly by the Finance Department. Reimbursement is allowed for any minor purchases and travel where staff need to spend their own money to pay suppliers and then request for reimbursement from the Finance Department. Below are the guidelines for reimbursement:

- Staff must acquire prior verbal approval from the appropriate Program Coordinator before transactions occur.
- For reimbursement amounts less than USD20, a verbal pre-approval shall be requested from the appropriate Program Coordinator. Once the activities are completed, the Program Coordinator will initial and sign on the invoice/receipt indicating approval.
- For reimbursement amounts above USD20, a verbal pre-approval shall be requested from the appropriate Program Coordinator who must then submit a written request to the FM.
- Reimbursement must be attached with adequate supporting documentation (memo, invoice, receipt, other related documents, etc.).
- The date of invoice should be close to the date of reimbursement. The difference between the date on the invoice and the date of reimbursement must not exceed fifteen (15) days.
- Exceptions to the policies should be avoided and can only be made with written memo and approval by the ED or DD.

6. PAYMENT PROCEDURES

Payment requests are made by staff, approved by Program Coordinators and then verified by the Finance Team. There are two types of payment request forms in This Life: Request Forms and Clearance Forms.

For Request Form [\[Appendix 7A\]](#):

- Staff must submit the Request Form, using the standard template, to the relevant Program Coordinator, DD or ED to review to ensure that funds are being taken from the correct program.

- After that FM will review accuracy of the Request Form, verify that approval has been received and that any bank errors have been rectified. If not, the amount must be listed on that month's bank reconciliation and a note made that follow-up action is necessary.
- If everything is correct the requestor needs to sign and receive the cash.

For the Clearance Form [\[Appendix 7A\]](#):

- Staff must complete the Clearance Form and submit to the Finance Department for approval with receipt(s). The requestor must return cash to the FM if there is any unspent cash.
- The FM will review the accuracy of the Clearance Form. They must cross-check the receipt(s) and sign them to verify everything is correct. If there is money returned, the FM must count the cash and then sign the Form to confirm the amount returned is correct. The requestor must also sign to confirm the count and returned amount.
- If the form is not correct it is returned to the requestor to check and revise.
- After verification by the Finance Department, the Clearance Form is sent to the relevant Program Coordinator/DD/ED to review to ensure that funds are being taken from the correct program. If correct, they must sign to approve and return back to the Finance Department.
- If not correct it will be sent back to requestor to revise.
- The final step is for the request to be entered in to the financial software system.
- The date of authorisation must be indicated on the form. Authorisation cannot be made retrospectively. If the expected Approving Officer (Program Coordinator/ED/DD) is absent, an alternative Approving Officer shall be used.

For minor expenses where the vendor does not issue invoices, such as moto transport, the claimant must obtain a signature from the vendor on a standard blank receipt or some other form of written confirmation, such as the This Life Receipt Form (see [Section \[9.2\] Appendix 9A](#)).

In rare cases, where the original invoice is lost, payment must not be processed until a written justification for the loss has been submitted for review and approval. For minor petty cash expenses where the receipt has been lost, a standard This Life Receipt Form (see [Section \[9.2\] Appendix 9A](#)) can be used.

For all payments, the FM requires the payee to supply a third party receipt or other evidence of acknowledgement of payment. Upon release of payments, the FM/FAO will stamp "PAID" and write the date on all Forms, supporting invoices, and receipts, in order to prevent their re-use. All forms and supporting evidence will then be filed in the Finance Department.

7. SUB GRANTEE GRANT PAYMENTS

Under the terms of some donor agreements, This Life are required to hold funds on behalf of the donor and to distribute these funds to third party organisations (sub-grantees). Payment schedules are tailored per the individual donor agreements, with payments either made in advance or arrears of spending by the sub-grantee.

Prior to receiving payment all sub-grantee's are required to submit the Sub-Grant: External Control Request Form ([Appendix 7B](#)). The file must be tailored in advance by the FAO/FM prior to sending to the sub-grantee. Guidance notes for tailoring the file are included within the document.

Upon receiving the completed form, the FM will check that the amounts requested are in line with the donor agreement and then pass to the ED/DD for approval. All payments made to sub-grantees must be approved by the ED/DD and FM.

8. PAYROLL AND SALARY PAYMENT

- Salaries will be paid on the 25th of each month (or the first working day after if 25th is a Saturday, Sunday or Public Holiday), staff can consider using the following salary payment methods:
 - Cash or cheque payment
 - Bank transfer
- All permanent employees of This Life, including both full-time and part-time staff, are to be paid according to the monthly salaries stated in their job contracts. All permanent staff must have a job contract, signed by themselves and by the ED or DD. The original document is kept in the personnel files in the ED's office.
- All changes in monthly salaries, whether due to the annual increase or any other reason, must be notified to staff in writing, with a copy letter kept in the personnel files.
- Monthly payslips are prepared by the finance staff when the payroll is calculated and finalised. The FM will approve the payroll once the payroll has been calculated. The payrun is then provided to the Executive office for final approval before the payment is uploaded into the ABA bank website for payment to staff bank accounts.
- A summary This Life payroll sheet must also be completed, checked by the DD and signed off by the ED before payments can be released. This summary is also filed.
- Once the payment file has been uploaded, the bank file can only be authorised by the Executive office, in their absence the co-signatory may authorise the file using the dual token authority process.
- All employees are to be paid monthly by bank transfer. An employee may be paid by cash if they are still in their probation period and have not yet opened an ABA payroll account. On receipt of their cash payment they must sign their payslip as a record of receipt of funds.
- All payments made to staff payroll accounts do not require a signature as the bank payment file is filed with the documents and transaction files as proof of payment.
- Additional payments to staff, such as benefits, and bonuses, shall be recorded in detail and authorised as above. Bonuses and similar payments shall be paid in accordance with a written policy, approved by the Directors, indicating the amounts, or percentage of salary, to be paid to each employee.
- Employees must not authorise payment of their own salaries. Payroll expenses must be authorised in accordance with the guideline on authorisation and level of approval.
- Contractors must also have signed contracts with This Life that are retained in the personnel files. These must indicate the rate and frequency of payment. For a contractor paid per unit of work – per day or per hour, for example – evidence must be presented to support the wages claimed, such as an authorised timesheet signed by the appropriate Program Coordinator.
- One staff member cannot collect wages on behalf of another. This Life staff administering payroll payments must examine the employment card or other ID of the staff member if there is any doubt over his/her identity.
- This Life does not normally make loans, or salary advances, to staff. Salary payments cannot be netted off against amounts owed by the staff member to This Life, such as unspent cash advances. These must be accounted for separately.
- Full details of salary and employment rights are in the [This Life Human Resources \(HR\) Manual](#) and this should be consulted if in doubt.

Travel and Per Diem Policy FN09

Policy Number: FN09

Effective Date: 22st November 2023

Version: 02

Revised Date: 22 November 2023

Drafted by: Finance Manager

Responsible person: FM, PCs, LMr

Date Approved by Board: 22st November 2023

Scheduled Review Date: To be determined

Additional Authority: Law and related organisational policies.

- 1997 Labor Law
- Leave Policy

Scope

All employees are covered under this policy. Consultants and volunteer/intern's claims will be assessed on a case-by-case basis prior to travel being undertaken.

Responsible Party

It is the responsibility of the Finance Manager, Director of Shared Services, PCs, Section Leads, Deputy Director and line managers to ensure this policy and procedure are followed. It is the responsibility of employee's to ensure that they provide their information in the required format in a timely manner.

Definitions

Per-Diem – the daily meals allowance.

Transport – the mode of travel to the destination.

Other Transport costs – any travel expenses incurred at the destination including moto, or tuk-tuk rides.

High risk contexts - circumstances within a geographic location which significantly elevate the danger to which a visiting This Life staff member would be exposed due to occurrence or increased likelihood of natural disasters, political or civil unrest, armed conflict or public health risks.

Policy

Travel is an integral part of the work undertaken by This Life. This policy outlines the requirements to authorise travel, the payment and acquittal of travel expenses and accommodation allowances. The allowances herein should cover the basic costs for staff expected to travel as a part of their employment in recognition that work related travel should not incur a personal expense.

This Life will not pay allowances when travel, meals or accommodation is provided.

Line managers who authorise travel documents are responsible for ensuring they are coded correctly.

Travel must always be authorised. Travel is to be authorised by the line managers.

Group and Individual Travel

When travelling as an individual the traveller is required to complete the relevant forms as outlined below. When more than one person is travelling to the same destination only one set of forms is required.

Approval

All domestic travel requires written approval from the relevant line managers prior to any travel being undertaken. All travel must fit within program guidelines and budgets. Approval can only be given after the most up to date travel advice has been checked to ensure that the journey or time spent at the destination will not present an undue risk to the staff member. For domestic travel, consultation of local news sources for high risk contexts will be sufficient

Per Diem

The daily per-diem is provided for meals and receipts are not required for acquittal.

Transport Costs

Receipts are required for air, bus or taxi travel and the name and telephone number of the taxi driver is required for verification. All air travel is to be approved by the Executive Director or delegate otherwise payment for travel is paid based on actual cost and capped at the amount listed in the schedule.

Other Transport Costs

Any travel undertaken while at the destination. The name and telephone number of tuk- tuk drivers and moto drivers is required (where possible) and can be provided on a This Life receipt ([Appendix 13](#)) if the driver cannot provide a receipt.

Overnight Accommodation

The allowance for accommodation will be paid based on the actual cost but capped at the amount identified in the schedule. When more than one person is travelling, employees of the same gender are encouraged to share twin rooms, single rooms, are to always be negotiated with line managers.

Approval for Travel (incorporated in the Per Diem Request):

All travel requests are to be approved by the line manager prior to any allowances being paid.

Booking Responsibility:

It is the traveller's responsibility to book their transport to their destination as well as organising their own accommodation.

Receipts and other Evidence

Requirements for financial acquittal and auditing purposes include:

- Original receipts for transport costs including bus fares or flights as well as bus tickets and boarding passes;
- Original receipts for accommodation;
- Original receipts for miscellaneous expenses;
- Detail of any additional transport or material costs related to the work undertaken;
- Evidence of the activities undertaken while travelling, this can include the employees report on external meeting, the travel report (see [Appendix 14 & 15](#)).

Per Diem Request Form (Travel Advance)

The per diem request form Appendix 16 is also the application for approval for travel and must be approved by the line manager before being provided to Finance. To ensure a cash advance can be paid the form must be approved and submitted to finance on Mondays and Wednesdays at least 3 days prior to the approved travel. Travel advances will be paid at least one day in advance of the travel.

Per Diem Clearance Form

To be submitted to Finance as soon as practicable but within two weeks after return when an advance has been paid. The difference between the date on the travel or transport invoice and the date of reimbursement shall not exceed 15 days. A letter outlining the reason or justification for any late submissions must be attached.

All relevant documentation including receipts, tickets as well as the travel or external meeting report must be attached. The per-diem clearance form (Appendix 16) is to be checked by the line manager prior to being submitted to finance. Finance will then verify the information before endorsement by the line manager.

Return of Unspent Money

When travel advances have been paid but the monies not spent in accordance with the schedule, unspent money is to be returned to the finance department. This can occur when the accommodation or transport is cheaper than advanced or when the number of days for planned travel is reduced as the work was completed sooner.

Per Diem Expense Form

To be submitted, on those occasions that a travel advance has not been submitted to Finance, up to 15 days after travel Receipts and other evidence is required ([Appendix 16](#)).

Per Diem Schedule.

Breakfast	USD 3
Lunch	USD 4
Dinner (<i>Dinner is not allowed on a one-day trip or the last day of a multiple-day trip</i>)	USD 5
Accommodation	**Up to USD 22
Travel - transportation	**Up to USD 16

**** Receipt required**, and where the rates cannot be applied, they should be considered on a case-by-case basis and with prior approval of the line manager. This may include but is not limited to a high peak in the price of accommodation or transportation during a major country's festival or ceremony, or there is only one accommodation in the area where the field work takes place.

The rates may differ depending on donor agreements.

Payment of Lunch Per Diem

When employees are travelling and arrive back to base after 12.30pm they can claim the lunch Per Diem. Employees are encouraged to not have lunch stops before 12pm.

Payment of Dinner Per Diem

When employees are travelling and arrive back to base after 6.30pm they can claim compensation leave. Employee can claim their dinner for a multiple-day trip; however, dinner claim is not allowed on a one-day trip nor the last day of a multiple-day trip. Employees are encouraged to not have dinner stops within a 75kms of the This Life office.

Payment of Breakfast Per Diem

Breakfast per diem will not be paid for day trips, and can only be claimed from the second day of a multiday trip.

Compensation Leave

This Life understands that employees often work outside of normal hours when travelling, the guidelines for compensation leave are described in the Leave Policy which is to be followed for any additional out of hours work undertaken while travelling.

International Travel

If an overseas trip is planned, advice should be sought from the Executive Director/Deputy Director about approval processes and expenditure. International travel is to be authorised by the Executive Director. Per Diem rates will vary depending on where the employee is travelling and will be negotiated prior to the planning phase for the travel, and based on rates paid by similar organisations. Approval can only be given after the most up to date travel advice has been checked to ensure that the journey or time spent at the destination will not present an undue risk to the staff member. For international travel, information on the security situation in the destination country can be ascertained from <https://www.smartraveller.gov.au>.

Review

The Travel Allowance detailed in this policy will be used to inform budget submissions and this policy will be reviewed on an annual basis and updated on an as needed basis to cover rising travel costs.

High risk contexts

This Life will not authorise any travel to a national or international destination in a high risk context. If a high risk context develops while This Life staff members are traveling to or within that destination, they should consult with the Executive Team or delegate at the earliest possible opportunity. They should follow all advice given to them by local authorities and emergency services, as well as the Australian and (in the case of international travel) appropriate diplomatic representation in that country, placing their own safety and wellbeing above all other concerns.

Once notified, This Life will take all appropriate steps to assist.

Policy Number: FN10

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Revised Date: 18th August 2021

Drafted by: ED, FM

Responsible person: ED, FM

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Scheduled Review Date: AGM 2024

1. OVERVIEW

The purpose of this section is to establish a consistent approach to purchase goods and obtain services; it provides guidelines to be followed by all This Life's staff involved in procurement process.

2. PROCUREMENT DEFINITION

Procurement is the acquisition of appropriate goods and/or services at the best possible total cost to meet the needs of the purchaser in terms of quality, quantity, time, and location. Most organisations often define processes intended to promote fair and open competition for their business while minimising exposure to fraud and collusion.

3. ETHICS, CONFLICT OF INTEREST AND CONFIDENTIALITY

- This Life staff involved in procurement must comply in all respects with laws, ethics and This Life's standards of professional conduct, which apply to their purchasing activities. In general, This Life staff shall work to maintain and enhance a high level of accountability through ethical conduct and conscientious adherence to ethical methods of doing business.
- This Life staff may not select a supplier of goods or services for any reason other than its ability to fulfil the organisation's needs. They may not personally accept any goods or services or other forms of compensation or favours from suppliers, contractors such as fees, commissions, accept gifts, rewards, or benefits, or any form of bribes. **All such decisions and actions are unacceptable and prohibited.**
- This Life staff must avoid any conflict of interest with suppliers. The procurement process must be transparent and have no actual or perceived appearance of impropriety.
- No This Life staff is to abuse the advantages of his/her position for private purposes, or solicit or accept gifts, rewards, or benefits that might compromise, or be seen to compromise his/her integrity.
- All prices and technical information submitted by suppliers are to be kept secure and strictly confidential. Information may be verbal or written, including email. It is a responsibility to ensure that adequate measures have been taken to assure that confidentiality is maintained.
- This Life staff involved in the procurement process must understand the purpose of standard procurement procedures as well as the policies that support these procedures in order to provide a foundation for complete and consistent consideration of all aspects of the purchasing cycle.

4. PROCUREMENT CLASSIFICATION

Purchases are classified in Seven categories:

- a. **Purchases: USD 1 - USD 100:** Single items up to USD 100 do not require price quotations from the suppliers.
- b. **Purchases over USUSD 100 - USUSD 300:** Single items costing over USUSD 100 to USUSD 300 require **Two (2) VERBAL quotations and One (1) WRITTEN quotation** from different suppliers. Suppliers can be met in person or called. Person obtaining the quotes must complete the Quotation and Purchase Order Form ([Appendix 11A](#)) and submit it to the Finance Department to file.
- c. **Purchases over USUSD 300 - USUSD 1,000:** Single items over USUSD 300 to USUSD 1,000. A quotation process must be used to collect **Three (3) WRITTEN quotes** from different suppliers. For these purchases, This Life staff will prepare the Quotation and Purchase Order Form ([Appendix 11A](#)) and provide specific details of the goods or services required. The Purchase Order form will be provided to the selected supplier with a clear specification.
- d. **Purchases over USUSD 1,000 - USUSD 5,000:** Single items over USUSD 1,000 to USUSD 5,000. A quotation process must be used to collect **Four (4) WRITTEN quotes** from different suppliers. For these purchases, This Life staff will prepare the Quotation and Purchase Order Form ([Appendix 11A](#)) and provide specific details of the goods or services required. The Purchase Order form will be provided to the selected supplier with a clear specification.
- e. **Purchases over USUSD 5,000 - USUSD 50,000:** Single items over USUSD 5,000 to USUSD 50,000. A quotation process must be used to collect **Four (4) SEALED quotations** from different suppliers. For these purchases, This Life staff will prepare the Quotation and Purchase Order Form ([Appendix 11A](#)) and provide specific details of the goods or services required. The Purchase Order form will be provided to the selected supplier with a clear specification.
- f. **Purchases over USUSD 50,000 - USUSD 250,000:** Single items over USUSD 50,000 to USUSD 250,000. **An open national tender process** must be used to collect a minimum of **Four (4) SEALED bids/quotations** from different suppliers. For these purchases, This Life staff will prepare the Quotation and Purchase Order Form ([Appendix 11A](#)) and provide specific details of the goods or services required. The Purchase Order form will be provided to the selected supplier with a clear specification.
- g. **Purchases over USUSD 250,000:** Single items over USUSD 250,000. **An open International tender process** must be used to collect a minimum of **Four (4) SEALED bids/quotations** from different suppliers. For these purchases, This Life staff will prepare the Quotation and Purchase Order Form ([Appendix 11A](#)) and provide specific details of the goods or services required. The Purchase Order form will be provided to the selected supplier with a clear specification.

Purchase classification a to g is dependent on the line of approval set out in Section [3.3]

5. PROCUREMENT PROCESS

A procurement procedure sets out the steps and conditions that must be followed by program staff to acquire goods and services so that the objectives of the organisation can be fulfilled efficiently and effectively.

a. Obtain quotations/bidding

Quotations/bidding from reputable independent suppliers are requested (in accordance with internal procedures and donor rules) to make sure the organisation gets best value for money and to minimise the risk of collusion.

b. Select Supplier

Quotations/bids are reviewed and a supplier is selected based on price, quality, and delivery times and 'after sales services' terms to ensure value for money. For this stage, it is usual to have a Purchasing Panel – a small group of managers or representatives of projects who take responsibility for selecting the supplier.

c. Purchase Goods

d. Receive Goods from Supplier

When goods/services are delivered and received, a delivery note is usually signed to confirm receipt and a copy filed for later reference.

e. Receive and Check Supplier Invoice

The invoice must be checked and matched up with the delivery note. Quotations must be checked by the finance staff. Program staff are responsible for checking quality and specification of goods/services. This is critical to ensure This Life is paying for quality goods/services. If the quality is not consistent with the request at the time of order, payment must be withheld from suppliers until the quality is acceptable.

f. Prepare and Authorise Payment Authority

The Payment Authority is attached to the invoice and all the supporting documents. It includes budget and accounting codes and must be checked and authorised by the budget holder or other nominated person.

g. Pay Supplier Invoice

The payment is attached to the invoice and all the supporting documents at any step of procurement process. Payment must be made to the supplier within the specified payment terms, usually 7 working days.

h. Future Contracts

A future contract involves a commitment towards a specified item or services at a specified price at a future date with a fixed amount of specified currency.

This Life enters into a contract with their vendors and service provider, consultants and employees at a fixed amount of stated currency which will be used from the inception of the project till completion of the project.

i. Prepayments

This Life can either pay in advance for any goods or services if they assess that a specific currency may depreciate or devalue in future which will result in Foreign Exchange loss. To

mitigate this loss, This Life can pay in advance for any goods or services they intend to get in near future and have already been budgeted and to be avail as well.

Partner and Affiliated Organisations Policy FN11

Policy Number: FN11

Effective Date: 06th February 2017

Version: 01

Revised Date: N/A

Drafted by: ED, FM

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: AGM 2024

Introduction

This Life is committed to ensuring that we engage with governments, organisations and individuals to achieve mutually agreed objectives in aid and development activities. The equal relationship with these stakeholders will be characterised by mutual respect, transparency, accountability and by a commitment and openness to two-way learning and support.

Additional Authority: Law and related organisational documents

- Reporting Policy
- Program Management Manual
- Guide to Grants and Donor Reporting
- ACFID Code of Conduct
- Beneficiary Feedback and Complaints Policy
- Grievance Policy

Purpose

The purpose of this policy is to guide This Life and our partners on the expected nature of our engagements with other organisations or individuals. Additionally, this policy addresses our ACFID compliance obligations when initiating and maintaining partnerships and joint collaboration for the purpose of achieving This Life's mission.

Scope

This policy applies to all This Life Board Directors, staff, volunteers, consultants and interns, and extends to This Life's partners and associated implementing organisations.

Partner Engagement

This Life collaborates with many entities from around the world.

These partnerships enhance our capacity to effectively facilitate community development through relevant and sustainable programs and projects by harnessing existing knowledge, expertise and resources to enhance capacity for communities to determine and meet their own needs.

This Life regards partnerships as mechanisms for realising positive, constructive change and will ensure all activities are carried out responsibly, honestly and with transparency. This Life expects the same of all partners.

The nature of the relationship must be documented in a Memorandum of Understanding or equivalent document (see below), which should be signed by both parties and filed by This Life's Finance Department. Such agreements should only be entered into by the Executive Director or Deputy Director. This Life's partners must comply with certain standards set by the ACFID Code of Conduct.

This Life sees value in building coordinated partnerships where there is mutual accountability and a focus on development results. We also aim to deepen engagement with civil society and promote a culture of zero tolerance for corruption.

This Life's management and staff will:

- Support carrying out adequate research to be confident that the potential partner organisation is suitable. This research will verify that the organisation is financially viable and:
 - has appropriate procedures to minimise the potential for fraud, corruption and money-laundering;
 - has appropriate processes to prevent transmission of funds to criminal or terrorist organisations;
 - shares This Life's objectives and understands This Life's vision, mission and values;
 - is considered legitimate, locally;
 - has an accountable and democratic organisational structure and is financially transparent;
 - is open to being monitored by This Life and will be responsive to recommendations. This Life must also be open to being monitored by the partner;
 - does not discriminate based on age, gender, sexual orientation, religion, ethnicity, physical or intellectual ability or political affiliation;
 - will not engage in promoting religions through evangelising or proselytising;
 - has sufficient human and financial resources to achieve desired partnership outcomes;
 - is accountable to communities and donors;
 - is not on the DFAT and National Security Australia lists of terrorist organisations and proscribed persons or entities;
 - abides by or exceeds This Life's child protection requirements including signing the Child Protection Code of Conduct;
 - promotes equality within staff and community;
 - promotes equal participation of all, including but not limited to groups marginalised on the basis of age, gender, sexual orientation, religion, ethnicity, physical or intellectual ability; and
 - promotes gender equality.
 - Formalise relations with partners, clearly identifying roles and responsibilities in a mutually accountable and respectful manner.
 - Ensure that partner contributions and mutually agreed outcomes are adequately documented and monitored.
 - Support partners to strengthen their systems and procedures where they are initially unable to meet organisational commitments for partnership.
 - Only enter partnerships that are compatible with local cultural needs and values, and which are aligned with This Life's purpose and values.
 - Clearly identify roles, responsibilities and guidelines to ensure the partnership remains mutually beneficial and effective in achieving agreed outcomes and take responsibility for ensuring roles, responsibilities and guidelines are agreed and documented when partnerships are established and that these are reviewed and adapted as partnerships evolve.
 - Ensure that partner organisations maintain environmental sustainability through safe practices.

Memoranda of Understanding (MoU)

All formal partnerships will be governed by an MoU or equivalent document which will detail the following:

- Statement of intent/ purpose
- Duration

- Background
- Partnership principles
- Partner roles
- Partner obligations and accountabilities
- Measurement, reporting and management of progress
- Partnership review
- Dispute resolution
- Termination
- Any additional ACFID requirements

Collaborative Relationships

Collaboration is one of This Life's values, ensuring participation of all stakeholders. In addition to collaborating with partners to develop projects, This Life also collaborates with other non-government organisations where possible and appropriate, and is a member of various collaborative networks.

Partner Capacity Assessments

Prior to the commencement of each program and project, This Life will conduct a partner capacity assessment. The assessment ensures that the program or project to be conducted will meet the needs of the target communities and other stakeholders, including This Life and partner organisations. It will also assess whether program or project will address cross-cutting issues such as gender, people with disabilities and child protection. The information gathered through the capacity assessment will be used to develop the program or project design.

Financial Accountability

This Life must oversee expenditure made by partner organisations that are funded by This Life, to ensure that they are appropriate and within This Life's objectives. The nature of the oversight depends on the degree of financial control exerted by the partner organisation. Depending on the judgment of This Life's directors, the MoU will outline requirements at This Life's discretion. All relevant documentation must be retained by This Life's Finance Department.

If an organisation is to receive funds from This Life, before any MoU is entered into, an additional assessment of the partner's capacity to manage, control and apply funds or resources in accordance with the promise to the donor(s), the agreed upon strategy, and This Life's specific instructions must be undertaken.

Donations

This Life shall only accept donations that are offered specifically to contribute to This Life's mission, and not from:

- Organisations
 - that are found to be incompatible with This Live's activities, policies or principles;
 - that are in ill repute and/or are not perceived to be acting in good faith; and
 - if doing so may present any threat of negative publicity to This Life
- Individuals
 - if there is any expectation or perceived expectation of reward from or influence over This Life;
 - who are in ill repute and/or are not perceived to be acting in good faith;
 - if doing so may present any threat of negative publicity to This Life.

Autonomy

Partner organisations that are 100% controlled by This Life shall have all of their accounts consolidated into This Life's financial statements. There is no precise definition of "control" for non-profit organisations, so this needs to be considered on a case-by-case basis. Relevant factors include whether the partner organisation is independently governed, whether its budget or expenditure is subject to approval by This Life, whether it is largely or entirely financed by This Life, and whether it shares operational facilities such as accounting, office space, and personnel.

This Life may also offer support to partner organisations in the form of fundraising, management, administration, office space, and so on. The directors shall consult with the Director of Shared Service (DSS) in order to agree on the feasibility of the support offered, as compared to the capacity and current workload of the finance and administration staff at This Life.

Unless specifically desired, 100% control over partner organisations should be avoided. MoUs should be drafted with this in mind, and should make specific reference to the independence or autonomy of the partner organisation as required. Control should be retained over the This Life "brand", such that partner organisations that are not 100% controlled by This Life do not release material in the public domain which implies that they are part of This Life, without prior consent.

Reviews

Throughout each project opportunities are available to review project activities, implement recommendations and make changes to future projects. This review allows for ongoing collaboration and reflection by all partners.

Grievances

This Life recognises the rights of individuals and partner organisations to lodge a grievance and have it resolved quickly and fairly. This will be handled in accordance with our Grievance, Beneficiary Complaints and Feedback or Whistleblower policies depending on the nature of the grievance being lodged.

Policy Number: FN12

Effective Date: 06th February 2017

Version: 03

Revised Date: 20th March 2023

Drafted by: ED / FM

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: March 2025

This Life provides internal and external reports based on established guidelines that depend on program needs or requirements stated in donor/partner Memorandum of Understandings (MoUs). Reports include monthly, quarterly and annual program reports, project completion reports, This Life Annual Report, etc.

1. INTERNAL FINANCIAL REPORT

This Life is required to 'close' the books at the end of each month. Before doing the monthly closing, the Financial Manager (FM) needs to make sure that all journal entries for corrections and adjustments are entered into the current period and all postings relating to the current period are completed. The following tasks shall be completed on a monthly basis:

- The FM collects bank statements from the bank at the end of the fiscal month. The FM will ensure that there are no days missing in the cut-off dates on the bank statement (from the 1st of the month to the 31st of the month).
- The FM approves the bank reconciliation for all This Life bank accounts and attaches the bank statements, general ledger (export from Xero), Summary of Expenditure (SOE), journal entries, and standard balance sheet.
- The FM ensures all expenses are accurately recorded in Xero and prepares a budget vs. actual report for the month.
- The FM makes sure that all vouchers, receipts/invoices, the financial report and cash drawdown requests are filed in the appropriate location.
- Note that the FM is not required to check every single transaction for the month. When performing reviews, the FM selects transactions on a sample basis. The sample selected is to be based on materiality, risk (i.e. more complex transactions or transactions where there have been errors in the past) and random spot-checks.
- The FM will send the Monthly Financial Reports to the attention of the Program Coordinators and the Executive Director (ED) and Deputy Director (DD) as per the agreed Timetable outlined in the Month End Close Checklist ([Appendix 15A](#)).
- The Month End Close Checklist ([Appendix 15A](#)) must be completed by the FM, which includes the date each task was completed. The Front Sheet must be printed and signed by the FM and ED, attached to the front of the month end pack, and filed.
- The agreed month end closing period is 7 working days.

2. DONOR FINANCIAL REPORT

In addition, the FM will coordinate the preparation of any donor financial report according to timetable in MoU or contract:

- Program Coordinators inform the FM the final expenses that need to be accrued, e.g. Consultant fee; outstanding Invoice/Purchase Order; other approved expenditure.

- FM prepares donor financial report according to donor report formats, timetable, MoU or contract and other requirements.
- FM/Program Coordinator reviews and signs the report and submits to DD/ED for approval.
- FM makes any adjustments necessary and prepares final/interim reports in donor format and sends to ED/DD for signature.

Policy Number: FN13

Effective Date: 06th February 2017

Version: 02

Revised Date: 23rd November 2022

Drafted by: ED / FM / Hannah

Responsible person: ED , FM

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Scheduled Review Date: November 2023

1. OVERVIEW

A budget is an estimate of what the actual cost would be, based on the objectives and outputs of the project. Budgets also provide performance targets against which actual results can be compared.

Budgeting is the process of planning finances over the budget period and is an essential element of financial management. It is the process of turning the strategic plan of This Life into financial outcomes.

Budget cycles should be timely, effective and support the operations and strategic goals by providing relevant management information for decision-making and performance measurement. This Life's financial year is 1 September to 31 August and budgets must be prepared over this period. Currently This Life prepares a budget for the financial year ahead only, however program budgets may be prepared for longer timescales if required by the donor.

2. BUDGET TEMPLATE

The Executive Director (ED)/Deputy Director (DD), Program Coordinators (PCs) and finance staff are responsible for preparing the budget:

- The PCs are initially responsible for preparing budgets for their own programs using the standardised template in accordance with project activities in the project proposal;
- The FM is responsible for updating the budget for staff costs, indirect staff costs and overheads. The FM is then responsible for coordinating these budgets into an overall This Life budget; and
- The ED/DD are responsible for reviewing these budgets. Any queries shall be followed up with the FM and PC's. When the ED/DD has finalised the budget, it will be presented to the board of directors for approval.

Zero base: Budgets should be prepared using a "zero base" approach where possible – each item should be justifiable by reference to actual items of expenditure, rather than just being last year's total plus a certain increase.

Reserves: All program budgets should initially include 2-5% of the total project cost as a reserve line. This is to allow This Life to build up a fund for use in the event that they lose funding for a program in future years.

3. DETAILED BUDGET

Detailed Program Budgets will be used to assist This Life in the preparation of the global budget. Detailed budgets will be prepared under the standard headings which are used in the Chart of Accounts:

a. Direct Salaries

Salary costs for staff who directly work on the program. The program coordinator shall identify the positions which the program will fund and the FM will populate the salary cost to This Life (including tax, bonus etc.). If the employee works across different programs or different elements of the program then their salary shall be apportioned appropriately. In the budget each job title must be listed and the percentage of time apportioned to the program noted.

b. Direct Staff Capacity Building

This is the cost of the This Life staff capacity building programs for staff working directly on the program. If the employee's time is apportioned across different programs, then the cost of the capacity building must also be apportioned accordingly.

c. Travel Costs

The Program Coordinator shall estimate all travel costs associated with the program. A detailed description of the item must be included, for example: 4 x visits per month (48 visits per yr.) @ 32km return journey @ USD 0.20/km. The purpose of the travel must be noted (for example: staff to field monitoring & evaluation, international travel, domestic travel etc.).

d. Program Activity Costs/Materials Cost

Program activity costs include the costs of delivering the programs, for example, the refreshments for meetings, training/workshop costs, basic need and support packages, scholarships etc. All expenditure must be itemised by purpose and the basis of computation displayed (e.g. 35 scholarships @USD 100 per scholarship). Material costs include the costs of providing materials for meetings, training and workshops as well as any equipment that is required for the program. These shall be separately itemised and the basis of any calculation stated.

e. Other Related Costs

Other related costs which do not fit into III or IV. Itemise all expenses of specific activities by purpose (e.g., list all activities of program etc.). Show the basis of computation.

f. Monitoring and Evaluation

This shall include the agreed costs for monitoring and evaluation of the program by CRCP.

g. Indirect Salaries

These are the costs of employees who are not directly related to the program. This will be completed by the FM using an allocation of indirect salaries costs to programs. The allocation is calculated by taking the percentage of direct staff working on the program out of the total number of full time employees. 100% of overheads must be charged to programs regardless of how much of these costs donors have agreed to pay.

h. Direct Staff Capacity Building

This is the cost of the This Life staff capacity building programs for staff who are not directly related to the program. The capacity building cost is apportioned across programs using the same allocation calculated by the FM for indirect salaries (VII).

i. Overheads

These are the costs of running the office and any other general costs which cannot be directly associated with the program such as rent, utilities, vehicle maintenance and external audit. This will be completed by the FM based on the calculation of the allocation of overheads to programs. The allocation is calculated using the percentage of direct staff working on the program out of the total number of full-time employees. This calculation is divided between staff working in the Siem Reap office and staff working in the Phnom Penh offices. 100% of overheads must be charged to programs regardless of how much of these costs donors have agreed to pay.

4. THIS LIFE COMBINED BUDGET

The budgets for each individual program will be combined to calculate an overall budget for This Life. This budget will include all the expected income from grants and donations and an estimate of other income. These figures will be used to calculate the funding gap and the amount which This Life still has to raise to finance its activities for the year. See This Life combined budget template in [Appendix 14A](#) and a guide to using the budget template in [Appendix 14B](#).

5. BUDGET NOTE/BUDGET NARRATIVE

The budget shall be accompanied with a note setting out what the budget assumptions are and any other information, which will help the Board of Directors and other stakeholders to understand the budget and how the figures within it have been estimated. Information which could be included in this includes how overheads have been allocated to programs, what estimates have been used in calculating the income or what This Life could do with additional funds under various income scenarios.

6. ONGOING BUDGET MONITORING AND BUDGET REVISIONS

The budget will be compared to actual performance on a monthly basis by the FM. This review will look at expenditure to date against the budget and identifying any budget revisions are needed. This will enable the ED and Board to get an updated picture of the financial position of This Life. Budget revisions are sometimes necessary to reflect ongoing changes to program activities, changes in staff or salaries, etc. that happen after the original budgets are established at the beginning of the fiscal year. The changes will depend upon the current situation affecting the project activity.

Changes to the budget shall be discussed between the ED/DD and the PC's.

7. BUDGET REALLOCATIONS AND NO-COST EXTENSIONS

Budget reallocations

A budget reallocation is where This Life makes a request to the donor to reallocate expenditure from one budget line to another. This will occur when program expenditure is due to exceed or has already exceeded the agreed budgeted amount on one line, but is below the agreed budgeted amount on another line. The need for budget reallocations shall be monitored via the monthly budget vs. actuals reports. The PC must flag the need for a potential budget reallocation to the FM and the ED/DD. The budget reallocation must then be proposed in line with requirements set out in the donor agreement/MoU. The request can be completed using the standard Budget Line Reallocation Request Form ([Appendix 14C](#)). The reallocation request must be reviewed and approved by the ED/DD prior to submission to the donor. If approved by the donor, the budget must be updated by the FM to reflect the reallocation.

No-cost extensions

A no-cost extension (NCE) is the extension of a program period without additional funding from the donor. If a program's end date is approaching but the PC identifies that the agreed funding will not have been spent in full, a NCE allows the end date to be extended (assuming that the program activity will continue into this period).

If a donor agreement/MoU allows for a NCE, the need for a NCE shall be monitored through the monthly budget vs. actual reports produced in last three months of the program. The FM should flag the number of months left on the project and request that the PC consider the need for a NCE at this time. If the PC and FM determine that a NCE is required, this shall be discussed and agreed with the ED/DD. The PC shall produce a NCE proposal to submit to the donor (see [Appendix 14D](#) for a standard template).

This must be in line with the donor requirements set out in the donor agreement/MoU. The NCE request must be reviewed and approved by the ED/DD prior to submission to the donor. If approved by the donor, the budget must be updated by the FM to reflect the NCE.

Other reallocations

In some circumstances, donor agreements/MoUs may allow for other types of budget reallocation. For example, a donor may allow their funding to be used for an unrestricted purpose if another donor is found to cover the project activity. In these cases, the PC and FM shall assess opportunities for funding to be reallocated as part of the monthly budget vs. actuals process. If opportunities are identified these shall be discussed with the ED/DD. A reallocation request must be produced in line with the donor requirements, which must be reviewed and approved by the ED/DD prior to submission to the donor. If approved by the donor, the budgets must be updated by the FM to reflect the reallocation.

8. BUDGETING FOR CRCP ENGAGEMENTS

Given the nature of CRCP engagements, it is necessary to adapt the budgeting process in line with the service offered. When budgeting for CRCP engagements, the CRCP – Budget Template ([Appendix 14E](#)) should be used whenever possible, guidance notes are contained within the file and the CRCP project coordinator has been trained to use the tool.

The approvals process for CRCP engagements remains the same as all other projects.

Fixed Asset Property Management Policy FN14

Policy Number: FN14

Effective Date: 06th February 2017

Version: 03

Revised Date: 18th December 2017

Drafted by: ED, FM, Hannah Parker

Responsible person: ED, FM

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Scheduled Review Date: AGM 2024

1. OVERVIEW

The purpose of fixed asset procedures is to ensure:

- This Life's assets are safeguarded by recording their details and monitoring their location and condition.
- All movements to fixed assets are recorded in fixed assets register.

Depreciation Schedules and Rules in Cambodia

Cambodia Tax depreciation may be different from accounting depreciation.

Accounting depreciation expenses are based on the accounting policy of each company while tax depreciation expenses are no option.

For example, Company ABC and Company XYZ accounting depreciation using straight line methods for building are 10% and 20% respectively.

Both companies have option for accounting policies (10%, 20%) but tax law for building depreciation is no option

So based on tax law, depreciation for building is 5% per year using straight line method, and all companies must apply this rate 5%

Depreciation Under Cambodian tax law, depreciation rates and methods are specified based on the asset class, and therefore, only the depreciation expense allowed under the rate for the asset's particular class may be deducted in calculating taxable income.

Asset Depreciation Rate Depreciation Method Tangible Property

- Class 1: Buildings and basic components 5% Straight Line
 - Class 2: Computers, electronic information systems, data handling 50% Declining Balance
 - Class 3: Automobiles, trucks, office furniture and equipment 25% Declining Balance
 - Class 4: All other tangible assets 20% Declining Balance
- Page 9 Asset Depreciation Rate Depreciation Method Intangible Property Having no specific useful life 10% Straight Line Having a specific useful life Over the useful life of the property Straight Line Instead of the tax deferral, QIP companies may elect to benefit from a special depreciation rate of 40% in the first year of use of the asset in addition to the normal tax depreciation charge. This special depreciation rate applies only to tangible assets used in “manufacturing and processing” and the asset should be held for a minimum of four years, otherwise the QIP will be required to add back a portion of the depreciation expense.

How is this applied to This Life

Building depreciation has been calculated over a 10 year lease.

The depreciation schedule will be monthly at 120 months,

so the formula = $\text{USD } xxx / (10(\text{years}) / 12(\text{months per year}))$

Capital Asset Definitions and Guidelines

Capital assets are tangible and intangible assets acquired for use in operations that will benefit more than a single fiscal period. Typical examples are land, improvements to land, easements, water rights, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure, and various intangible assets. (Land associated with infrastructure should be reported as land rather than as part of the cost of the related infrastructure asset). A capitalized asset is a capital asset that has a value equal to or greater than the capitalization threshold established for that asset type. Capitalized assets are reported for financial reporting purposes.

Capital Asset Classification

Assets are broadly classified as follows:

- Land/Land Improvements/Easements
- Buildings/Building Improvements
- Leasehold Improvements

- Equipment
- Other Tangible and Intangible Assets
- Infrastructure
- Assets Under Construction
- Capital Leases
- Works of Art/Historical Treasures

Below is the flow of depreciation.

	Donor	Dr.	Cr.	TLC - General fund	Dr.	Cr.
1	Dr. Bank - Donor	1,000				
	Cr. Deffered grant		1,000			
2	Dr. Expense	300		Dr. Fixed Assets	300	
	Cr. Bank		300	Cr. Capital grant fund		300
3	Dr. Deffered grant	300				
	Cr. Income		300			
4				Dr. Depreciation	20	
				Cr. Accumulated		20
5				Dr. Capital grant fund	20	
				Cr. Depreciation		20
6				Dr. Accumulated	20	
				Dr. Capital grant fund	280	
				Cr. Fixed Assets		300
1: Received fund from donor						
2: Purchasing fixed assets which is allowed to record as expense by donor but TLC's accounting policy is to record as fixed asset for item over \$300						
3: Charge to donor						
4: Making depreciation						
5: Adjust Depreciation expense to capital grant fund for the portion funded by donor						
6: Fixed Asset returned to donor						

2. FIXED ASSETS CLASS

Fixed assets are defined as tangible assets, which have been acquired either through purchase or through donation with the intention of being used on a continuing basis for a period exceeding one year. All assets whose price exceeds USUSD 300 cost and with a useful life > one year must be capitalised and registered in the fixed asset register.

Assets under USD 300 shall be expensed to the Income Statement and do not require inclusion in the fixed asset register; these assets can be recorded in a separate register. To facilitate proper financial and management control, fixed assets have been grouped into three categories:

No.	Class of Asset	Depreciation Rate
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1	Motor Vehicles (MV)	20%
2	Office Equipment (OE)	20%
3	Computer and Software (CS)	33%

Fixed assets shall be recorded at cost of purchase price or market value for donated assets. Fixed assets shall be depreciated on a straight-line basis over the estimated useful life of the asset (see rates above). The appropriateness of the depreciation rates shall be re-evaluated on an annual basis.

3. FIXED ASSET TAG NUMBERS

This Life allocates tag numbers to fixed assets as follows: The tag number for the fixed assets shall be based on fixed asset class. An easy way of recording in the fixed asset register is to use a three-digit tag number in the format of the following, example: This LifeCD00012. This Life designates the name of organisation. The digits CD indicate the fixed asset Name or Class (Computer Desktop) while the last three digits represent the Fixed Asset number in chronological order.

4. FIXED ASSET PROCEDURES

Principal activities that shall be performed:

- a. Record opening balances of existing fixed assets in the fixed asset register (either at cost for asset purchases or fair market value for fixed asset donations).
- b. Update the fixed asset register for additions in the month of purchase or donation.
- c. Update the fixed asset register for disposals in the month of disposal.
- d. To have an effective fixed asset register, the following steps shall be followed:
 - Prepare a listing of fixed assets donated by each donor during the year.
 - Prepare a listing of fixed assets purchased by This Life during the year.
 - Verify existence of each item on the lists above by performing a physical fixed asset count.
 - Assess the condition of the fixed assets, their location, and assigned responsible person.
 - Assign fixed asset tag numbers or a suitable reference number to each fixed asset.
- e. To create a fixed asset register, record individual fixed assets by entering information under the following headings:
 - Name and description: Record the name and description of the fixed asset.
 - Cost: Original purchase price or fair value if donated.
 - Supplier: Record the source of the fixed asset.
 - Purchase reference: Provide a reference to the procurement/payment voucher reference if available.
 - Date of purchase: Record the date of purchase.
 - Location: Record the present location of the fixed asset through inspection.
 - Condition: Record the present condition of the fixed asset (excellent, good, fair and poor).
 - Asset number: Record the fixed asset number (tag number) where numbers are being assigned.
 - Responsible person: Name of person who is assigned to used and maintained fixed asset
 - Appropriate disposal or write off of missing items.
- f. Extract fixed asset from accounting system in order to compare against the fixed asset register to make sure totals agree with the initial listings.
- g. The person assigned to maintain fixed asset register shall update as follows:

- Finance/Administration staff and/or program staff must perform a quarterly physical fixed asset count to confirm the existence and condition of the fixed assets register.
- As Finance/Administration have control over fixed assets, the person responsible for performing the count must be different to the person responsible for ensuring the sign-out and sign-in procedures are followed. This is to prevent the misappropriation of assets. This shall be achieved as follows:
 - o The quarterly count results will be reviewed by a senior member of the Finance Department and random spot checks performed;
 - o Every 6 months (including the year-end) a senior member of the Finance Department will attend and observe the full count.
- Finance/Administration staff must record any fixed asset additions
- Finance/Administration staff must remove fully disposed of fixed assets from the fixed asset register with appropriate supporting documents.

5. THEFT OF FIXED ASSETS

If a fixed asset is stolen, it must immediately be reported to the Executive Director (ED)/Deputy Director (DD) who will determine the appropriate course of action to be taken. A supporting report must be kept in the fixed assets file to explain the reason for removing the asset from the fixed asset register and this report has to be signed by the ED.

6. BREAKAGE OF FIXED ASSETS

If a fixed asset is broken, it must be reported in writing to relevant managers immediately. The value of any broken asset shall be reassessed and written down accordingly in the fixed asset register.

7. TRANSFER AND DISPOSAL OF FIXED ASSETS

a. Transfer of Fixed Assets (within This Life)

- Where an asset is transferred from one project to another project, the transfer must be in accordance with the provisions of the Memorandum of Understanding (MoU) or relevant contracts.
- Once the transfer is approved by the DD or ED, the Program Coordinator who will be receiving the asset must complete a Fixed Asset Transfer Form which must be signed by the DD or ED and relevant Program Coordinators (the Program Coordinator under whose program the asset had been used as well as the Program Coordinator of the program where the asset will be used in future). This form shall be kept in the fixed assets file.
- The Director of Shared Service (DSS) is responsible for ensuring the fixed asset register is properly maintained and up to date.

b. Disposal of Fixed Assets

- Disposal of Fixed Assets may occur through sale, transfer or disposal. Asset disposals must be pre-approved by ED/DD.
- Assets purchased with donor funds under a grant agreement must be disposed of according to donor specific requirements.
- The disposal must be recorded on the asset register and adequate documentation maintained on file regarding the disposal.
- Where assets are to be passed on to another organisation (e.g. community based organisation), the arrangement will be documented in the form of a contract or letter of agreement to be signed by both parties and approved by ED/DD.
- This Life offers no warranty on assets sold or donated.

- Staff assigned to disposal must provide honest, accurate advice to potential buyers/receivers about any item/s being disposed.
- When an asset is to be sold, the principle of promoting open and effective competition must be applied. This includes situations where a decision is made to sell to This Life staff. The DD or ED ensures that a confidential tender process is established and the asset sold to the highest bidder.
- Purchasers must pay by cash, bank cheque or bank transfer prior to taking delivery of the assets and the income recorded as revenue from asset disposal.
- The decision on the most appropriate method of disposal shall take into account the asset's market or trade in value, location (costs involved in relocating) etc.
- All decisions relating to the disposal of assets and the reasons for disposal must be documented. Whenever assets are disposed, copies of relevant documents must be provided to relevant staff to add to fixed assets file.

8. CONTROL OF FIXED ASSETS

- All fixed assets are under the control of the Finance staff. All portable and expensive fixed assets such as laptop computers, cameras, video cameras, LCD projectors, etc. shall be stored in the Finance Department. A staff member who wishes to use any of these items must book it with the Administration/Finance Department and the sign in and out procedure must be followed.
- All fixed assets owned by This Life must be labelled with appropriate This Life asset ID numbers.

9. CAPITAL GRANTS FUND

When donor funding is used to purchase fixed assets, it is This Life's stated accounting policy to charge the capital expenditure to the donor fund and then transfer this amount to a capital grants fund. Depreciation of donor funded assets is charged through the general fund which is replenished by an equal transfer from the capital grants fund. The value of the capital grants fund will always equal the net book value of donor funded fixed assets.

Note that the capital grants fund therefore requires two additional journal postings:

- After the donor-funded fixed asset has been capitalised, a posting should be made to reduce to the donor fund by the amount spent and to recognise the amount in the capital grants fund:
 - Dr donor fund, Cr capital grants fund
- After the donor-funded fixed asset has been depreciated as normal, a posting should be made to replenish the general fund by a transfer from the capital grants fund:
 - Dr capital grants fund, Cr general fund

The capital grants fund enables This Life to show capital expenditure in full against a donor fund, whilst also enabling the asset to be capitalised on the balance sheet, which ensures that the financial statements comply with International Financial Reporting Standards (IFRS). Note that Australian Accounting Standards (AAS) are identical to IFRS, with some variations for not-for-profit entities. Although capital grant funds are not explained in either IFRS or AAS, it is common practice for NGOs in developing countries. The use of a capital grant fund does not prevent the financial statements from showing a true and fair view under IFRS, since IAS 1(p5) allows for amended terms for not-for-profit entities.

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Drafted by: ED, FM,

Responsible person: ED, FM

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1. COMPUTERISED ACCOUNTING SYSTEM/MANUAL

The accounting system This Life uses is an automated accounting software called Xero. This Life's financial year runs from 1 September to 31 August.

2. REPORT BASIS

The This Life Finance Manager (FM) undertakes day-to-day accounting using the modified cash basis (i.e. income is recorded when the cash is received, and expenses are recorded when cash payment is made). The only exception being staff bonus payments which are accrued through the year to ensure the cost is accurately covered by the program through the year.

However, the year-end financial statements are prepared on an accrual basis. Meaning that:

- Any income recognised but unearned during the current financial year will be recorded as deferred income (liability) on the balance sheet;
- Any expense recognised but not incurred during the current financial year will be recognised as a prepayment (asset) on the balance sheet; and
- Any expenses incurred but not recognised (i.e. no cash payment made) during the current financial year will be accrued on the balance sheet (liability).

Note: Cash basis accounting does not conform with the provisions of GAAP and is not considered a good management tool because it leaves a time gap between recording the cause of an action (sale or purchase) and its result (payment or receipt of money). It is, however, simpler than the accrual basis accounting and quite suitable for very small firms/NGOs which transact business mainly in cash.

Example

- **Cash basis:** Under the cash basis, accounting, revenues, and expenses are recognised as follows:
 - Revenue is recognised when cash is received, and
 - Expense is recognised when cash is paid
- **Accrual Basis:** Under accrual basis accounting, revenues, and expenses are recognised as follows:
 - Revenue is recognised when both of the following conditions are met:
 - o Revenue is earned,
 - o Revenue is realised or realisable (realised means cash is received, realisable means it is reasonable to expect that cash will be received in the future).
 - Revenue is earned when products are delivered or services are provided.
 - Expense recognition: Expense is recognised in the period in which related revenue is recognised (Matching Principle).
 - Timing differences in recognizing revenues and expenses:

There are potential timing differences in recognizing revenues and expenses between accrual basis and cash basis accounting.

Four types of timing differences:

- **Accrued Revenue:** Revenue is recognised before cash is received. (Debit: Account Receivable, Credit: Accrued Revenue a/c)
- **Accrued Expense:** Expense is recognised before cash is paid. (Debit: Account Payable, Credit: Accrued Expense a/c)
- **Deferred Revenue:** Revenue is recognised after cash is received.
- **Deferred Expense:** Expense is recognised after cash is paid.

3. PRE-NUMBERING

Accounting transactions must be documented by pre-numbered accounting forms (the Finance team numbers the forms and keeps a sheet to record the sequential numbers issued), the sequence of which shall be accounted for each month to ensure proper and complete recording in the cashbooks.

4. STANDARD CHART OF ACCOUNTS

The standard Chart of Accounts was developed to be flexible to meet the changing needs of This Life. A basic understanding of the Chart of Accounts, as well as reporting requirements, is required to be able to use reporting tools effectively.

The purpose of the Chart of Accounts is to provide meaningful financial data both for internal and external reporting purposes and to effectively manage the organisation's finances.

5. STEPS OF THE RECORDING PROCESS

Accounting process is a series of activities that begins with a transaction and ends with the closing of books. Because this process is repeated each reporting period, it is referred to as the accounting cycle and includes these major steps:

- Identify transaction or other recognisable event.
- Prepare the transaction source document such as a purchase order or invoice.
- Analyse and classify the transaction. This step involves quantifying the transaction in monetary terms (e.g. dollars and cents), identifying the accounts that are affected and whether those accounts are to be debited or credited.
- Record the transaction by making entries in the appropriate journal. Such entries are made in chronological order.
- Post general entries to the ledger accounts

The above steps are performed throughout the accounting period as transactions occur or periodic batch processes, using the following steps:

- Prepare the trial balance to make sure that debts equal credits. The trial balance is a listing of all of the ledger accounts, with debits in the left column and credits in the right column. At this point no adjusting entries have been made. The actual sum of each column is not meaningful; what is important is that the sums be equal. Note that while out-of-balance columns indicate a recording error, balanced columns do not guarantee that there are no errors. For example, not recording a transaction or recording it in the wrong account would not cause an imbalance.
- If the columns are not in balance, look for match errors, and recording errors. Posting errors include:
 - Posting of wrong amount
 - Omitting a posting,
 - Posting in the wrong column, or
 - Posting more than once
- Prepare adjusting entries to record accrued, deferred, and estimate amounts.
- Post adjusting entries to the ledger accounts.

- e. Prepare the adjusted trial balance. This step is similar to the preparation of the un-adjusted trial balance, but this time the adjusted entries are included. Correct any errors
- f. Prepare the financial statements:
 - Income statement: prepared from the income, expense, gains, and losses.
 - Balance sheet: prepared from the assets, liabilities, and equity accounts.
 - Cash flow statement: derived from the other financial statements using either the direct or the indirect method.
- g. Prepare closing journal entries that close temporary accounts such as revenues, expense, gains, and losses.

Revenue: Cash Receipts Policy FN16

Policy Number: FN26

Effective Date: 06th February 2017

Version: 03

Revised Date: 18th December 2017

Drafted by: ED / FM / Hannah Parker

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: AGM 2024

1. RESPONSIBILITIES

The Finance Manager (FM) is responsible for recording all cash receipts and the subsequent deposit of receipts to the bank, although this duty may be delegated to a junior member of staff in the finance team. The Executive Director (ED) or Deputy Director (DD) must be informed of all income received and must authorise the relevant receipt.

The FM is responsible for ensuring the completeness and accuracy of recording all cash receipts.

2. STANDARD FORM FOR CASH RECEIPTS AND OTHER INCOME

The Cash Deposit Form (CDF) form ([Appendix 6A](#)) is to be used for proper accounting and control of cash receipts and other income. The FM shall promptly issue This Life Official Receipts for all amounts received.

The CDF is designed to be edited for all revenue streams received by This Life. The form must be edited to disclose the total amount received, date received, receipt number, receipt date, program, description of income, bank code, income code (taken from the This Life Chart of Accounts), recipient and broken down amount. The form must be signed by the preparer and verified by the ED or DD (evidenced by their signature).

Supporting documents must be attached to each relevant CDF, including the bank deposit slip, and any other document pertinent to the source and purpose of the income.

Particular attention must be paid to restrictions on the income, such as the donor's choice of program to support.

3. ACCOUNTING COMPLETENESS OF CASH RECEIPT AND OTHER INCOME

Pre-numbered CDFs, duly signed by the ED or DD, must be prepared in full for all cash receipts and other income transactions.

The sequence of used forms is accounted for at the end of each month, to ensure the complete recording of cash receipts and other income in the books. Any missing or unrecorded CDFs must be investigated and accounted for, and a note of the action taken added to the sequence in the files, to ensure that a complete sequence is available for audit purposes.

4. CASH RECEIPTS, DEPOSITS AND SECURITY

All cash receipts are deposited in the bank as promptly as possible, preferably on the next banking day or at the latest within one week of receipt. The bank deposit slip must be attached as support to all cash receipts, when they are recorded in the books.

Cash receipts must not be added to petty cash, which is only to be used for petty cash and day-to-day general and administrative disbursements. Personal money is likewise not to be combined with the organisation's cash reserves.

Cash on hand is kept in the safe of This Life which can only be accessed by the FM.

5. VTSE CASH RECEIPTS

Cash received by Vocational Training Social Enterprise (VTSE) programs (e.g. the Moto Doctor shop) must follow the following specific process:

- a. A local pre-numbered receipt is issued by VTSE staff for all cash received.
- b. All cash is banked locally each day by the VTSE Sales and Administration employee. If the bank is closed, the cash is banked on the next day that the bank is open.
- c. The receipts and bank slip are delivered to the Finance Department.
- d. On a weekly basis, the Finance and Administration Officer (FAO) will reconcile the bank slip to the receipts. The FAO will complete the VTSE Income Reconciliation front sheet ([Appendix 6B](#)), sign it, and attach the bank slip and receipts as supporting evidence.
- e. The FM will then reconcile the bank slip to the bank account. The FM will complete the front sheet ([Appendix 6B](#)), sign it, and attach a print out of the bank statement as supporting evidence.

6. REVENUES: GRANTS AND DONATIONS IN KIND

The procedures and controls for grant income are identical to those for other sources of income. Additional controls and procedures apply to grant income because it makes up most of This Life's total income.

Institutional donors and other major donors must have a Memorandum of Understanding (MoU) or other form of contract with This Life that is signed by the ED or DD and that is filed in the Finance Department. A schedule for major donors shall be maintained to show the amounts and timing of funding for the year. Contact details of the donor, including address, telephone, and email, must also be filed to enable queries to be followed up.

Grants paid by direct bank transfer generate a notification from the bank which is filed. 'Anonymous' receipts must be promptly queried to establish the identity of the donor; the documents must then be annotated as required.

Grants paid by cheque shall be promptly deposited in the bank on the next banking day or at the latest by the end of the week. The bank receipt shall be filed with a copy of the bank statement, to show when the cheque funds are available for drawdown.

If the donor requests an invoice, a tax receipt, or a thank-you letter, the FM shall liaise with the ED or DD to ensure that this is sent and that a copy is retained in the donor files.

Other relevant correspondence, especially details of any restrictions, must also be retained in the Finance Department, including copies of emails. Entries must be allocated to the correct project and donor in Xero. Finance staff must communicate as required with This Life management to ensure that donor's wishes are

recorded and respected. The FM is responsible for the complete and accurate recording of grant income, including all restrictions.

The gross amount of the grant income shall be posted to income in the accounts, with any bank transfer charges and currency exchange charges recorded in This Life's expenditure as bank fees.

It is This Life's accounting policy that, when conditions are attached to the grant which must be satisfied before This Life is entitled to the grant income, the grant income is deferred until the conditions are satisfied. Therefore the FM must assess whether such conditions are present in the grant and defer the income if necessary. In most cases, such conditions will be present and the expenditure on the program will reflect the extent to which the grant conditions have been met. It is therefore expected that the majority of grant income is released in line with the expenditure against the grant. However, this may not be the case and therefore the accounting treatment for each grant must be individually considered by the FM.

Donations in kind are donations in the form of goods or services. Donations in kind are recognised at "market value" in the accounts if they are under the control of This Life (i.e. not pass-through transactions where This Life is just acting as a distributor for a third party) and if the "market value" can be reliably measured. The market value amount is recognised as income as a "Donation in kind" and an equal amount recognised as expenditure, so that the net impact on the Profit and Loss Account is nil. The FM is responsible for monitoring donations in kind and ensuring that these are booked into the accounts.

Other Australian Disclosures Policy FN17

Policy Number: FN17

Effective Date: 06th February 2017

Version: 01

Revised Date: 28th February 2017

Drafted by: ED, FM, Hannah Parker

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: AGM 2024

1. RESPONSIBILITIES

As This Life is registered with the Australian Charities and Not-for-profits Commission (ACNC) it must:

- provide the Commissioner with an information statement in relation to the previous financial year; and
- provide the Commissioner with a financial report for a financial year, together with a reviewer's report.

Given that the financial reporting end date for This Life is 31 August, This Life must ensure that the information statement and financial statements are always registered with the Commissioner by 28 February each year (Division 60 of the ACNC Act).

Information Statements:

The annual information statement includes questions about the charity, its activities and basic financial information. Note that the annual information statement is published on the ACNC website. The annual information statement can be filled out in the ACNC charity portal.

Financial Statements:

The ACNC Regulations state that medium charities must provide financial statements which must:

- meet applicable Australian Accounting Standards; and
- provide a true and fair view of the charity's position and performance.

Since 2015, all medium and large charities registered with the ACNC must prepare their financial statements using the accruals method. The definition of small, medium and large is based on revenue and can be found on the [ACNC website](#).

Medium charities may choose to have their financial report either reviewed or audited. Large charities must have their financial report audited. [Section 60-30 of the ACNC Act](#) sets out requirements as to who can undertake the audit or review of the financial reports. This Life must ensure that the audit firm engaged to perform the review or audit meet these requirements. In addition, any audit must be undertaken in accordance with auditing standards as set out under the *Corporations Act (Cth) 2001* (see section 60- 35 of the ACNC Act).

2. REPORTING CONSIDERATIONS

The Finance Manager (FM) shall communicate as required with external FMs and auditors in order to ensure that records are kept of other items that require disclosure under the relevant Australian Authority. The list below is not exhaustive and must be reviewed at each year-end to ensure that This Life can produce draft financial statements in conformity with Australian requirements.

Accounting considerations:

- Assets that are leased by This Life, including property. Copies of signed lease agreements must be kept in the Finance Department. For leased assets with a commitment of up to USD 100, the lease may be signed by the FM. For leased assets with commitments of more than USD 100, the lease must be signed by the Executive Director (ED) or Deputy Director (DD).
- Inventory (“stock”) held by This Life at the year-end must be physically counted, valued at the lower of historical cost and realisable value, and included in the year-end accounts. This includes items held for sale, and items held for distribution to beneficiaries, such as humanitarian aid.
- Contingencies, provisions legal claims and correspondence, including details of the tax status of This Life. Copies of all relevant documents and communications must be made available to the FM.
- Fundraising expenses must be recorded separately, as they need to be disclosed separately in the financial statements.
- Expenses that related to more than one activity need to be allocated in a reasonable, justifiable and consistent way in the annual financial statements. The basis of allocation needs to be documented. Expense items such as the salary of the ED and the rent for the Head Office must be allocated to program areas, and to general management, on reasonable bases such as % of time spent, or % of space used.

Disclosure considerations:***Related parties***

A related party transaction is defined as “a transfer of resources, services or obligations between related parties, regardless of whether a price is charged”. [AASB 124 para 9]. A related party is a party that has a relationship with the reporting entity that affects the pursuit of separate interests of either the reporting entity or the related party itself. A related party can be an individual or an entity, such as a company or unincorporated business.

This means that any transactions between This Life and the board members, and any transactions between This Life and organisations/people that the board members have influence over would be a related party transaction. For example, if a This Life board member also sat on the board of one of the This Life donors this would be a related party. The income from the donor would be a related party transaction and This Life would need to disclose this in the financial statements. This ensures transparency to the reader of the accounts.

This Life must monitor for related parties and related party transactions by maintaining a register of interests and asking all board members to complete annual related party declarations ([Appendix 17A](#)).

If there have been any related party transactions during the reporting period, the transaction amount, the amount outstanding at year-end and the nature of the transaction must be disclosed in the notes to the financial statements.

Remuneration of Key Management Personnel

Key management personnel (as defined in AASB 124) are those persons having authority and responsibility for planning, directing and controlling the activities of the entity, directly or indirectly, including any director (whether executive or otherwise) of that entity. For This Life this is likely to correspond with the Management Team and Board of Directors, however, this must be reviewed annually to ensure that all members of key management personnel are identified in the annual financial statements.

Under AASB 124, This Life must disclose in its notes to its financial statements key management personnel compensation in total and for each of the following categories: (a) short-term employee benefits; (b) post-employment benefits; (c) other long-term benefits; (d) termination benefits; and (e) share-based payment.

Policy Number: FN18

Effective Date: 06th February 2017

Version: 03

Revised Date: 22nd January 2020

Drafted by: ED / FM / Hannah Parker

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: January 2024

1. OPENING A BANK ACCOUNT

Only the Executive Director (ED) of This Life can authorise to open new bank accounts. The title of the account must bear the name of This Life and not the individual's name. Other Bank accounts must not be opened without the written authorisation of the ED.

As the US currency is being used in Cambodia and there is no restriction from the government for using foreign currency, This Life has opened a US Dollar bank account for its operations.

Bank statements for **every** bank account, including those with no transactions, must be obtained every month and filed in order in the bank statements file. Where bank statements cannot be obtained transaction listings shall be printed from the online banking website.

2. AUTHORISATION JOINT SIGNATURE ON BANK ACCOUNTS

Only specific This Life nominated employees are permitted to be signatories on This Life bank accounts. At present, only the Executive Director (ED) and Deputy Director (DD) are permitted signatories and one signature is required.

This responsibility may be delegated when both the ED and DD are absent from the This Life office for extended periods of time. Refer to [Section \[3.3\]](#) for the delegation policy to be followed.

In Central Office, cheques are issued to cover expenditures for more than US USD 1,000 unless authorised by the ED/DD to pay cash.

3. SECURITY OF CHEQUE BOOK USE

Cheques are used to withdraw money from the bank for payments to staff, suppliers, and cash on hand replenishment purposes.

Central Office must use cheques for any amount paid in excess of USD 1,000 to one recipient, unless authorised by the ED/DD to pay cash.

To avoid loss, the cheque book must always be kept locked in the safe and handled by the Finance Manager (FM).

Pre-signing blank cheques (before the recipients' name and amount of money to be paid is entered) is not allowed.

In case there are errors or unacceptable information entered on a cheque, the word "CANCELLED" or "VOIDED" must be written on the cheque and attached to the stub in the cheque book.

4. CASH ON HAND MANAGEMENT

Cash on hand funds is held in the office in both US Dollar and Riel a Standard exchange rate of 4000 RIEL = USD 1USD. All cash on hand is to be kept in the safe box, with access limited to the FM and Finance & Admin Officer (FAO). Cash on hand is kept for two purposes:

- **Petty cash** is held to meet minor and recurring expenses (taxi fares, copying, office supplies, meeting refreshments, etc.), which would not normally require the issuance of a cheque. The FAO is responsible for recording all petty cash transactions. The FAO will prepare an Operations Float Reconciliation which is to be submitted to the FM when a top-up is needed for the Petty Cash (2-3 times per month on average: opening float = [USD 500]).
- **Program expenditure** as requested by PC's. This Life cash on hand shall be kept at a maximum of [USD 4,000] in both currencies (USD and Riel) for all programs combined. However, any individual payment over USD 1,000 must be made by cheque unless authorised verbally by the ED/DD to pay in cash. To ensure that cash flow is consistent with transactions, cash on hand shall be counted at the end of each working week.

5. INTERNET BANKING

This Life currently has access to internet banking facilities for all accounts. Access to accounts via internet banking is restricted to the ED/DD and the FM through two devices that provide passcodes.

Any payments initiated by the FM through internet banking must be authorised by either the ED/DD, via the online internet banking system, prior to the funds leaving the account.

6. MANAGING FOREIGN EXCHANGE

Foreign exchange risk can be managed in various ways. This section discusses techniques used by This Life for hedging against risk. Hedging can also be defined as all the actions taken to change the exposed positions of an organisation in one currency or in multiple currencies.

Our Executive Director and Finance Manager uses different types of hedging techniques and may, however, be influenced by costs, taxes, effects on accounting conventions and regulation.

Australian Dollar and US Dollar Bank Accounts

Our Executive Director and Finance Manager uses different types of hedging techniques and may, however, be influenced by costs, taxes, effects on accounting conventions and regulation.

To mitigate the risk of currency fluctuation, This Life operates Australian Dollar Bank accounts and US Dollar Bank Account as the US currency is being used in Cambodia and there is no restriction from the government for using foreign currency.

This will not only hold the funds in the same currency but can be utilised against budgeted heads with the same units as agreed with donors without the fluctuating effect of money devaluation or appreciation.

7. PHNOM PENH OFFICE BANK ACCOUNT

To limit personal risk and increase efficiency all expenditure relating to teams in the Phnom Penh (PP) office is to be made through internal payments to a bank account set up for the sole use of the PP office. Payments are made via internet banking transfer in line with the [policy set out in 5.5](#). The use of this bank account negates the need for large sums of cash to be held on person or in the office as allocated staff members will be able to withdraw cash as required to meet requested expenses.

The account has one debit card, which is the responsibility of allocated staff members based in the PP office. Allocated staff members have to ensure the debit card is stored in the secure cash box and track its use. Allocated staff members only have access to the card via a sign-out / sign-in process, which is documented and verified by a witness in a logbook. The logbook is stored along with the debit card in the secure cash box.

To mitigate any additional risks of having a bank account with staff access, the following controls must be implemented at all times:

- **Policy on Cash Advances:** All cash advances are to be requested under the policy set out in [section \[7\]](#) of the Financial Policy and Manual i.e. no funds will be transferred until a request form has been completed and approved, all funds transferred to the account must be settled within 14 days and only three outstanding requests are permitted for each team (TLBB, CRCP etc.) at any given time. Each group of requests must be cleared before more requests are made.
- **Internet banking:** Online access to the account is restricted to the FM, ED and DD, in line with current This Life bank accounts. This ensures that funds may only be transferred to the PP account if initiated by the FM and approved by the ED/DD.
- **Signatories:** Signatories on the bank account are the ED and DD.
- **Allocated staff member:** An allocated staff member is to be the most senior member of each team based in the PP office. It must be noted however that due to the small number of staff members based in the PP office, responsibility may alternate according to given circumstances (i.e. out of office, annual leave, sick leave etc.). When the allocated staff member is out of the office, responsibility is delegated to the next most senior staff member.
- **Secure storage:** The debit card is to be held in a secure cash box, stored within the locked filing cabinet within the PP office. The allocated staff member from within each team has a key and the access code to the cash box.
- **Pin number:** Allocated staff members only are provided the pin number for the debit card.
- **Segregation of duties:** Allocated staff members are responsible for storing the debit card securely in the cash box and for tracking its use at all times. Only an allocated staff member can take the card to withdraw funds. When an allocated staff member requires the card to withdraw funds, they need a witness to enter the name, date and time the card has been signed-out in the logbook. Both the allocated person and witness need to sign to verify the sign-out in the logbook. This process is repeated upon return of the card, and again, both the allocated person and witness have to verify the name, date and time of the sign-in in the logbook.
- **Withdrawals:** Withdrawals can only be made in USD in order to circumvent the exchange rates on Riels. Allocated staff members are encouraged to withdraw the total amount of the amount requested to make the reconciliation process more straightforward. The maximum daily withdrawal limit set by the bank is USD 1,000.
- **Receipts:** Receipts are required for all cash withdrawals and must be signed by the allocated staff member who withdrew the cash. Receipts are to be stored along with the card and logbook in the cash box and returned to the FM in head office on a monthly basis.
- **Online ledger:** The FM is responsible for maintaining an excel ledger to record all incomings and outgoings for the account. The ledger is prepared on a program by program basis to ensure that each allocated staff member in the PP office is fully aware of what funds are available for their program. The FAO updates the excel ledger using the clearance forms sent from PP. The balance on the ledger is used to

determine the amount of money to transfer for subsequent requests (e.g. if a previous transfer was not fully spent, the underspent amount is netted off against the new request amount).

- **Minimum balance:** Bank regulations require the bank account to hold a minimum balance of USD USD 500 at all times. The FM is responsible for ensuring that there is a block on the account to maintain this minimum balance.
- **Bank Rec:** The PP account forms part of the monthly bank recs performed by the FAO and FM.

Document Management and Information Security Policy FN19

Policy Number: FN19	Effective Date: 06 th February 2017
Version: 04	Revised Date: 26 th December 2017
Drafted by: ED / FM / Hannah Parker	Responsible person: ED, FM
Date Approved by Board: 05 th February 2017	Scheduled Review Date: December 2024

Document management

Paper copies of all financial transactions are stored in secured filing cabinets within the Finance & Admin Office. Each month packs are produced for all transactions with a Transaction Detail Report printed from Xero as the front sheet and supporting documents attached behind. The documents are referenced using the reference number produced by Xero. The packs are filed based on month and program.

Under Division 55 of the ACNC Act, This Life must retain such records for 7 years. Cambodian Taxation requests that documents are stored for 10 years. To align with local government standards This Life will hold archives for 10 years.

Information security

This Life's financial database is maintained on the local server. Access to this information is restricted to authorised personnel.

The Executive Director (ED), the Deputy Director (DD) and Finance Manager (FM) are responsible for managing the access to financial security. Only duly authorised employees are assigned system IDs and passwords that permit access to the system. Each ID is unique in order to track user activities and provide accountability and transparency. Access rights are based on the level of responsibility assigned to each user.

Passwords must be used to ensure the correct identification of authorised users by the system. Passwords are to be kept secret, not easily guessed, and to be changed on a regular basis. All access privileges are to be cancelled or amended for terminated or transferred employees. This is the responsibility of the FM. As part of the month end close process the FM is responsible for reviewing users and their access rights and assessing whether these remain appropriate. The FM will sign the Month End Close Checklist ([Appendix 15A](#)) to confirm that this check has been performed.

Financial information on QuickBooks Online is automatically backed up to Intuit hard drives using bank-level security. Intuit also periodically copy all data to a third party hard drive and perform back-ups to tape each night. The tapes are periodically moved offsite to a secure location.

Internal Control Policy FN20

Policy Number: FN20	Effective Date: 20 th November 2019
Version: 03	Revised Date: 20 th November 2019
Drafted by: ED / FM / Hannah Parker	Responsible person: ED, FM
Date Approved by Board: 20 th November 2019	Scheduled Review Date: November 2024

Internal controls are the required measures to ensure that an organisation's objectives will be achieved and best accounting practices are followed. Objectives of internal control are:

- To provide reliable financial data
- To safeguard assets and records
- To promote operational efficiency
- To promote compliance with and adherence to prescribed policies, laws and regulations
- To ensure that all internal rules have been followed

1. SEGREGATION OF DUTIES/FUNCTIONS

This policy outlines separation of various positions to ensure that no person is given responsibility for an entire related function to minimise the risk of mismanagement and/or fraud.

- Segregation of duties on procurement process: set out the steps and conditions that must be followed by staff to acquire goods or services ([Section \[11\]](#)).
- Segregation of duties of signing cheques ([Section \[5.2\]](#)). This Life's cheque signatories must be staff members who are authorised by the Board of Directors. Signatories must:
 - o Be regularly reviewed and the list updated when staff leave the organisation.
 - o **NEVER** be asked to sign a blank cheque (with the intention to fill in the details afterwards) as this can lead to the misappropriation of funds.
- Segregation of duties for checking and authorising accounting records is a key responsibility of Executive Director (ED), Deputy Director (DD), Program Coordinators (PCs) and the Finance Manager (FM). This is to review and authorise reports, count the petty cash and review orders as outlined by management or the financial policy.
- Approval of personal expenses: Senior management staff are authorised to approve expenses based on the Level of Authority ([Section \[3.3\]](#)), except for their own personal expenses. Another authorised signatory must approve expenses for senior management (for example, the ED submits an expense report for international travel. This report must be approved and signed by the DD and FM and not the ED himself).
- Custodian of Fixed Assets ([Section \[12\]](#)): Those who have responsibility for fixed assets cannot be given the responsibility of keeping the fixed asset list. Exceptions are made for assets that are assigned to staff.
- Purchases of Stationery, Office Supplies, Computer Supplies, and consumable office supplies: Those who have responsibility for stock levels must not be the person who processes payment.

2. SUPPORTING DOCUMENTATION

All vouchers must have adequate supporting documents attached to provide sufficient evidence for approval and to maintain an appropriate audit trail. For example:

- Travel Advances ([Section \[9\]](#)): require an authorised per diem form detailing the travel itinerary.
- Training/Workshop/Meeting/Forum ([Section \[7\]](#)): Submit advance request form with details of the event. Post event, submit evidence or supporting documentation of travel expenses, training material, refreshments etc.
- Consultants ([Section \[7\]](#)): consultant agreement, invoices, deliverables, and other appropriate supporting document related to nature of expenses.
- Procurement ([Section \[11\]](#)): quotations obtained, invoices, delivery notes, payment authority.
- All vouchers/receipts/invoices must be reviewed for accuracy and the following points included:
 - o Name, clear address, shop # in market of the seller
 - o Signature and name of the person buying and selling
 - o Date of payment
 - o Clear description of the quantity of item or services
 - o Amount

If a mistake is made on the receipt/invoice, both the buyer and seller must initial corrections.

If a seller issues an invoice as a receipt they must also clearly indicate that this has been paid (and that the document is actually a receipt).

There must be clear evidence that goods/services have been received by the intended recipient(s) as per the request. This can be accomplished through the signature(s) on purchase order or on a delivery note.

Where possible, signatures must be made in blue ink, as this evidences to an auditor that they are reviewing an original copy of a document (as opposed to a photocopy).

3. LEVEL OF APPROVAL

Level of Approval shall be clearly set by management to delegate authorisations or approvals to appropriate staff members.

Level of Approval is defined as the delegation of authority to certain levels of staff, which enables them to undertake various responsibilities and functions within the organisation.

Level of Approval

Designated person	Limits applied	Area of authority
Board of Directors	No Limit	
Executive Director	As per approved BoD budget	
Deputy Director	As per approved program budget	Any project activities and procurement cost

Director of Shared Services	Up to USUSD 4,000.00 and only budget under their control	Project activities and procurement costs
Director of Strategic Engagements	Up to USUSD 4,000.00 and only budget under their control	Project activities and procurement costs
Section Leads	Up to USD 2,000.00 and only budget under their control	Project activities and procurement costs
Program Coordinators	Up to USD 1,000.00 and only budget under their control	Project activities and procurement costs
Finance	Up to USD 200	Procurement for daily operation costs and project activities

For any project activities and or sub-grantee's cash advance, the following process must be followed:

- The head of each unit is required to submit a request to the Finance Department for their review.
- After review, the Finance Department will submit the request to the ED/DD or their designee for approval.

In circumstances where both the ED and the DD are out of the office, the ED/DD authorisation limits may be delegated to nominated senior management staff members.

These staff members must be nominated by the ED and DD in advance of the period of absence. The nominated staff members must sign the Delegated Authorisation Limit Form ([Appendix 3A](#)) to acknowledge that they have read and understood the finance authorisation processes, the approval limits that will be applied to them during the delegation period, and the period over which the authorisation will apply. By signing the form the nominated staff members confirm that they agree to abide by the authorisation processes and limits during this period. This form must be countersigned by either the ED or DD. The ED and DD can only delegate limits up to their own personal authorisation limits (i.e. the ED cannot delegate the ED authorisation limits).

The ED or DD must ensure that the nominated staff member is authorised as a This Life cheque signatory, if necessary, well in advance of the period of absence.

Delegation of internet banking payment authorisation is not permitted; these payments will continue to be approved by the ED/DD remotely during their period of absence.

Prior to their departure, the ED and DD must communicate the delegated authorisation limits to all relevant staff members. Upon their return, the authorisation limits will immediately return to the ED and DD. This must be communicated to relevant staff members.

4. INDEPENDENT REVIEW

Independent review is a verification of the accuracy and propriety of another's work that is independent of the personnel who originally prepared the data or reports, and can be carried out at a number of levels.

Internal Audit

Regular review by finance staff at This Life in order to make sure that the financial system is in compliance with existing policies and procedures. To ensure the system of internal control remains relevant and effective.

External Audit

Each financial year This Life will engage a local reputable audit firm to perform an audit. The scope of the audit, fees, and a timetable for completion of the audit will be agreed upon. The external auditor will review financial reports, special purpose reports and donor financial reports in compliance with donor contract obligations and existing This Life financial policies and procedures. The audit is put out to tender every 5 years. The FM is required to solicit quotes from at least 3 audit firms, which may include the current auditor, during each tender process. The decision of which auditor to appoint is made by the Board of Directors.

Non-This Life Staff Per-diem Policy FN21

Policy Number: FN21

Effective Date: 06th February 2017

Version: 02

Revised Date: 28th February 2017

Drafted by: ED, FM, Hannah Parker

Responsible person: ED, FM

Date Approved by Board: 05th February 2017

Scheduled Review Date: February 2024

1. OVERVIEW

In instances where This Life organise a meeting, workshop or other event (the 'event') and invites external organisations to attend, these organisations may be eligible to claim a per diem allowance from This Life. In such circumstances, the below policy must be adhered to by all This Life staff members.

In all cases involving per diem claims from an external organisation, the This Life staff member organising the event (the 'event organiser'), typically a sector lead or program co-coordinator, must request a cash advance by submitting the standard '[This Life Advance Request Form](#)'. All cash advances for this purpose require approval from either the Executive Director (ED) or Deputy Director (DD).

It is the responsibility of the event organiser to ensure that the memo of travel and per diem procedure for non-This Life Staff ([Appendix 10A](#)) and 'External Organisation Per Diem Claim' form ([Appendix 10B](#)) is sent to external organisations invited to the event (the 'attendees') prior to the event. Where possible, the policy should be attached to the event invite with the following note: "By indicating your acceptance of this event invite you also accept the terms and conditions of This Life's 'External Organisation Per Diem Policy (attached)."

When contacting the attendees, the event organiser must clearly specify the maximum number of staff members invited to attend the event and request the attendee informs This Life of the final number of staff due to attend as soon as practically possible. Only one claim form is required per attendee organisation.

Any amendments to this policy must be reflected in the external per diem policy in ([Appendix 10A](#)).

2. CLASSIFICATION OF THIS LIFE STAFF

For ease of budgeting and transparency any This Life staff member attending the event (excluding the event organiser) will be treated as an external attendee and will be required to follow the same procedure (set out below) as all other attendees.

The event organiser will be required to submit a per diem claim in line with the standard per diem policy in [Section \[9.4\]](#) of the financial policy and manual.

3. AUTHORISATION PROCEDURES

Prior to the event

The event organiser must prepare a budget for the event based on the approved rates and number of attendees.

As noted above, the event organiser must request a cash advance via the standard 'This Life Advance Request Form' ([Section \[9.4\]](#)). The event organiser shall estimate the total advance needed based on the maximum total expense allowable for all attendees per the approved rates. All cash advances are subject to the same rules as laid out in [Section \[7.2 & 7.3\]](#) of the Financial Policy and Manual.

It is the responsibility of the event organiser to ensure all attendees have received a copy of the external per diem policy and the claim form. Spare claim forms shall be brought to all events to ensure attendees have the correct form.

During the event

The attendee is required to submit the 'External Organisation Per Diem Claim' form ([Appendix 10B](#)) and associated receipts at the event, at which point the event organiser will check the form is in line with the approved rates and issue a reimbursement and reimbursement voucher (two copies) ([Appendix 10B](#)) which both the event organiser and attendee are required to sign.

One copy of the reimbursement voucher must be retained by This Life for internal recording purposes.

Post event

All cash advances shall be cleared within a maximum of two weeks from the date of issuing the advance. The event organiser must submit a clearance form in line with [Section \[7.5\]](#) of the financial manual and clear the request either by repayment of funds or by submission of valid reimbursement vouchers and associated receipts covering the amount advanced or a combination of the two.

4. APPROVED RATES – DOMESTIC EVENT

This Life's daily subsistence allowance ('DSA'), includes meal and accommodation costs up to a pre-determined amount. The rates applicable to non-This Life staff are outlined in [Appendix 10A](#). These DSA rates will apply to all

attendees when travelling domestically to attend an event. For international travel separate guidance applies (see [Section \[10.5\]](#) below).

When This Life has arranged meals as part of the event, the respective meal allowance will not apply. All attendees must be informed in advance if prior meal arrangements have been made.

Participants working in the area where the event is held will not be reimbursed for per diem, travel and accommodation expenses.

Any variations from these rates (whether planned or actual) will require the attendee to seek written approval from the event organiser at This Life prior to submitting a per diem request. It is the responsibility of the event organiser to obtain approval for any request from the ED/DD prior to issuing a reimbursement.

5. INTERNATIONAL EVENT

For international events, separate per diem rates apply. If an overseas trip is planned, the attendee must contact the ED/DD at This Life prior to arranging any transport or accommodation. The ED/DD will advise on suitable transport and accommodation options and expense reimbursement. International travel is to be authorised by the Board. Per diem rates will vary depending on where the attendee is travelling and will be negotiated prior to the planning phase for the travel, and based on rates paid by similar organisations.

Where international travel is planned, it is preferable for all transport and accommodation to be arranged and paid for in advance directly by This Life.

Credit Card Financial Transaction Policy FN22

Policy Number: FN22

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The use of financial transaction cards, including credit cards, is a major convenience for This Life and for employees/volunteers, and can, if properly managed, contribute to easier and more secure accounting of expenses. To achieve these benefits a number of precautionary procedures should be put in place.

Purpose

The purpose of this policy is to:

- ensure that organisational transactions are carried out as efficiently as possible through the use of credit cards and transaction cards as appropriate.
- guard against any possible abuse of organisational transaction cards.

Policy

Transaction cards issued to This Life, including those held in the name of any staff, volunteers or officers on behalf of the organisation, will only be used for those activities that are a direct consequence of the cardholders' function within the organisation. Their use will be monitored according to the procedures listed below. Any use of the card inconsistent with this policy and these procedures will be grounds for dismissal.

PROCEDURES

Responsibilities

It is the responsibility of the Executive Director to ensure that:

staff and volunteers are aware of this policy;

any breaches of this policy coming to the attention of management are dealt with appropriately.

It is the responsibility of the all employees and volunteers to ensure that their usage of credit cards conforms to this policy.

Processes

1. Card Issue

Any organisational financial transaction cards may only be issued by a board member, staff member, or volunteer where their functions and duties would be enhanced by their use. Cards will thus be issued only to people on the approved Organisational Financial Transaction Card List. The list shall be held by the Executive Director.

Other persons may be added to the list by the Board. The Board may delegate the power to add persons to the list to any or all of:

- The Finance Committee;
- The Executive Director;
- The auditor.

Cards may be issued on a temporary basis and recovered afterwards.

Each financial transaction card will be issued to a specific person, who will remain personally accountable for the use of the card. Cardholders will sign a declaration to this effect.

Only the authorised signatory may use the card. No more than one card shall be issued per cardholder. Credit limits as appropriate shall be set for each card by the issuing authority.

2. Cardholder's Responsibilities

The Cardholder shall:

- In all cases obtain and retain sufficient supporting documentation to validate the expense (e.g. tax invoice) or shall in lieu provide a statutory declaration.
- Attach supporting documentation to the monthly statement from the bank.
- Review the monthly statement for inaccuracies (and report these to the Executive Director).
- Verify that that goods and services listed were received.
- Sign the monthly statement to verify that transactions have been made for official purposes.
- Forward the papers to the authorised signatory for approval (the Board Chair shall authorise payments to the Executive Director; the Executive Director shall authorise the expenditure of all other cardholders).
- Notify the bank and the Executive Director (or in the case of the Executive Director, the Board Chair) immediately if
 - o The card is lost or stolen; and/or
 - o Any unauthorised transaction is detected or suspected.
- Notify the Executive Director and the bank of any change in name or contact details.
- Take adequate measures to ensure the security of the card.
- Return the card to the Executive Director if
 - o The cardholder resigns;
 - o the Executive Director determines that there is no longer a need for the cardholder to retain his or her card; or
 - o the card has been cancelled by the bank.
- Be personally liable for any unauthorised transaction unless the card is lost, stolen or subject to fraud on some part of a third party.

The Cardholder shall not:

- exceed any maximum limits set for the card from time to time.
- obtain cash advances through the card.

- use the card for any proscribed purchases.
- authorise their own expenditure.
- claim double allowances (i.e. request reimbursement for an expense already paid by the card).

3. Card Expenditure

The card will only be used for those activities that are a direct consequence of the cardholders' function within the organisation.

Where coincident and/or private expenditure occurs on the same transaction (where, for example, a person incurs a debt for personal telephone calls during a hotel stay) the cardholder must settle the private expense prior to charging the balance on the organisational card.

Where doubt exists as to whether or not an item is function-related, prior authorisation should be obtained from the Executive Director (or, in the case of the Executive Director's own card, the Chair of the Board or the person of the Finance Committee).

The use of the corporate card for "services of a dubious nature" is expressly prohibited. "Services of a dubious nature" are defined as any goods or services that might bring the name of the organisation into disrepute.

Card Misconduct

Wherever a breach in this policy occurs, the Executive Director must assess the nature of the breach and, if significant, report the breach to the police for criminal investigation or, if lesser in nature, institute an appropriate disciplinary process:

- in the first instance, counselling and or verbal warning (and diary or file note created);
- in the second instance, a written warning;
- in the third instance, or if the dollar amount is greater than USD 1,000, the card is to be immediately withdrawn.

At the next Finance Committee meeting the Executive Director shall report:

- the investigation of the circumstances of the breach
- police reports and action (if any)
- disciplinary action taken (if any)

Related Documents

- Use of Vehicles Policy
- Acceptable Use Policy

Reserves Policy FN23

Policy Number: FN23

Effective Date: 21st September 2021

Version: 01

Revised Date: NA

Drafted by: Executive Director

Responsible person: ED/BOD

Date Approved by Board: 21st September 2021

Scheduled Review Date: September 2024

Purpose

A reserve is an amount of money set aside for a specific purpose which is not available to fund the everyday expenses of This Life. The purpose of the reserves policy for This Life is to ensure the stability of the mission, programs, employment, and ongoing operations of the organisation and to provide a source of internal funds for organisational priorities such as promotion and capacity building. This reserves policy forms part of This Life's Finance Policy and is intended to support the goals and strategies contained in the Finance Policy as well as This Life's strategic plan.

Definitions and Goals

Program Cost Reserve

The Program Cost Reserve is intended to provide an internal source of funds for situations such as a sudden increase in expenses, one-time unbudgeted expenses, unanticipated loss in funding, or uninsured losses. It is not intended to replace a permanent loss of funds or eliminate an ongoing budget gap.

The amount of the reserve is based on a number of factors such as the stability of cash flow, predictability of income and expenditure, and the size of operating expenditure.

- The target minimum program cost reserve has been calculated based on four months of the total organisational expenditure budget and therefore equates to 33.34% of the total budget.
- The target maximum program cost reserve has been calculated based on nine months of the total organisational expenditure budget and therefore equates to 75% of the total budget.

The size and basis of the reserve will be reviewed on an annual basis, taking into account internal and external factors, in conjunction with the preparation of the budget. The intention of the reserves is that they are used and replenished within a reasonably short period of time.

Organisational Promotions and Capacity Fund

The Organisational Promotions and Capacity Fund is intended to provide funds to meet special targets of opportunity that further the mission of the organisation which may or may not have a specific expectation of incremental or long-term increased income. The Fund is also intended as a source of internal funds for organisational capacity building such as promotions of the organisation through conference attendance, research and development, or investment in infrastructure that will build long-term capacity.

The Fund is set at USD 25,000 and to be used at the discretion of the Executive Director, but similarly to the program cost reserve, it should be reviewed on an annual basis as part of the budget process. This review should take into account the use of this reserve during the year.

Accounting for Reserves

The reserve funds will be recorded in the financial records as a part of the net assets of This Life. The Fund will be available in cash. Reserves will be commingled with the general fund of the organisation but will be specifically identified within the finance system.

Funding of Reserves

The two reserves will be funded with surplus unrestricted operating funds. The Board of Directors may from time to time direct that a specific source of revenue be set aside for reserves. Examples could include one-time gifts or bequests, special grants, special appeals, or the profits from the sale of assets.

Use of Reserves

Use of the Reserves requires three steps:

1. Identification of the appropriate use of reserve funds.

The Executive Director and staff will identify the need for access to reserve funds and confirm that the use is consistent with the purpose of the reserves as described in this Policy. This step requires analysis of the reason for the shortfall, the availability of any other sources of funds before using reserves, and evaluation of the time period that the funds will be needed and replenished.

2. Authority to use reserves.

- Authority for use of Operating Reserves is delegated to the Executive Director in consultation with the Treasurer and/ or Chair of the Audit, Risk and Finance Committee (ARFC). The use of Operating Reserves will be reported to the Executive Committee/ Board of Directors at their next scheduled meeting, accompanied by a description of the analysis and determination of the use of funds and plans for replenishment to restore the Operating Reserve Fund to the target minimum amount. The Executive Director must receive prior approval from the Executive Committee/Board of Directors if the Operating Reserves will take longer than 12 months to replenish.
- Authority for use of up to USD25,000 of Operating Reserves is delegated to the Executive Director in consultation with the Treasurer and/ or Chair of the Finance Committee. The use of Operating Reserves will be reported to the Board of Directors at their next scheduled meeting, accompanied by a description of the analysis and determination of the use of funds and plans for replenishment to restore the Operating Reserve Fund to the target minimum amount. The Executive Director must receive prior approval from the Board of Directors for use of Operating Reserves in excess of USD25,000.

3. Reporting and monitoring.

The Executive Director is responsible for assuring that the reserve funds are maintained and used only as described in this Policy. Upon approval for the use of Reserve funds, the Executive Director will maintain records of the use of funds and plan for replenishment and will provide regular reports to the Board of Directors of progress to restore the fund to the target minimum amount.

Communications

Communications Policy CM01

Policy Number: CM01	Effective Date: 17 st June 2020
Version: 02	Revised Date: 31 st July 2020
Drafted by: Communication Manager	Responsible person: CM
Date Approved by Board: 17 st June 2020	Scheduled Review Date: June 2023

Introduction

Numerous channels of communications are available to all staff members within This Life, therefore it is necessary to have a policy to guide work undertaken in this area. While much of this policy will relate to the activities undertaken by the Communications Team, all staff members must be aware of this policy and take its contents into consideration.

Additional Authority: Law and related organisational documents

- Media Relations Policy
- Privacy Policy
- Copyright Policy
- Complaints Policy
- Partner and Affiliate Organisations Policy
- Social Media Guidelines
- Guidelines for Use of Images, Video and Messages
- Ethical Decision Making Framework

Purpose

The purpose of this Communications Policy is to provide a framework for This Life's internal and external communications, media and privacy activities in keeping with its commitment to integrity, inclusivity and respect.

Responsibilities

It is the responsibility of all employees, volunteers, contractors and program partners to comply with this Policy.

It is the responsibility of all Board members, staff, volunteers, Advisory Committee Members, This Life Members, contractors and partners to ensure that they are familiar with their obligations under this Policy.

Additionally, it is required that if organisations entering into a formal partnership with This Life do not possess a similar policy holding them to equal or higher standards, they commit to adhere to this policy. In accordance with This Life's Partner and Affiliated Organisations Policy, and in compliance with the ACFID Code of Conduct, this requirement shall form part of all Memoranda of Understanding between This Life and partner organisations.

It is the responsibility of the Executive Director to ensure that any breaches of this Policy coming to the attention of management are dealt with appropriately.

In all communication with the public, This Life will act in an honest and transparent way. This Life is committed to accounting for cultural and social sensitivities in its communications and will be inclusive and respectful of all stakeholders.

All documents produced, for both internal uses and wider circulation, will comply with appropriate State and Federal laws, Department of Foreign Affairs and Trade (DFAT) policies and requirements, as well as This Life's and ACFID's Codes of Conduct.

Integrity

All public materials are quality checked by a minimum of one additional staff member before they are published or produced.

The Communications Manager will review day-to-day communications and publications. Organisationally significant documents such as annual reports, research reports and strategic plans will be reviewed by the Executive Director and/or the Senior Management

Team to ensure accuracy and quality.

The Communications Manager has primary responsibility for ensuring that all This Life publications and communications are accurate, up-to-date, accessible, respectful and compliant with This Life policies (such as the Child Protection and Non-Development Activities Policies). The Head of Fundraising and Communications also ensures that all public communications comply with appropriate State and Federal laws, DFAT requirements This Life's and ACFID's Codes of Conduct, and the ACFID Fundraising Charter.

This Life ensures that the use of images and messages portraying primary stakeholders is appropriate, accurate and consensual. Images used by This Life in its communications will respect the dignity, values, history, religion and culture of the people portrayed.

All staff, volunteers and contractors and project partners must seek permission and consent of primary stakeholders or their adult guardians when collecting images, taking photos and documenting stories in the field.

This Life's Media Consent Form will be used in such instances unless verbal permission is deemed more suitable. In these situations, advice should be sought from project partners on the appropriate permissions and on any potential risks related to using images and case Studies.

Key details including the subject's name, age, location, date, program association will be collected on the Media Consent Form which will be kept on file with the images, video footage and stories collected.

Advocacy

This Life will ensure that advocacy does not do harm or increase the level of risk to affected groups.

This Life will draw on organisational knowledge, experience and expertise, utilising rigorous research methodologies and processes to ensure that program activities are evidence-based and accurate in targeting identified issues.

This Life will work with beneficiaries using a consultative approach to ensure that advocacy messages reflect the perspectives of the affected populations.

Accessible Information and Stakeholder Engagement

The Annual Report will be prepared in accordance with the ACFID Code of Conduct

Guidelines. The Annual Report will be published on This Life's website and shared publicly via electronic newsletters and social media.

Additional information such as This Life's Vision, Mission, Values, Management Team, Board of Directors, Governance Structure, Strategic Plan, Funding and Community Partners,

Constitution, Code of Conduct, Key Policies, Financial Records, Research and Reports can also be found on our website.

For information relating to fundraising, please refer to This Life's Ethical Fundraising Policy and Board Fundraising Policy.

Media

Please refer to This Life's Media Relations Policy.

Privacy

Please refer to This Life's Privacy Policy.

Copyright

Please refer to This Life's Copyright Policy.

Partnership Recognition

This Life is committed to promoting and recognising Australian Government, private sector and individual donor support for its projects and programs. Examples include:

- encouraging and inviting office visits by Australian officials and major donors where appropriate;
- keeping Australian Embassy and High Commission personnel informed of work funded by the Australian Government and other major Australian funding bodies;
- ensuring beneficiaries understand where support is coming from;
- labelling and badging of project materials;
- ensuring signage used in-country features partner support; and
- ensuring that media releases refer to activities and achievements supported by Partners.

Specific approaches for acknowledging the Australian identity and support of the Australian Government, in line with DFAT's Visual Identity Guidelines, will include:

- the Australian Aid identifier on This Life's website
- electronic newsletters distributed to This Life's database
- all publications including the Annual Report
- all event promotional material
- This Life fundraising events (e.g. on screens and banners)
- relevant social, digital media and marketing campaigns

- traditional print and radio media where it is permitted
- other donor reports (e.g. for corporate donors - end of financial year reports, end of project reports, and annual reports).

In-Country Partners

All program and project partners will be required to comply with This Life's Partner and

Affiliate Organisation Policy. If program and project partners are collecting images of related activities from the field, then This Life's Media Consent Form should be used. All communications developed by partners should reflect the above guidelines and all activities must be communicated to the public and the communities in which they work in an accurate and honest fashion.

This Life will seek to ensure that program partners make a separation between development and non-development activities in fundraising material, other public communications and in program reporting. Ongoing dialogue between This Life and its partners will reinforce the definitions of development and non-development activities and the need for a separation between development and non-development activities.

Complaints

Please refer to This Life's Feedback and Complaints Policy.

Media Relations Policy CM02

Policy Number: CM02	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

Local, state, national and international media are vital partners in achieving the goals of This Life. In order to maximise the advantages of media presentation and minimise the risks of media misrepresentation it is necessary to establish guidelines for how media contacts will be conducted.

It is not the intention of this policy to curb freedom of speech or to enforce strict rules and regulations. Rather, the intention is to establish a framework for achieving an effective working relationship with the media. The organisation welcomes the opportunity to talk to the media and, through them, to debate issues in the public arena.

In dealing with the media, staff, Board members and other volunteers should be conscious that they may be seen as representatives of the organisation and should therefore avoid making comments or participating in photo opportunities that may damage the long-term reputation of This Life.

Purpose

This Life works with the media in order to

- advocate for the goals of the organisation
- promote the work of the organisation
- inform the public of the details of the organisation
- assist in fundraising for the organisation

In order to ensure that these purposes can be fulfilled, this policy regulates the choice of people entitled to speak for This Life.

The media themselves have a vital role to play on behalf of the community in holding This Life to account for its policies and actions. It is important that they have access to officers and members and to background information to assist them in this role.

To balance this, This Life must have the capacity to defend itself from any unfounded criticism, and will ensure that the public are properly informed of all the relevant facts (if necessary using other channels of communication).

It is the responsibility of all staff, board members and volunteers to ensure that effective media relations are maintained in order to achieve the aims of This Life.

This policy deals with the day-to-day relationship between This Life and the media and does not address how the organisation will work with the media in a crisis, for which separate guidelines are available in Appendix A.

Core Policy

This Life operates on the values of

Honesty: The organisation will never knowingly mislead the public, media or staff on an issue or news story.

Transparency: The organisation will promote openness and accessibility in our dealings with the media, whilst complying with the law and maintaining confidentiality when appropriate.

Clarity: All communications with the media will be written in plain language.

Balance: Information provided to the media by This Life will as far as humanly possible be objective, balanced, accurate, informative and timely.

This Life should seek to establish and maintain a good and open relationship with the media. It is important that the organisation works with the media to communicate important public information messages about its work and its goals.

However, contact concerning any significant matter in the name of or on behalf of This Life should only be made by staff, Board members and other volunteers where:

- They have consulted the Executive Director
- They have the required expertise to speak on the issue under discussion
- They have some experience in media relations.

Where any of these criteria do not apply, staff, Board members and volunteers are recommended to exercise extreme caution and to seek guidance from the most senior staff or Board members available.

PROCEDURES

Responsibilities

The Executive Director is responsible to coordinate This Life's relationships with the media.

The Executive Director and the Board Chair are both authorised to speak on behalf of This Life.

Other staff, Board members and volunteers are advised to ensure they are properly briefed and guided by the Executive Director or Board Chair before talking to the media on any issue related to This Life.

Where information or public comment is requested or required, the Executive Director shall determine the most appropriate person to respond.

Staff, Board members and other volunteers, and third parties, are encouraged to deliver public presentations that discuss This Life's work and its goals, provided that they make it clear where such presentations are or are not authorised by the organisation.

All staff, Board members and other volunteers must observe This Life's Privacy Policy in relation to client records.

Processes

Significant statements on behalf of This Life shall be made as authorised by the Executive Director or Board Chair as detailed above.

It should always be made absolutely clear whether the views put forward regarding any issue relating to This Life are those of the organisation or of an individual. At all times consideration should be given as to how the correspondence may affect the reputation of This Life.

The Executive Director is responsible for:

- Producing and updating a list of key contacts for distribution to local press and radio and TV stations. The Executive Director can also be contacted for preliminary discussions on any story or if a journalist or researcher is unsure who to approach for a comment.
- Producing the organisation's annual public relations plan, which shall be consistent with the organisation's business plan and marketing plan.
- Coordinating all media conferences for This Life. All such conferences shall be videotaped by the organisation.
- Authorising all media releases from This Life, and for mounting them on the organisation's website. All media releases must also be checked and approved by staff in charge of the relevant area before distribution.
- Being involved in any approaches to the media to feature This Life's work.
- Receiving and coordinating a response to all approaches from all national press, radio or TV stations or specialist press.

All staff, Board members and volunteers are responsible for:

- Providing advice (preferably before the issue becomes public knowledge) to the Executive Director on any issues that are likely to be complex or contentious or to be sustained for any length of time. In such a situation the Executive Director will work with the relevant staff and Board members to produce a communications plan which will ensure that balanced, timely information is provided to keep all parties informed.
- Ensuring that no photos of clients, patients, employees, or students shall be released to the public via advertising, news media, or internet, or by any other means, without the approval of the Executive Director, who shall satisfy themselves that the organisation's Privacy Policy has been observed.
- Notifying the Executive Director of any contact made in the name of This Life to the media and providing the name of the reporter or writer and the media outlet they represent.

Any significant media contacts with This Life's staff or members on any issue likely to prove contentious shall, where possible, be videotaped.

Any filming or taping on This Life's property or of the organisation's proceedings by the media is subject to prior permission of the Executive Director or Board Chair.

Every effort should be made to assist the media in their inquiries. Where media queries involve requests for information that will require substantial staff work to produce, such work must be authorised by the Executive Director. It will usually be necessary to provide information in addition to that which is requested in order to set the facts and figures in context. Requests for detailed information of this nature, whether from the local or national media, should be referred to the Executive Director.

This Life reserves the right to withhold certain sensitive information concerning, say, commercial transactions or governmental negotiations. Any such information will be clearly labelled and clearly notified to relevant staff.

If any unauthorised releases of confidential information do occur, an investigation will take place to establish who was responsible and appropriate action will be taken.

Related Documents

- What to do in a media crisis (Appendix A)
- Privacy Policy
- Board Confidentiality Policy

APPENDIX A

WHEN BAD THINGS HAPPEN TO A GOOD ORGANISATION: WHAT TO DO IN A MEDIA CRISIS

Accidents happen and so do muck-ups, failures, gaffes, bungles, political controversies and many other embarrassments.

When the news breaks, you may find your group in the middle of a media flurry. What you want to avoid at all costs is this flurry turning into a full-blown media crisis that can cause long-term damage to your group and a loss of public confidence.

Whatever it is that has happened to your group – be it accident, muck-up, controversy or legal action – the first priority for your group is to fix it and to ensure there is no continuing danger or risk to the public or any chance of the same thing happening again. And you also need to deal with the media.

Prepare for the crisis

As well as preparing a risk management strategy it is a good idea for community groups to set up a "Crisis Communications Plan". This will ensure that senior staff and volunteers, directors and Board members know exactly what should happen should your group be faced with a media crisis.

This plan will ensure that your group has:

- An appointed spokesperson/s.
- A process where everyone in the organisation knows who to call should a major incident or media crisis develop.
- An established process where senior staff or directors can gather as much accurate information as quickly as possible.
- A process whereby accurate information can be provided to the media as soon as practicable.

So what happens when the media comes calling about something that has gone wrong and it involves your group?

Don't run. Don't hide.

The first reaction – and the worst – for most groups is to try to ignore the attention and hope the story will go away. Resist the temptation to circle the wagons or stick your head in the sand. It doesn't go away and as long as what's on display is your organisation's failings, you're risking the ongoing haemorrhaging of support for your group.

The reality is that your group will end up having to address the issue publicly. The longer it takes, the longer the media and the public believe you have something to hide.

The other reality is that the media will run a story. What you want as much as possible is to influence the nature of that story and ensure that what is run is accurate and fair. It is a bit rich to complain about not having your side of the story aired when you have refused to provide it.

The other theme that you want to stand out is that the incident is not acceptable and not normal and that your group is doing everything in its power to ensure that it's not repeated. Organisations that come out of a media crisis with their reputations intact are those that deal with the issue quickly, effectively, honestly – and just as importantly, are perceived to be doing exactly that.

So how does a small non-profit organisation with no money for public relations expertise deal with the situation?

- **Decide that there is a crisis.** The successful handling of a crisis can be decided in the first hours or days. By recognising early in the piece that you actually have a crisis on your hands, you can start to rectify it. The sooner you take action, the better your chances of coming out with your reputation intact.
- **Understand who the media represent.** While "the media" is chasing you for details, the people who are going to be most interested in reading or listening to your response will be "the public" – and that means your members, donors, supporters, businesses, sponsors, potential supporters etc. Frame your responses with the real audience in mind.

- **Decide who will be the spokesperson or public face.** Where possible ensure it is the highest-ranking person (Executive Director, chairman/director) who has the important mix of authority and access to all the latest information. You also need to have someone who is accessible and available to journalists. You need to stay on top of a crisis, not create a vacuum where yours is the only voice not being heard.
- **Release as much as you can as quickly as you can.** Sometimes you will be responding to an incident, such as someone getting injured, or a fraud, or a complaint of wrongdoing by an employee, but other times there may be serious and unfounded allegations. The more information you can release that puts the incident in context and puts your side of the story across, the better. And the quicker the better. The sooner you respond and show that you are acting in a sincere, honest and reliable manner, the sooner your voice is listened to and trusted.
- **Avoid the Bart Simpson defence.** What you emphatically do not do is give the Bart Simpson defence – "I didn't do it, nobody saw me do it, you can't prove a thing."
- **Say only what you know to be true.** If you don't know the answer, don't guess at it. Be honest and stick to only confirmed information you know to be accurate and correct. If necessary, tell the reporter you don't know but will check it out and get back to them. Better to provide a correct answer than to flail around and guess incorrectly.
- **Remember that first impressions count.** No matter how much they try not to, the media will come with some sort of preconceived idea which normally boils down to whether you or your organisation are sinners or saints (in this particular incident or generally). Your attitude, openness and commitment to resolving the issue is important in ensuring they leave with a positive impression.
- **Work out what you can legally release.** If there are legal issues that come into play, be aware of where the line is drawn on what you can say. Also be aware that many legal advisers will advise you to say nothing at all and that is advice that should be challenged. You have to publicly address the issue, it is only the manner or amount of information that is up for discussion.
- **Avoid speculation or answering hypothetical questions.** Try to stick to the facts and what did happen, not what might have done. You can fend questions off by saying things such as "I don't want to speculate on that" or "I would prefer not to deal in hypotheticals. What we do know is"
- **Challenge information you know to be wrong.** Don't leave wrong facts out there. If something is running that's wrong, let others know before it becomes common knowledge. Let the media organisation know the information is wrong and let other organisations know so they don't repeat it. Wrong facts left unchallenged are often more damaging than the truth.
- **Show concern.** You are a community group. Your main mission is to care/service/support the community so you need to be mindful of the feelings as well as the issues. If someone has been badly affected or hurt, mentally or physically, by an action of your group, express your concern and demonstrate your compassion.
- **Don't bother blaming the media.** If there is something wrong, point it out. If you have a different view, point it out. But avoid personal slanging matches. If it is a serious issue you want to be seen to be treating it seriously and dealing with it, not wasting time blaming the media for bringing to light an incident involving your group.
- **Ban the words "no comment".** Forever. Even if you keep repeating the same information you have released. Say: "all I can say is ..." or say "I can't provide that information until I have all the details ..." or "I can't answer that until I have a full report" or "I am happy to try to answer those questions once I have spoken to the right people ..." You never see seasoned media performers respond "No comment". The reason is that it sounds as though you know the answer but don't want to provide it.
- **Don't run from the cameras.** The one piece of vision you are absolutely guaranteed to see on television that night is the vision of someone running from the media, or shielding their face, or slamming the door in their face. Again, it makes you look like someone who has something to hide. If you have nothing new to add, say that.

- **Stay calm.** It's important you stay calm under pressure or swap places with someone who can. Anger makes good vision for TV stations and bad news for community groups. Avoid it.
- **Consider bringing the media into your organisation.** Hold frequent media briefings rather than have reporters camped on the nature strip. It lets them show how you are dealing with the crisis and the difficulties and problems that you face. And that you're human. And that you have nothing to hide.
- **Talk in common, easily understood language.** Avoid jargon. Speak in a manner that ensures people can actually understand the message you are trying to portray.

What if the story is just plain wrong?

It makes it even more important to react when the story is wrong or malicious. And this does happen. It may not get into print, it may not get on TV but it may cause you some pain dealing with unfounded allegations.

The British Red Cross was recently tainted by allegations that it had overstated the sum raised for Iraqi Kurds in 1991. It hadn't, but that wasn't going to be enough. "We had to very rapidly clarify our position and committed ourselves to carrying out a thorough investigation," the organisation said afterwards. "Our supporters are essential to us and it is vital that they remain confident in us."

And that is one of the most important aspects of a media crisis. Community groups rely on their credibility. That's what brings in donations, support, members. It is imperative to come out of any crisis with that credibility and standing intact.

Email Retention and Archiving Policy CM03

Policy Number: CM03	Effective Date: 19 th April 2013
Version: 03	Revised Date: 28th May 2021
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

The rise to predominance of electronic communication mandates electronic message management systems comparable to existing hard copy filing systems.

Employees and volunteers of This Life acquire no rights in any material, electronic or otherwise, created in the course of their employment, or accessed This Life equipment.

Purpose

To help employees determine what information sent or received by email should be retained and for how long, this policy identifies the broad categories of electronic messages processed by the This Life system and sets out the factors to be considered in setting practice guidelines to be adopted in each case.

Core Policy

Material that should be preserved should be clearly distinguished from material that should be purged from the system.

PROCEDURES

Responsibilities

It is the responsibility of the Executive Director to ensure that:

- staff and volunteers are aware of this policy;
- any breaches of this policy coming to the attention of management are dealt with appropriately.

It is the responsibility of all employees and volunteers to ensure that their usage of email conforms to this policy.

Processes

All This Life email information shall be categorised into five main classifications with appropriate retention guidelines:

- Material of permanent significance (perpetual)
- Administrative correspondence (10 years)
- Fiscal correspondence (10 years)
- General correspondence (2 year)
- Ephemeral correspondence (retain until read and acted upon, then destroy)

Classification of Correspondence

Material of permanent significance

Material that requires permanent retention would include items of historical significance to the organisation, emails creating or recording permanent legal relationships, and items recording significant policies or precedents. All correspondence to or from any donor or consultancy services related to This Life are classified as material of permanent significance.

To ensure material of permanent significance is retained in an accessible format, all emails of permanent significance must be logged in Salesforce. Users with Salesforce user accounts assigned to them must log communications directly through the Gmail/Salesforce interface. Staff without a Salesforce user account shall copy (bcc)

[emailtosalesforce@xtslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com](mailto:salesforce@xtslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com) to this address when receiving or sending such email. Retention of such material will be administered by Salesforce.

Administrative Correspondence

This Life's Administrative Correspondence includes, though is not limited to, confidential management information, confidential donor information, confidential employee-related information, and project-related correspondence.

To ensure Administrative Correspondence is retained in an accessible format, all emails are to be logged in Salesforce. Users with Salesforce user accounts assigned to them should log communications directly through the Gmail/Salesforce interface. Staff without a Salesforce user account shall copy (bcc)

[emailtosalesforce@xtlslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com](mailto:salesforce@xtlslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com) to this address when receiving or sending such email. Retention of such material will be administered by Salesforce.

Fiscal Correspondence

This Life's Fiscal Correspondence includes all information related to revenue and expense for the organisation. Fiscal Correspondence is broken into two categories:

1. Fiscal Correspondence Internal - fiscal communications related to internal operations
2. Fiscal Correspondence External - fiscal communications related to external parties

To ensure Fiscal Correspondence Internal is retained, a mailbox fiscal@thislife.ngo is to be created. Users should copy (bcc) to this address when receiving or sending such email. Retention of such material will be administered by the Finance Manager.

To ensure Fiscal Correspondence External is retained, all emails must be logged in Salesforce. Users with Salesforce user accounts assigned to them shall log communications directly through the Gmail/Salesforce interface. Staff without a Salesforce user account shall copy (bcc) [emailtosalesforce@xtlslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com](mailto:salesforce@xtlslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com) to this address when receiving or sending such Correspondence. Retention of such material will be administered by Salesforce.

General Correspondence

This Life's General Correspondence covers information that relates to customer interaction and the operational decisions of the organisation. The individual employee is responsible for email retention of General Correspondence where this is likely to be of continuing usefulness. Any important attachments should be filed immediately in the appropriate folder on the GDrive.

Ephemeral Correspondence

This Life's Ephemeral Correspondence is by far the largest category and includes personal emails, emails dealing with the work of the day, and emails containing information outdated by events. Staff may destroy this after reading and acting on the material.

Classification of Correspondence

Three further classifications of correspondence may also be created with their own retention guidelines:

Instant Messenger Correspondence

This Life's Instant Messenger Correspondence may be saved with the logging function of Instant Messenger, or copied into a file and saved. Instant Messenger conversations that are Administrative or Fiscal in nature shall be copied into an email message and sent to the appropriate email retention address or logged under the contacts record on Salesforce.

Correspondence involving intellectual property

Any correspondence that involves any significant intellectual property rights shall be retained at the discretion of the Executive Director. To ensure Administrative Correspondence related to intellectual property any

communications must be logged in Salesforce. Users with Salesforce user accounts assigned to them shall log communications directly through the Gmail/Salesforce interface. Staff without a Salesforce user account shall copy (bcc)

emailtosalesforce@xtslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com

to this address when receiving or sending such Correspondence. Retention of such material will be administered by Salesforce.

Correspondence of legal significance

When legal proceedings are in process (or reasonably to be anticipated), particular considerations apply to document retention. Correspondence of legal significance must be logged in Salesforce. Users with Salesforce user accounts assigned to them shall log communications directly through the Gmail/Salesforce interface. Staff without a Salesforce user account shall copy (bcc)

emailtosalesforce@xtslgzev27ytegr1peet0fopbrnmxxw8a8y5ae3l2e1bxods.2v-1yac3eac.ap15.le.salesforce.com

to this address when receiving or sending such Correspondence. Retention of such material will be administered by Salesforce.

It is the responsibility of the Director of Shared Services to inform staff should these considerations be applicable and to circulate to staff any relevant changes in policy and procedures.

Storage

Due to using G Suite & Gmail there is no requirement for external backup and storage of tapes off site.

Related Documents

- Acceptable Use Policy
- Confidentiality Policy
- Network Policy

Privacy Policy CM04

Policy Number: CM04

Effective Date: 19th April 2013

Version: 02

Revised Date:

Drafted by: Executive Director

Responsible person: Board of Directors

Date Approved by Board: 19th April 2013

Scheduled Review Date: AGM 2024

Introduction

The Board of This Life is committed to protecting the privacy of personal information which the organisation collects, holds and administers. Personal information is information which directly or indirectly identifies a person.

Purpose

The purpose of this document is to provide a framework for This Life in dealing with privacy considerations.

Policy

This Life collects and administers a range of personal information for the purposes of programming activity and communications. The organisation is committed to protecting the privacy of personal information it collects, holds and administers.

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

This Life is bound by laws which impose specific obligations when it comes to handling information. The organisation has adopted the following principles contained as minimum standards in relation to handling personal information.

This Life will:

- Collect only information which the organisation requires for its primary function;
- Ensure that stakeholders are informed as to why we collect the information and how we administer the information gathered;
- Use and disclose personal information only for our primary functions or a directly related purpose, or for another purpose with the person's consent;
- Store personal information securely, protecting it from unauthorised access; and
- Provide stakeholders with access to their own information, and the right to seek its correction.

PROCEDURES

Responsibilities

This Life's Board is responsible for developing, adopting and reviewing this policy.

This Life's Executive Director is responsible for the implementation of this policy, for monitoring changes in Privacy legislation, and for advising on the need to review or revise this policy as and when the need arises.

Processes

Collection

This Life will:

- Only collect information that is necessary for the performance and primary function of This Life.
- Notify stakeholders about why we collect the information and how it is administered.
- Notify stakeholders that this information is accessible to them.

Use and Disclosure

This Life will:

- Only use or disclose information for the primary purpose for which it was collected or a directly related secondary purpose.
- For other uses, This Life will obtain consent from the affected person.

Data Quality

This Life will:

- Take reasonable steps to ensure the information the organisation collects is accurate, complete, up to date, and relevant to the functions we perform.

Data Security and Retention

This Life will:

- Safeguard the information we collect and store against misuse, loss, unauthorised access and modification.
- Only destroy records in accordance with the organisation's Records Management Policy.

Openness

This Life will:

- Ensure stakeholders are aware of This Life's Privacy Policy and its purposes.
- Make this information freely available in relevant publications and on the organisation's website.

Access and Correction

This Life will:

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

Anonymity

This Life will:

- Give stakeholders the option of not identifying themselves when completing evaluation forms or opinion surveys.

Making information available to other organisations

This Life can:

- Only release personal information about a person with that person's express permission. For personal information to be released, the person concerned must sign a release form.
- Can release information to third parties where it is requested by the person concerned.

Related Documents

- Records Management Policy
- Confidentiality Policy

- References Policy

Copyright Policy CM05

Policy Number: CM05	Effective Date: 19 th April 2013
Version: 02	Revised Date:
Drafted by: Executive Director	Responsible person: Board of Directors
Date Approved by Board: 19 th April 2013	Scheduled Review Date: AGM 2024

Introduction

This Life is responsible for managing its assets, including its intellectual assets, in a way that maximises their contribution to the goals of the organisation.

Subject to these responsibilities, This Life is committed to the widest possible dissemination of its ideas and findings where these may assist others.

Purpose

The purpose of this policy is to clarify the status of material subject to copyright used by the organisation, and to remove any possible misunderstandings about ownership of copyrights.

Policy

Production of copyright material

Material created by staff of This Life entirely on their personal time and not involving the use of the organisation's facilities or materials shall be the property of the creator.

An individual's "personal time" shall mean time other than that for which they receive salary (in the case of staff) or perform assigned functions (in the case of volunteers).

Staff or volunteers who claim that material was made or created on personal time have the onus of demonstrating this proposition. Staff engaged in work during personal time where later confusion may possibly occur are encouraged to discuss this with their supervisors.

With the exception of material created on personal time, all materials that result from activities carried out at This Life, or developed with the aid of This Life's facilities or staff, or developed through funds administered by This Life, shall be the property of This Life except by specific prior written agreement.

Works by independent contractors shall be owned in accordance with the contract under which the work was created. This Life shall ensure that there is a written contract for work by an independent contractor specifying ownership.

Any dispute between This Life and its staff or volunteers, or between staff or between volunteers, on issues of copyright ownership shall be determined by the organisation's dispute resolution procedures.

Use of copyright material

Staff and volunteers of This Life are required to observe all applicable copyright laws and regulations.

The Executive Director is required to institute procedures that will ensure

- that all uses of copyright materials are recorded, and that
- all compensable uses of copyright material are appropriately processed.

Copyright on This Life materials

All materials produced by or on behalf of This Life are copyright. Permission to reproduce such materials depends on the category into which they fall.

All materials produced by or on behalf of This Life will be classified by the Executive Director into one of the following classes.

- Those materials that are copyright and that cannot be reproduced by any process other than for the purposes of and subject to the provisions of the Copyright Act and any licensing agreement between the user and This Life.
- Those materials that are copyright and that may nonetheless be circulated and/or reproduced as long as any reproduction features specified credits and disclaimers.
- Those materials that are copyright and that may nonetheless be reproduced without conditions.
- Those materials that are not copyright.

The copyright policies of This Life are binding on all staff, whether paid or voluntary. The copyright policies of This Life, as amended from time to time, shall be deemed to be a part of the conditions of employment of every employee and shall be included in the orientation material given to every volunteer.

PROCEDURES

Responsibilities

It is the responsibility of Executive Director to ensure that:

- Staff, volunteers and contractors are aware of this policy;
- any breaches of this policy coming to the attention of management are dealt with appropriately.

It is the responsibility of all employees, volunteers and contractors to ensure that they comply with this policy.

Processes

Production of copyright material

A statement of this copyright policy shall be included in the organisation's terms and conditions of employment.

This Life will keep records of any discussions made with any staff member regarding any agreement This Life s as to the copyright status of any material.

Contracts made by with third parties shall specify in writing the copyright status of any material produced under that agreement.

Any dispute between This Life and its staff or volunteers, or between staff or between volunteers, on issues of copyright ownership shall be determined by the organisation's dispute resolution procedures.

Use of copyright material

The Executive Director shall institute procedures to ensure

- that all uses of copyright materials are recorded, and that
- all compensable uses of copyright material are appropriately processed.

Related Documents

Acceptable Use Policy

Contracts of Employment

Appendices



Guidelines for Use of Images, Video and Messages AX01

This Life Guidelines for the use of images, videos and messages

- Present photographs, films, videos, DVDs and messages of people in a respectful manner, honestly portraying their personal experience and context and as partners in the development process.
- Do not collect information, images or stories that harm people or the environment.
- Avoid images or messages that manipulate a story to portray people in dishonest ways.
- Children will be portrayed positively as part of their community and in a dignified and respectful manner.
- Do not create images of children where they are not adequately clothed and in poses that could be seen as sexually suggestive.
- Ensure images are honest representations of the context and facts.
- Ensure file labels, meta data or text descriptions do not reveal identifying information about a child when sending images electronically or publishing images in any form.
- Do portray participants in activities which reflect their daily lives and convey the context and complexity of the situations in which local people live. Images of people in vulnerable situations should focus more on the reasons for and the context of a situation, rather than on an individual's suffering.
- Honestly portray the diversity of local people including age, disability and other marginalised groups.
- Inform key persons in images of what the image might be used for and obtain their permission. In the case of a child, obtain informed consent from the child (age permitting) and a parent or guardian before photographing or filming. An explanation of how the photograph or film might be used must be provided along with a timeframe within which the image can be used.

- Show some examples of the kinds of materials that are produced so that those involved understand how their personal details and story might be used.
- Ensure that the identification of or use of images of local people will not bring them into any danger.
- Take care to ensure local traditions or restrictions for reproducing personal images are adhered to before photographing or filming a child.
- Ensure that those whose situation is being represented have the opportunity to communicate their stories themselves. E.G. Use local spokespersons to show that local people are actively involved in development or humanitarian work.
- Do not make statements about other organisations or ACFID Members with the intention of creating a reputational or other advantage to themselves.

Ethical Decision-Making Framework AX02

SECTION A: INTRODUCTION

At This Life, we aim to give agency to the communities we work with through our storytelling and communications content. We strive to empower and protect the people who share their stories with us. We are committed to consulting with people directly to respectfully depict them as they wish to be represented and depicting people and contexts authentically and truthfully. We value the importance of self-determination and are committed to working with all stakeholders in a way that upholds their dignity and respects their values, history, religion, language and culture.

Our vision is that children, families and communities are supported to access and create opportunities in this life. We bring this vision to life by carefully protecting those who share their stories with us, and amplifying the benefits of sharing stories with our supporters and the general public.

This Life is a not-for-profit entity that listens to, engages with and advocates side by side with children, families and communities as they define and act on their own solutions to complex social challenges. As part of our work, we share some important – yet difficult – stories. Sometimes our stories will show injustice and harsh realities. We, and the people we work with, know these are important stories for the world to hear. However, inherent in undertaking these activities is a level of risk in relation to sharing these stories. Mitigating this risk to protect the people we work with is an ensuring priority at This Life.

We acknowledge it can be difficult to put our values into practice when sharing stories – especially stories dealing with trauma and injustice. We can face conflicting demands when collecting and sharing stories, and we acknowledge it's sometimes challenging to know exactly what 'dignity' and 'empowerment' mean in different cultural contexts. Only the storytellers themselves can tell us what dignifies and empowers them. We also acknowledge that unconscious bias plays a huge part in decision making – however, by its very nature, it is difficult to address and mitigate the risks that it causes.

Misunderstanding cultural norms and mismanaging storytelling content can harm both the people we strive to support, as well as our organisation. For example, asylum seekers may be targeted for sharing stories about human rights abuses. Children may be targeted by people seeking to abuse them. The personal reputation and confidence of people who've shared their stories may be damaged if their stories are misused and they may face retribution from their community. Our organisation may suffer damage to our brand and reputation if we publish insensitive materials. These are just a few possible risks.

This EDMF is one element in a suite of tools to reduce these risks, as far as possible. We seek to prevent harm from occurring and this EDMF is a proactive means of mitigating those risks and supporting ethical decisions about our communications.

PURPOSE

This EDMF aims to ensure our communications content is of the highest ethical standard. This means all stakeholders are respected and protected, and trust in our organisation is maintained. The EDMF aims to ensure our organisation is using best-practice communications methods that minimise the risks related to storytelling and publishing.

SCOPE

This EDMF must be followed by everyone who collects and publishes stories at This Life, including all staff, volunteers, partner staff and governing body members. It includes our offices in Australia and in other countries managed by This Life. The EDMF applies to visitors to our programs, and contractors and consultants such as freelance writers, designers, multimedia producers, fundraising consultants, partner organisations and other external parties using our stories, images, name or logo.

VALUES

Everything our organisation does is built on our values. For our foundations to remain strong and for our actions to be ethical, we must continue to look to our values in our everyday work.

Ethical principles relating to the treatment of human beings are codified in a number of widely-accepted documents, such as the Nuremberg Code (1947), the United Nations' Declaration of Human Rights (1948), the Declaration of Helsinki (1964), the Belmont Report (1979), and the United Nations' Convention on the Elimination of All Forms of Discrimination Against Women (1979), Convention on the Rights of the Child (1989), Convention on the Rights of Persons with Disabilities (2007) and Declaration of the Rights of Indigenous People (2007).

At their core, these policies include the fundamental rights of human dignity, autonomy, protection, safety, maximisation of benefits and minimisation of harms. While originally stemming from biomedical and human rights contexts, these principles have been adapted beyond these early contexts and rise above disciplines and methodologies. We accept them as basic to any endeavour relating to storytelling ethics and they are explored in our EDMF.

This Life's values underpin our approach to storytelling:

- **We Listen.** Listening is a foundational value, whether listening to the people we support in communities, or to each other, or to our supporters and partners. When recording stories, we will ask how we might use the stories and listen to our communities' response. We will respect their wishes and adapt our approach accordingly.
- **We Collaborate.** Our talents and abilities are multiplied when we work together, understanding each other's expertise, respecting each other's contribution and challenging each other to achieve more. We will ensure that any storytelling is collaborative in nature and is guided by the participant rather than led by us.
- **We Have Integrity.** We hold ourselves to the highest ethical standards and are open and accountable to each other, to authorities, to donors and to beneficiaries about what, when, why and how we do things. We will always ask ourselves the most difficult questions to ensure we are using the stories of the communities we serve in the most respectful manner.

Our values are aligned with the Australian Council for International Development's Code of Conduct and our EDMF is connected to other This Life policies, including:

- Communications Policy
- Image Policy
- Child Safeguarding Policy
- Privacy Policy
- Risk Policy
- Disability Policy
- Gender Equality Policy
- Staff Code of Conduct
- Staff Selection and Recruitment Policy

SECTION B: OUR ETHICAL DECISION-MAKING FRAMEWORK

MAKING ETHICAL DECISIONS

Our Ethical Decision-Making Framework (EDMF) for Communications explains how to make ethical decisions when creating and publishing communications content. It uses a framework of structured discussions at ethically important moments during the storytelling process, with the aim of creating focused discussions that improve practice. It also aims to reduce risks associated with storytelling and protect contributors.

Ethical decisions can be very complex. When a situation has no clear 'right and wrong' answer, decision making can be difficult. Even more difficult is making ethical decisions when affected by unconscious biases. And everyone holds unconscious biases.

More than one set of cultural norms and organisational values can equally apply to an issue, even if those norms and values are conflicting. This makes decisions difficult, as individuals and teams are forced to choose.

This EDMF sets out important questions and explains when these questions ought to be asked throughout the storytelling process. It also explains who is responsible for having these discussions and what to do if a decision can't be made.

Ambiguity and uncertainty are part of any ethical decision-making framework, and we encourage exploration of ethically grey areas. Indeed, this exploration is the most important part of the process. Our discussions help us to reach further outward, toward a fuller understanding of our contributors' lives and contexts – and also of our own unconscious biases, norms and ways of working.

RISK ASSESSMENT

In developing this EDMF, This Life has considered the risks associated with all its communications activities and how they might impact on:

- Contributors and the communities in which we work
- Staff and volunteers across the organisation
- Governing body
- Our partners and contractors
- Supporters and the general public
- Overall activities of This Life
- The reputation of This Life and other ACFID members
- The following on-going risks have been identified:

- o Images of children and domestic violence victims, where the subject is identifiable, can put the subject at increased risk.
- o Once images are published by This Life on digital platforms such as its website and on social media, we cannot control their use by a third party.

This EDMF will be used to guide decision making across the organisation to help mitigate some of the risks mentioned above. It will be shared with partners who are involved in sourcing content for our communications materials, and training will be supplied where appropriate.

WHO'S TALKING TO WHOM?

While all staff, volunteers and members are responsible for ensuring our communications are ethical, lawful and protect contributors, some staff members will need to be involved in specific conversations as part of our EDMF. The staff involved in EDMF discussions are [list those positions as relevant to your organisation]:

Communications team: Including communications specialists, multimedia producers, writers and media relations staff, marketing staff, and their managers.

Program team: Including program staff and their managers.

ETHICALLY IMPORTANT MOMENTS

While all ethical issues should be considered throughout the storytelling process, there are times when certain issues are more important. Below are five 'ethically important' moments during the storytelling and publishing process, accompanied by key issues to discuss at those times and who's responsible for the discussions.

When scoping a story

- Develop a storytelling concept - communications and program teams
- Consider issues of consent - communications and program teams

While gathering content

- Ensure that informed consent has been granted - communications and / or program teams
- Ensure that content is ethical - communications and / or program teams
- Ensure that records of consent are retained - communications team

While creating the storytelling content

- Discuss authorship and ownership - communications and / or program teams

When publishing a story

- Ensure that issues of privacy are considered - communications and program teams

After publishing a story

- Ensure issues of privacy are maintained - communications and program teams

KEY ETHICAL ISSUES

There are six key ethical issues that are relevant for our storytelling and publishing process. Below are some questions to help us reflect on and discuss these issues as part of the decision-making process. Some of these questions may be easy to answer. Others might not have a clear answer and are best considered in conversations with others, as outlined above.

Connection to values

This Life's values

1. Are we listening to the people in the communities we support?
2. Are we collaborating with our beneficiaries to tell their stories more authentically?
3. Are we honest and accountable in our actions?
4. Are we open about our intentions?

Human rights

1. Have we put the best interests of the contributor first?
2. Have we ensured we 'do no harm' to the contributor during the storytelling process?
3. Have we treated the contributor with dignity and fairness?
4. Have we respected the personal freedom and privacy of the contributor?
5. Have we encouraged the contributor to freely express their thoughts and feelings?
6. Have we given the contributor control over how their identity and thoughts are portrayed in their story?
7. Have we ensured the content is accurate?

Children's rights

1. Have we ensured the best interest of children have been put before the interests of adults and our organisation?
2. Have we adequately protected children?
3. Have we respected children's rights to dignity and fairness?
4. Have we attempted to reduce stereotyping of children?
5. Have we treated all children equally?

Women's rights

1. Have we carefully considered how women are portrayed?
2. Have we considered how sex-role stereotyping is portrayed?
3. Have we given voice to women?
4. Are we empowering girls and women through this story?
5. Have we considered the unique protection needs of women in this story?

Disability rights

1. Have we given people with disabilities the opportunity to contribute to this story?
2. Have we considered how ableism has affected this story?
3. Have we carefully considered how people with a disability are portrayed?
4. When published, will this story be accessible to people with disabilities?

Indigenous rights

1. Have we respected indigenous people's rights to dignity and fairness?
2. Have we given indigenous people the ability to freely express themselves, through their own culture and language?
3. Have we considered how racism has affected this story?
4. Have we carefully considered how indigenous people are portrayed?
5. Have we given indigenous people control over how their identity and thoughts are portrayed in their story?

PROTECTION

This Life puts the wellbeing of its stakeholders first. We explain how we protect our stakeholders in our Child Safeguarding Policy, Communications Policy, Privacy Policy and Risk Policy. All staff and stakeholders must uphold these policies. There are no exceptions. However, there are also context-related issues that arise in relation to protection. Our discussions should ask:

Protection of life

- Could the contributor's life be put at risk by sharing their story?
- Do we know enough about the contributor's history to make a confident assessment of their safety?

Protection of health

- Could the contributor's health be put at risk by sharing their story?
- Could the contributor risk being cut off from important services by sharing their story?

Protection of dignity

- Could we be putting the contributor or their community at risk of vilification or retribution by sharing their story?
- Have we considered how the contributor's family, friends and community might feel about the storytelling project?

Informed consent

This Life's informed consent process is clearly defined in the Communications Policy. All staff and stakeholders must follow this process. There are no exceptions. However, there are also context-specific issues that arise in relation to informed consent. Our discussions should ask:

Correct information

- Have we provided all the necessary information to the contributor so they can decide whether to consent to participate?
- Have we shown the contributor appropriate examples of how their story might be used (including where it may be published and who will see it)?
- Have we explained different ways the contributor's identity can be revealed and concealed?
- Have we consulted with the right people (including children's guardians and community elders)?
- Have we informed the subject how long the material will be used for?

Clear comprehension

- Does the contributor fully understand the risks and opportunities associated with sharing and publishing their image and story with our organisation?
- Have we given the contributor enough advance notice about the project so they have time to consider the risks and opportunities?
- Have we explained the storytelling process in a way the contributor fully understands (including children), using the best-possible language?
- Is there a single point of contact for the contributor to discuss the project and any consent issues? Is it easy for the contributor to discuss the project with us?

Voluntary consent

- Is there a power imbalance between the contributor and the organisation?
- If there is a power imbalance, can you describe it?
- If there is a power imbalance, how can we reduce it?
- Is there an element of duress in the contributor's consent?

- If there is an element of duress, how can we address it?
- How can we ensure the contributor can say 'no' to being involved in the storytelling project?
- How can we ensure the contributor can withdraw their consent at any time?

PRIVACY

This Life values and upholds the privacy of its contributors. All staff, governing body members, partners and volunteers must abide by our Privacy Policy. However, there are also context-related issues that arise in relation to privacy. Our discussions should ask:

Protection

- Have we adequately protected the privacy of the contributor?
- Have we discussed how the contributor's story may expose them to the public?
- If appropriate, have we adequately concealed the name, location and visual identity of the contributor?

Information storage

- Have we safely and securely stored the contributor's personal information?
- Does the contributor understand how their personal information is stored and used?

Access to information

- Who has access to the contributor's information and are they aware of who can access it?
- Have we explained how the contributor can access their personal information, make amendments to their story and withdraw consent?

AUTHORSHIP AND OWNERSHIP

We respect the right of contributors to control their stories. We respect the right of contracted writers and photographers to moral ownership of their works. And we acknowledge that ownership and 'control' of stories can raise difficult ethical questions. While we always abide by our Privacy Policy, there are some discussions that can help us understand our responsibilities regarding authorship. Our discussions should ask:

Authorship

- How will contributors and content creators be acknowledged when publishing their stories?
- Does acknowledgement of authorship have implications for the privacy, anonymity or confidentiality assurances given to contributors?
- What ethical obligations do contributors and content creators have to the truthful representation of stories and data?

Copyright

- Who owns the copyright of our storytelling content?
- Are there any conflicting copyright claims for storytelling materials we've published (or seek to publish)?
- How do we ensure contributors and content creators understand their legal rights?

FUZZY BOUNDARIES

We understand the storytelling process is built on relationships, and sometimes the network of relationships is complex. We acknowledge that relational boundaries between contributors, content collectors, program staff and others can become blurred. In addition, the stories they create may be used to serve multiple purposes, such as fundraising, advocacy, and community engagement. This blurring of roles and purposes is referred to as 'fuzzy boundaries'.

We acknowledge there is the potential for the content-collector role to become blurred in storytelling processes that involve building rapport with contributors. We also acknowledge that this potential is intensified in storytelling projects where content collectors spend significant periods of time engaged in fieldwork. Our discussions should ask:

Content-creator responsibilities

- How should we develop a relationship with the contributor?
- Should we explore how our unconscious biases affect this project? How might we change the storytelling process as a result of exploring our unconscious biases?
- What are the moral responsibilities that fall directly on the content collector?

Other people's responsibilities

- What are the different roles of those involved in the storytelling project?
- Does everyone in the project understand their role and others' expectations of them?
- How do different people involved in the project see the purpose of the storytelling project? If there are different perspectives, how do we manage any conflicts?

Blurred boundaries

- How do we respect the personal relationships (and possible friendships) developed during the project?
- How do we respond to any blurred roles and relationships during the course of the project?
- What impacts do blurred roles have on the ethical conduct of the project?
- Can content collectors, contributors or others become personally over-invested?

A FEW GOLDEN RULES

During the entire storytelling and publishing process, keep these three questions in mind:

1. If I share this story, will this person be safe?
2. If I share this story, will this person be empowered?
3. If I share this story, will this person feel respected – by themselves and others?

Social Media Guidelines AX03

When contributing to our Facebook page, Users agree to not:

- abuse, harass or threaten others,
- use insulting, provocative or hateful language,
- use obscene or offensive language,
- post anything which:
 - o racially or religiously vilifies others,
 - o incites, induces or aids violence, discrimination, harassment, victimisation or hatred towards others, or
 - o is likely to offend, insult or humiliate others, particularly on the basis of their race, colour, descent, national origin, religion, ethnicity, political views, gender, age, sexual orientation or any disability.

Any comments which violate this policy will be deleted. Users who repeatedly violate this policy will be banned.