

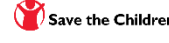
TRANSFORMING
**SURGE
CAPACITY**



Supporting the Development of HR Capacity in Partner/National Organisations

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on behalf of the CHS Alliance



INTRODUCTION

The Start Network's report: 'Time to Move On' discusses the potential actions that international organisations can take to re-balance the system more in favour of national actors. This has been grouped under the banner of 'localisation' and seeks to promote a recalibrated system which works to the relevant strengths of its constituent parts and enhances partnership approaches to humanitarian actors.

One of the report's key observations is:

'Competent and well-managed staff are at the heart of effective organisations. It is essential that, to the extent that resources permit, national NGOs continue to strengthen Human Resource Management (HRM) systems. Surge planning should be at the heart of this so that organisations will be better-positioned to keep their humanitarian staff and ward off poaching attempts by INGOs/UN agencies.'

Specifically the recommendations include:

- The importance of professional management practices and systems as part of a strategic approach to engaging staff as individuals and understanding what they need and want from a humanitarian organisation
- A solid foundation of good HR practices is essential if staff are to remain committed to an organisation
- An organisational focus on the journey that staff are undergoing with an organisation which focuses on their arrival and induction, that ensures that organisational change processes are well-communicated and undertaken and that strives to adopt an operating and funding model that is long-term and strategic
- The importance that all managers have in engaging staff in order to improve their employees' experience of the organisation
- The key motivational role played by inspirational NGO leaders

Studies, including one conducted by People in Aid in the Horn of Africa found that insufficient attention was paid to ensuring that retention was a management priority as much as it was an HR priority.' Having a strong HRM system (and capacity) is all the more important as there are significant disincentives to staff moving between different organisations and while national NGOs cannot compete with the terms and benefits offered by INGOs and UN agencies, it is possible to better understand and take greater control of push factors if there are good human resource practices and systems in place.

The full report can be found at <https://startnetwork.org/resource/time-move-national-perspectives-transforming-surge-capacity>

...along with the follow up report 'Time for HR to Step Up' at <https://cafod.org.uk/content/download/41149/466719/version/4/file/Time%20for%20HR%20to%20Step%20Up.pdf>

With this in mind, many initiatives exist within the humanitarian sector to support the capacity of national organisations to be better able to respond to humanitarian crisis themselves.

As well as the Start Network's Transforming Surge Capacity project, the 'Shifting the Power' project has developed the 'SHAPE' Framework (Strategic Humanitarian Assessment and Participatory Empowerment Framework) covering governance and leadership, influence and disaster preparedness and response capacities within national NGOs. From an HR perspective the core foundations that have been identified under this framework for organisations are – 'HR policies are followed by staff, budgeted for and include consideration of health and safety, leave, child protection, an organisational code of conduct, compensation and benefits, staff development, diversity and how grievances are handled'

This paper puts forward some suggestions on how organisations who have established HR functions and resources, can support the building of HR capacity in either smaller, national or partner organisations who have not had the opportunity to develop their HR support and function. It is intended to provide a starting point for assessing what that HR capacity could look like.

DIFFERENT LEVELS OF HR SUPPORT WITHIN AN ORGANISATION

The Mines Advisory Group has kindly allowed us to share their HR development model - it demonstrates the different levels/types of HR support that can be considered.

See appendix 1 – shows different levels of HR support such as:

1. Essential HR administration
2. Essential HR management
3. Effective HR management
4. Strategic HR management

The importance of this model is that it allows management teams to identify the type of HR support that they want for their organisation/ team, providing a guide on what is essential and what is strategic. It should allow organisations to choose prioritise what they will focus on.

HR SELF-ASSESSMENT AND PARTNER ASSESSMENT

A Human Resources assessment is a comprehensive method to review current human resources policies, procedures, documentation and systems to identify what is already working well, needs for improvement and enhancement of the HR function, as well as to assess compliance with ever-changing rules and regulations.

A number of tools exist on assessment:

- HR development model or equivalent (above) to ascertain where the gaps and strengths might be – see appendix 2 that gives an example from MAG on what to consider under the HR administration level
- assessment questions could also follow the CHS commitment 8 – **assessment process**
- **The Handbook on HR Effectiveness** by the CHS Alliance (a tool to measure the effectiveness of HR systems, policies and practices) - provides a basic checklist in appendix 2, 3 and 4 and a very detailed methodology throughout the handbook on how to do this
- Many organisations have a partner assessment process – see appendix 3 for an example of this from Islamic Relief.

If support with the assessment is required, a member of staff from an HR team in another organisation could be asked to mentor the team undertaking the assessment. This approach should be seen to be positive and supportive of improvements rather than being judgemental.

BUILDING HR CAPACITY IN NATIONAL/PARTNER ORGANISATIONS:

Significant attention has been given to building the capacity of national/partner organisations in recent years, but very little of this has focused on HR capacity.

As in all capacity building, a range of activities/tools could be considered to support organisations at different levels. These could be:

- Ensuring minimum HR standards are in place
- Developing the skills and competencies of staff responsible for HR (refer to the Core Humanitarian Competency Framework – if there is no organisational competency framework - <https://www.chsalliance.org/what-we-do/chcf>)
- Developing the capacity of staff responsible for HR to ensure that the function can add strategic value to the organisation

Different activities can include:

- Shadowing of an experienced and qualified HR professional from another organisation
- Mentoring/coaching
- Secondment of an HR professional to a partner organisation – this could include a review and support to develop HR practices
- Development and delivery of a HR training programme
- Funding for study for a recognised HR qualification
- Offering pro bono places on training programmes to staff from a partner organisation – e.g. leadership development programme or a HR team training event
- Sharing of HR frameworks and resources, including staff handbooks, policies, templates, procedures and to share available resources on the CHS Alliance website such as the **HR Manual** and the **HR Toolkit** developed by the Cornerstone Foundation
- Joining and attending the HR co-ordination group or forum in country – see **HR guidelines**
- Joining on line discussion groups, networks and webinars advertised on the CHS Alliance website.

By adapting and using these tools, it is hoped that this will go some way towards strengthening HR systems and functions across organisations, which in turn will stabilise turnover and increase staff satisfaction.

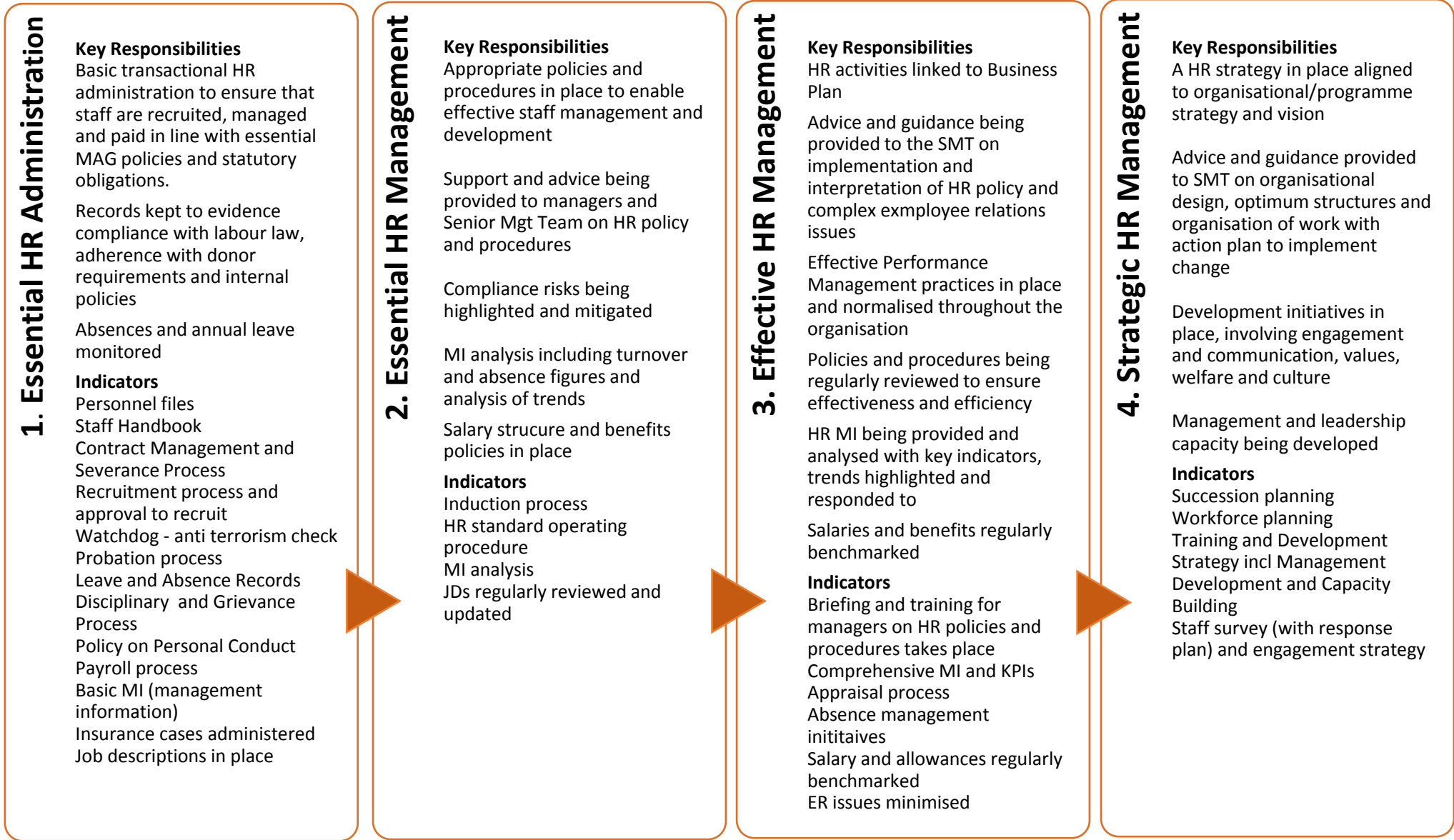
October 2017

USEFUL RESOURCES

- Start Network: National Perspectives on Transforming Surge Capacity – Andy Featherstone, <https://startnetwork.org/resource/time-move-national-perspectives-transforming-surge-capacity>
- Start Network: ‘Time for HR to Step Up’ – Ben Emmens, <https://cafod.org.uk/content/download/41149/466719/version/4/file/Time%20for%20HR%20to%20Step%20Up.pdf>
- Blog: Working with Local NGOs: Addressing the gaps NURHAIDA RAHIM - <https://www.chsalliance.org/news/blog/working-with-local-ngos>
- Global Assessment of HR Capacity – Adaptive HR Management Tool - <http://www.chsalliance.org/files/files/Resources/D%20-%20ENG%20-%20Adaptive%20HR%20Management%20Tool.pdf>

APPENDIX 1

MAG: HR Development Framework



Appendix 2



MAG: National Staff HR Framework – Minimum Standards

Recruitment:

- **Recruitment procedures** should be developed in each country programme with responsibilities and levels of authorities agreed
- **Authorisation to Recruit (ATR)** form must be approved for each role
- **Job description** should be written for all posts
- All posts should be **advertised**
- **Shortlisting and interview forms** must be completed
- **Offers** of employment will be subject to satisfactory pre-employment checks: anti-terrorism, references, medical form/tests
- **References** must be sought for all post holders

Contracts, payroll and starters:

- A **contract** should be issued to all staff on their first day of employment
- Payment of wages should not be made until a signed contract and associated documents have been received
- All **contract extensions** will be confirmed in writing
- **Contract terminations** will be confirmed in writing and a contract termination form will be completed and kept on file
- **Changes to pay** will be confirmed by letter
- All staff will receive a **payslip** after each payroll
- Changes to payroll will only be made following instruction from the manager and budget holder

HR Records:

- A personnel file should be created for all employees
- As a minimum, all files should contain documents listed on the **personnel file checklist**
- **Staff files** will be held both electronically and paper for 7 years after the last day of employment
- Where possible, **archived files** will be stored on MAG property

Induction:

- All staff should receive an **induction** regardless of length of contract
- **Induction checklist** must be completed for all employees and copy stored on their personnel file

Probation:

- All employees will be subject to a **probationary period** which should be stipulated in the contract of employment
- **Probationary objectives** should be set for each employee. For common positions

(such as driver, guard, deminer), generic objectives can be developed

- **Probationary period form** should be completed at the end of the term
- The decision will be **confirmed in writing** for the employee

Performance management and appraisal

- All staff will receive an **annual appraisal**
- The appraisal process can vary within a programme with a simpler process in place for lower level positions
- Disciplinary process will be developed in each country programme which is consistent with MAG standards and local labour laws and reporting requirements
- The **outcome** of any disciplinary process will be documented on a **disciplinary outcome form** and stored on personnel files

Training and Development

- **Training and Development needs** to be discussed as part of the appraisal process
- **Training records** to be completed for each instance of internal or external development or training opportunity attended

During employment

- **Annual, sick and compassionate leave** forms must be completed for each instance of absence
- **Persistent lateness** will not be tolerated and a statement in this regard will be included in the handbook
- Managers should be briefed on how to properly deal with instances of lateness in their teams

Leavers

- Contracts will be ended in line with legal requirements and handbook commitments
- End of contract form will be completed and authorized in all instances
- **End of contract** will be confirmed in writing
- **Severance payments** will be approved by the CD. Employees will be required to sign their acceptance of any monies
- End of contract will be documented and evidenced and records filed appropriately

Health, Safety and Welfare

- All **incidents** must be reported as outlined in the incident report form.
- **Insurance cases** will be managed until all refunds received and patient has recuperated
- **Personal Accident** claims will be coordinated appropriately and any settlements will be evidenced and recorded
- **Staff numbers** will be reported to HR to ensure adequate insurance coverage (excluding Angola and Vietnam)
- International and national **emergency contact procedure** will be displayed in public work spaces and offices

HR forms and templates

Recruitment

- ATR form
- Job description template
- Generic job descriptions for commonly-occurring positions
- Application form
- Shortlisting form
- Interview notes form
- Offer letter detailing all pre-employment checks
- Reference check form

Contracts, payroll and starters

- Fixed term contract
- Extension of contract letter
- End of contract letter
- Change of salary letter
- Staff Handbook and Internal Regulations
- Personal details form
- Payment details form
- Payroll authorisation forms – for starters, leavers and changes to the payroll
- Declaration of criminal convictions form
- Example payslip

HR Records

- Checklist for personal files

Induction

- Induction checklist

Probationary periods

- Probationary objectives setting
- Probation review form
- Probation letter

Performance management and appraisal

- Performance appraisal form
- Disciplinary guidelines
- Disciplinary outcome form

Training and Development

- Training record form

During employment

- Leave/TOIL request form
- Sick leave form
- Warning letter for lateness

Leavers

- Programme leaver guidelines
- End of contract confirmation form
- End of contract confirmation letter
- Redundancy letter

Health and Safety:

- Incident report form
- Emergency Contact procedure

Appendix 3

Islamic Relief Worldwide Application for Partnership

Issue No: _____

(All issue numbers are provided by the IRWs Finance Department. Any form without a valid issue number will not be accepted.)



Name: _____

Islamic Relief Worldwide welcomes you to this partnership opportunity

About this Application

- **Form A Partnership Appraisal** – To provide us with important legal, managerial, financial, constitutional and programme information
- **Form B Declaration of Identity** – To provide proof of your legal identity
- **Form C Recommendation for Islamic Relief Partnership (optional)** – This form must be completed if you have been recommended by another Organisation/Individual

Mandatory documents required

- | | Provided?
Y/N |
|---|--------------------------|
| 1. Certified copy of registration/incorporation | <input type="checkbox"/> |
| 2. Passport copies of current trustees/directors/senior employees | <input type="checkbox"/> |
| 3. Latest Audited Accounts | <input type="checkbox"/> |
| 4. Business case application form <i>(to be completed by IRW Personnel)</i> | <input type="checkbox"/> |

Operational and financial guidelines ensure that funds are spent for legitimate and effective charitable objectives in an efficient manner. It has clear guidelines and requirements for other aid organisations which may want to carry out joint aid efforts or carry out projects on behalf of Islamic Relief. Any organisations with which Islamic Relief carries out a project must firstly have been approved as a partner organisation. This procedure exists not only to ensure that our funds are being channelled to legitimate organisations but also to ensure that funds are spent effectively and efficiently.

Islamic Relief Worldwide – Faith Inspired Action

Islamic Relief Worldwide is an Independent Non-Governmental Organisation (NGO), founded in the UK in 1984 by a group of young medical doctors and social activists.

Working in over 30 countries, we promote sustainable economic and social development by working with local communities to eradicate poverty, illiteracy and disease. We also respond to disasters and emergencies, helping people in crisis.

Islamic Relief provides support regardless of religion, ethnicity or gender and without expecting anything in return.

Inspired by the Islamic Faith and guided by our values of Sincerity, Custodianship, Excellence, Compassion and Social Justice, we envisage a caring world where communities are empowered, social obligations are fulfilled and people respond as one to the suffering of others.

Form A Partnership Appraisal

(To be filled by the applicant organisation. Please read the notes on page 5 before completing this form in order to fully understand the information we require)

I. Basic Information

Official registered name of the organisation _____

Name of organisation in English _____

Acronym _____

Current legal jurisdiction under which it operates _____

Where and when established _____

Organisation Website _____

II. Legal Framework and Governance

(a) Please state the legal status of the organisation *(see note 1 of guidance notes)*

(b) Please explain who under the constitution exercises the final authority and how decisions are made at the highest level *(see note 2 of guidance notes)*

Forename	Middle name	Surname	Position	Date of birth	Nationality	ID copy provided?

(c) Please list the names, details and photographic IDs of the current trustees / members / board of directors and senior employees of the organisation. *(see note 3 of guidance notes)*

Add more rows if required

(d) Please state if the organisation is a branch / regional office of another national or international network. (see note 4 of guidance notes)

(e) Please supply details of membership of any national or international umbrella organisations. (see note 5 of guidance notes)

III. Operational and Financial Details

(a) Please explain and illustrate the organisation’s organogram.

(b) What are the principal sources of the organisation’s funds? (see note 6 of guidance notes)

(c) Does the organisation fund other charities/individuals? (see note 7 of guidance notes)

Please provide details of banks and bank accounts (Local/Foreign) to be used in operations with IR (including IBAN, SWIFT). (see note 8 of guidance notes)

Bank		Account name	
Branch Address		Account number	
SWIFT Code		Account signatories	
IBAN		Sub-accounts (if any)	

(d) Name, details of any correspondent/intermediary bank used for transfer to and from the account(s) provided above (see note 8 of guidance notes)

IV. Background / Origins & Context of Work

(a) What are the origins of the organisation? (see note 9 of guidance notes)

(b) What is the organisation’s mission and its long-term objectives?

(c) What are the main sectors the organisation is working in, and the main approaches the organisation uses to achieve its objectives?

(d) Please tell us about the values and methodologies your organisation uses in working with local communities. *(see note 10 of guidance notes)*

(e) What is, in light of the above, the added value of your organisation compared to other organisations in the same area?

(f) How did you learn about Islamic Relief and why are you interested in working with Islamic Relief.

V. Organisational Capacity and Structure

(a) Please supply information on how your organisation ensures operations are carried out according to your mission, plans and budgets. What systems are there currently for the purposes of Planning, Monitoring and Evaluation (PMES)? *(see note 11 of guidance notes)*

(b) Is there an appointed person for PMES tasks?

(c) Does your organisation carry out evaluations to assess the effectiveness of projects? Is information gathered from monitoring and evaluation (M&E) used for learning purposes? Please state the frequency of such meetings.

(d) Please give examples of external / internal changes and challenges faced by your organisation in the past or at present. *(see note 12 of guidance notes)*

(e) What steps have you taken as an organisation to adapt/counter these changes and challenges in the present and future?

VI. Human Resources

(a) List the Trustees / Management Committee:

Name	Position within the organisation

(b) Staffing pattern

Please specify the number of employees.

Executive
Managerial
Support staff

(c) Current and required staff expertise *(see note 13 of guidance notes)*

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(d) Does the company have a handbook that outlines employees' rights and responsibilities? *(see note 14 of guidance notes)*

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(e) How often are these policies reviewed and updated?

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(f) What grievance procedures are available to staff?

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(g) Does staff sign a code of conduct?

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(h) If so, do they receive orientation on this and other relevant policies?

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(i) Are complaints received about staff? How are they handled?

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(j) Is all staff provided with an induction and appropriate and ongoing training to help them to effectively do their jobs?

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(k) Was staff working as per the agreed IRW values?

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(l) Does the office have all appropriate and up to date policies and procedures, including the IR Handbook, available to them for reference should they be required?

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VII. Financial Management

(a) Please describe your financial management capacity and system (see note 15 of guidance notes)

(b) Please provide details of your current financial position covering the last 12 months. (see note 16 of guidance notes)

VIII. Risk Management and Compliance

(a) Does the organization have a dedicated screening/compliance process of its own for external (partners, donors etc) and internal (employees, beneficiaries) parties? If yes, please describe your screening/compliance process in more detail. (see note 17 of guidance notes)

Guidance Notes

- 1- State the status of the organisation under its current jurisdiction. For example, is it registered as a company or a trust? Is it governed by any government department responsible for charities? **Please ensure you supply us with a copy of the organisation’s constitution/registration document.**
- 2- The final authority in the constitution could be the members, directors, board of trustees etc. We need to know this to see who is ultimately responsible and also to raise issues of the way the organisation is governed.
- 3- We require the following details in a tabulated format: Name, Address, Date of Birth, Passport Number & nationality, Previous Nationality (if any). For senior employees, include the most senior executive (chief executive, director, general manager) and other senior manager responsible for staff or heads of all divisions/departments in the organisation. **We will require photocopies of passports.**
- 4- We need to know if the organisation is in a complex legal relationship with other entities. For example, if the organisation is connected with other organisations through a number of shared directors or if it has any other legal arrangements with others which can influence the running of the organisation.
- 5- Also, please supply details of organisations in which you any level of membership / association such as ECHO, USAID, DFID and the UN.
- 6- We need to know the split between money raised through private donations, institutions (with a breakdown) and other NGOs. We also need to have details of any institutional funders and their origins.
- 7- Who does the organisation fund? The names and addresses of organizations to which the partner organisation currently provides or proposes to provide funding, services, or material support, to the extent known, as applicable. The names and addresses of any subcontracting organizations utilized by the partner organization.
- 8- In order for Islamic Relief to transfer funds the recipient organisation must have bank accounts in the name of the organisation. In the case of funds being transferred directly from abroad the organisation needs legal jurisdiction to receive foreign funds. Islamic Relief does not transfer funds into an individual’s bank account. We also need to know if the bank is part of a reputable network of banks and under what jurisdiction it operates. We would also need to know if the bank in question is using a

correspondent/intermediary bank for its international transaction. **We also need details of the specific account e.g. Local/Foreign, bank name, account name, number, IBAN, branch, signatories, and in the case of an FCRA(Indian accounts) we need copies of a legal proof of license.**

- 9- Who founded the organisation and what was its vision at inception. State the Major changes / developments since the foundation (for instance: changes in original objectives, intervention str es, sectors, geographical areas of activities).
- 10- What is the organisation's policy for engaging with other stakeholders in society, Description of risks and opportunities the organisation sees for it self for the coming 3-5 years.
- 11- Describe the structure of the organisational chart / organogram. The background of members, number, election procedures, specific expertise/contribution to the charitable sector. Tell us about the relationship between the decision making bodies. How is the organisation managed on a day to day basis. You need to give us details of major tasks, responsibilities, frequency of meeting. If you have documented internal management procedures, financial controls, guidelines for staff, delegation of powers etc, please supply copies with your application).
- 12- What internal/external challenges has the organisation faced? What steps has the organisation taken to manage these changes and challenges. Examples may include such issues as handling restructuring / reorganisation. What lessons have been learnt? Any outstanding issues? Please tell us if the organisation has been accused of involvement in any criminal or terrorist activities. If so, how has it responded to such claims?
- 13- What staff expertise does your organisation have at present and what does it require? State specific areas and levels of expertise the staff has in relation to your organisation's main objectives, intervention strategies and sectors.
- 14- Recruitment policies & practices of the organization? What are your policies & practices with regard to training & development of staff. Personnel policy with regards to local labour markets.
- 15- We want to be assured that the money is safeguarded. You need to tell us about signatories, authorisation of expenditure, internal financial controls, how assets are safeguarded, the reputation and size of your banks, payments procedure, external audits, internal review etc. If you have financial manual/procedures, please let us have a copy. As part of our funding agreement we will require regular financial reports and you need to consider and tell us if you are able to produce such reports in accordance with our format and guidelines. The financial software will be crucial in determining if you are able to keep records to our standards. We also have a right to inspect financial and other records on site to ensure that funds have been used properly. Also, tell us about the staff and their roles and responsibilities.
- 16- **We need your latest annual audited reports. We also need a detailed breakdown of incoming funds, list of assets, expenditure on administration and projects. If audited accounts do not cover the last 12 months, unaudited accounts (management level accounts, interim reports etc) can be provided, in addition to the latest audited accounts.**
- 17- **We would like to know what your screening policy is for external and internal parties linked with your organization. We would also like to know what level of due diligence you are performing, are you using a screening software dedicated for these purposes? If so, what is the name of this software?**