Administration and Procurement Policy and Practice 2015-16

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana – 500009
Phone: (040) 27891147, Email: info@alcindia.org, Web: www.alcindia.org

1. Introduction

1.1. OBJECTIVE

To ensure the smooth and effective functioning of the day-to-day activities of ALC India.

1.2. SCOPE

This policy will be applicable to all AL Group entities, ALC India-Central office, Unit offices and Project offices.

2. Guidelines for Time Compliance

2.1. OFFICE TIMINGS

2.1.1. ALC India follows a 6-day work week i.e. Monday to Saturday except for 2nd Saturday which is a paid holiday. Additionally, all Sundays are paid holidays.

2.1.2. The official work hours will be from 9 am to 7 pm. Consultants will work for 8 hours each day with 30 minutes for lunch and 2 tea breaks, each of 15 minutes.

2.1.3. Consultants have the flexibility of working any 8 consecutive hours between 9 am to 7 pm. However, all consultants will have to work during the core timings of 11 am to 4 pm. For instance, a consultant starting work at 10:20 am should work till 6:20 pm.

2.1.4. Consultants should not come to the office later than 11 am. If a consultant logs in later than 11 am or leaves before 4 pm, she/he will be penalized with a deduction of 0.5 per day. The person has to give that deducted time of 0.5 day as voluntary time to ALC India. There will be no grace period.

2.1.5. For project offices, consultant flexible working hours will be from 6 am to 10 pm in which he/she should work for 8 hours.

2.1.6. The consultants can take a lunch break of 30 minutes between 1:30 pm to 2:30 pm.

2.2. WORK FROM HOME

2.2.1. The facility of "Work from Home" is not encouraged; However, it can be availed by consultants with written permission (hard copy) from the reporting authority.

2.2.2. Approval/disapproval for "Work from Home" must be conveyed in writing by the reporting authority to the head of administration with adequate explanation.

2.2.3. This cannot be availed for more than 2 full days in a month.

2.2.4. The consultants have to submit a duly approved work done report for "Work from Home" to FMA. If not submitted, "Work from Home" days will be considered as unpaid leave.

2.2.5. "Work from Home" should not be viewed as an alternative for personal/family responsibilities. Any Consultant working from home on a holiday must have obtained approval from the concerned reporting authority and give 1-day notice in writing to the head of administration

2.3. COMPENSATORY DAYS OFF

2.3.1. If a consultant has worked on a Sunday/Holiday in a month, the compensatory days off for the work done can be availed in the same month only. Compensatory days off cannot be carried forward to the next month.

2.3.2. In case of work done on a Sunday/Holiday during the last week of the month, compensatory days off can be availed in the first week of the next month only.

2.3.3. Compensatory days off can be availed only after the consultant has worked on a Sunday/Holiday.

2.3.4. Any consultant can work for a maximum of 2 Sundays in a month.

2.3.5. While submitting the log-sheet, compensatory days off need to be mentioned along with the Sunday/Holiday on which the consultant has worked.

2.4. LEAVE APPLICATION

2.4.1. Application for Leave should be made to the concerned reporting authority through email. The nature of leave should be indicated in the mail. Approval/disapproval must be informed through e-mail by the concerned reporting authority to the administration head. If a consultant goes on leave without intimation to the administration head, it will be treated as an unpaid day off.

2.4.2. If any consultant is on leave without any prior written information, each day off will be considered as 2 unpaid days off.

2.5. ON TOUR

2.5.1. A consultant is said to be "On Tour" from the time of departure till his/her arrival at the head quarter.

2.5.2. "On Tour" status can be only for the period approved by Domain Head or Team Leader.

2.5.3. The tour period must be filled in the monthly plan in advance and approved by the reporting authority. If the tour is planned in the middle of the month due to urgent requirements, the team leader of the project should take the approval of the reporting authority of the concerned team member. The same should be informed to the in-charge administration by the concerned consultant.

2.5.4. The concerned consultant or Team Leader should inform the head of administration about the duration of the tour, place, and project name, minimum of a day in advance.

2.5.5. If a consultant goes "On Tour" without any prior written information, it will be considered as unpaid days off.

3. General Administration Guidelines

3.1. OFFICE KEYS

3.1.1. The office keys will be kept with the executive and in-charge administration.

3.1.2. In exceptional cases, if a consultant wants to keep the office keys for working on Sundays or holidays, he/she should sign in the key register while taking possession of the office keys and should return the same on the next working day.

3.1.3. The consultant in possession of the keys will be liable for any loss/damage incurred to the property or files during that period and will be liable to indemnify the company to that extent.

3.2. BIOMETRIC ATTENDANCE REGISTER

3.2.1. All consultants should reach the place of work by the fixed time.

3.2.2. All consultants are required to enter check-in time and check-out time with thumb impression in the biometric machine every day. If the time is not recorded, consultants will be considered as absent for the day and will not be paid for the day.

3.2.3. If a consultant logs in later than 11 am or leaves earlier than 4 pm, he/she will be penalized with a deduction of 0.5 per day. The person has to give that deducted time of 0.5 day as voluntary time to ALC India.

3.2.4. Further, any consultant coming late to work or found absent from his station / place of work during working hours, without sufficient reasons or without authorization from his / her supervisors, will be treated as absent for the duration of his/her absence and shall not be entitled to consultancy fee for the period. In addition, the competent authority may, at its discretion, also take suitable disciplinary action against the concerned consultant.

3.2.5. An attendance statement will be prepared on the 1st of every month by the head of administration, which will be cross checked with the log sheets. This will then form the basis for processing the consulting charges. (The codes are provided in Table 1)

The following codes will be used in the Register:

Table 1- Biometric Attendance Register Codes

Sr. No	Situation	Code
1	While on Tour	" T "
2	While on duty within the city	" D "
3	When late with permission	" LP "
4	Mandatory Vacation	" VL "
5	While on Maternity/Paternity Leave	"MTL/PTL"
6	Paid Days Off	" PO "
7	Unpaid Days Off	"UPL"
8	Compensatory Days Off	"CO"
9	Permission off	"PR"
10	Voluntary Work	"VW"
11	Special Leaves	"SL"
12	Deputation	"DP"

3.2.6.   Project offices and ATLS and will maintain an attendance register.

3.3. OFFICE FILES

3.3.1.   The head of administration will be responsible for all the administrative files. These files will be kept in a designated area for files, a safe and locked location.

3.3.2.   The information contained in these files will be the sole property of ALC India. Nobody will have access to those documents without permission of the concerned authority.

3.3.3.   Files should not be taken out of the designated area. A photocopy of the document will be given, if required.

3.3.4.   Any file required by the consultants can be viewed only in the presence of the administration team.

3.3.5.   A consultant who is taking any file or office belongings (books, magazines, laptop, pen drive, projector etc.) for official purposes has to take permission from the head of administration and the person will be responsible for its due return.

3.3.6.   In case of any damage or loss of the file or belongings, the concerned consultant is liable as per the discretion of the head of administration.

3.3.7. All files must be coded and maintained properly by FMA domain in the central office; In charge of project location will maintain the same at project location.

3.3.8. The files will be maintained for 7 years only. After that, the files will be destroyed by burning.

3.4. ASSET MANAGEMENT

3.4.1. The administration section of FMA will be the custodian of all assets.

3.4.2. All the assets of ALC India must be coded and maintained properly by FMA domain in central office; In charge of project location will maintain the same at project location.

3.4.3. All assets legally owned by ALC India will be entered as per the standard accounting provisions in the following registers as per the formats given in **Annexures 1, 2 & 3** respectively: Asset, Stock and Movement Registers.

3.4.4. Any requisition for purchase of assets will be decided by the domain head, division head or CEO. Before granting authority, FMA has to be consulted regarding the availability of funds.

3.4.5. If it is not possible to purchase assets due to scarcity of funds, they can be rented or leased.

3.4.6. Any movement of asset items should be properly recorded by the administration team.

3.4.7. The consultant who has custody of an asset will be liable for damage/loss of the asset.

3.4.8. A physical verification of all the assets will be carried out and the reconciliation statement prepared on a monthly basis.

3.4.9. The decision for disposal of any assets and its value will remain with the FMA domain, IOS division head and CEO.

3.5. MEDICAL ASSISTANCE

3.5.1. The emergency medical kit will be kept under the control of the administration head.

3.5.2. The executive will check weekly the kit and replenish the items that are exhausted and dispose of expired items.

3.6. MEETINGS

3.6.1. Meetings at various levels (domain, division, CPS programmes and Unit) will be held to review the previous month's progress, overall achievements till date and the plan for next month. The concerned Domain Head/ Division Head/ Project Director will decide the frequency of meetings.

3.6.2. The quarterly meetings of ATLS, CPS Programmes, PPS Programmes, and IOS will be held at central office to review last quarter's progress and plan for the next quarter.

3.6.3. The agenda for the monthly meetings will be prepared and circulated to the concerned consultants 3 days before the meeting.

3.6.4. The minutes of the monthly meetings will be recorded, circulated and filed properly.

3.7. VERIFICATION OF TESTIMONIALS

3.7.1. The HRM domain should inform the FMA domain about the date of joining of new entrants and related arrangements that are required.

3.7.2. HRM domain should verify the original certificates and experience certificate with the curriculum vitae. The photocopies should be retained with the HRM Domain.

3.7.3. On the date of joining, an undertaking of verification should be submitted to FMA domain by HRM Domain.

3.7.4. After the induction of the new joinee, HRM should submit a certificate stating that joining formalities have been completed.

3.8. DISPATCH OF RECEIPTS OF OFFICIAL DOCUMENTS

3.8.1. It is the responsibility of the FMA Domain to hand over the receipt of documents to the concerned domain/consultant. All receipts should be checked by the in-charge administration and entered in the inward register.

3.8.2. The dispatch of documents will be the responsibility of the Domain, while the FMA domain can facilitate dispatch of letters. This should be entered in the outward register.

3.9. REIMBURSEMENT FOR OFFICIAL EXPENDITURE

Table 2 –Reimbursement for Official Expenditure

#	Place	Expenses per Day*(Food & Water)	Lodging per Day*(inclusive of taxes)	Local Conveyance Type
1	Metros (Mumbai and New Delhi)	Rs.400.00 or actual, whichever is lower	Rs.2000 (single occupant) Rs.3000 (double occupant)	Auto/Taxi
2	Metros (Chennai, Kolkata, Hyderabad, Bangalore)	Rs.400.00 or actual, whichever is lower	Rs.1500 (single occupant) Rs.1800 (double occupant)	Auto/Taxi
3	State Capitals (Excluding above)	Rs.300.00 or actual, whichever is lower	Rs.1200(single occupant) Rs.1500 (double	Auto

			occupant)	
4	District Head Quarters and below	Rs.250.0 or actual, whichever is lower	Rs.1000 (single occupant) Rs.1500 (double occupant)	Auto

3.9.1. The designated list of hotels can be obtained from FMA.

3.9.2. The boarding/lodging expenses, travel cost and other expenses may be reimbursed at a different amount than indicated above, if it is so mentioned in the terms and conditions of the individual project.

3.9.3. In case of half-day tour, the maximum claim will be 50% of the allowed amount for boarding for full day. Half-day tour means out of office for more than 8 hours and less than 14 hours.

3.9.4. For long distance travel, consultants can travel by 3 AC depending upon the terms and conditions of the agreement with the partner.

3.9.5. In urgent situations, consultants can travel by flight with the prior approval of Division Head/ CEO/Unit Head as the case may be.

3.9.6. If the consultant goes on leave/ to other place for personal work before/after attending the assignment while on tour, he/she will not be reimbursed the expenditure incurred on travel in one direction.

3.9.7. If the ToR from a partner specifies bulk payment, then ALC India norms will be followed. For reimbursement of actual bills, then partner's norms will be followed.

3.9.8. For use of personal two-wheeler, the reimbursement of the travelling expenses will be Rs.3 per km.

3.9.9. For use of personal four-wheeler, the reimbursement of the travelling expenses will be Rs.10 per km.

3.9.10. The expenditure will be settled within 10 working days from the date of returning from the tour. The next installment or fresh advance request will be released or accepted only after the settlement of previous installment or advance.

3.9.11. If the expenditure is not settled as per 3.9.10, the outstanding against the unsettled advance will be deducted from the consultancy charges for the next month.

3.9.12. All consultants (central/ unit/ project) are required to submit a tour report that captures the qualitative and quantitative aspects of the field visit.

4. Procurement Practices

4.1. PROCUREMENT OF GOODS

4.1.1. The authority for the procurement of various goods needed for the purposes of business will be under the control of Program Director. The authority matrix for the procurement of various goods needed for the purposes of business will be as given below:

Table 3

Sr. No.	Value of Procurement	Level of Delegation
1	Up to Rs. 25,000	Administration Head
2	Rs. 25,001 to Rs. 50,000	Project Director
3	Rs.50,001 and more	Programme Director

4.1.2. The following steps should be taken as part of the procurement process:

4.1.3. Need assessment, purpose and benefit should be mentioned for the goods that are to be procured.

4.1.4. Approval for the procurement should be taken, based on the authority matrix outlined above.

4.1.5. Calling of quotations: if the value of procurement is more than Rs. 25,000, quotations need to be obtained from a minimum of three vendors

4.1.6. Analysis of quotations: All the received quotations have to be analysed by the Head of Administration

4.1.7. Approval of authorised individuals.

4.1.8. Placing of purchase order by the head of administration.

4.1.9. Receipt and verification of the asset and entry in the fixed assets register.

4.1.10. The head of finance will be responsible for the payment process.

4.2. PROCUREMENT OF SERVICES

4.2.1. The authority matrix for the procurement of various services needed for the purposes of business will be as given below:

Table 4

S.No	Value of Procurement	Level of Delegation
1	Up to Rs.1,000	All consultants
2	Rs. 1,001 to Rs.50,000	Project Director/ Senior Project Director
3	Rs. 50,001 to Rs. 1,00,000	CPO

| 4 | Rs.1,00,001 and more | CEO |

4.2.2. The following steps should be taken as part of the procurement process:

4.2.3. Need assessment, purpose and benefit should be mentioned for the services that are to be procured.

4.2.4. If the value of procurement is more than Rs. 1, 00, 000, quotations need to be obtained from a minimum of service providers.

4.2.5. Approval for the procurement of services should be taken, based on the authority matrix outlined above.

4.2.6. The head of administration has to confirm the service provider.

4.2.7. Receipt and verification of the asset and entry in the fixed assets register.

4.2.8. The head of finance will be responsible for the payment process.

5. Administrative Practices related to communication

5.1. OFFICE TELEPHONES

5.1.1. No person, except with prior permission, which is granted only in exceptional cases, can use company's telephone, telex and fax facilities for private purposes.

5.1.2. In exceptional cases, consultants can receive their personal calls but it should not disturb others.

5.2. COMMUNICATION MATERIAL

5.2.1. Each person will be given visiting cards, identity card (Only after completion of probation), official email id and stationery (pen, pencil, pad etc.).

5.2.2. Full-time associates will be given a visiting card, email id and stationery (pen, pencil, pad etc.).

5.3. MOBILE AND INTERNET ALLOWANCES

5.3.1. Rs. 500 per month will be given as mobile allowance after submission of the proof of bill payment for the last applicable month. If the receipt is not submitted, taxes will be deducted and the amount will be paid to the consultants.

5.3.2. Rs. 350 per month will be given as mobile internet allowance after submission of the proof of bill payment for the last applicable month. If the receipt is not submitted, taxes will be deducted and the amount will be paid to the consultants.

5.4. DISCIPLINE REGARDING MOBILE AND INTERNET

5.4.1. While talking on the phone, all individuals should talk in a low voice in a manner that does not obstruct others' work. If it is expected that the talk could take a long time, it is desirable that the call is attended outside the office premises.

5.4.2. Consultant should not busy themselves in personal calls during working hours. Consultants will be liable for strict action if found to be on a personal call continuously during working hours.

5.4.3. Consultants will be liable for strict action if found chatting continuously or playing games during working hours.

5.4.4. Consultants should keep mobiles on low volume or in vibration mode. This will help create a better work environment with least disturbance and distraction.

5.4.5. Consultants should not busy themselves with their personal mails during office hours.

6. Office Maintenance

6.1. ELECTRICITY

6.1.1. Consultants should use electricity with care and only to the extent necessary. To ensure that, the following practices are encouraged among all individuals who are part of ALC India:

6.1.2. Ensure that fans and lights are switched off when not required.

6.1.3. Close computers and laptops when not in use for more than 30 minutes.

6.1.4. Switch off bathroom lights after use.

6.1.5. Adapters maintaining electrical boxes should be properly handled.

6.1.6. Emergency light, when put into use, should be switched off after use.

6.1.7. The head of administration can levy a penalty up to Rs. 100/- if anyone is found to be grossly negligent.

6.2. CLEAN AND GREEN

6.2.1. Consultants should maintain clean and hygienic practices, including the following:

6.2.2. Use dustbin for disposal of waste and use separate dustbins for dry and wet waste.

6.2.3. Sink should be kept in hygienic condition and food waste should not be allowed to remain there.

6.2.4. Ensure cleanliness of tables, chairs, computers and other things that are personally used.

6.2.5. Cups, plates and glasses, after proper cleaning, should be kept in the rack after use.

6.2.6. Bathroom should be kept clean and in hygienic conditions. Use proper quantity of water after use.

6.2.7. Before leaving the office, keep the things in their proper place & position.

6.2.8. Keep the footwear in footwear stand.

6.2.9. Water and electricity should be conserved.

6.2.10. Any habitual negligence of the clean and green practice will result in a penalty which may extend to Rs.200/- by the head of administration

6.3. STATIONARY USAGE

6.3.1. Every consultant should be resource conscious. Stationery should be used minimally and one-side used paper should be re-used as far as possible. Waste in any form should be avoided.

7. Guidelines for Support Services

7.1. GUEST HOUSE

7.1.1. ALC India will maintain a guest house near the office.

7.1.2. Priority should be given to those coming for induction or joining. However, they should not be allowed to stay in the guest house for more than 10 days. .

7.1.3. The rent per single room/double room will be decided by the head of FMA.

7.1.4. The booking in the guest house should be done 3 working dates prior to the date of arrival of the guest. The head of administration should be informed about the total number of people who need to be accommodated in the guest house and the duration of their stay.

7.1.5. The complete information about the guest should be provided to the head of administration prior to the stay. The information should include name, sex, age, and address, purpose of visit and duration of stay.

7.1.6. No person should stay in the guest house after 9.00 pm, unless authorised by the head of administration. In case of violation, strict action will be taken against the responsible person.

7.1.7. No person will be allowed in the guest house between 09:00 PM and 06:00 AM, unless authorised by the head of administration.

7.1.8. Alcohol consumption and smoking are strictly prohibited in the guest house. In case of violations, one or more actions can be taken as mentioned in clause 8.1.5.

7.1.9. Upon receipt of continuous complaints against any individual staying in the guest house, the administration will levy a penalty, depending on the gravity of situation, which will in no case be less than Rs. 200/- and more than Rs. 500/-

7.1.10. All users should abide by the rules made by the administration from time to time.

7.1.11. In case of Community programmes, each project office will have a room that is used as a guesthouse. This room will be kept locked and will be used only when there is a guest.

7.1.12. The Project Manager or his/her friends and relatives will not be allowed to stay in the guesthouse.

7.1.13. The administration will coordinate and cooperate with the all domains in managing logistics.

7.1.14. The Team Leader should give prior notice of one day for making logistical arrangements such as photocopying, printing banners and other incidental matters.

8.   Disciplinary Misconduct and Actions

8.1. DISCIPLINARY MISCONDUCT:

The following acts of omission and commission will be seriously viewed by the top management and appropriate action will be initiated depending upon the gravity of the situation in each case:

8.1.1. Willful insubordination or disobedience, whether alone or in combination with others, to any lawful and reasonable orders of a superior.

8.1.2. Non-compliance to company policies more than 3 times.

8.1.3. Breach of the terms and conditions for services mentioned in the letter of contract of agreement.

8.1.4. Not responding to official communications within 2 days.

8.1.5. Habitual or gross neglect of work.

8.1.6. Habitual absence without leave or without permission or without sufficient cause.

8.1.7. Habitual late attendance or habitual leaving of office premises before time without the permission of the concerned authority.

8.1.8. Alcohol consumption or smoking on the premises of the company/ project office

8.1.9. Non-return of company property on or before the stipulated time.

8.1.10. Assumption of authority on matters, which are the prerogative of the management.

8.1.11. Commission or omission of any act, which is prejudicial or detrimental to the interests of the company.

8.1.12. The consultant(s) found guilty of the above misconduct(s) will be liable to one or more actions mentioned below:

    8.1.12.1.   Warning or censure (oral/written)

    8.1.12.2.   Withholding promotion

    8.1.12.3. Reduction in pay

    8.1.12.4. Demotion

    8.1.12.5. Fine

    8.1.12.6.   Dismissal

8.2. DISCIPLINARY ACTION:

8.2.1. A consultant against whom the disciplinary action is proposed to be taken, will be given a show cause notice (written memo) clearly setting forth the misconduct that is being alleged against him/her and will be given reasonable time to explain his/her conduct.

8.2.2. If no explanation is received within the fixed time (maximum of 2 memos will be sent) or the explanation is not found to be satisfactory, the CEO/domain leader or other competent authority may take any of

the punitive actions mentioned above, depending on the gravity of the act.

Policy and Practice
Human Resource Management
2015-2016

ALC India

reimagine livelihoods

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana. – 500009
Phone: (040) 27891147/40177321, Email: info@alcindia.org, Web: www.alcindia.org

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

1. INTRODUCTION

The HRM Policy and Practice document addresses the needs of all consultants associated with ALC India. ALC India believes that each individual associated with it is an important change agent for the economically marginalised and can create this change only with a perfect balance of personal and professional life.

This policy is also applicable to all AL Group Entities for FY 2015-16.

1.1. ORGANOGRAM:

1.1.1. To understand the ALC India structure, a simple organogram is given below:

Figure 1: ORGANOGRAM OF ALC INDIA

Level 1	**Shareholders**
Level 2	**Board of Directors (BoD)**
Level 3	**Management Committee (MC)**
Level 4	**Chief Executive officer (CEO)**
Level 5	**Chief Programme Officer (CPO)**

1.2.   GROWTH PATH FOR HUMAN RESOURCES

1.2.1. ALC India Consultant's Growth Path and Designations:

Figure 2: ALC India's Growth Path and Designations

Level 1	**Chief Executive Officer (CEO)** **Chief Programme Officer (CPO)** **Programme Director** **Senior Project Director**
Level 2	**Project Director** **Assistant Project Director** **Senior Project Manager**
Level 3	**Project Manager** **Senior Project Executive** **Project Executive**

1.2.2. Significance of functional designations:

1.2.2.1.   Unit Head: A consultant who has the responsibility of unit viability and operations in a given geography or sector.

1.2.2.2.   Division Head: A division head has the responsibility of looking after their division (Operations/Community/Partner/Initiatives) and is responsible for the viability of their division.

1.2.2.3.   Domain Leader: A consultant who has the responsibility of the viability of his domain. A domain leader can be a consultant having the position of Senior Project Manager (SPM) or above.

1.2.2.4.   Quality Assurer (QA): A consultant who has the responsibility of assuring the quality of all projects. A consultant needs to have the position of Project Manager or above to be a Quality Assurer.

1.2.2.5.   Quality Leader (QL): A consultant who has the responsibility of assuring the quality of the assigned project. A consultant having the position of Senior Project Manager or above can be a Quality Leader.

1.2.2.6.   Team Leader (TL): A consultant who has the responsibility for the viability of the project. The Team leader is selected based on the conditions outlined in the PPM policy.

1.2.2.7. **Project Coordinator (PC):** A consultant who has the responsibility for coordinating with all the project stake-holders. Project Coordinator is selected based on the conditions outlined in the PPM policy.

1.2.2.8. **Accountant:** A consultant who has the responsibility of maintaining and managing the accounts in FMA Domain.

1.2.2.9. **Admin In charge**: A consultant who will be responsible for the administrative requirements of the organisation as per the ALC India Administration and Procurement policy 2015-16.

1.2.3. ALC India Fulltime and Associate:

1.2.3.1. **Fulltime Consultant:** The term fulltime consultant is assigned to anybody who has been given a contract of 3 years.

1.2.3.2. **Associate:** Associate is used to refer to all those who have been issued **'Specific Task Contracts'**.

Figure 3: ALC India's organisational structure
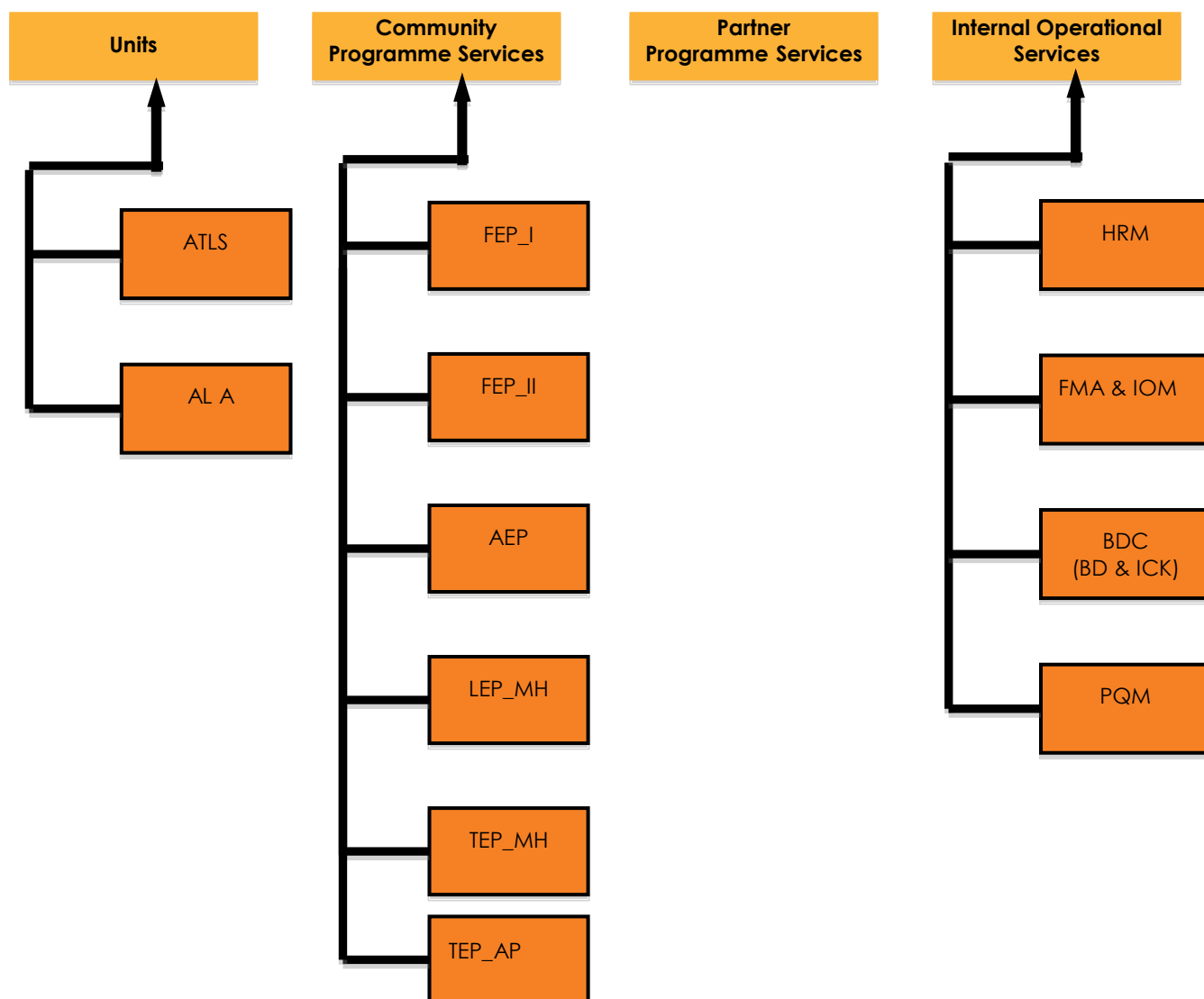
ALC India, Chitrika, Access Livelihoods Development Finance (ALDF) and Access Livelihoods Foundation are all part of the AL Group.

ATLS	Access Tribal Livelihood Services	**TEP**	Tribal Enterprise Programme
ALA	Access Livelihoods Academy	**HRM**	Human Resource Management
FEP	Farmers Enterprise Programme	**IOM**	Institution & Organisation Management
AEP	Artisan Enterprise Programme	**FMA**	Finance Management and Administration
BDC	Business Development & Communication	**BD**	Business Development
LEP	Livelihood Enterprise Programme	**PQM**	Programme Quality Management
ICK	Information Communications and Knowledge Management		

2. RECRUITMENT

2.1.   OBJECTIVE

To identify and recruit suitable talent with the optimum skills and aptitude required for working towards the organisational goal and thus helping the organisation attain continuous and consistent growth towards the mission of ALC India.

2.2.   REQUISITION OF STAFF

This can be initiated at three levels:
- **2.2.1.** Requisition placed by Division Heads/ Project Directors/ Domain Heads/ Team Leaders
- **2.2.2.** Requirement as per the organogram
- **2.2.3.** According to the organisation's annual plan

The requisition should be sent to HRM through mail or in writing and the requisition should be closed within 30 working days from the date of raising it.

2.3.   RECRUITMENT STRATEGY

The recruitment strategy is aimed at engaging consultants who have the necessary skills and commitment to fulfill the work entrusted. The recruiting team should ensure that the persons recruited for technical responsibilities have the required qualification or are working towards such a qualification.

Before the commencement of recruitment, it has to be ensured whether the recruitment is necessary, whether others in the organisation are eligible for the post as well as the details about the recruitment procedure, terms/ conditions and cost of recruitment should be analysed. The following documentation has to be completed before the recruitment process starts:

- **2.3.1.** Placing requisition with HR domain
- **2.3.2.** Job description
- **2.3.3.** Specific conditions/qualities required for the job.
- **2.3.4.** Modes of advertising depending on the level of the consultants required.
- **2.3.5.** To attract the best talents from IRMA, IIMs and IITs, a special package is designed for them. The Special package is given in **Annexure1**.
- **2.3.6.** Couples will not be recruited in the same reporting line.
- **2.3.7.** In project locations, consultants have to reside within 15 km radius from the designated place of posting. In metro areas, consultants have to stay within the city limits.
- **2.3.8.** If a consultant opts out of travelling to the field, there will be a deduction of 25% from the offered package.
- **2.3.9.** Recruitment of women consultant shall be encouraged in AL Group.
- **2.3.10.** Recruitment of differently abled candidate shall be encouraged in AL Group. However, the recruitment process for them will be same as for other candidates.
- **2.3.11.** The staff at project office level should necessarily have a two wheeler. The two wheelers can be pre owned by the individuals or can be bought by them with the help of the subsidy plan given in clause 5.2.10.
- **2.3.12.** Consultants have to submit copy of driving license, insurance policy cover, RC book and pollution check certificate at the time of joining, If applicable.

2.3.13. Candidate with more than 18 years of experience shall be exempted from the routine recruitment process and should directly be interviewed by 2 members of the Management Committee.

2.3.14. There is no lateral entry beyond Project Director level within the AL Group

2.3.15. All recruitments beyond Senior Project Director are Board level recruitments and their appointments can be confirmed only upon approval of the Board of the particular AL Group entity.

2.3.16. Any person recruited within AL Group level entities can be transferred within the group as per requirement.

Standardised Format of CV is illustrated in Annexure 2 at the end of the document.

2.4. CRITERIA FOR RECRUITMENT OF CONSULTANTS

The criteria for recruitment at different levels in AL Group is depicted in Table No 1

Table 1: Table shows the Criteria for Recruitment of Consultants

For Full Time Consultants					
Consultant Designation	**Capabilities**	**Education**	**Relevant Experience* (in Years)**	**Per day Consulting Fees (in Rs.)**	**Total Per month ** (in Rs)**
CEO/CPO	**Skills**: Capable of leading teams, ability to take quick decisions, highly skilled in finance, management, business and communications (written and oral) and effective time management. Should be well-informed and read a lot, is able to engage communities and other clients to take ownership for their work, is a seasoned facilitator of sophisticated and nascent groups **Knowledge**: Designs quality research/ training/ projects/publications/ portals, with reasonable coherence **Values**: Demonstrated congruence between personal and professional values and lifestyle, deeply respected in previous organisations **Expected Deliverables:** Generate minimum business 3 times of his/her cost to the company. Explore new areas for business. Contribution to strategic decision-making. Identify and explore international assignments Identification of independent chairman for the company. Ensure thematic and domain viability of	MBA/Professional Degree Post-Graduation	12 + 15 +	2,400-3,250	73,000-99,000

	the organisation.				
Programme Directors	**Skills**: Capable of leading teams, ability to take quick decisions, highly skilled in finance, management, business and communications (written and oral) and effective time management. Should be well informed and read a lot, is able to engage communities and other clients to take ownership for their work, is a seasoned facilitator of sophisticated and nascent groups. **Knowledge**: Designs quality research/ training/ projects/publications/ portals, with reasonable coherence **Values**: Demonstrated congruence between personal and professional values and lifestyle, deeply respected in the previous organisations **Expected Deliverables:** Generate minimum business 3 times of his/her cost to the company. Explore new areas for business. Contribution to strategic decision-making. Identify and explore international assignments. Identification of board of directors for the company. Ensure high quality delivery in the projects of the company. Ensure thematic and domain viability of the organisation.	MBA/Professional Degree Post-Graduation Graduation	12+ 15+ 18+	2,200-2,800	67,000-85,000
Senior Project Directors	**Skills:** Excellent communication (written & oral) skill. Excellent MS Office skills. Good documentation skill. Efficient coordination, interpersonal and networking skill. Strong analytical skill and ability to use statistical tools; data compilation and presentation skill.	MBA/Professional Degree Post graduation	10+ 12+	2,000-2,500	67,000-76,000

		Graduation	15+		
	Quality delivery of task. **Knowledge:** Good knowledge of livelihood sector in India. Good exposure to the work culture of social development. Strong base of fundamental knowledge on management functions including financial management and project management aspects. Knowledge of multiple languages will be an added advantage. **Ability:** To do multi tasking. To implement & lead designed training/ project/ intervention. To enjoy facilitation of nascent client groups (including community group). To travel minimum 20 days in a month.				
Project Directors	**Skills**: Turns out skilled work independently in all projects, completes work on time, good analytical abilities. **Knowledge**: Knowledge of the sector **Values**: Respected as a professional in the earlier organisations **Expected Deliverables:** Generate minimum business of 2 times of his/her cost to the company. To have an ability to start an entrepreneur on his/her own. Ensure the operation of the projects to optimise profit for the company. Ensure domain viability. **Project specific expectations:** Must have 4 years of on field experience. Ability to lead teams, ability to engage with communities and clients to take ownership for their work. Should be a	MBA/Professional Degree Post Graduation Graduation	8+ 10+ 12+	1,800-2,300	55,000-70,000

	seasoned facilitator of sophisticated and nascent groups				
Assistant Project Director	**Skills**: Turns out delegated and guided work of quality, good communication skills, very enthusiastic, enjoys facilitating nascent client groups (including community groups), implements and can lead designed training/project/intervention well **Knowledge**: Knowledge of the sector **Values**: Respected as a professional in the earlier organisations **Expected Deliverables:** Generate minimum business of 2 (if Domain head) or 1.5 time of his/her cost to the company. Ensure the operation of the projects to optimise profit for the company. Ensure domain (if Domain head) or Individual viability. **Project specific expectations:** Should have minimum 2 years of on field experience. Enjoys facilitation of nascent client groups (including community groups), to implement and lead designed training /project /intervention	MBA/Professional Degree Post- Graduation Graduation	6+ 8+ 10+	1700-2,000	52,000-61,000
Senior Project Manager	**Skills**: Person must have excellent communication (written and verbal) skills. Must be proficient in MS office. Good documentation skills. Efficient coordination, interpersonal and networking skill. Strong analytical and statistical ability to use various tools; data compilation and presentation skill. Should be well versed with the local language **Knowledge:** Good knowledge of	MBA/Professional Degree Post- Graduation	3+ 5+	1,400 - 1,900	43,000-58,000

	livelihood sector in India. Good exposure to the work culture of social development. Strong base of fundamental knowledge of on management functions including financial management and project management aspects. Knowledge of multi language will be an added advantage. **Ability:** To implement and lead designed training/project/intervention. Must be able to do multi tasking. To enjoy facilitation of nascent client group (including community group). To stay in rural are to work at grass root level. Must ensure quality in delivering task	Graduation	8+		
Project Manager	**Skills**: Engages in specific tasks with or without understanding all elements of the work, Is very good at field work, good formatting skills, good at MS Office, very good at engaging communities in task on hand, supports training/project/intervention related tasks with someone else in lead **Knowledge**: Good conceptual clarity on the subjects dealt with during academic career. **Values**: Convergence of individual and organisational goal **Expected Deliverables**: Generate minimum business of 1.5 time of his/her cost to the company. Implement the projects. Ability to work at profit optimisation. Ensure individual viability. **Project specific expectations:** Minimum	MBA/Professional Degree Post-Graduation Graduation	Fresher - 3 yrs 2+ 5+	8,00-1,600	24,000-49,000

	one year on field experience. Supports training/project/intervention related tasks with someone else in lead.				
Senior Project Executive	**Skills**: Provides logistical support; provides desk/field support; manages time well, Good at MS Office, Basic communication skills, on time, quality delivery of delegated tasks **Knowledge**: Good conceptual clarity on the subjects dealt with during academic career **Values**: Sincerity towards the task given. **Expected Deliverables**: Generate minimum business of 1.5 time of his/her cost to the company. Implement the projects. Ensure individual viability. **Project specific expectations:** Some field exposure is expected. Provide field support, manage time well, quality delivery of delegated tasks	MBA/Professional Degree Post -Graduation Graduation	Fresher 1+ 3+	450-900	12,000-27,000
Project Executive	**Skills**: Performs delegated work diligently, provides logistical support, and proactively seeks support of peers and higher authority. **Knowledge**: Basic understanding or prior work exposure on the tasks to be delivered **Values**: Sincerity towards the task given **Expected Deliverables**: Generate minimum business of 1.5 time of his/her cost to the company. Implement the projects. Ensure individual viability.	Graduation	Fresher	200-450	6000 – 13,500

2.5.   PROCESS OF RECRUITMENT FOR FULL TIME CONSULTANTS

The standard procedure followed by ALC India for recruitment of full time consultants and associates is shown in the **Annexure3.** As the recruitment procedure is elaborate and quite exhaustive, the requirement at different levels changes. Considering this fact the recruitment procedure is differentiated based on designations:

Level 1: For SPD and above
The recruitment process will be as given in **Annexure 3.** However, a final approval by the Board of Directors will be required.

Level 2: For PD and below till senior project executive
The recruitment process will be as given in **Annexure 3.**

Level 3: For Project Executives
The recruitment process will have only two steps:

Step 1: Write up/ Aptitude test/ Technical test

Step 2: Interview
The panel for personal interview (for all levels) should consist of two members - reporting authority and HRM domain. They should have at least 2 years of experience in ALC India. If the candidate is being recruited for a specialised skill, a representative of the concerned domain should be one of the panel members.

The selection process should be fair and wherever possible evidence should be recorded for selection or rejection of the candidate for future use. All the candidates will be informed about the status of their recruitment through mail.

2.6.   PROCESS FOR SELECTED FULL TIME CONSULTANTS
2.6.1. HRM domain will provide an offer letter to the selected consultant within a maximum of 5 working days.
2.6.2. The date, place and time of joining will be clearly communicated to the candidate along with all other required documents that the candidate needs to possess or submit prior to joining the organisation.
2.6.3. All the candidates will be provided with a short term contract (STC) for 6 months within six days of joining. They will be on probation for this period. After successful completion of the probation period (it may be extended if the performance is not satisfactory), the consultant will be given a long term full time contract for 3 years.

Standardised Formats of Offer Letter and List of Documents are illustrated in Annexure 4.

Standardised Formats of Short Term Contract and Full-time Long-term Contract are illustrated in Annexure 5 and 6 respectively.

2.7.   INTERNS AND VOLUNTEERS

Students graduating from universities and management institutions from India and abroad will be taken as interns for a period ranging from 2 months to 1 year. Suitable national level and international level premier institutions will be contacted to identify students who are interested in working as interns in the livelihood area. Similarly, volunteers from national and international organisations will be identified to work with ALC India.

The process of selecting interns and volunteers is given in *Annexure 7.*

#	Post	Package
1	**Volunteer**	Project specific expenses of food, travel and stay will be borne by ALC India. Limits for expenses are as specified in the ALC India Administration and procurement Policy.
2	**Interns**	A stipend of Rs.5000-8000 per month will be paid to the interns. Limits for expenses are as specified in the ALC India Administration and Procurement Policy.

2.8.   ASSOCIATES

ALC India associates are resource persons who support the projects/consulting assignments as and when required by ALC India. They are hired on Short Term Contracts for specific projects and programmes. ALC India Associates are classified into two types viz., Full Time Associates and Part Time Associates depending on the duration of contract. The terms and conditions of associates are determined on a case to case based on the requirements of programmes and projects.

The 2 levels Associates are recruited according to the role for which they are hired. The procedure followed by ALC India for recruiting ALC India associates (both full time and part time) is shown in the *Annexure 8*.

Once an individual is selected as an associate, he/ she can be taken into any project as per the requirement of the project, based on the discretion of CEO.

2.9.   COMPENSATION PACKAGE

2.9.1. ALC India Full Time Consultants:

ALC India **Full time** consultants will be offered a payment of 95% of the total fixed fee per month. 5% of the total fixed consulting fee per month is retained as **Exigency Fund**. Every consultant is eligible to get back the **Exigency Fund** only when he/she resigns. The total fund along with the accrued interest **(@12%)** will be paid back at the time of final settlement. Up to **25 %** of the total consulting fee will be kept as variable consulting fee depending on the position and annual increments accruing to the consultant.

A consultant can voluntarily opt out of travelling to the field for a period of time which has to be approved by the CEO. During this period he/she will be paid 25% less than his/her current rate per day

Standardised Formats of Rejection Letter & Recruitment reimbursement are illustrated in Annexure 9 and Annexure 10 respectively.

2.9.2. Special Package:

In some cases, consultants may also be paid a fixed consultancy fee per month after deducting TDS, as applicable. In such cases, variable component, no other allowances, benefits and bonus as mentioned in chapter 5 of the HRM policy will be paid to the consultant. This will be on the discretion of the CEO.

2.9.3. ALC India Associates:

ALC India Associates will be paid consultancy fee for the total number of person days that he/she has worked after deducting TDS, as applicable.

Table 2: Table shows the Criteria for Selection of Associates

Associate Level	Education	Relevant Experience* (in Years)	Consulting Fees Per Day (in Rs.)
1	MBA/Professional Degree Post-Graduation Graduation	12+ 15+ 18+	2,500-6,000
2	MBA/Professional Degree Post-Graduation Graduation	10+ 12+ 15+	2,000-4,000
3	MBA/Professional Degree Post-Graduation Graduation	8+ 10+ 12+	1,800-3,500
4	MBA/Professional Degree Post-Graduation Graduation	6+ 8+ 10+	1,500-3,000
5	MBA/Professional Degree Post-Graduation Graduation	3+ 5+ 8+	1,200-2,500
6	MBA Post-Graduation Graduation	Fresher - 3 yrs 2+ 5+	900-2,200
7	MBA/Professional Degree Post -Graduation Graduation	Fresher 1+ 3+	500-1,500
8	Graduation	Fresher	300-800

3.   INDUCTION AND PROBATION PERIOD

3.1.   INDUCTION

3.1.1. Objective

3.1.1.1.   Make new consultants aware of policies and practices of ALC India.
3.1.1.2.   Make the new consultant aware of his/her role in the organisation.
3.1.1.3.   Get the consultants acquainted with the other consultants who work with him/her.
3.1.1.4.   Make the consultants feel at home and make him/her more comfortable and effective within the organisation.

3.1.2. Procedure

3.1.2.1.   A welcome kit will be given to all the new joinees. The Welcome Kit comprises of a welcome letter, CD, notepad and a pen. The CD will have all the relevant documents of ALC India, which will help the consultant understand the organisation's vision, mission, structure and programmes.
3.1.2.2.   Induction/orientation programme for new joinees: A 6-day programme will be conducted twice a year. New joinees from other units willl also be part of the induction programme.
3.1.2.3.   Along with it, individual probation will continue as usual according to the target sheet.

3.1.3. Methodology

Induction programme will be taken up as follows:

3.1.3.1.   Address note: Chairperson/Director of ALC India
3.1.3.2.   Completion of joining formalities
3.1.3.3.   Orientation to the organisation's policies, procedures, norms and cultures and code of conduct
3.1.3.4.   Introduction to economic development of marginalised communities
3.1.3.5.   Interaction with the CEO and domain heads of various verticals of ALC India

The session plans for induction/orientation programme and formats for the induction plan are provided in ***Annexure 12 and 13*** respectively.

3.2.   PROBATION DEFINED

In ALC India, probation is defined as a guidance and supervision period for the reporting officer to monitor the progress and skills of the newly hired consultant. The reporting officer has the responsibility for providing the probationer with the means and opportunity to demonstrate their ability. This should involve outlining expectations, giving clear instruction, regular constructive feedback and the provision for appropriate development. At the end of the period, the reporting officer will also need to make an

informed decision whether or not to confirm the individual's continued association with the organisation.

3.3.   PERIOD OF PROBATION

All consultants will be on a period of probation for 6 months (inclusive of Sundays but not holidays/leaves) and they will be provided with a Specific Task Contract (STC) accordingly.

The consultants, who successfully complete their probation, will be confirmed as full time consultants. During the six-month probation period, the consultant is eligible for only 3 earned leaves. The consultant will earn 0.5 leave per month.

In case of exceptional performance, the probation period of an individual may be foreclosed based on the recommendation of the respective reporting officer/ domain head.

If the performance of a consultant is not meeting expectations, the period of probation may be extended to another three months (maximum) from the date of expiry of the original period of probation.

3.4.   MANDATORY ASSIGNMENT DURING PROBATION

Every consultant needs to spend at least 1 month (minimum 25 person days in 6 months) in CPS projects, during his/ her probation period. This is to develop better understanding of the sector. For this, they will be assigned a specific task(s), as per the requirement or as deemed fit by the reporting authority.

3.5.   ASSESSMENT DURING THE PROBATION PERIOD

3.5.1. The performance of consultants will be assessed twice during the probation period – after three months and at the end of the probation period.

3.5.2. Although the domain head and other project team leaders will guide the consultant from time to time for better delivery and meeting targets, specific feedback and inputs will be provided to the consultant based on the assessment results. The consultant will be suggested areas of improvement and ways to do so.

3.5.3. To qualify for assessment, consultants will have to undertake mandatory assignment working in the field area during probation for at least 1 month (minimum 25 person days in 6 months).

3.6.   REVIEW DURING PROBATION PERIOD

3.6.1. The performance during the probation period will be reviewed by the reporting officer/domain head and HRM domain head.

3.6.2. The consultant will be assessed on their performance. In the appraisal, the following indicators should be evaluated - initiative, ownership, communication

skills, technical skills, analytical ability and risk taking ability. HRM head will send out the confirmation appraisal forms to the consultant one week before the end of the probation/extended period of probation.

3.7.   PROCEDURE FOR CONFIRMATION/EXTENSION/TERMINATION/RESIGNATION

3.7.1. If the consultant's performance is rated as excellent (more than 90%) in both the assessments, RPD of the consultant may be increased after the probation period.

3.7.2. In case of underperformance (less than 60%), STC may be terminated or probation period may be extended for a further maximum period of three months with a reduction in RPD for the duration.

3.7.3. The assessment sheets have a performance calculator and other qualitative indicators rated by the reporting officer. The format is given in *Annexure 11*. An individual needs to score 60% (cumulative) to successfully complete his/her probation.

3.7.4. On receipt of the completed appraisal form with recommendation for confirmation / extension / termination, the HR domain head shall issue the appropriate letter to the consultants at the end of the probation/extended probation period.

4. PERFORMANCE MANAGEMENT

4.1. OBJECTIVE

4.1.1. The performance management system is aimed at improving the work and skill base of consultants. The assessment is not only about monitoring the work but also enables a learning experience for both the evaluator and the consultant.

4.2. METHODOLOGY FOR PREPARATION OF ANNUAL PLANS

4.2.1. The preparation of annual action plan is a two-way process where organisational, domain and individual plans are evolved in concurrence with each other.

4.2.2. Annual actions plans at the organisational, domain and individual level can be evolved in consultation with the CEO, Division Head and Domain Heads.

4.2.3. The annual action plan for the organisation has to be approved by the board members of ALC India.

4.2.4. The approved individual annual action plan document has to be signed by the concerned consultant and the CEO of ALC India. *Format for the annual plan is provided in Annexure 14.*

4.3. TIMING OF REVIEW

Performance review will be done twice in a year i.e. Half Yearly Review and Annual Review in the first week of October and April respectively. Apart from this, 2 quarterly reviews will   also be done in the months of July and January. The main purpose of these reviews is to assess the support that is required in achieving the annual plan, any revision in the goals, shift in priorities (if any), barriers encountered in achieving the goals and strategies for overcoming these barriers.

4.3.1. The Annual review period will be from 1st April to 31st March of the ensuing year.

4.3.2. The final review score sheets will be released on or before 31st May 2015 and 15th November 2015 for the preceding 6 months. The increment will be applicable from 1st July 2015 to 31st June 2016.

4.4. PERFORMANCE REVIEW SYSTEM

4.4.1. The performance review system guides consultants in self-improvement and also contributes to organisational improvement. Since there are different levels of consultants in the organisation, the review process and indicators will also vary.

4.4.2. Consultant contribution will be assessed against the 4 pillars of the organisation i.e. Financial Targets, Impact, Learning and Growth and Organisational Contribution.

4.4.3. The set weightages are given in the ATP.

4.4.4. The viability indicator will be calculated with different weightage given to each of the components.

4.4.5. Project quality Indicators will be rated by the PQM domain. PQM has its own mechanisms to rate the quality indicators.

Table 3: Performance Review System (Balance Score Card)

	Particulars	Weightage								
		Domain team			Core Team					
		PPS	IOS	CPS	PD	SPD	DPP	DCP	CPO	CEO
A	**Financial**	**50%**	**10%**	**30%**	**20%**	**20%**	**20%**	**20%**	**20%**	**20%**
1	Individual Business Development									
2	Individual Consulting									
B	**Impact**	**25%**	**25%**	**10%**	**30%**	**30%**	**30%**	**30%**	**30%**	**30%**
1	Outreach									
2	Quality Assessment									
3	Programme Expansion									
4	New Initiative									
C	**Learning and Growth**	**15%**	**15%**	**15%**	**10%**	**10%**	**10%**	**10%**	**10%**	**10%**
1	Voluntary work									
2	Knowledge Product Development									
3	Other Domain Contribution									
D	**Organisational Contribution**	**10%**	**50%**	**45%**	**40%**	**40%**	**40%**	**40%**	**40%**	**40%**
1	Domain Internal Operations									
2	Revenue (Turnover)*									
3	Domain/Division Business Development*									
4	Allocated Budget for Domain/ Division									
5	Expenses Vs Revenue Ratio									

Not applicable for operations
Note: Please refer to Annual Target Plan (ATP) for details and individual wise target

4.5.   ASSESSMENT METHODOLOGY

Assessment methodology for each parameter is given below:

4.5.1. Individual consulting: Each consultant has to achieve his/her consulting target given in the annual target plan.

4.5.2. Business development: For every consultant, business generation is a very important task and each consultant is given a specific target which forms the parameter for measurement of their performance. The targets are determined and agreed on, based on the requirements at the organisational level.

4.5.3. Project quality assessment: Every consultant will be rated on the basis of performance in projects - consulting, overhead, and voluntary projects. Individuals will be rated at the end of each project as part of the quality assessment of the project. The assessment score will be aggregated and averaged across the various projects done in the year.

4.5.4. Voluntary work: Each consultant is expected to give 20 days of voluntary work to any organisation. ALC India will bear the HR cost of the consultants. However, other expenses will be borne by the client organisation.

4.5.5. Knowledge product development: Each person has to write one article and it is his/her responsibility to get it published as a research paper or in a newspaper or magazine**.**

4.5.6. Domain overhead compliance: The set of domain overheads are given in the beginning of the year in the annual target plan. 80% of the given domain overheads need to be completed in a year to achieve the minimum compliance for domain overheads.

4.5.7. Other domain contribution: To ensure cross-functional learning of consultants, other domain and programme contribution is mandatory. 10%-20% of consultants' time needs to be given to other domains to achieve compliance.

4.5.8. Apart from the balanced score card, a subjective assessment sheet will also be given to the consultant. It will help the consultants to reflect on their efforts. The sheet is attached in *Annexure 15.*

4.5.9. The performance result will also contain the performance scores of the previous 2 years to understand the improvement in performance.

4.6.   HALF YEARLY REVIEW

4.6.1. The half-yearly review for the financial year will be done at the end of 6 months, in the month of October.

4.6.2. The weightage for the sub parameters of the four indicators will be set for the individuals.

    4.6.2.1.   Viabilities for 6 months
    4.6.2.2.   50% of Annual Target for Business Generation
    4.6.2.3.   10 voluntary days
    4.6.2.4.   50% of domain overhead compliance
    4.6.2.5.   10% of the time to other domain

4.7.   ANNUAL REVIEW

The annual review for the financial year will be conducted at the end of 12 months, in the month of April and May.

4.8. MANAGING UNSATISFACTORY PERFORMANCE

In the instance of the consultant not performing well for a continuous period of 1 year, the following steps shall be taken:

4.8.1. Initial verbal counselling for improving the performance and identifying the gaps for better performance will be done at the end of the half yearly review. The consultant will be given the option to shift or change their domain, to improve performance.

4.8.2. In case of under-performance, a written memo will be sent to the consultant at the end of half yearly review. Consultant has to respond to the memo and a detailed improvement plan (Performance Improvement Programme - PIP) shall be developed and followed rigorously for 6 months.

4.8.3. Further non-performance will attract a demotion or loss of increment depending on the scale of achievement at the end of the year.

4.8.4. If the consultant continues to under-perform for 1.5 years, he/she will be terminated.

4.9. PROMOTION

4.9.1. Promotion eligibility: A consultant is eligible for promotion only after 2 years of service**.** In **exceptional cases,** promotion can be given on the discretion of the CEO.

4.9.2. There are three basic parameters for promotion under the different hierarchical levels of the organisation:

4.9.2.1. Promotion assessment test: ALC India has 12 modules on capacity building. To be eligible for promotion, a consultant should qualify in the tests on the modules, achieving at least 60% marks .The test paper will be designed and administered by HRM. At the end of the financial year, a test of 6 modules will be conducted

4.9.2.2. Annual performance rating: To be eligible for promotion, a consultant should achieve an average score of 80% in performance assessment for two consecutive years.

4.9.2.3. Recommendation by the reporting officer on capability fit for the next level

Table 4: Weightage for different parameters for promotion

Parameters	Weightage (%)
Test on knowledge about ALC India and livelihood programmes	30
Annual performance rating	50
Recommendation	20

4.10. RESIGNATION

4.10.1. All confirmed consultants have to serve a one-month notice period from the date of resignation. They will then be eligible for one month's consulting fee and the experience certificate. If the notice period is not served, the consultant should pay one month consulting fee to obtain the experience certificate and be

eligible for incentives. The amount to be paid by the consultant will be calculated on a pro-rata basis.

4.10.2. The above is suggestive; **notice period can be negotiated** with the reporting officer.

4.10.3. In all cases, once the final clearance is received, the final settlement amount will be paid to the individual within 90 working days. If it is delayed beyond 6months, ALC India will give the consultant an interest on the final amount at the current SBI bank rate.

4.10.4. Exit interviews: The format for the exit interview is in *Annexure 16.*

4.11. SETTLEMENT AMOUNT

The amount for the final settlement will include the following:

4.11.1. Consultancy charges balance if any

4.11.2. Pending Incentives/ disincentives

4.11.3. Unpaid reimbursements/ advances

4.11.4. Savings along with interest till date

4.11.5. Loan outstanding if any (Principle and Interest)

4.11.6. Any other amount pending against the individual

4.12. DOCUMENTS/ MATERIALS TO BE SUBMITTED BY INDIVIDUAL

4.12.1. Folders/ documents/ files (soft copies from computer) related to ALC India

4.12.2. ID cards, visiting cards, any other

4.12.3. Reports, books or any other material borrowed from the library

4.12.4. No dues certificate from all the other domains to FMA – this is a prerequisite for making the final payment and issuing the experience certificate

4.13. DOCUMENTS TO BE GIVEN TO THE INDIVIDUAL

At the time of relieving, the individual will be handed over the following documents.

4.13.1. Pay Check (Unless it's an Account Transfer)

4.13.2. Statement of Settlement

4.13.3. Relieving Letter

4.13.4. Experience Letter

Standardised format of the Final Settlement Form, Pro-forma of Resignation and Relieving Letter is part of Annexure 17, 18 &19 respectively.

4.14. TERMINATION AND IT'S PROCEDURE

4.14.1. Absence of consultant without prior information for more than 3 days will be treated as automatic resignation by the consultant and STC/ contract will be terminated.

4.14.2. Termination can also be based on disciplinary grounds. The actionable points and process can be found in the administration and procurement policy.

4.14.3. Lack of required performance after more than 3 written warnings about lack of performance will warrant termination of any consultant.

4.14.4. If the performance is not found satisfactory during probation and the reporting officer wants to terminate the STC, he/she shall state the reasons for the same in

the appraisal form and obtain the concurrence of the Domain head (In case, he/she is not the same) and then send it to the HRM head for necessary action.

4.14.5. On receipt of the completed appraisal form with recommendation for termination, the HRM Head shall issue the appropriate letter to the individual.

4.14.6. All recommendations for termination shall be done in consultation with the Domain head and CEO.

4.14.7. In case ALC India decides to terminate the consultant, it will give notice to the consultant as mentioned in HR policy 4.10.1 and 4.10.2. In the instance of ALC India terminating any contract without giving notice, the consultant will be paid as per his/ her consultancy rates for the forgone days.

4.14.8. The exception for 4.14.7 will be termination on the grounds of poor performance, indiscipline, misconduct, fraud, theft, willful violation of the organisation's rules, lack of improvement after the final quality warning, and absence without prior notice (as mentioned in 4.14.1). In these cases, consultants will not be eligible for consultancy fee for the month in question, incentives, savings contribution of ALC India and allowances from ALC India.

5. PAID OFFS AND BENEFITS

5.1.   PAID OFFS

5.1.1. General rules of paid offs & benefits

5.1.1.1.   It is not necessary that paid offs/benefits will be sanctioned compulsorily to consultants, although he/she is having paid offs/benefits in balance. Sanction/refusal of paid offs/benefits will depend on the discretion of the reporting officer, domain head, division head and CEO keeping in view the exigency of work.

5.1.1.2.   Consultants should proceed on paid offs/benefits only after getting the sanction of the reporting authority.

5.1.1.3.   Consultants should inform the head of administration before proceeding for the paid offs/benefits.

5.1.1.4.   Consultants are required to report on duty immediately after the completion of the sanctioned paid offs/benefits. In case of emergency, if paid offs/benefits are to be extended, then the consultants should communicate it immediately over the phone to the reporting officer and the head of administration.

5.1.1.5.   In case of paid offs, a minimum of half day (0.5) can be availed.

5.1.1.6.   During the notice period, none of the eligible paid offs/benefits except compensatory off can be availed.

5.1.2. Overview of paid offs & benefits:

Table 2: Particulars of paid offs & benefits that can be availed during a financial year

#	Particulars	Consultant who work 6 days a week	Consultant who work 5 days a week#
1	Sundays	All Sundays	**All Sundays**
2	Saturdays	12 Saturdays	**All Saturdays unpaid**
3	National Holidays	3	**3**
4	Paid Offs	15 days per year	**12 days per year**
a	Casual	12	9
b	Anniversary	1	1
C	Festival	2	**2**
5	Mandatory Vacation	6 days after completion of 6 months of work	**5 days after completion of 6 months**
6	Maternity/Paternity Benefit	3 Months/6 Days	**3 Months/6 Days**
7	**Special Leaves**	**12 days**	12 days

#special approval from CEO only, as mentioned in HRM policy 5.2.12.

The details of the particulars are as follows:

5.1.2.1.   **Sundays:** All **S**undays will be paid non-working days.

5.1.2.2.   **Saturdays**: Every second Saturday in a month will be a paid holiday for consultants working 6 days in a week.

5.1.2.3. **National Holidays:** Republic Day, Independence Day and Gandhi Jayanti are paid holidays for all consultants.

5.1.2.4. **Paid Offs (PO):** Paid days off are divided into three parts: Casual, Anniversary and Festival. Unavailed paid days off of a particular financial year cannot be carried forward to the following year(s). Paid days off cannot be encashed. A consultant who works 5 days a week can avail only 12 Paid days off.

5.1.2.4.1. **Paid Days Off-Casual**: A total of 12 days off - casual can be availed in a financial year. This should not exceed more than 3 days in a row. Paid days off–casual is an earned benefit. Consultants who work 6 days a week earn 1 leave per month. Consultants who work 5 days a week earn 0.75 leave per month. A consultant has to give 3-day notice for paid off-casual. In case of sickness, he/she can take paid off by applying on the same day.

5.1.2.4.2. **Paid Days Off-Anniversary**: Consultants can avail 1 Anniversary leave in a year. The date has to be intimated to HRM domain at the beginning of the year by the consultants who want to avail this leave.

5.1.2.4.3. **Paid Days Off-Festivals**: A consultant can take 2 days off for any festival(s) during the year. The two days off can be taken together or for two different festivals at different times during the year. The consultant has to intimate HRM domain the festivals for which they want to avail leave.

5.1.2.5. Maternity Benefit

Eligibility
All women consultants, irrespective of marital status, who have worked for a minimum of 80 days in the 12 months preceding their date of delivery, are eligible for maternity benefits under the Maternity Act.

Benefits
Under this benefit, women consultants can avail leave for twelve weeks out of which six weeks can be prior to child's birth and the rest post-delivery. In case of complications entitlement could be stretched for a month and a half depending on the doctor's advice. On returning to work from maternity leave, the consultant will be paid the consultancy rate that was last drawn by her before going on Maternity Leave.

Procedure
To avail the benefits, medical documents along with prescription have to be submitted to HR and Form B has to be submitted on or before the start of maternity leave. In addition to this, as advised by the doctor, leave without pay can be availed.

Entitlement
Maternity leave can be availed twice during the service. If the consultant is required to extend her leave period further on account of post-natal complications, she needs to intimate the CEO and domain head. Consultants, who have been associated with ALC India for more than three years, can extend

their leave for up to 12 months (unpaid) on approval of the CEO. The consultant has to give prior notice of 2 months.

5.1.2.6. Paternity benefit

Paternity benefit of 6-day leave is provided to male consultants. This benefit can be taken at stretch or in two phases. A consultant can avail paternity benefit twice during his service.

5.1.2.7. Special Leave:

The consultants can avail 6 days paid leave due to death of immediate family members (father/mother/siblings/children/spouse) and for their own or children's marriage. Consultants also have the option of availing 15 days as unpaid leave for their own marriage/ children's marriage/ death of family members. This facility is applicable to those who have completed the probation period of 6 months.

5.1.3. Sabbatical:

ALC India provides consultants with the opportunity of taking an unpaid sabbatical for pursuing higher education or research. **The consultant should have worked at ALC India for a minimum of 7 years to avail this benefit**. The sabbatical will be approved as per the CEO's discretion. The request for sabbatical should be submitted at least 6 months in advance. The sabbatical can be taken for a maximum of 1 year.

5.1.4. Unpaid Off
5.1.4.1.   A consultant who has no other paid offs/mandatory vacation to his/her credit may be sanctioned as unpaid off.
5.1.4.2.   A consultant is eligible for only 5 unpaid days off in an year.
5.1.4.3.   A consultant who has been with ALC India for more than 3 years can avail unpaid off for upto 10 days in an year, with due approval from their division head.

5.1.5. Long Leave Policy
5.1.5.1.   In order to ensure the proper functioning of a domain, no two members of the same domain can go on leave for more than 5 days at the same point of time.
5.1.5.2.   Leave for more than 5 days needs to be intimated to the reporting authority, one month prior to the date of leave.
5.1.5.3.   Any leave of more than 15 days needs to be approved by CEO.

5.2.   BENEFITS

5.2.1. Laptop Allowance

Consultants will be given a laptop allowance of Rs. 6,000 (Rupees Six Thousand only) or 25% of the value of laptop purchased, whichever is less. This will be given towards the purchase of a laptop upon joining ALC India. The remaining amount will be given as a short-term loan, if required and requested. In the instance of the consultant leaving the organisation before one year, the money will be deducted in the final settlement. The incentive of Rs. 6,000 will be given once in three years. A yearly lump sum amount of Rs. 1000 per year will be provided to each consultant towards laptop maintenance

allowance. Besides laptop allowance, the consultant will be given laptop battery allowance of Rs. 5000 or actual, whichever is less.

Note: For project executives, the laptop allowance will be Rs. 10,000 (Rs Ten Thousand Only)

5.2.2. Mobile Allowance

Each consultant will be given a monthly mobile reimbursement of Rs. 500 upon submission of bill payment receipt. Any claim beyond Rs. 500 should be approved by the team leader and domain leader. If he/she doesn't give bills, tax will be deducted and the amount will be paid.

5.2.3. Internet Allowance

Consultants will be provided a one-time amount of Rs. 1,500 towards purchase of mobile internet device upon submission of photocopy of the original bill. A monthly internet allowance of Rs. 350 will be paid towards mobile internet upon submission of bill payment receipt.

5.2.4. Temporary Relocation Allowance

If a consultant stays for a period of one to six months in the field, he/she will be given a temporary relocation allowance of Rs. 3,500 per month

5.2.5. Special Incentive

A special incentive of Rs. 2,00,000 (Rs Two Lakhs Only) will be given to consultants who have worked with ALC India for five years without a break. This incentive will be given in two instalments:
Rs 1 Lakh will be given on completion of the 3rd year (excluding unpaid off)
Rs.1 Lakh will be given on completion of the 5th year (excluding unpaid off)

These incentives will be transferred to the consultant's exigency fund.

At the end of the 8th year, consultants will be rewarded with a vacation in designated South-East Asian countries. This will cover to and fro travel by Air and hotel stay for a family of four for 3 days and 2 nights. Alternatively, consultants can avail Rs 1.5 lakh as incentive, of which Rs 1 lakh will be given in cash and Rs 50,000 will be added to the consultant exigency fund.

5.2.6. Performance Bonus

Based on the half-yearly assessment rating, all consultants are entitled to a performance bonus up to 25% of the total annual consulting fee. This percentage will be notified at the beginning of the year. In exceptional cases, the percentage can also be higher than the notified percentage. Assessment will be done only in the month of October and April irrespective of the joining date of the consultant. Any consultant who has completed a minimum of three months of work in a 6-month period will be eligible for assessment. The assessment will not include the performance in the probationary period. A consultant can get the bonus based on his/her performance score as per the balance scorecard. The bands and incentive are as follows:

Band	Score	Incentive (Rs.)
Band I	>110%	25% of the pay
Band II	100-110%	15% of the pay
Band III	90-99%	10 % of the pay
Band IV	85-89%	5% of the pay

5.2.7. Special Bonus

Based on the organisational performance and upon CEO discretion, a consultant can get upto Rs. 5000 annually on January 26th of every year.

5.2.8. Special Benefit for Consultants

A consultant is eligible for the benefit of working 5 days a week at the sole discretion of the CEO. This applies only to those consultants who have children aged below 10. The additional leave will be unpaid and one vacation leave will also be reduced.

5.2.9. Counselling Service

ALC India provides the services of a counsellor for its consultants. The counsellor will be available for 2 days in a month. The consultant is required to take prior appointment for counselling.

5.2.10. Vehicle Subsidy Plan:

It is mandatory for project office level staff in community programme services to have a 2 wheeler. This vehicle can be pre-owned by the individual or can be bought by them using the subsidy plan given by ALC India. The subsidy will be given at the beginning of the year and If the person leaves during the year, the subsidy for that particular year will be taken back and adjusted during the financial settlement. The papers of the vehicle will be given to the individual only after the number of years stipulated by him for the subsidy plan.

The subsidy based on the number of years is given below:

Subsidy plan for 2 wheelers					
Cost of the vehicle (Rs)	50,000				
Number of years	1	2	3	4	5
Subsidy	10,000	10,000	10,000	10,000	10,000

5.2.11. Other facilities to consultants in project area:

The consultants, working in project area/ field for more than 6 months, will be provided with basic amenities like raincoat/ umbrella, helmet, and additional facilities, as proposed by the respective division heads. These will be provided for project work only and should be returned to the project area in-charge at the time of leaving the project area or ALC India. The consultant is responsible for replace any lost or damaged items.

6. DEPUTATION SERVICES

6.1. OBJECTIVE

The objective of deputation services practice in ALC India is to help external organisations attain a goal by deputing consultants in the organisations to give subject matter specific consulting for a specific period. He/she is treated as the authorised representative of ALC India to the deputed organisation. Appointing a person to represent ALC India at an external organisation to accomplish an identified task is defined as deputation.

6.2. SELECTION CRITERIA

If the skill of the consultant matches the deliverables of the assignment, then the consultant is placed in the external organisation that is seeking the deputation services. If the consultant is currently working with ALC India, then he/ she is deputed directly after basic understanding of the deliverables of the deputation. If the consultant is recently recruited, then he/she gets inducted to ALC India and then deputed to the external organisation.

6.3. BUDGET

This is a paid service given by ALC India where cost of the consultant (Including human resource cost, administration cost and other incidental costs) is borne by the organisation where he/she is posted for a specific period.

6.4. DURATION

The assignments may vary from a continuous period of 6 months to 3 years.

6.5. LOCATION

The organisations where ALC India consultants are deputed can be district level, state level, national level or international level organisations.

6.6. TYPE OF AGENCY

The agencies where consultants are deputed may be government agencies, non-government agencies, CSR departments of corporate organisations, foundations, funding agencies or any other clients.

6.7. GUIDELINES

During the deputation period, the consultants will be guided by the norms of HRM policy of ALC India and the budget in the MOU will provide the guidelines for the financial management of the project.

6.8. REPORTING OFFICER

The deputed consultants will report to the staff of the organisation where they are deputed and will also report to the team leader of the deputation services in the respective domain.

6.9.   PERFORMANCE APPRAISAL

Since the performance appraisal system of ALC India cannot be implemented for the deputed consultants, customised templates will be designed for their performance appraisal.

7. VOLUNTEER

7.1. PHILOSOPHY

Volunteering is the practice of people working on behalf of others or for a particular cause without payment for their time and services. Volunteering is generally considered an altruistic activity, intended to promote good or improve human quality of life, but people also volunteer for their own skill development, to meet others and make contacts for the self and organisation growth.

7.2. OBJECTIVE

The purpose of including volunteerism in ALC India's policy is to assist organisations on issues/projects requiring professional advice or to participate in workshop/ seminars/ symposiums. Consultants should volunteer primarily at agencies that do not have the capacity to afford the cost of external professional expertise. The agencies can be cooperatives, networks of civil societies, and small and medium scale social development organisations.

The volunteering should be skill-based, meaning that the consultant should be trained in the particular area of expertise that they are volunteering to the organisation. It needs to be in the domain to which the consultant belongs.

Note: A consultant can also do voluntary work in a specific interest area with the prior approval of the domain head and CEO.

7.3. GUIDELINES

7.3.1. Except for the human resource cost, other costs will be borne by the client. Other Costs include long distance travel, local conveyance, boarding and lodging.

7.3.2. All ALC India consultants should volunteer for 20 work-days in an year

7.3.3. Finding an agency for voluntary service is the sole responsibility of the consultant.

7.3.4. The consultant planning for voluntary service should get the ToR from the respective organisation and submit it to the domain head before the monthly meeting

7.3.5. The domain head has to verify whether the ToR meets the objectives of Volunteerism of ALC India. The domain head also needs to ensure that the consultant has no other major commitments during the specified period

7.3.6. Only after approval of the Domain head, the consultant can proceed further for voluntary service.

8. FELLOWSHIP

8.1. OBJECTIVE

ALC India has observed that there are individuals who have an inclination towards working for the marginalised, but are unable to find meaningful avenues to do so because they do not have relevant experience or are fresh graduates (other than social sciences or rural management).

It has also been noticed that dedicated workers in the development sector get limited to small scale due to lack of skills required for managing diversified and large scale interventions. Despite their extensive work experience and in-depth knowledge in development, they are not able to participate at a strategic level due to lack of skills.

In this context, ALC India is initiating a fellowship to give such individuals a chance to gain experience as well as refine their skills.

8.2. GENERAL GUIDELINES

8.2.1. The fellowship will be provided to individuals, who have been working on or have a desire to work on livelihoods for the marginalised.

8.2.2. The fellowship will require these individuals to get involved in the existing assignments of ALC India to learn/ refine required skills and gain experience in improving the livelihoods of the marginalised.

8.2.3. The fellowship will be granted originally for one year and may be renewed for a further year.

8.2.4. After completion of 2 years and based on performance assessment (> 90% balance score), ALC India will support these candidates in getting placed in relevant organisations.

8.2.5. In case of excellent performance, as reflected in the performance assessment, these candidates can be offered a long-term consultancy contract with ALC India.

8.2.6. The fellowship will offer a stipend equal to 60% of the consultancy rate offered to a person with the same years of experience but in a relevant sector.

8.2.7. 20% of the fellowships will be offered to differently abled/transgender/other communities as identified by ALC India.

8.2.8. 30% of fellowships will be offered only to women.

8.3. ASSIGNMENT FOR FELLOWSHIP

Since the purpose of the fellowship is to refine skills and gain relevant experience, the specific assignment for the candidates will be designed based on the following parameters –

8.3.1. Experience and interest of the candidate

8.3.2. Existing and future requirements in the assignments at ALC India

8.3.3. ALC India's Initiatives and Innovation (On the discretion of the CEO)

8.4. ELIGIBILITY CRITERIA
Applicant should:

8.4.1. Be an Indian national and have an experience of
  - 5-6 years of working on the livelihoods of the marginalised community with any NGO.

Or
- o 1-2 years of working in rural development with a management degree from an institute of repute.
  Or
- o 5-6 years of working in organisations outside the development sector.

8.4.2. The candidates need to have a minimum of a bachelor's degree from a recognised Indian university with 55% aggregate.

8.5.   PROCESS OF APPLICATION

Stage 1: Interested Candidates should send the following documents along with the application form (online/post) to hr@alcindia.org or HRM Domain:

1. CV
2. An essay answering the following questions -
   - ▪ Why do they want to work for the marginalised?
   - ▪ How can they help the marginalised?
3. Letter of Recommendation: Applicants have to provide a letter of recommendation

Stage 2: The HRM domain and IOS division head of ALC India will review the CV and essay. A preliminary screening of CV and essay will be used to shortlist the candidates for further process. Shortlisted candidates will be invited to attend an interview.

Stage 3: The shortlisted candidates will be required to fill the advance application form. The   advance application form will explore in detail their interest in working for the development of the marginalised. This stage can be skipped for the candidates who work in the development sector. They will be directly advanced to stage 4.

Stage 4: a 3-member team drawing from PQM, FMA and PPS division will conduct the first round of interview

Stage 5: 2 members from the management committee will conduct the final interview.

Stage 6: The management committee will decide on the suitability of the candidate for the fellowship and the stipend to be offered. The HRM Domain will convey the decision to the applicant. All decisions of the management committee will be final and will not be open for review.

8.6.   PERFORMANCE REVIEW

The performance of the fellows will be reviewed using the same performance review system that is used for all the consultants of ALC India.

Based on the performance review scorecard, the fellowship may be extended by one more year. The management committee will take the final decision in this regard.

9. GRIEVANCE REDRESSAL MECHANISM

9.1.   OBJECTIVE

To create a work environment that is free of hostility and which propagates a free and open thought process, encourages growth and harmony free from the encumbrance of force.

9.2.   OPERATIVE AUTHORITY

Any complaint related to non-compliance to procedures, misappropriate use of funds, and indiscipline should be conveyed to the reporting officer of the individual against whom the compliant is made. If the issue is not resolved, the complaint can be escalated in the order given below, starting with HR:

- **9.2.1.** HR
- **9.2.2.** HRM Domain Head
- **9.2.3.** IOS Head
- **9.2.4.** Management (depending upon the severity)

An open session will be held once in every month to hear and address the grievances of the consultants.

9.3.   OPERATING PROCESS

All complaints received by HR from any aggrieved individual/department will be acted upon with immediate effect.

While it is not viable to quote a precise time by which a complaint should be addressed, it is advised that any person handling a complaint/grievance will act using common sense and prudence, understanding the gravity/urgency of the complaint.

Any complaint received by HR, should be addressed within a maximum period of seven working days. If the complaint has been received from a domain, it will be addressed with the assistance of the head of the complaining domain. And the solution will be communicated to the domain head and not directly to the team members.

If the complaint is from an individual, then the complaint can be made directly to HR. HR should then inform the domain head(s) of all the consultants, those making the complaint and those against whom the complaint is made. HR will conduct a proper analysis and research the complaint and present the findings to the concerned domain head (s), prior to arriving at any decision or solution.

Any decision(s) that are taken in response to a complaint from an individual has to be in cooperation and consultation with the domain head(s).

Note: If the consultant who is complaining, is of the opinion that the complaint should not be addressed to his/her domain head, or if the domain head is directly or indirectly, a part of the complaint, then the HR Head handling the complaint need not involve the domain head, and the domain head should not be a part of the solution.

A consultant who is aggrieved by a decision or who feels that the decision was prejudiced can directly approach the CEO.

If there is a conflict in the final decision on any grievance between the HR head and domain head, then the final decision will be made by the CEO.

Note: Under normal working conditions, a consultant who has a job-related problem, question or complaint should first discuss it with their immediate superior. If the consultant and the immediate senior cannot solve the problem, ALC India encourages the consultant to escalate the issue upwards in the management hierarchy until the problem is resolved.

10. ANTI - SEXUAL HARASSMENT POLICY

10.1. OBJECTIVE

ALC India is an equal opportunity employment provider. It does not discriminate its full time consultants/associates on the grounds of gender. ALC India believes in providing a non-hostile, safe working environment to all its consultants especially to its female consultants.

ALC India will not tolerate or allow any sexual harassment by any colleague/co-worker, client/customer or any other person that the consultant may come in contact with during the course of their work with the organisation.

10.2. ALC INDIA'S RESPONSIBILITY

ALC India constantly strives for the welfare of its consultants. It does not tolerate any kind of harassment of its consultants within the organisation and expressly prohibits sexual harassment. The consultants are made aware of the organisation's anti-sexual harassment policy at regular intervals.

10.3. WHAT IS SEXUAL HARASSMENT?

Any unwelcome behaviour with sexual undertones which has been directed against a person either directly or indirectly. The unwelcome behaviour could be in the form of:
- Unwelcome sexual advances, requests or demand for sexual favours, either explicitly or implicitly, in return for employment, promotion, examination or evaluation of a person towards any company activity;
- Unwelcome sexual advances involving verbal, non-verbal, or physical conduct such as sexually coloured remarks, jokes, letters, phone calls, e-mail, gestures, showing of pornography, lurid stares, physical contact or molestation, stalking, sounds, display of pictures, signs, verbal or non-verbal communication which offends the individual's sensibilities and affect her/his performance;
- Eve teasing, innuendos and taunts, physical confinement against one's will and likely to intrude upon one's privacy;
- Act or conduct by a person in authority that makes the environment at the workplace hostile or intimidating;

10.4. COMPLAINT REDRESSAL COMMITTEE

A 3-member team headed by a Woman Consultant will be constituted by the Management Committee. All the three members need to be present for the proceedings to start. The committee will be appointed on a case to case basis.

10.5. REDRESSAL PROCESS

10.5.1. Any consultant who feels he/she is being sexually harassed directly or indirectly may submit a complaint of the alleged incident to any member of the Committee in writing with his/her signature or email from his/her official account within 10 days of occurrence of the incident.

10.5.2. The Committee will hold a meeting with the Complainant within 2 days of the receipt of the complaint, but no later than a week under any circumstances.

10.5.3. At the first meeting, the Committee members will hear the complainant and record her/his allegations.

10.5.4. Thereafter, the person against whom the complaint is made may be called before the Committee and an opportunity will be given to him / her to give an explanation, following which, an "Enquiry" shall be conducted.

10.5.5. In case the complaint is found to be false, the Complainant will be liable for appropriate disciplinary action by the Management.

10.6.   ENQUIRY PROCESS

10.6.1. The Committee shall immediately proceed with the enquiry and communicate the same to the Complainant and person against whom complaint is made.

10.6.2. The Committee shall prepare and hand over the Statement of Allegation to the person against whom the complaint is made and give him / her an opportunity to submit a written explanation if she / he so desires within 7 days of receipt of the same.

10.6.3. The Complainant shall be provided with a copy of the written explanation submitted by the person against whom complaint is made.

10.6.4. If the Complainant or the person against whom complaint is made desires any witness to be called, they shall communicate in writing to the Committee the names of witnesses whom they propose to call. The Committee shall call upon all witnesses mentioned by both the parties.

10.6.5. The Committee shall provide every reasonable opportunity to the Complainant and to the person against whom complaint is made, for putting forward and defending their respective case.

10.6.6. The Committee shall complete the "Enquiry" within a reasonable period but not beyond three months and communicate its findings and its recommendations for action to the CEO.

10.6.7. The report of the committee shall be treated as an enquiry report. Any person who is employed with ALC India, and is found guilty of sexual harassment levied by any consultant of the organisation, shall be tried and awarded appropriate disciplinary action which the sexual harassment redressal committee deems fit.

10.6.8. In case the Committee finds the degree of offence coverable under the Indian Penal Code, then this fact shall be mentioned in its report and appropriate action shall be initiated by the management, for making a police complaint.

11. WHISTLE BLOWER POLICY

11.1. OBJECTIVE

ALC India carries out all activities in ethical, highly professional and acceptable code of conduct. It strongly denounces paying bribes, fraudulent transactions and misconduct in undertaking activities related to ALC India and other stakeholders. It also maintains transparency in every transaction and activity and promotes disclosure of financial as well as programmatic details.

ALC India is committed to developing a culture where it is safe for all stakeholders to raise concerns about unethical and unacceptable practices and any event of misconduct or fraud. The purpose of this policy is to provide a framework to promote responsible and secure whistle blowing. It protects consultants wishing to raise a concern about serious irregularities within the Company.

11.2. DEFINITION

11.2.1. Protected Disclosure means a concern raised by a written communication made in good faith that discloses or demonstrates information that may evidence unethical or improper activity.
11.2.2. A Whistle Blower is someone who makes a Protected Disclosure under this Policy.
11.2.3. Ombudsperson will be a Non-Executive Director for the purpose of receiving all complaints under this Policy and ensuring appropriate action. The Board of Directors will appoint this Ombudsperson and will have the authority to change the Ombudsperson from time to time.

11.3. GUIDING PRINCIPLES

11.3.1. Ensure that the Whistle Blower and/or the person processing the Protected Disclosure is not victimised for doing so.
11.3.2. Treat victimisation as a serious matter including initiating disciplinary action on such person(s).
11.3.3. Ensure complete confidentiality.
11.3.4. Not attempt to conceal evidence of the Protected Disclosure.
11.3.5. Take disciplinary action, if any one destroys or conceals evidence of the Protected Disclosure made/to be made.
11.3.6. Provide an opportunity of being heard to the persons involved especially to the Subject;

11.4. COVERAGE

The Policy covers malpractices and events that have taken place/ suspected to have taken place involving:

11.4.1. Financial irregularities, including fraud, or suspected fraud
11.4.2. Criminal offence
11.4.3. Deliberate violation of law/regulation
11.4.4. Wastage/misappropriation of company funds/assets
11.4.5. Abuse of authority
11.4.6. Gross Misconduct
11.4.7. Breach of contract

11.4.8. Manipulation of company data/records

11.4.9. Sexual Harassment

11.4.10.   Breach of employee Code of Conduct or Rules

11.4.11.   Any other unethical, biased, favoured, imprudent event

11.5.   DISQUALIFICATIONS

11.5.1. While it will be ensured that genuine Whistle Blowers are accorded complete protection from any kind of unfair treatment as herein set out, any abuse of this protection will warrant disciplinary action.

11.5.2. Protection under this Policy would not mean protection from disciplinary action arising out of false or bogus allegations made by a Whistle Blower knowing it to be false or bogus or with a mala fide intention.

11.6.   PROCEDURE FOR PROTECTED DISCLOSURE

11.6.1. Consultant shall make Protected Disclosure to Ombudsperson by putting her/his name to allegations, as soon as possible but not later than 30 consecutive days after becoming aware of the same. Concerns expressed anonymously WILL NOT BE investigated.

11.6.2. If initial enquiries by the Ombudsperson indicate that the concern has no basis, or it is not a matter to be pursued under this policy, it may be dismissed at this stage and the decision is documented.

11.6.3. Where initial enquiries indicate that further investigation is necessary, this will be carried through either by the Ombudsperson alone, or by a Whistle Officer/Committee nominated by the Ombudsperson for this purpose. The investigation would be conducted in a fair manner, as a neutral fact-finding process and without presumption of guilt. A written report of the findings should be made.

11.6.4. Name of the Whistle Blower shall not be disclosed to the Whistle Officer/Committee.

11.6.5. The Whistle Officer/Committee shall finalise and submit the report to the Ombudsperson within 15 days of being nominated/ appointed.

11.6.6. In exceptional cases, where the Whistle Blower is not satisfied with the outcome of the investigation and the decision, he(she) can make a direct appeal to the Chairman of the Audit Committee.

11.7.   PROTECTION

11.7.1. The identity of the Whistle Blower shall be kept confidential.

11.7.2. Any other consultant assisting in the said investigation or furnishing evidence shall also be protected to the same extent as the Whistle Blower.

11.7.3. No unfair treatment will be meted out to a Whistle Blower by virtue of his/her having reported a Protected Disclosure under this Policy.

11.7.4. Complete protection will, therefore, be given to Whistle Blower against any unfair practice like retaliation, threat or intimidation of termination/suspension of service, disciplinary action, transfer, demotion, refusal of promotion, discrimination, any type of harassment, biased behaviour or the like including any direct or indirect use of authority to obstruct the Whistle Blower's right to continue to perform his duties/functions including making further Protected Disclosure.

11.7.5. The Company will take steps to minimise difficulties, which the Whistle Blower may experience as a result of making the Protected Disclosure.

11.7.6. Thus, if the Whistle Blower is required to give evidence in criminal or disciplinary proceedings, the company will arrange for the Whistle Blower to receive advice about the procedure, etc.

11.8.   **REPORTING**

A quarterly report with the number of complaints received under the policy and their outcome shall be placed before the Audit Committee and the Board.

12. CAPACITY BUILDING

Though training or capacity building can be expensive, it has a very positive effect in the long run. It helps in motivating and retaining potential consultants over a period of time.

Capacity building for ALC India consultants is categorised on the basis of experience and knowledge in the relevant field. Details of the capacity building programmes can be found on the following page.

#	Capacity Building Opportunities	Criteria for Eligibility	Duration & Periodicity	Program Design	Terms and Conditions
1	Induction Programs	All new recruits	3 days initially upon recruitment	a. Understand organisation culture b. Understand organisation vision and mission	Open for everyone
2	Consultant Engagement Programs	All ALC India Consultants	5 Days Per Year	a. 2 days Retreat b. Family Get Together c. 1 day Picnic d. 1 Movie	Open for everyone
3	Consultant Training I	Consultants completing Probation	3 days per year	a. Design based on Needs Assessment b. Conducted in Q3 c. Exposure Visit	Consultants completing probation period successfully
4	Soft Skill Training	Consultants completing Probation	1day per year	a. Soft Skills b. Time Management c. Leadership	Consultants completing probation period successfully
5	Staff Training II	Consultants completing Probation	a. Up to Maximum 7 Days b. Once Every Year	a. EDP or MDPs of Recognised & Well Known Institutes	a. Consultants completing probation period successfully b. Cost Sharing 60:40 - ALC India: Consultant
6	International Volunteering	Program directors/CEO/ CPO	a. Up to Maximum 2 Months b. Once in Every 2 Years	a. International Volunteering - Outside India b. Initiative of the Individual c. Processing Support by ALC India d. Purely on Economic Development Programs	a. Open to only programme directors, CPO and CEO b. Salary Equivalent to 1/4th Stay Period to be Paid
7	Workshops	Senior Consultants	2-3 days	a. Workshop on HR, Project, Finance Management b. Processing support by ALC India	a. Open only to Senior Consultants b. Cost Sharing 70:30 - ALC India: Consultant
8	Staff Training (Direct Outreach)	Staff of Project office	3 days	a. Training will be given on procurement, linkages, fund raising, mobilisation, FPO b. Training will be given in 4-6 phases	Consultants completing probation period successfully

Policy and Practice
Finance Management
2015-16

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana – 500009
Phone: (040) 27891147/40177321, Email: info@alcindia.org, Web:
www.alcindia.org

Table of content

List of Annexures

1   Introduction

1.1 Objective:

The policy aims to achieve the following objective:

1.1.1 To manage and optimise the financial resources of the organisation in a reasonable manner with the following steps:

1.1.1.1 Financial Planning

1.1.1.2 Financial Organising

1.1.1.3 Financial Management

1.2   Scope

This policy will be applicable to AL Group Entities, ALC India-Central office, Unit Office, Project office.

1.3 General guidelines:

The following general guidelines will apply to all documents subject to review for financial concurrence:

1.3.1 Conformity with the legal and financial framework as per the Indian companies Act 1956.

1.3.1.1 Adherence to the Indian GAAP and accounting standards as per the Indian Chartered Accountants Act, 1949.

1.3.1.2 Adherence to general principles of financial management and control.

2   Reporting Structures

2.1   Delegation of authority:

2.1.1   Approval authority related to project expense:

Project Type	Amount	Approval Authority	Sanction
Consulting	Upto Rs. 50,000/-	Domain Head (PD level)	FMA Head
	From Rs. 50,001/- to Rs. 3,00,000/-	Division Head	IOS Head
	Rs. 3,00,001/- & above	CEO	CEO
Investment	Upto Rs. 10,00,000/-	CEO	CEO
	Rs. 10,00,001/- & above	Board of Directors	CEO
Overhead	Upto Rs. 50,000/-	FMA Head	FMA Head
	Rs. 50,001/- & above	IOS Head	IOS Head
Statutory expense	Any amount	IOS Head	IOS Head

Final verification and check must be done by the FMA function head before being sent for sanction by IOS Head/ CEO for the approved amount.

5

2.2   Report Management

2.2.1   Internal Report Management

The internal reports will help the management to take decisions.

2.2.1.1 Procedure for preparation of project financial management information system (PFMIS):

2.2.1.1.1 For each project, an internal budget shall be prepared which shall be duly authorized by CEO/program director/domain head/finance head.

2.2.1.1.2 The components of the budget, in each case, will be decided according to the terms and conditions of contracts entered into with different clients.

2.2.1.1.3 The Items generally include travel - local and long distance, boarding & lodging, resource cost, stationery and other incidental expenses.

2.2.1.1.4 Actual cost incurred on these are compared to the planned budget expenses and variances analyzed.

2.2.1.1.5 The cost of a resource person deployed on a project shall be arrived from the monthly log sheet by taking into account the time given and variable pay/remuneration of the concerned consultants. These shall then be compared to the resources fees agreed to be paid by the client on an aggregate basis and the reason for adverse variances will be enquired so that proper remedial action can be taken.

2.2.1.1.6 A separate break-up of the internal budget will be submitted to the FMA domain mentioning the duration and amount (milestone wise).

2.2.1.1.7 The budget variance report will be given in the prescribed format within 5 days of completion of the project.

2.2.1.2 Internal Compliance Statements

#	Type of Statement	Deadline from team leader to FMA function head	Deadline from FMA to Management
1	Domain Profitability Statement	4th of Every Month	10th of Every Month
2	Funds Flow Statement	4th of Every Month	10th Every Month
3	Projected Cash Flow Statement	4th of Every Month	10th of Every Month
4	Bank Reconciliation Statement	30th of every month	10th of Every Month
5	Flight Reconciliation Statement	30th of every month	10th of Every Month

2.2.1.3 Legal Compliance Statement:

#	Type of Tax	Date of Deposit	Period of Filing	Statement to CEO
1	TDS*	7th of Every Month	Quarterly	10th of Every Month
2	Service Tax	5th of Every Month	Half yearly	10th of Every Month
3	VAT	20th of Every Month	Monthly/ Quarterly	Depending on the VAT amount
4	Professional Tax	30th April	Annually	28th April

2.2.2   External Report Management:

2.2.2.1 An external auditor must be appointed as per Section - 224 (1) of Indian Companies Act 1956.(Annexure 1)

2.2.2.2 Every year, the annual audit report must be circulated to the directors, share-holders and Chairperson before 15 days of AGM, by IOS-FMA domain.

3   Funding Structure

3.1   Sources of Funds:

ALC India will raise funds in the following manner

3.1.1   Equity Financing

The authorized share capital will be raised from various equity financing options. The dividend rate/ interest rate for equity instruments will be decided by the Board of Directors from time to time, however it cannot be more than 12%. The preferential share capital will be issued at 12% interest rate for 2015-16.

3.1.2   Debt Financing

The organisation seeks external as well as internal loans, both short-term and long-term for the purpose of meeting working capital requirements, expansion of business, setting-up new units/ project offices and development of new products through research & development. The accepted cost of capital is from 0% to 18% per annum.

3.1.3   Grants and Donations

ALC India seeks and accepts grants and donations from different institutions as well as individuals for specific as well as general purposes for enhancing the livelihoods of marginalized communities.

4   Reserves and Surplus

4.1   Creation of Reserves and Surplus

ALC India will create the following type of Reserves, as decided by the Board of Directors, from time to time.

4.1.1   General Reserve

4.1.2   Specific Reserve
4.1.2.1 Dividend Equalisation Reserve.
4.1.2.2 Reserve for Product Development
4.1.2.3 Reserve for Events
4.1.2.4 Reserve for expansion of Business
4.1.2.5 Reserve for primary education

4.2   Utilisation of Reserves:

4.2.1   A general reserve may be utilised by the company for general purposes like payment of dividends to shareholders, expansion of business and any other component decided by the board of directors.

4.2.2   A specific reserve can be utilised only for the purpose for which it is created and not otherwise.

4.2.3   The General Body may, through a resolution, permit to transfer from specific to general reserve if it is of the opinion that the purpose is no longer relevant or it is fulfilled or the funds are not needed for a substantially long period of time.

4.3   Utilisation of Surplus:

4.3.1   Short-term Investment :
4.3.1.1 Investment shall be managed in accordance with accepted sound management practices.
4.3.1.2 ALC India may invest the idle funds into the following types of securities:

4.3.1.2.1   Equity investment

4.3.1.2.2   Government guarantee instruments

4.3.1.2.3   Fixed deposit with any nationalized banks.

      4.3.1.2.4 Mutual fund

      4.3.1.2.5 Gold investment

      4.3.1.2.6 Purchase of land/building

      4.3.1.2.7 Chit fund

4.3.2   Long-term Investment:

The company proposes to make the following types of   investment:
      4.3.2.1 Investment in web portals like finance portal, job portal etc
      4.3.2.2 Establishment of an educational institute
      4.3.2.3 Opening up more units within India as well as globally
      4.3.2.4 Investment on new product development.

5   Advance Management

5.1   Advance for Project:

5.1.1   The request for advances should be aligned to and supported by the original approved budget.

5.1.2   For short term projects (less than 6 months), the advance request can only be given by the project team leader, for all the team members as well as other service providers.

5.1.3   For long term projects, the quarterly advance request needs to be submitted by the project team leader, specifying the team members. The quarterly advance request needs to be sanctioned by the division head. The team members can take advance from this sanctioned amount.

5.1.4   The processing of an advance request will take 3 working days.

5.1.5   The payment for meeting the expenditure related to travel, lodging and boarding will be made to individual consultant. The payment for other expenditure will be directly made to service providers by FMA on producing the original bills or raising the invoice as per the STC.

5.1.6   Issuing the STC/ producing the original bill/ submitting the receipt of payment shall be the responsibility of the concerned project team leader.

5.1.7   For short term projects, the advance will be settled within 10 working days from the last day of completion of activity for which the advance is taken.

5.1.8   In case of long term projects, the advance will be settled on the 25th of every month.

5.1.9   No fresh advance/ next installment of the current advance request will be paid, if the previous one is not settled.

5.1.10 The advance should not be utilized for any purpose other than that mentioned in the expense claim summary. Deviation in utilization of the advance will be seriously reviewed and appropriate action will

be taken against the person concerned as per the disciplinary action policy.

5.1.11 All the pending advances for the month will be deducted from the monthly consultant fee claim until and unless settled.

5.1.12 No payment will be made unless there is a provision in the budget. FMA will be responsible for ensuring the expenditure remains within the limits of the budget.

5.2 Advances for Administrative Expense:

5.2.1 Advances taken for administrative expenses will be treated as an advance for short term projects.

5.2.2 It will be paid as well as settled according to the procedure stated in 5.1. for short term projects.

5.3 Advance Settlement or Reimbursement of Expenditure:

5.3.1 The claimant should submit the expense details in the expense claim form along with supporting bills. A supporting bill is required for any expense equal to or more than Rs.100/-.

5.3.2 The expense claim form should be submitted to FMA Domain within 10 working days from the date of completion of the work.

5.3.3 All the supporting bills should be pasted on one-sided used paper, properly arranged and numbered as per the excel sheet

5.3.4 All the supporting bills should be in the name of ALC India Ltd.

5.3.5 Over-writing on any of the bills or claim sheet will not be accepted and the claimant will be required to resubmit the same.

5.3.6 Reimbursement of the claims will be made within 10 working days from the date of submitting the bills. (See Annexure 5)

5.4   Advance against Consultancy fee:

5.4.1   An individual may place a request for advance for up to 50% of the projected consulting fees after 15th of the month.

5.4.2   The request should be placed at least 3 days in advance.

5.4.3   The advance consultancy fee payment will be settled while making the payment for the respective month.

6   Project Management

6.1   Availability of Amount for Project Execution

6.1.1   For execution of any project of CPS division, only 75% of the total project revenue (when exclusive of service tax) and 60% of the total project revenue (when inclusive of service tax) will be made available.

6.1.2   For execution of any project of PPS division, only 35% of the total project revenue (when exclusive of service tax) and 30% of the total project revenue (when inclusive of service tax) will be made available.

6.1.3   The remaining amount will be kept aside for overhead expenses, tax payments and net profit.

6.2   Provision regarding Milestones and its accounting aspects

6.2.1   The milestones for recognising income shall be decided for each project separately based on the ToR with the respective partner.

6.2.2   Once a milestone is completed, the project team leader should communicate the same to FMA domain. The invoice shall be raised to the project partner to receive the payment against the milestone.

6.3   Budget and Cash Flow Projections

6.3.1   The team leader for the project should prepare a projected budget outlay on monthly basis and submit to FMA by the 30th of every month.

6.3.2   They should also prepare the quarterly cash flow projection and submit to FMA on or before the last day of the current quarter**.**

6.4   Monitoring of Instalment Receivables from Partner:

6.4.1   The team leader for the project is responsible for following up on the receivables from the partner.

6.4.2   Finance domain will keep track of the receivables by consulting the project team leader and if there is any deviation of more than 30 days, the finance team will bring this to the notice of IOS Head and take necessary action.

6.4.3   At any time, receivables should not be more than 90 days old.

6.4.4   If legal action is required to collect the money, IOS Head will be responsible for initiating the action.

6.5   Revenue Recognition:

6.5.1   The revenue recognition will be done as per the accounting standard - 9: Method Proportionate Completion Method. Under this method, revenue will be recognised proportionately by reference to the performance of each act. The revenue recognised under this method is determined on the basis of contract value, associated costs, number of acts or other suitable basis. And finally, the amount shall be finalised as per the activity completed or the % of work completed.

6.5.2   Acknowledgement needs to be taken from the team leader or project director or program director before booking the same.

6.6   Domain/ Project Viability

6.6.1   The concerned domain/ project team leader will also prepare Quarterly Profit and Loss Statements.

6.6.2   The same will be submitted to FMA along with quarterly cash flow projections on or before the last day of the current quarter.

6.7   Bad Debt Write Off:

6.7.1   Realising the amount receivable from the partner against the consulting charges, program expenditure or incidental expenses will be the responsibility of the project team leader.

6.7.2   If the above (full or in part) cannot be recovered from the partners for more than 12 months due to the fault of consultants (team leader or team members or all), then it will be deducted from the monthly consultancy charges and savings of the responsible consultant (s).

6.7.3   The amount of deduction from related parties will be decided by concerned division head, domain head and IOS head jointly.

6.7.4   If the consultant (team leader or member) has left ALC India before completing the project/ realising the last installment (s) of the project (s), the final settlement will not be initiated till the last installment is realised.

6.7.5   If he/she is found responsible under 6.7.3, the amount will be deducted from his/ her final settlement.

6.7.6   If the above (full or in part) cannot be recovered from the partners for more than 36 months due to the partner's fault, then it will be written off from the books of accounts.

7   Bank and Cash Account Management

7.1   Opening and Operation of Bank Accounts:

7.1.1   Currently, ALC India has 8 current accounts and 1 foreign current account with various Banks.

7.1.2   All the long term projects of CPS domain will have a separate bank account. The details of the accounts are presented in the following table:

#	Name of Bank	Branch name (Present)	Account No. & Type	Proposed Signatory
1	**State Bank of India**			
A	State Bank of India	Trimulghery (Secunderabad)	32292878369 (Current)	CEO, CPO & IOS-head
B	State Bank of Hyderabad	West Maredpally (Secunderabad)	62233311089 (Current)	CEO, CPO & IOS-head
C	State Bank of India	Bible Road (Secunderabad)	32420773191 (Current)	CEO, CPO & IOS-head
D	State Bank of India	St. Mary road (Secunderabad)	32875289974 (Current)	CEO, CPO & IOS-head
E	State Bank Of India	IRC Village BBSR (Current)	31236846750	CEO, CPO & IOS-head
F	State Bank Of India	Secunderabad	32478135324 (Foreign currency account)	CEO, CPO & IOS-head
G	State Bank Of India	St. John's Rd (Secunderabad)	30357587259 (Current)	CEO, CPO & IOS-head

2	**Oriental bank of commerce**	East Marredpally	10581131001762 (Current)	CEO, CPO & IOS-head
3	**Karur Vaishya Bank**	Secunderabad	1410135000003090 (Current)	CEO, CPO & IOS-head

Table - Details of Bank Accounts of ALC India Ltd

7.1.3 Only domain head or in-charge of FMA will be authorised to use online banking.

7.1.4 Online banking should be operated only in the office premises. It can be used outside the office only under exceptional circumstances, with the approval of the IOS Head.

7.1.5 The Domain head or in-charge of FMA will be responsible for the transfer of funds from the bank accounts of the company. This includes:
7.1.5.1 Initiating all transfer of funds for general business purposes.
7.1.5.2 Establishing the daily cash position.
7.1.5.3 Appropriately funding disbursement accounts for the company obligations.

7.2   Cash Management:

7.2.1   All activities in the primary accounts will be monitored by the FMA functional head to ensure availability of adequate funds to meet statutory, programme and administrative expenses.

7.2.2   Petty cash of Rs. 3,000 will be maintained to meet day to day expenses on a monthly basis.

7.2.3   All payments above Rs. 3,000 will be made through cheque only.

7.2.4   Bearer cheques will not be issued for amounts equal to or more than Rs. 5,000/-.

7.2.5   In order to save time and cost, preference will be given to online banking transactions, both receipts and payments, wherever possible.

7.2.6   Maintaining idle cash is discouraged and will be ensured through the following provisions:
7.2.6.1 FMA domain shall maintain a maximum cash balance of Rs. 3,000/- only per day.
7.2.6.2 A cash balance of about Rs. 5000/- can be kept provided it is not for more than 2 consecutive days.
7.2.6.3 In case of cash receipts, the same will be deposited into the bank on the same day or the next working day.
7.2.6.4 The FMA in-charge will maintain control over the cash and safeguard it in a locked box. The FMA in-charge can issue cash of more than Rs. 500 only after due authorisation.
7.2.6.5 The fund will be reconciled daily by a person other than the individual who maintains the cash.
7.2.6.6 The fund will be replenished as per requirement after reconciliation or upon request by the individual responsible for maintaining the fund

8   Payment to Consultants

8.1   Monthly Payments

8.1.1   Monthly Log sheets:

8.1.1.1 Every consultant working with ALC India will submit log sheets (for 30/31 days from 26th of the previous month to 25th of the next month) duly approved by the concerned reporting officer and concerned team/ domain leaders by 25th of every month. (Annexure -2 & 3).

8.1.1.2 The hard copy of the log sheet needs to be submitted. However, consultants in the project area or on tour can submit a soft copy. They need to submit it to their respective reporting authority, who in turn will submit the same to FMA on or before the submission day.

8.1.1.3 The change in date of submission, if required, will be informed to the consultants by FMA functional head 7 days in advance.

8.1.1.4 If the consultant fails to submit the log sheet on time, the consultancy charges will be paid only on the 5th of the following month.

8.1.1.5 Log sheets and claim sheets from one quarter cannot be submitted and booked in another quarter.

8.1.2   Monthly Payment

8.1.2.1 The monthly consultancy fees will be paid to the payee accounts through online banking.

8.1.2.2 The monthly consultancy fee will be paid to individual consultants by 5th of every month. In case of a holiday on the 5th, the payment will be done on the next day.

8.1.2.3 Pay slip will be circulated through mail on the 10th of every month and the same can be obtained in hard copy on request.

8.1.2.4 Every consultant needs to have an SBI A/c for all financial transactions otherwise the bank charge will be deducted from the payment made to him/ her. This will be applicable for all the financial transactions including advance taken for project work.

8.1.3   Interest on delayed Monthly Payment

8.1.3.1 If ALC India fails to make a payment within 15 days from the due date of payment for that month, it shall pay daily interest to the consultant on the payment amount due beyond the grace period of 15 days.

8.1.3.2 The applicable rate of interest will be 12% per annum.

8.1.4   Loans to Consultants:

8.1.4.1 Every consultant of ALC India can avail personal loan up to 3 times of his/her optional savings (Rs.780 per month).

8.1.4.2 It has to be paid in twelve or less number of equated monthly instalments, as may be mutually agreed.

8.1.4.3 The interest rate of 14% per annum will be applicable for such loans taken in the financial year of 2014-15.

8.1.4.4 The instalments will be deducted from the monthly consultancy charges of the respective consultant.

8.1.4.5 Each Loan should invariably be secured by a Promissory Note to be given by the borrower.

8.1.4.6 The borrower should also provide guarantee from two-four consultants, whose total savings is equal to the loan amount requested by him/ her and they should currently be working with ALC India.

8.1.4.7 In case the Consultant leaves ALC India, the outstanding amount will be paid taking into account the interest up to the date of settlement.

9   Accounting Policies

9.1   Applied Practices

9.1.1   To ensure that the accounting responsibilities are segregated in such a manner that one person's work is checked by another as a matter of process. That is, a *Maker-Checker* system should be put in place. The accounting data will be updated on a daily basis.

9.1.2   The accounting software is protected by password. Only domain head or in-charge of FMA will have access to the password.

9.1.3   Domain head or in-charge of FMA will take regular (weekly) external back up of accounting data. One copy of the backup should be stored in a cloud space, as a matter of precaution.

9.1.4   All the vouchers must have signatures of persons preparing, recommending and authorising the payments. Similarly signatures of the persons receiving the payments must also be obtained. In case of payments made through bank transfers or through couriers, the receipts or at least acknowledgements through emails should be obtained.

9.1.5   Paid stamp with date / voucher reference should be affixed on the face of the vouchers and the supporting documents

9.1.6   Revenue stamps should be affixed on all cash payments (including advances)   exceeding Rs. 5,000.

9.1.7   Proper narration should be written on voucher with details of each payment and journal.

9.1.8   Receipt vouchers should be prepared for all receipts with detailed narration about the invoice raised or journal entry.

9.1.9   The cash book must be updated, closed and balanced on a daily basis, with physical cash verification and denomination recorded. Further, there should also be periodic surprise checks by either the domain head or a person from another domain.

9.1.10 Over-writing and use of white ink in the manual cashbook must be avoided.

9.2   Depreciation:

Depreciation on fixed asset is provided on "Written Down Value Method" on pro-rata basis with the rates specified in the Income Tax Act, as amended from time to time.

9.2.1   Investment: Investment is carried at cost. It is amortized based on estimated realizable value, as decided by the management.

9.2.2   Fixed Assets: Fixed cost is stated at the cost of acquisition and subsequent improvements thereto including taxes, duties, freight and other incidental expenses related to acquisition and installation.

9.3   Accounting and Financial Controls:

9.3.1   ALC India will establish and maintain adequate controls and a system of recording expenditure to ensure they are for authorised purposes and processed in a timely and accurate fashion.

9.3.2   Adequate financial signing authorities will be delegated in accordance with an appropriate division of duties and responsibilities commensurate with good internal financial control.

9.3.3   Spending authority and payment authority will not be exercised by the same officer in respect of a particular payment.

9.4   Receivables from client:

ALC India will establish and maintain controls to ensure that all revenue due to the company is recorded and collected on a timely basis.

9.4.1   All invoices will be raised immediately after the delivery of services and within 5 working days.

9.4.2   Aged accounts receivable list will be reviewed by a responsible officer other than the person responsible for maintenance of accounts.

9.4.3   Weekly reminder (every Monday) will be sent to overdue accounts.

9.5   Year-end Accounting:

9.5.1   Where possible, all outstanding advances receivables from consultants will be settled by the year-end.

9.5.2   The project team leaders will be required to submit progress status of all ongoing work on the last date of the financial year.

9.5.3   Accrued liabilities will be established for unpaid debts.

9.5.4   Over- and under-accruals will be adjusted to the relevant expense accounts.

9.5.5   Petty cash closing should be done with detailed denominations

10 Investment Policy

10.1. Definition of Investment

Any new investment must be approved by the board at the start of the year. ALC India invests in products and services which may not form a part of the standard schedules of the accounting standards for companies. Hence, the products and services like conferences, summits, symposiums, events may be treated as investments.

They may be capitalised in the following manner:

10.1.1 An investment of a maximum of 15 lakhs will be allowed in a year for a particular product.

10.1.2 Write-off cycle needs to be sanctioned by the board before the investment takes place.

Annexure 1:

Table 1- Standard Format for Log-Sheet

Access Livelihoods Consulting India Ltd								
Plot# 4, Matrunilayam, Telephone Office Lane, Sainagar Colony, Secunderabad - 9								
Monthly Work Logsheet								
Consultant Detail								
Name of Consultant			Designation					
Division			Domain					
Financial Year			From Date		To Date			
Day Wise Work Status								
Date	Day	Activity Detail	Organization	Project Name	Program	Domain	Work Type	No. of Days (0.25/ 0.5/ 0.75/ 1)
1st Apr 2014	Tue							
2nd Apr 2014	Wed							
3rd Apr 2014	Thu							
4th Apr 2014	Fri							
5th Apr 2014	Sat							
6th Apr 2014	Sun	Sunday	Sunday	Sunday	Sunday	Sunday	Sunday	
7th Apr 2014	Mon							
8th Apr 2014	Tue							
9th Apr 2014	Wed							

10th Apr2014	Thu							
11th Apr 2014	Fri							
12th Apr 2014	Sat	2nd Sat	2nd Sat	2nd Sat	2nd Sat	2nd Sat	2nd Sat	
13th Apr 2014	Sun	Sunday	Sunday	Sunday	Sunday	Sunday	Sunday	
14th Apr 2014	Mon							
15th Apr 2014	Tue							
16th Apr 2014	Wed							
17th Apr 2014	Thu							
18th Apr 2014	Fri							
19th Apr 2014	Sat							
20th Apr 2014	Sun	Sunday	Sunday	Sunday	Sunday	Sunday	Sunday	
21st Apr 2014	Mon							
22nd Apr 2014	Tue							
23rd Apr 2014	Wed							
24th Apr 2014	Thu							
25th Apr	Fri							

2014								
26th Apr 2014	Sat							
27th Apr 2014	Sun	Sunday	Sunday	Sunday	Sunday	Sunday	Sunday	
28th Apr 2014	Mon							
29th Apr 2014	Tue							
30th Apr 2014	Wed							
Grand Total								**0**

#	Particulars	Upto last month	Current month	Upto current month
A.	**Total Working Days**			
1	Consulting			
2	Overhead			
Sub-Total (A)				
B.	**Non Working Days**			
1	**Paid Non Working Days**			
i	Sundays			
ii	National Holidays			
iii	Paid-offs (Casual + Marriage Anniversary + Festival)			
iv	Maternity/ Paternity Off			

v	Special Offs			
vi	Saturday off (2nd Saturday)			
vii	Mandatory Vacation			
2	*Unpaid Non-working Days*			
Sub-Total (B)				
C.	Other Domain Days			
D.	Voluntary Days			
E.	Total Days (A+B)	0	0	0
F.	Consulting Percentage (Till the date - FY 2013-14)			0%
G.	Other Domain Contribution (Till the date - FY 2013-14)			0%

Particulars	Submitted by	Verified by	Approved by
Name			
Signature			
Date			
Place			

Annexure 2:

Table 2 - Standard Format for Claim-Sheet

Access Livelihoods Consulting India Ltd								
Plot# 4, Matrunilayam, Telephone Office Lane, Sainagar Colony, Secunderabad - 9								
Monthly Claim Sheet								
Name:								
Rate/ Day								
From Date			**To Date**					
Division	**Domain**	**Project Name**	**Partner Name**		**Amount**	**Travel**	**Total**	**Sign of TM/ PM**
A. Consulting - Partner, Community and Initiative Programs								
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
							Rs. 0.00	
Sub Total (A)					**Rs. 0.00**	**Rs. 0.00**	**Rs. 0.00**	
B. Overhead - Partner, Community, Initiative and Operations								
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	
					Rs. 0.00		Rs. 0.00	

					Rs. 0.00		**Rs. 0.00**	
					Rs. 0.00		**Rs. 0.00**	
					Rs. .00		**Rs. 0.00**	
					Rs. 0.00		**Rs. 0.00**	
Sub Total (B)					**Rs. 0.00**	**Rs. 0.00**	**Rs. 0.00**	

	Total Working Days (A+B)	**0**
	Sundays	0
	National Holidays	0
	Paid-offs (Casual + Marriage Anniversary + Festival)	0
	Saturday Off (2nd Saturday)	0
	Maternity/ Paternity Off	0
	Special Offs	0
	Mandatory Vacation	0
	Total Paid Days (C+D+E+F+G+H+I+J+K)	**0**
	Total Unpaid Days	
	Total Days (L+M)	**0**
	Total Base Claim (L*Per day rate)	**Rs. 0.00**
	Total Local Travel Claim	
	Conveyance Allowance	
	Internet Allowance	
	Telephone Allowance	
	Total Claim (L+M+N+O+P)	**Rs. 0.00**

Particulars	Submitted by	Verified by	Approved by
Name			
Signature			
Date			
Place			

32

Annexure 3:

Table 3 Standard Format for Local Travel and Other Expenses

Access Livelihoods Consulting India Ltd
Plot# 4, Matrunilayam, Telephone Office Lane, Sainagar Colony, Secunderabad – 9
Local Travel and Other Expenses Statement (General)

Name:			*(Specify Bills availability - Y/N)*	Designation:		Month:

Date	Time (24 Hrs)		Organisation	Travel Particulars				Other Expenses				
	Start					Amount (Rs.)	Bill (Y/N)	Particulars	Category (Post &Com, Print&Stat, Other)	Amount (Rs)	Bill (Y/N)	

										0.00			0.00		

I Certify that all the expenses are incurred by me.

Particulars	Submitted by	Verified by	Approved by
Name			
Signature			
Date			
Place			

Annexure 4:

Table 4- Standard Format for Advance Request Form

Advance Request Form						
Team Leader Name:						
Project Name						
Client name						
Submitted on:						
S.N	Particulars	Unit No.	Unit Days	Unit Cost	Total	
I	Long Distance Travel					
II	Local Field Travel					
III	Lodging					
IV	Boarding					
V	Stationary/Photocopying					
VI	Communication					
VII	Miscellaneous					
Grand Total						
Advance to be released to Team Members						
S.No	Name of the Team Member	Advance Amount	To be released on			
I						
II						
III						
IV						
V						
Total						

S.No	Name of the Assoiate	Total Amount (As per STC)	Advance Amount	STC/ToR Submitted (Y/N)	To be released on
I					
II					
III					
IV					
V					
VI					
VII					
VIII					
Total					
	Signature			*Approved*	
	Date:			*Date:*	

Annexure 5:

Table 5- Standard format for Project Expenditure Claim Sheet

	Project Expenditure Claim Format						
	Claim Details						
1	Project Name			I	Client Name		
2	Team Leader Name			II	Client Coordinators Name		
3	Tour Period						
4	Reimbursement Standards	Client Specified / ALC India		A	Advance Availed Rs.		
				B	Current Claim Rs.		
I	**Agreed Specifications**	**Specifications**	**Limits**	C	Payable/Recievable Rs.		
	a. Long Distance Travel	Flight/ Train					
	b. Local Travel	Taxi/ Auto		D	Total Client Claim Rs.		
	c. Stay per day per person	Hotels/ Rest Houses		E	Total ALC India Claim Rs.		
	d. Food per day per person						
	e. Stationery			F	**Payable to (If applicable)**		
	f.Communications			#	**Name**	**Amount (Rs.)**	
	Summary of Expenditure			I			
	#	**Expense Nature**	**Code**	**Amount Rs**	II		
a.	Long Distance Travel	LDT					
b.	Local Field Travel	LFT		**Team Members Code & Engagement Details**			
c.	Stay	STY		#	**Team Member Name**	**Code**	**From**	**To**
D	Food	FOD		1			
F	Stationery/Photcopying	STP		2			
G	Communications	CMS		3			
H	Any Other	ATO		4			
	GRAND TOTAL			5			

Signature of Team Leader	*Verified By*	*Signature of Approver*
Date:	*Date*	*Date*

Annexure 6:

Table 6 - Standard Format for Expenditure Details

#	Date	Details of Expenditure	Code	Bill Y/N	Bill No	Member Code	Amount Rs
Access Livelihoods Consulting India Private Limited							
Expenditure Statement							
Total							

#	Member Code	Member Name
a		
b		
c		
d		
e		
f		
g		

#	Expense Nature	Code
a	Long Distance Travel	LDT
b	Local Field Travel	LFT
c	Stay	STY
d	Food	FOD
e	Stationery/Photocopying	STP
f	Communications	CMS
g	Any Other	ATO

Annexure 7:

Table 7 - Standard format for Budget variance

Advance Vs Actual expenses Variance Statement

Project Name:	
Client Name:	
Project Leader:	

S.No.	Particulars	Advance	Actual Expense	Variance	Percentage Variance
1	Long Distance Travel				
2	Local Field Travel				
3	Lodging				
4	Boarding				
5	Printing & Stationary				
6	Communication				
7	Any Other				
	Grand Total				

40

Policy and Practice
Institution and Organisation Practice
2015-16

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana – 500009

1. Introduction

Institution and Organisation Management (IOM) domain of Access Livelihoods Consulting India Limited (hereinafter called as ALC India) has a vital role to play in maintaining the overall institutional effectiveness and governance practices within the organisation. In order to ensure a smooth functioning of the organisation there is a need for IOM policy.

1.1 Objectives

Its aims are to maintain high institutional effectiveness of ALC India, develop required institutional systems, policies and processes, and ensure compliance.To ensure effective governance practice within the organisation with transparency and accountability.

1. To ensure outreach and synergetic services by entering into linkages and partnerships with various agencies.
2. To help the organisation adhere to all needed legal compliances.
3. To develop and nurture the units of the organisation.

1.2 Scope

This policy shall be applicable to all units of ALC India (ATLS, ALDF, Chitrika–AALS, at present, and any new units to come) from April 2015 to March 2016.

1.3 Policy and Practice document formulation

1.3.1 IOM domain shall oversee policies to be formulated, provide necessary support and ensure that all necessary policies are in place for ALC India.

1.3.2 The policies will be revised only once every three years.

1.3.3 Policies can be vetted and approved by the management committee. Only key changes shall be brought to the notice of Board of ALC India.

1.3.4 All Functional Domains shall come up with their suggestions on the formation of new policy or revamping of old policy, as the case may be in November 2016 and the suggestions will be placed at the Board meeting of the third quarter for approval.

1.3.5 It shall be mandatory for all domains to ensure implementation of the policy from the financial year i.e. April to March.

1.3.6 Unit offices shall follow all the policies of ALC India. Although they shall have their own books of account and financial statements, consolidated financial statements of central and unit offices shall be prepared.

1.4 **Process for formulating new policies:**

1.4.1 Making an approach note and getting it approved from the Board.

1.4.2 Brainstorming within the team members of the concerned domain.

1.4.3 Conducting domain-wise workshops inviting ideas and suggestions from domain members.

1.4.4 Visiting project offices and taking suggestions from field staff.

1.4.5 Making a draft note of suggestions collected in the 1st workshop and circulating it to all domain heads.

1.4.6 Conducting a second workshop with the domain heads and senior management wherein all domain heads on behalf of their domain will present their views.

1.4.7 Minutes of the second workshop will be circulated to all domain heads.

1.4.8 Domain heads will make a draft policy based on the minutes.

1.4.9 Presenting the draft policy to the Management Committee, recording suggestions and finalising the policy.

1.4.10 Taking approval of the Management Committee and executing it accordingly.

1.4.11 The concerned domain head shall be responsible for formulation of the final policy.

1.4.12 Newly formulated policies shall be reviewed by the CEO and then presented to the Board for approval.

1.4.13 While framing policies:

1.4.14 The key existing gaps have to be considered.

1.4.15 Best practices in relevant field have to be compiled.

1.4.16 Research has to be done in order to avoid any loopholes.

Table 1: Domain Wise Policy and Practice Documents of ALC India			
#	Domain	Policy and Practice documents	Brief
1	IOM	IOM policy	ALC India Institutional Effectiveness, Governance, Legal Compliances, AGM, Board Meetings, Advisory Board, Units, and Internal Audit (Please refer IOM Policy for detail)
2	HRM	HRM Policy	Recruitment-Employees; Associates; Interns, Induction; Performance Appraisal; Trainings; Retreat (Please refer HRM policy for detail)
3	FMA	FM Policy	Raising Capital, Variance, Advances & Settlements, Financial Planning, Funds Management, Insurance, STCs. (Please refer FM policy for detail)

4	FMA	Administration policy	Office maintenance, Assets, Discipline, guidelines for smooth functioning of day to day activities, (Please refer Administrative policy for details)
5	BDC	BD, Communication and Knowledge Management policy	Business Development, Documentation, Information Systems, Knowledge Management, Communication Strategies, Library (Please refer BD and ICK policy for detail)
6	PQM	PQM Policy	Program and Quality Management. (Please refer PQM policy for detail)

Other domains will draft their policies whenever they become functional.

1.5 Cost Effective - Policy and Practice documents:

1.5.1 Policy formulation has be cost effective i.e. the cost towards new policy formulation and revision of old policy should not exceed Rs. 35,000/.

1.6 Policy Revision

1.6.1 Policies once finalised shall not be revised in between a financial year.

1.6.2 Notwithstanding anything contained in 1.4.1., the ALC India Board shall, if it wishes to, have the power to recommend revisions in the best interest of the Company.

1.6.3 For this exception (change in a Policy and Practice document during a financial year), the concerned functional head shall bring to notice, adequately in advance, the required changes to the CEO, for discussion in the next Board meeting.

1.6.4 The Chief Executive Officer has the authority to decide on any amendments to a policy, effective till a further decision is made by the Board.

2. Domain Structure

As the core approach of ALC India is to extend different professional solutions to address livelihood issues of economically marginalised communities, the different functions are configured as Domains in ALC India. Domains providing professional solution/services to external partners and internalcustomers are organised as partner services and operations. Domains generate different products/services to serve target stakeholders and ALC India. Domains have to be oriented towards the services provided to the ultimate stakeholders. Unless otherwise necessary for the interest and smooth functioning of the organisation, as decided by the CEO, no changes in domains have to be made during the year.

2.1 **Formation of Domains:**

2.1.1 The need for formation of a new domain shall be assessed by the CEO and upon approval, a proposal for formation of a new domain shall be put to the Board. Simultaneously, the CEO will have the discretion to review and assess merger or cancellation of one or more domains. The final decision rests with the Board.

2.1.2 Every domain shall have a functional head to lead the domain.

2.2 **Criteria for Domain Effectiveness:**

2.2.1 Number of target community households of ALC India being catered to by each domain.

2.2.2 Efficient implementation of annual plan and budget.

2.2.3 Financial viability of the domains measured as net domain surplus more than or equal to 10% of domain income during the financial year.

2.2.4 Punctuality and efficiency towards completion of tasks

2.2.5 Synergy/convergence among the domains.

3. Governance

3.1 Constitution of the Board

3.1.1 The constitution of the Board shall be as specified in MoA. The number of members on the Board shall not exceed more than 12 and not be less than 2.

3.1.2 Efforts will be made to ensure 20% of the directors on the board are women from various backgrounds like government, development, banking/finance, private/corporate.

3.1.3 At any given point of time, the non-executive Board members should not exceed more than 50% of the total members.

3.1.4 The General body has the right to elect a Board member.

3.2 Tenure and remuneration of the Directors:

3.2.1 The tenure of a director of ALC India is for 3 years. ALC India may place a Managing Director as specified in AoA;

3.2.2 However, for the time being, the CEO shall function as the MD of the Company;

3.2.3 Provided that, the CEO shall not have any rights being enjoyed by the Directors of Company;

3.2.4 Further provided that, the CEO shall have all rights being enjoyed by the directors if the CEO happens to be one of the directors of the company.

3.2.5 The Board of Directors shall appoint a remuneration committee comprising of 2 or 3 directors. This committee will be the deciding authority on the remunerations to be offered to the directors as well as to all the consultants. The independent directors are not entitled to get any other remuneration other than the sitting fees.

3.2.6 Sitting fees for an independent director is Rs. 5000/- per board meeting.

3.3 Responsibilities of the Board members

3.3.1 To appoint and remove the CEO, as the case may be;

3.3.2 To monitor the performance of the CEO from time to time;

3.3.3 To attend all Board meetings and AGMs actively;

3.3.4 To review and guide strategy, annual plan and annual budgets;

3.3.5 To monitor corporate performance and legal compliances;

3.3.6 To oversee major capital expenditures and investments;

3.3.7 To monitor the effectiveness of the company's governance practices and policies;

3.3.8 To ensure the integrity of ALC India's accounting and financial reporting systems;

3.3.9 To oversee the process of disclosure and communications;

3.3.10 To oversee risk management strategies and their implementation;

3.4 **Board Meeting Proceedings:**

3.4.1 Board meeting shall be held within 120 days of the previous board meeting and at least 4 meetings are to be held in a year.

3.4.2 A board meeting of the company shall be scheduled and information conveyed to all Directors by giving written notice at least 21 days at each Director's usual place of residence.

3.4.3 The agenda of the board meeting shall be circulated to all members of the Board 21 days prior to the board meeting.

3.4.4 No Board shall proceed and transact the business unless at least 80 per cent of the existing board members are present in person.

3.4.5 Out of the two, one will be a permanent invitee (for the period of one year) and the other will be an invitee for one concerned Board meeting only.

3.4.6 The responsibility of the invitees is to participate in discussions, provide their viewpoint and support the CEO in furnishing information desired by the Board. However, they do not have any voting rights in the decision making.

3.4.7 The standard agenda of Board meeting shall include:

3.4.8 Review based on minutes of previous meeting,

3.4.9 Progress of ALC India in the last quarter,

3.4.10 Review of financial statement of last quarter,

3.4.11 Review of legal compliances of the last quarter,

3.4.12 Plan and budget for next quarter and,

3.4.13 Any other point as approved by Chairperson.

3.4.14 Along with the agenda and reports, there shall be a separate Annexure, which shall carry information on observations of the Board which have been complied with and which are pending.

3.4.15 Complete notes including templates and checklist shall be developed and circulated 3 days prior to the scheduled meeting.

3.4.16 Each Board Meeting shall be uniquely numbered – similarly each point on the agenda shall also be numbered separately.

3.4.17 On commencement of the meeting, the Board shall review the minutes of previous meeting, financial statement of previous quarter and progress report of ALC India.

3.4.18 The decision making shall be done as per the number of shares in Company (Voting right in proportion to shareholding).

3.4.19 The MD/CEO shall be responsible to furnish any information desired by the Board Members.

3.4.20 Minutes of a board meeting will be circulated to all Board Members within 07 working days of the Board meeting.

3.4.21 The MD/CEO shall be responsible for the execution of the Board decisions.

3.4.22 The templates for Board Meeting compliance report and legal compliance are furnished in annexures 1& 2.

3.5 Responsibilities of the Chairperson:

3.5.1 To ensure that minutes of meeting, agenda and complete notes are circulated to all board members.

3.5.2 To ensure that the Board meetings are conducted in a timely manner, i.e., every quarter.

3.5.3 He/she shall ensure required Quorum for the meetings (not less than one third of the existing strength).

3.5.4 To delegate/nominate on the Chairperson's behalf any person as representative of ALC India to any forum.

3.5.5 The chairperson can cast a vote in case of a deadlock regarding specific decisions.

4. General Body

4.1 Constitution of the general body:
4.1.1 The general body shall consist of all shareholders of the company.
4.1.2 They have the power to vote and can become directors.
4.1.3 The number of shareholders of the company is unlimited and can include:
> 4.1.3.1 Persons who have been formerly full time consultants of the company; were members of the company while in their employment and have continued to be members, after the employment has ceased;
> 4.1.3.2 Further provided that, where two or more persons hold one or more shares jointly in the company, they shall, for the purpose of this definition, be treated as a single member.

4.2 Criteria for shareholders:
4.2.1 A shareholder must be committed to work in the interest of the company.
4.2.2 The shareholder must believe in the vision and mission of the company.
4.2.3 The shareholder must expect only optimal returns as opposed to maximum returns.
4.2.4 The shareholder shall pay the full value of the share.

4.3 Principle of equity:
4.3.1 Efforts will be made to bring into the company shareholders from different sectors and backgrounds.

4.4 Maintenance of Register for share certificates:
4.4.1 ALC India shall maintain the share certificate and share register with all necessary details.

4.5 Transfer and transmission of shares:
4.5.1 A shareholder may transfer his/her shares to any individual as per the norms specified for a public limited company under Company Act 2013.

4.6 Authorized share capital:
4.6.1 During 2014-15, the Authorized Share Capital of the company will be increased to Rs. 5 Crore.
4.6.2 Efforts shall be made to ensure that not more than 5% of the authorised share capital shall be offered to one person.
4.6.3 Active consultants who have gained experience in ALC India shall be encouraged to become shareholders of the company.

4.7 **General Body Meeting:**

4.7.1 The AGM shall be held once every year in the month of July along with audited statements.

4.7.2 The AGM shall be called by giving not less than 21 days written notice to all the members specifying venue for the meeting and agenda of the meeting.

4.7.3 A total of 5 members personally present shall be the quorum for a general meeting. Annual report (in soft copy) should to be circulated to all shareholders along with the agenda.

4.7.4 No person other than shareholders is to be invited for a general body meeting.

4.7.5 No business shall be transacted at any general body meeting unless the quorum required is ensured at the time of commencement of business.

4.7.6 The standard agenda of the AGM will be approval of financial statements and appointment of auditor.

4.7.7 Decision making shall be done as per proportionate of the shareholding.

4.7.8 Notwithstanding anything contained in 4.7.4, if the members present in the meeting decide that a decision shall be taken by a show of hands, every member present in person or by proxy or attorney, as the case may be, and being a holder of equity shares and entitled to vote shall have one vote irrespective of his/her shareholding.

4.7.9 In case of a difference of opinion where there is equal voting, the Chairperson can give his/her vote to be called as 'casting vote'.

4.7.10 Minutes of an AGM will be circulated to all members within 07 working days of the AGM.

5. Management Committee (MC)

5.1 Constitution of Management Committee

5.1.1 Management Committee members should be from Access Livelihood Group Entities (AL Group Entities).

5.1.2 Chief Executive Officer shall be the sole representative of the Board of Directors and will act as a bridge between the Management Committee and the Board of Directors.

5.1.3 The Management Committee shall meet at least once in 3 months.

5.1.4 The meeting of the Management Committee shall be held 15 days before the Board Meeting. However, additional meetings on mutual consensus can be organised based on the requirement.

5.1.5 The Chairperson and Convener of the Management Committee shall be the Chief Executive Officer of ALC India.

5.1.6 Sitting fees for management committee members who are from the group entities shall be Rs 4000 per meeting (Inclusive of all costs).

5.2 Roles and Responsibilities

5.2.1 To review and vet all the notes for accuracy before submitting them to the Board of Directors;

5.2.2 To review all the data and generate solutions for the current problems of ALC India to be presented to the Board of Directors for consideration;

5.2.3 To review financial audit reports and present key points to the Board of Directors;

5.2.4 To review management and governance audit reports and present key action plans to the Board of Directors;

5.2.5 To review Annual Policy and Practice Documents and present them for approval to the Board of Directors;

5.2.6 To review Annual Plans and present them for approval to the Board of Directors;

5.2.7 To review ALC India Performance Reports and present key emerging trends and analysis to the Board of Directors;

5.2.8 To review and decide on the Large-scale Projects amounting to more than Rs 1 Crore before acceptance is provided to the client;

5.2.9 To review and decide on the proposal received for financing ALC India as per the policy norms set by Board of Directors;

5.2.10 To identify the strategic issues affecting ALC India and brainstorm on solutions to be referred to Board of Directors;

5.2.11 Any other roles and responsibilities as assigned by the Board of Directors from time to time.

6. ALC India Unit

6.1 **Purpose:**

6.1.1 In order to achieve regional outreach through its services, ALC India intends to promote units in different locations of the country.

6.2 **Project Offices:**

6.2.1 Apart from the units, ALC India may have project offices at required locations for projects like implementation, long-term programs, turnkey projects, and partnerships. Currently, project offices are established in Degloor, Deori, Sindagi, Kodangal, Maval, Srikakulam and Mandapeta.

6.3 **Legal Form:**

6.3.1 Units though are permitted to work as subsidiary from the first day of their establishments; legally, they shall continue to be a branch of the ALC India and the decisions taken by the Board will be binding on all the units.

6.4 **Guidelines for units:**

6.4.1 The board shall approve the setting up of a new unit of ALC India.
6.4.2 The basic purpose and underlying values shall remain the same for ALC India Units.
6.4.3 The detailed structure and processes to govern the units shall be contained in the "Unit Guidelines".
6.4.4 Units shall be named as Access "Targeted community/ purpose" Livelihoods Services.
6.4.5 All the policies of ALC India shall be applicable to the units.
6.4.6 The consolidated financial statement shall be prepared along with the independent financial statement.
6.4.7 ALC India shall hold 51% or more of unit's share and/or appoint 50% or more directors to the unit's board.
6.4.8 ALC India will extend the support in all the Internal Operation Services of Units.

6.5 **Pre-conditions for establishment of a unit:**

6.5.1 Individual/Core team should be willing to be a social entrepreneur and have sufficient experience in the field.
6.5.2 Individual/Core team should be able to raise business of Rs. 1 Crore with the support of ALC India and Rs 40 Lakhs independently.
6.5.3 Individual/Core team should be able to recruit 8 -10 staff.

15

6.6 **Access Livelihoods Group Entities (AL Group Entities)**

6.6.1 Unit, thus promoted shall grow into sustainable institutions.

6.6.2 All these units shall be part of the Access Livelihoods (AL) Group to efficiently utilize resources, expertise and good wills of each other.

6.6.3 ALC India shall also integrate existing organisations which are working with one or more of the margnaliseid communities that ALC India works/wishes to work with.

7. Institutional Effectiveness Measures

To ensure institutional effectiveness, audits of units and project offices shall be conducted at the end of each quarter. An audit calendar shall be made in the beginning of the financial year. The audit calendar shall include number of audits, timelines and budget.

7.1 **Internal Audit:**

    7.1.1 ALC India envisages conducting internal audit for the organisation on a periodic interval, even though it is not a legal obligation.

    7.1.2 Internal audit shall cover financial, governance and management components.

    7.1.3 In each of the components, internal audit will not only capture the progress/compliance but also the processes which are envisaged to be followed.

    7.1.4 The specific details that will be captured in each of these components are summarised in the following table.

Financial Audit	Management Audit	Governance Audit	Concurrent Audit
All provisions contained in the finance management policy and practice document	All domain policy and practice documents	Institution and organisation management policy and practice document	Every bill and voucher would be audited by the company's auditor every month on a regular basis

    7.1.5 The financial audit shall be taken up on a quarterly basis; management audit shall be taken up on a half yearly basis; and governance audit shall be taken up on an annual basis.

    7.1.6 The Audit process at central office should be finished in the first week of the month mentioned in the audit calendar.

    7.1.7 The audit process at project office should be finished in the last week of the month mentioned in the audit calendar.

    7.1.8 Audit reports should be ready before the date of the most immediate board meeting.

7.1.9 Internal audit shall be taken up by preparing a clear checklist (of different activities/processes to be taken up as per policy and practice documents for each component.

7.1.10 The internal audit team shall have discussions with various domain heads and review compliance with policies/practices by studying the concerned documents.

7.1.11 Internal audit reports should be analytical and should present the performance against the output and outcome indicators.

7.1.12 Key result areas in each area shall be reviewed.

7.1.13 The template for Internal Audit Report and Last Audit Compliance Report are furnished in Annexures 3 & 4.

7.2 Co-coordinator for Internal Audit:

7.2.1 One person from IOM domain will be the coordinating person for internal audit.

7.2.2 The checklist for financial, management and governance audit are furnished in Annexures 5, 6 & 7 respectively.

7.3 Estimated time and budget for Internal Audit:

7.3.1 Internal Audit shall be completed within the following time limit and budget:

7.4 Audit Calendar for FY 2014-2015

Component	Frequency	Time	Resource Person	Expertise
Central Office				
Statutory and Tax Audit	Annual	July	External	CA/Financial Expert
Management Audit	Half Yearly	April & October	External	Management Expert
Governance Audit	Annual	April	External	Director/CEO of other company
HRM Audit	Annual	September	External	HR expert
Concurrent Audit	Monthly		External	Auditor
Unit Offices/Project Offices				
Financial Audit	Quarterly	June, September, November, March	Internal	FMA Team (1 consultant +1 MA)
Management Audit	Annual	September	Internal	IOM/HRM Team (1 consultant +1 MA)

7.5 Implementation of decisions:

    7.5.1 The IOM domain shall track the decisions taken in Board Meetings, Advisory Meetings, and AGM for their implementation.

7.6 Institutional assessment by External Experts

    7.6.1 ALC India shall take up an institutional effectiveness assessment after completing ten years of operation to assess the institutional performance. This assessment shall be taken up sunsequently after every ten years.

    7.6.2 This will be taken up by a two-member team.

7.7 Adherence to ISO requirements:

    7.7.1 ALC India will also adhere to and regularly comply with ISO requirements.

7.8 Capability and Maturity Model (CMM) requirement:

    7.8.1 ALC India strives to adhere to the principles of capability and maturity model in order to produce required outcomes through behaviours, practices and processes.

8. Legal Compliances

8.1.1 ALC India intends to be a legally compliant organisation by complying with all necessary legal obligations as specified not only under the Companies Act but other Acts.

8.1.2 All domain heads shall track and comply with different legal aspects in the respective domain.

8.1.3 The CEO in consultation with the IOM domain head shall report different legal compliances to the board from time to time.

9. Linkages and Partnerships

9.1 **Purpose:**

    9.1.1 ALC India intends to enter into linkages/partnerships for increasing its outreach.

    9.1.2 ALC India shall enter into an MoU with suitable organisations for the linkage/partnership.

    9.1.3 The partnerships shall not be limited only to consulting but also extend to other activities which are in consonance with the objectives of the ALC India.

    9.1.4 The decision of partnership with any agency shall be taken solely by the CEO on a case to case basis.

    9.1.5 If required, some matters may be brought to the Board for approval.

    9.1.6 While entering into a partnership, it shall be ensured that the Objectives of ALC India are achieved i.e. equitable and sustainable economic development of the economically marginalised.

10. ANNEXURE 1: Board Meeting Compliance Report

#	Previous Board meeting decision	Action taken	Remarks
1			
2			
3			

11. ANNEXURE 2: Legal Compliances

#	Compliance	Act	Details

12. ANNEXURE 3: Template for Internal Audit Report

#	Indicator	Annual target	Compliance till previous quarter	Remarks
1				
2				
3				
4				

13. ANNEXURE 4: Template for Review of Last Quarter Audit

#	Comments and recommendation of last Quarter Internal Audit	ATR (Action Taken Report)	Remarks
1			
2			
3			
4			

14. ANNEXURE 5: Checklist for Internal Audit - Financial

14.1 PAYMENT VOUCHERS
14.1.1 Check voucher physical validity: (Ensure the following).
    14.1.1.1 Account head
    14.1.1.2 V. No.
    14.1.1.3 V date
    14.1.1.4 Receiver signature
    14.1.1.5 Revenue stamp (if required)
    14.1.1.6 Signature of person authorised to approve
    14.1.1.7 Amount in numbers and words Purpose
    14.1.1.8 Ch. No., Bank name
    14.1.1.9 Name and address of the person/ institution
    14.1.1.10 Purpose of payment
    14.1.1.11 Check chronology

14.2 . Ensure supporting Documents:
14.2.1 Clear bills for payment that is more than Rs. 50 in value
14.2.2 ALC India/client name on bills
14.2.3 Check calculations of bill (No. units * unit rate, tax rate, sub-total)
14.2.4 Check signature of the seller on bill
14.2.5 See abstract of the bills totals
14.2.6 Ensure bills with statement of expenses
14.2.7 Ensure signatures on expenses claim statements
14.2.8 Ensure passing of expenses by approved person
14.2.9 Ensure all expenses are within approved budget limits
14.2.10 Ensure that the claim bills are within time limit

14.2.11 Ensure sub totals of expenses sheets
14.2.12 Ensure that the bills and statements are under correct account heads

14.3 Receipts:

14.3.1 Check amounts with pay in slips
14.3.2 Check with invoices
14.3.3 Check Serial no. and date of receipt
14.3.4 Ensure original receipts were sent to recipients
14.3.5 Ensure all copies are written using carbon paper
14.3.6 Check chronology of receipts
14.3.7 Ensure signatures of the concerned persons for any corrections on receipts

14.4 Journals:

14.4.1 Ensure supporting documents for journals
14.4.2 Ensure proper approval of Journal vouchers
14.4.3 Ensure proper account heads written in Journal vouchers
14.4.4 Ensure validity of supporting documents
14.4.5 Ensure chronology of Journals
14.4.6 Check reasons for passing a journal Voucher

14.5 . Invoices

14.5.1 Check with contract agreements
14.5.2 Ensure amounts and compare with budgets
14.5.3 Check invoice numbers
14.5.4 Check with journal entries
14.5.5 Ensure Work done reports in attachments

14.6 . Contract Agreements:

14.6.1 Check signatures
14.6.2 Compare with invoices
14.6.3 Compare with completion reports
14.6.4 Check payments and balances, if any

14.7 Attendance Register:

14.7.1 Check with log sheets and claim sheets
14.7.2 Check with Leaves register

14.8 Tally Entries:

14.8.1 Ensure all entries were posted in correct a/c head, date and V. No,
         amount etc.
14.8.2 Ensure that the account was created in a proper group head
14.8.3 Ensure chronology

14.8.4 Ensure vouchers/receipts/journal entries are matched with hard copies of supporting documents

14.9 **. Assets & stock register:**

14.9.1 Check purchase details with voucher amounts
14.9.2 Check quality aspects of assets
14.9.3 Check approval of assets
14.9.4 Check guarantee cards
14.9.5 Check physical verification of assets and stocks

14.10 **Bank reconciliation statements**

14.10.1 Check all BRS statements and ensure with bank statements

ANNEXURE 6: Checklist for Internal Audit - Management

For each of the item, stipulated standard practice, actual existing practice, level of maintenance & status, gap, remarks and recommendations. This checklist has to be updated as and when domain wise audit is done.

15.1 **FMA:**

15.1.1 Inward register
15.1.2 Stationery register
15.1.3 Investment monitor
15.1.4 Monthly planner
15.1.5 Log sheets' analysis
15.1.6 Unit cost/standard cost analysis
15.1.7 Receivable s& payables statement
15.1.8 Annual plans
15.1.9 Weekly progress status
15.1.10 Associates
15.1.11 HR audit
15.1.12 CB Programs

15.2 **PPM:**

15.2.1 ToR – signatures, deliverables, time-line etc
15.2.2 Prior Budget & approval of the same
15.2.3 Approach paper & approval of the same
15.2.4 Wind up report & variance analysis
15.2.5 Client feedback
15.2.6 Other observations

16. ANNEXURE 7: Checklist for Internal Audit - Governance

16.1.1 Policies approved & in place against planned

16.1.2 Compliance of policies – check for the compliance of different aspects in each policy

16.1.3 Compliance of RoC matters

16.1.4 Monthly review meetings

16.1.5 Board meeting

16.1.6 Advisory meeting

16.1.7 AGM

16.1.8 Units

In meetings, presence of minutes, compliance to the meeting decisions, regularity of meetings, attendance and matters incidental to it.

****

Policy and Practice
Business Development and Communications
2015-16

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana – 500009
Phone: (040) 27891147, Email: info@alcindia.org, Web: www.alcindia.org

1. INTRODUCTION

This policy for Business Development and Communications for 2015-16 articulates:
 i) Activities, ii) Processes, iii) Standards and iv) Guidelines to be followed for the sub-components of the domain, namely:

- Business Development
- Communications
- Knowledge Management

2. SCOPE

This policy applies to all member entities of the Access Livelihoods Group (hereinafter referred to as AL Group) and, by extension, consultants who are part of one or more of the member entities. The AL Group member entities are:

a. Access Livelihoods Consulting India Ltd. (ALC India)
b. Access Tribal Livelihoods Services (ATLS)
c. Access Livelihood Development Finance (ALDF)

3. BUSINESS DEVELOPMENT

3.1 Definition

Business Development is the creation of long-term value for an organisation from customers, markets, and relationships. Business Development refers to the range of activities undertaken in line with ALC India's

a. Vision & Mission
b. Values
c. Targeted Outcomes
d. Business Models
e. Strategic Plans

In order to create significant opportunities for ALC India to transform the livelihoods of the economically marginalised communities, through enterprise creation and employment generation.

3.2 Business Models

3.2.1 Framework for Business Model

3.2.1.1 A business model describes the rationale of how an organisation creates, delivers and captures value.

3.2.1.2 The BDC domain will develop business models based on the Business Model Canvas (BMC) Framework with 9 building blocks covering: Stakeholder Segments, Value Proposition for Stakeholders, Stakeholder Relationships, Service Delivery Channels, Key Activities, Key Resources, Key Partners, Cost Structure and Revenue Streams.

3.2.2 Development of Business Models

The BDC domain is responsible for the development of ALC India's business models, in collaboration with the concerned divisions, domains and consultants. For each business model, BDC will create the following documents:

3.2.2.1 Business Model Canvas

3.2.2.2 Descriptive document elaborating the Business Model Canvas

3.2.2.3 Presentation to Stakeholders corresponding to the Business Model

3.3 Scanning the Environment

The BDC domain will focus on the external environment to prioritise existing opportunities and identify emerging opportunities, in line with ALC India's values and strategies, so that ALC India can respond appropriately.

3.4 **Processes**

3.4.1 **Identifying Opportunities**

3.4.2 **What to Target**
ALC India will focus on significant opportunities to transform livelihoods of the economically marginalised through Community Programme Services or Partner Programme Services.

3.4.3 **What to Avoid/Ignore**
ALC India will avoid opportunities (for instance, health or sanitation) that are in line with ALC India's focus on livelihoods and 10 communities.

3.4.4 **Assessing Opportunities**

3.4.5 **Parameters**
The following parameters will be used:
   a. Community
   b. Geography
   c. Partner
   d. Scale
   e. Scope to demonstrate model in scale
   f. Significance for impact

The above parameters and others will be finalised through discussions with the Management Committee, the CPS and PPS divisions and the BDC domain.

3.5 **Responding to Opportunities**

Consultants must respond to enquiries by articulating ALC India's differentiators and Value Proposition and fit for the opportunity in question.

3.6 **Progressing new Opportunities**

3.6.1 **Qualifying Leads**
Using a set of parameters, the BDC domain and concerned domains/consultants will qualify a lead for suitability.

3.7 **Pitching/Proposals**

The BDC domain will standardize the pitches or EOIs or proposals that are submitted in response to leads or enquiries.

3.7.1 **Follow-up**
The BDC domain will establish a system of follow-up, identifying roles for the lead domains and consultants.

3.8 **Negotiation**

The opportunities will be negotiated in line with ALC India's values and guidelines. The BDC domain will draw up a list of guidelines and share it with consultants. This will be done by the BDC domain after consultation with management.

3.9 **Database**

The BDC domain will, in close coordination with divisions, domains and unit offices maintain a database that captures contact details of key stakeholders, partners, strategies, verticals and details of long-term opportunities.

3.10 **From Services to Solutions**

The BDC domain will facilitate the development of a solution or product based on a well-established service of ALC India, provided the said service has significant demand from audiences.

3.10.1 **Dos and Don'ts**
The BDC domain will, through required consultations, spell out Dos and Don'ts that serve as a checklist and guideline to consultants for the business development activities undertaken, so that they promote ALC India's vision, mission and values.

3.11 **Standard Operating Procedures (SOPs)**

The BDC domain will, through required consultations, lay down SOPs for the work of business development.

3.12 **Coordination**

The BDC domain will, through required consultations, evolve a process and system for coordinating the work of business development. This process will include a periodic Business Development meeting.

3.13 **Budgets**

The BDC domain will explore a set of Business Development activities and develop a suitable budget to be approved by management for sustaining the BD activities.

3.14 Legal

The BDC domain will, with the guidance of management, identify substantial legal aspects, and ensure that BD activities are in accordance.

3.15 Performance

3.15.1 Tracking
Tracking BD performance will be automated and a BD report will be prepared every fortnight

3.15.2 Measurement
Measurement will be done as per a system to be articulated after appropriate consultations

3.15.3 Management
Management will be done as per a system to be articulated after appropriate consultations

3.15.4 Review
Review will be done as per a system to be articulated after appropriate consultations

3.16 Learning & Improvement

The BDC domain will facilitate an appropriate process to ensure learning related to the effectiveness and efficiency of the BD function and identify necessary areas of improvement.

4. COMMUNICATION

4.1 Branding

4.1.1 Brand Guidelines
The BDC domain will develop and present for the use of the entire organisation (across locations) a brand manual which will contain guidelines for communicating various aspects of ALC India to diverse audiences.

This brand guideline document will be shared with all users within ALC India and support them to communicate ALC India and its work with clarity and effectiveness.

4.2 Communication with Stakeholders

The BDC domain will ensure the creation and delivery of a consistent and meaningful interaction between ALC India and key partners and stakeholders. This will be done by understanding the experiences of distinct partner and stakeholder groups and integrating their expectations and ALC India's values to create a suitable system/solution.

4.3 Media

The BDC domain will ensure that ALC India leverages the online space to communicate ALC India's differentiator, value proposition and impact to various stakeholders and facilitate the initiation of meaningful interactions. In doing so, the BDC domain will focus on the following:

4.4 Online/Digital

1. ALC India website (ensuring the website is up to date and current)
2. ALC India blog
3. Social Media presence
4. E-newsletter
5. Search Engine Optimization

The BDC domain will develop a calendar through the year in order to optimise the website for performing well in search engine results, in line with ALC India's vision and mission and divisions, models, partners, consultants and services

4.5 Print

4.5.1 Annual Report
The BDC domain will write the annual report and facilitate the design, production, dissemination and archival of the annual report.

4.5.2 **Brochure**

The BDC domain will produce and maintain both hard and soft copies of the ALC India Brochure and Domain Brochures and update it once a year.

4.5.3 **Factsheet**

An ALC India factsheet will be developed to communicate a numerical sense of ALC India's work

4.6 **Development of Communication Material**

Divisions or domains that create communication material must compulsorily share the material with the leader of the domain, head of the concerned division, BDC and the CEO for review, before finalisation.

4.7 **Requesting Communication Material**

Divisions, domains or projects that want communication developed must first discuss the requirement with the BDC head and not directly with a team member of the BDC domain. Any feedback on the material so developed must be copied to the BDC domain head. Any issues regarding to the communication material must be addressed to the BDC domain head.

4.8 **Film/Video**

The BDC domain will produce a corporate film for ALC India.

4.9 **Communication Kit**

The BDC domain will, in collaboration with the internal users, develop suitable communication kits/packages for the use of the respective divisions and domains.

4.10 **Monitoring & Evaluation**

4.10.1 **Measuring Online/Digital Performance**

The BDC domain will identify and implement ways to measure the performance of the online initiatives and channels

4.11 **SOPs**

4.12 **Management of Google Apps Account**

The BDC domain will manage the Google Apps account. This will include:
i) exploring opportunities to leverage the capabilities offered by the Google Apps package
ii) creation, suspension, deletion and clean-up of official email accounts

4.13 Engaging Vendors

The BDC domain shall develop a set of guidelines that helps clear and effective engagement with all vendors engaged by the BDC domain

4.14 Authorized Spokespersons

The BDC domain will identify and ensure that correct information about ALC India is shared by authorised spokespersons

4.15 Internal Communication

4.15.1 Email Managing admin, info and reimagine accounts
The BDC domain shall manage the e-mail ids admin@alcindia.org, info@alcindia.org and reimagine@alcindia.org.

4.15.2 Creating email accounts
Upon joining ALC India, all full time consultants will be allotted an official e-mail id within 2 working days. The request for creating the email account should come from HRM.

4.15.2.1 Every Consultant should check their official mail on a daily basis and respond to it.

4.15.2.2 No person will use official mail id for personal purposes.

4.15.2.3 All e-mails and associated contents are the properties of ALC India.

4.16 Inventory Management

The BDC domain will maintain an inventory of soft and hard copies of all ALC India communication materials including ALC India brochure, Annual Reports and Domain Brochures.

4.17 External Communication

4.17.1 Brand Guidelines
All communications made will be accompanied with the logo for brand visibility of ALC India.

4.17.2 Format of Logo
Being the registered trademark, the logo of ALC India shall constitute the pictorial symbol and the name. Specifications of the logo to be followed at all times are provided in the Brand Manual.

4.17.3 **Misuse or Unauthorized use of logo**

Unauthorized use or misuse of the Logo will be prohibited and any such acts by any person or agency, as the case may be shall be liable to legal consequences. The logo is an unalterable registered trademark, and improper or unauthorised use is regarded as a breach of these procedures.

4.17.4 **Request for use of logo by external agency**

The request to use the logo by external individual/ group, as the case may be, will be decided by the CEO in consultation with the respective Domain Leader. The use of the Logo will state –

 a. Purpose for use of Logo

 b. Period (start date to end date) of using the Logo

 c. Place/ material where logo will be used (communication materials, websites)

On such communication, the concerned consultant must mark a copy to the BDC domain head.

4.18 **Access Livelihoods Group's tagline**

The Group's tagline is: Reimagine Livelihoods. All member entities shall use the tagline and the logo in reports, proposals, presentations and other communication material created.

4.19 **Copyright**

The BDC domain will be committed to follow and practice the provisions of Copyright Act, 1957.

5. KNOWLEDGE MANAGEMENT

5.1 Definition

Knowledge management (KM) is the process of capturing, developing, sharing, and effectively using organisational knowledge. It refers to a multi-disciplined approach to achieving organisational objectives by making the best use of knowledge.

ALC India aspires to be seen as a 'Thought Leader' in the livelihoods sector. Knowledge Management plays a critical role in the evolution and perception of ALC India as a primary and credible source of knowledge.

5.2 Internal Knowledge Management

5.2.1 Documents and Report Sharing
The BDC domain will design and standardize the formats of all internal documents in consultation with the respective domain – PMIS, PFMIS, Approach Papers, Winding Up Reports, Current Commitments, Monthly Planner, Business Development Reports, Consultants folder and CVs will be maintained by the responsible domains.

5.2.2 Standard Directories
The BDC domain will design and standardize the structure for storing files, both hard and soft copies, in the office shelves, individual laptops and organisation website, the audit of which will be done once in every 6 months.

5.2.3 E-Notice Board
The BDC domain will maintain an internal e-notice board for all consultants of ALC India to share information related to livelihoods and development of the economically marginalized.

5.2.4 Databases
The BDC domain will manage two databases: 1) partner database and 2) vendor database. The databases will be updated on a monthly basis.

5.3 Information Protection

5.3.1   Individual users will be responsible for protecting his/her password from being misused. Consultants will be responsible for bringing to the notice of the following people any suspected or confirmed case of misuse:

5.3.1.1 Head of the division under which the individual is engaged

5.3.1.2 Head of the IOS division

5.3.1.3 Head of the BDC domain

5.3.2   The admin or super user password will be with the FMA Domain Leader and BDC Domain Leader.

5.3.3   The BDC domain will suspend a user's account immediately after the person leaves the service of ALC India.

5.4 ALC India's Knowledge Framework

ALC India's knowledge framework will comprise the following:

5.4.1   **Communities**
BDC domain will curate content regarding the communities it works with and keep an archive of the same for use as and when required.

5.4.2   **Concepts**
Key concepts in the livelihoods sector

5.4.3   **Data**
Key macro, regional and micro data and studies

5.4.4   **Financing Livelihoods**
Solutions to finance the livelihoods of the economically marginalised

5.4.5   **Models**
ALC India's models and models practiced by other players in the livelihoods sector

5.4.6   **Sectors**
BDC domain will curate content regarding the latest happenings in the development sector and share the same with the consultants to keep them updated.

5.4.7   **Platforms**
   a. HR
   b. Finance
   c. Knowledge

5.4.8 **Services**

5.4.9 **Best Practices**

5.5 KNOWLEDGE MANAGEMENT MODEL

5.5.1 Knowledge Types
BDC domain will create a repository which will contain both internal as well as external resources on:
a. Articles
b. Case Studies
c. Films
d. Info-graphics
e. Interviews
f. Manuals
g. Presentations
h. Publications
i. Project Reports
j. Toolkits

5.6 KNOWLEDGE PLATFORM (Reimagine Livelihoods)

5.6.1 Detailed Report
a. Objectives
b. Audiences
c. Focus Areas
d. Partnerships
e. Management
f. IT

5.7 KNOWLEDGE CENTRE (Internal)

a. Online
b. Offline
c. Knowledge Repository

5.8 KNOWLEDGE MANAGEMENT PROCESS

a. Review
b. User feedback

5.9 KNOWLEDGE AUDIT

BDC domain will conduct knowledge audit of all consultants, at least twice in a year, every 6 months and once at the time of induction to know:
a. Knowledge Need Analysis

b. Knowledge Inventory Analysis
c. Knowledge Flow Analysis
d. Knowledge Mapping

5.10 SOPs

5.10.1 Engaging Vendors
The BDC domain will, through required consultations, lay down SOPs for engaging vendors.

5.11 LIBRARY

5.11.1 Resources
BDC domain will maintain and manage the ALC India Library consisting of books, journals, reports and CDs located at the central office.

5.11.2 **Library Management Guidelines**

  5.11.2.1 The library in-charge/librarian should be a member from FMA domain.

  5.11.2.2 Library keys will be in the safe custody of Project Executive of FMA domain.

  5.11.2.3 Working Hours: The library will be operated from Monday to Saturday (Except Public Holidays) between 10:00 am to 6:00 pm.

  5.11.2.4 Borrowing:

    5.11.2.4.1 No user will be entitled to borrow more than three books, reports or other material available in the library at a time.

    5.11.2.4.2 The maximum period of borrowing will be 15 days.

    5.11.2.4.3 The librarian or in-charge, as the case may be, may re-issue the books for a second consecutive time, if requested.

    5.11.2.4.4 However, the librarian or in-charge, as the case may be, will not reissue the books, reports for consecutive period, if there is request pending for the same books, reports.

  5.11.2.5 Fine:

    5.11.2.5.1 Failure to return books on time would compulsorily lead to penalty of Rs. 5 per day up to five days.

    5.11.2.5.2 If a user fails to return a book borrowed even after five days when return falls due, the fine will be Rs. 10 per day for the next five days.

    5.11.2.5.3 If the user fails to return the book after ten days from the due date of returning, then the fine will be Rs. 50 per day for the next 10 days.

    5.11.2.5.4 If a user fails to return the book after 20 days, the user will be liable to pay the fine with actual cost of the book.

    5.11.2.5.5 If the cost of a book is not available in the records, a cost will be fixed at the discretion of the librarian

    5.11.2.5.6 Notwithstanding anything mentioned above, a user is not liable to pay fine/ penalty if the person satisfies the librarian with reasonable grounds for doing so.

  5.11.2.6 Loss or Damage:

5.11.2.6.1 In case a user loses a book, the person has to either replace the book or deposit the actual price of the book in the library with additional charges of expenses incurred in buying the new copy.

5.11.2.6.2 If cost of book is not available in the records, it will be at the discretion of the librarian to decide the price of the cost.

5.11.2.7 Organizing the material: The reading material will be arranged in a systematic manner where each material will have a unique code. Example: B/ Initials of author (3 words)/ publication yr./ Entry No./ copy (a/b).

5.11.2.8 Book Donations: The library accepts donation of manuscripts, books, periodicals, special publications, audio - visual materials, electronic materials etc., from individuals and institutions. Requests for making such donations may be made to the librarian. The decision of whether the offer is being accepted or rejected is communicated directly by librarian to potential donors in due course of time.

6. USAGE OF TERMS

Terms to be Used	Terms Not to be used
ALC India	ALC/ ALCI
Consulting Service	Advisory Service
Development agency	NGOs/VDOs
Domain	Department
Direct and Indirect projects	Implementation projects
Economically marginalised	Poor
Human Resource	Manpower
Man/Woman	Male/Female
Person	He/She (Notwithstanding the fact that some of the other organizational policies themselves use these terms)
Person days	Man days
Surplus	Profit
Surplus Centre	Profit Centre

7. ACRONYMS

BD	Business Development
CSD	Communication System Design
IMC	Integrated Marketing Communication
KR	Knowledge Repository

Policy and Practice
Project Quality and Management
2015-16

Access Livelihoods Consulting India Limited
Plot No. 4, Matrunilayam, Telephone Office Lane,
Sai Nagar Colony, Picket, Secunderabad, Telangana. – 500009
Phone: (040) 27891147/40177321, Email: info@alcindia.org, Web: www.alcindia.org

1   INTRODUCTION

Programme Quality Management domain comes under the "Internal Operations Services" division.

1.1   Objective

Programme Quality Management is responsible for the efficiency and effectiveness of the projects and programmes running under the organisation.

1.1.1   The main objective of the domain is
   1.1.1.1   To monitor and control the cost status of the project and programme
   1.1.1.2   To monitor and control the time status of the project and programme
   1.1.1.3   To ensure the quality of the deliverables to the partners

Programme Quality Management domain will directly report to the Chief Executive Officer (CEO).

2   CLASSIFICATION OF PROGRAMMES

In the financial year 2015-16, the programmes are classified into the following four categories:

Partner Programme Services
Community Programme Services
Livelihoods Programme Services
Internal Operation Services

2.1   **Partner Programme Services.**

PPS caters to the need of producers/ community indirectly through various livelihood partners. The main focus of PPS is on short-term projects and provides solutions to different parts of the value chain.

2.1.1   **The broader product portfolio of PPS division is as follows:**
2.1.1.1   Research and Studies
2.1.1.2   Assessment and Audits
2.1.1.3   Training and Capacity Building
2.1.1.4   Strategy and Planning
2.1.1.5   Rating Services

2.1.2   **The detailed product portfolio of PPS division:**
2.1.2.1   Evolving Enterprise Design
2.1.2.2   Organizing Enterprises
2.1.2.3   Navigating Markets
2.1.2.4   Sustaining the Design
2.1.2.5   Raising Resources
2.1.2.6   Nurturing Abilities
2.1.2.7   Connecting to Stakeholders

2.2   **Community Programme Services.**

2.2.1   **CPS comprises of four programmes:**
2.2.1.1   Farmer Enterprise Programme
2.2.1.2   Artisans Enterprise Programme
2.2.1.3   Livestock Enterprise Programme
2.2.1.4   Tribal Enterprise Programme

CPS caters to the needs of the producers/ community directly, through various funding and technical partners. The major focus of CPS is on long-term or turnkey projects and it provides end-to-end solutions for the entire value chain.

2.3   **Livelihood Programme Services (LPI)**
2.3.1   **LPI comprises of 2 domains, namely**
2.3.1.1   Information Technology Initiatives
2.3.1.2   Livelihoods Model Research

LPI caters to the needs of producers/ community by piloting innovative livelihood models and experimenting with different technologies. The LPI division functions as a research and development wing for the organisation.

2.4   **Internal Operation Services (IOS)**

2.4.1   IOS comprises of 5 domains, namely

    2.4.1.1   Program Quality Management
    2.4.1.2   Human Resource Management
    2.4.1.3   Institution and Organisation Management
    2.4.1.4   Finance Management and Administration
    2.4.1.5   Business Development and Communication

2.4.2   IOS caters to the need of producers/ community by managing the internal health of the organisation. The IOS division handles the internal operations of the organisation.

2.4.3   Programme Quality Management and Business Development and Communication domain will directly report to the CEO.

3   CLASSIFICATION OF PROJECTS

In ALC India, projects are classified based on the size and type.

3.1   Type of Projects

In ALC India there are three different types of projects, namely (a) Consulting (b) Overhead and (c) Investment;

3.1.1 Consulting

The projects that directly generate revenue for the organisation are "Consulting projects". Consulting projects are divided into two categories:

3.1.1.1   External Consulting:
External consulting projects are projects undertaken for external organisations on the basis of an official contract or legal document. Revenue is assured for the organization in this category.

3.1.1.2   Internal Consulting:
Internal consulting projects are strategic projects, which are initiated by the organisation to have specified impact where no partner is directly involved with any legal mandate. Revenue is not assured in this category.

The projects offered by CPS to PPS also come under this category.

3.1.2 Overhead

The projects which deal with internal functions of the organisation, to streamline the operations are "Overhead Projects". Overhead projects do not generate direct revenue for the organisation.

3.1.3 Investment

The projects in which investments are made to generate recurring revenue in the future are "Investment projects".

3.2   Size of Projects

In ALC India, there are two different sizes of projects, namely

3.2.1 Short Term Projects
3.2.2 Long Term Projects

Table 1- Size of Projects

#	Size of Project	PPS	CPS	IOS
1	Short Term Projects	Duration of less than 6 months or amount less than Rs. 20,00,000	Not Applicable	Duration of less than 6 months or amount less than Rs. 2,50,000
2	Long Term Projects	Duration of more than 6 months or amount more than Rs. 20,00,000	All the projects comes under this category	Duration of more than 6 months or amount more than Rs. 2,50,000

3.3   **Relationship between Projects and Programmes (As per size and type)**

Table 2: Correlation between Projects and Programme

#	Size of Project	Consulting External	Internal	Overhead	Investment
1	Short Term Projects	Duration of less than 6 months or amount less than Rs. 20,00,000	Duration of less than 6 months or amount less than Rs. 2,50,000	Duration of less than 6 months or amount less than Rs. 2,50,000	Duration of less than 6 months or amount less than Rs. 2,50,000
2	Long Term Projects	Duration of more than 6 months or amount more than Rs. 20,00,000	Duration of more than 6 months or amount more than Rs. 2,50,000	Duration of more than 6 months or amount more than Rs. 2,50,000	Duration of more than 6 months or amount more than Rs. 2,50,000

3.4   **Classification of Team**

3.4.1   Standard Classification

3.4.2   Team Leader

The team leader is the anchor of the project and directly responsible for delivering to the partner. He/She is responsible for timely completion of the project within the specified budget and quality parameters as per the given contract or ToR. It is mandatory to be a part of minimum two successful projects as a team member with minimum 2 years of professional experience to qualify for the team leader position. Following are the key responsibilities of a team leader:

Project planningWork allocation and guiding of team members
- ✓ Interaction and coordination with client
- ✓ Project cost and time control
- ✓ Delivering quality output
- ✓ Ensuring compliance to project operations

3.4.3   Quality Leader

Quality leaders are mostly experienced individuals in the given sector and subject. It is mandatory for the Quality Leader to have handled successfully at least 2 similar assignments to qualify for the position of Quality Leader. Following are the key responsibilities of a quality leader:
- ✓ Guide team leader and team members at critical steps
- ✓ Check and verify the deliverables
- ✓ Bridge the gap between client expectation and deliverables

3.4.4   Project Coordinator

A Project coordinator is mandatory for long-term projects. The Project Coordinator directly reports to the team leader or project director. The Project coordinator is allocated to the project based on the complexity of the project: multiple teams, multiple locations and multiple sub-projects. Following are the key responsibilities of a project coordinator:

- ✓ Generating project progress reports
- ✓ Coordinating between team leader and team members
- ✓ Preparing project minutes and statements
- ✓ Research and data analysis
- ✓ Project logistic arrangements

3.4.5   Team Members

The selection of team members should be done jointly by the team leader and quality leader. All the team members have to be selected based on the required expertise and skill in the project. Team members need to report to the team leader about project progress and deliverables. Team members need to work as per the approach paper and they are responsible for the quality of the deliverables along with the team leader.

3.5   Project Classification

3.5.1   Studies and Research

3.5.1.1   Study In charge
Study in-charge is the team leader of the project and he/ she is responsible for the team management and final deliverables of the project.

3.5.1.2   Quality Guide
Quality guide will help the study in-charge in designing the project and will guide him/ her at different stages of the study and research project.

3.5.1.3   Field Investigators
Field investigator will ensure the quality of data collection in the field and will monitor and guide the field enumerators in the data collection process.

3.5.1.4   Field Enumerators
Field enumerators are responsible for data collection and conduct 1 to 1 in-depth interviews of households.

3.5.1.5   Data Analyst
Data Analyst is responsible for the data cleaning and data analysis.

3.5.1.6   Data Entry Operator
Data Entry Operator will be responsible for data entry in the master sheet.

3.5.1.7   Project Coordinator
Please refer to sub-section "3.1.6.3"

3.5.1.8   Capacity Building and Training

3.5.1.9   Content Expert
Content Expert will be the one who has expertise in the subject for which training is being given. He/ She will create or obtain and modify the desired modules required for that particular project.

3.5.1.10   Senior Facilitator
The Senior Facilitator will be responsible for the training and will conduct the main sessions. He/She can be from within the organisation or can be hired from outside (external agency)

3.5.1.11   Junior Facilitator
The Junior Facilitator will moderate the training sessions and will ensure the timely completion of sessions.

3.5.1.12   Project Coordinator
Please refer sub-section "3.1.6.3"

3.5.1.13   Cartoonist (Optional)
A Cartoonist is required to give pictorial representation in the module as per the requirement of the content expert.

3.5.2   Strategy and Planning

3.5.2.1   Business Plan Expert
The Business Plan Expert will ensure the completion of a quality business plan with accurate facts, figures and logic.

3.5.2.2   Data Analyst
The Data Analyst will analyze the data provided by the research expert and will further provide it to the business plan expert.

3.5.2.3   Research Expert
The Research Expert will do both primary and secondary research and will provide the information to both the data analyst and business plan expert.

3.5.2.4   Project Coordinator
Please refer sub-section "3.1.6.3"

3.5.3   Assessment and Audits

3.5.3.1   Senior Auditor
The Senior Auditor will be responsible for conducting the audit and he will ensure content delivery of the audit.

3.5.3.2   Junior Auditor
The Junior Auditor will moderate the audit and will be performing the initial activities (preparation of work programmes and schedules).

3.5.3.3   Project Coordinator
Please refer sub-section "3.1.6.3"

3.5.4   Rating Services

3.5.4.1   Senior Analyst
The Senior Analyst is the anchor person and he/she is responsible for designing rating tools based on assessments and research.

3.5.4.2   Junior Analyst
The Junior Analyst will work as per the guidelines given by the Senior Analyst. He/She will be responsible for the data analysis.

3.5.4.3   Project Coordinator
Please refer sub-section "3.1.6.3"

3.5.5   Long Term Implementation

3.5.5.1   Project Director
 The Project Director will report to the CPS division head. He/ She will be the team leader of the project and will ensure the deliverables of the project.

3.5.5.2   Project Coordinator
Please refer sub-section "3.1.6.3"

3.5.5.3   Regional Manager
The Regional Manager will be responsible for more than 1 project office and will report to the Project Director.

3.5.5.4   Project Manager
The Project manager will be responsible for 1 project office and will report to regional management (in the absence of regional manager, he/she will report to the Project Director)

3.5.5.5   IDE
Institutional Development Executive (IDE) will directly work with the primary producer and help them develop the people's institution. He/ She will report to the Project Manager.

3.5.5.6   SMS
Subject Matter Specialist will guide the primary producer on the technical aspects of the primary production. He/ She will report to the Project Manager.

3.5.5.7   Accountant
The Accountant will ensure all the account related activities (bill settlement and other activities)

4   PROJECT MANAGEMENT CYCLE

Figure 1: Project Management Cycle

Business Development Process	Project Management Process
Step 1: Lead Generation	**Step 5:** Understanding the Contract or ToR
Step 2: Expression of Interest	**Step 6:** Project Planning
Step 3: Request for Proposal	**Step 7:** Implementation and Assessment
Step 4: Acceptance of Contract or ToR	**Step 8:** Project Closure
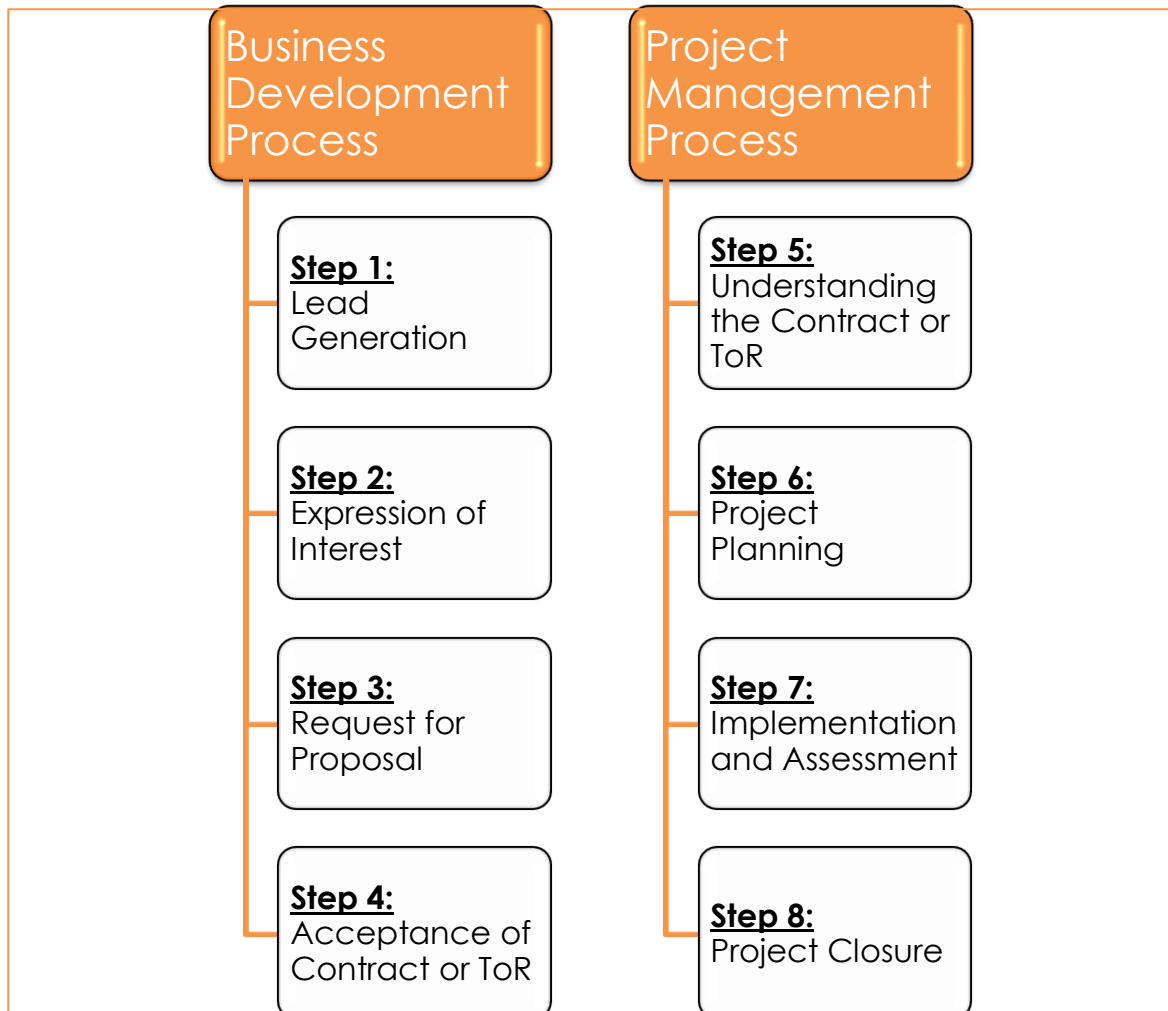
4.1   BUSINESS DEVELOPMENT

4.1.1   Lead Generation (STEP: 1)

The business development process begins with lead generation and it can be done through the following ways:

4.1.1.1   Existing client
4.1.1.2   New client

4.1.2   EXPRESSION OF INTEREST (EoI) :(STEP: 2)

An Expression of Interest is usually invited by the client from interested consulting organisations or service providers to take the assignment with a reflection of their capacity on the following parameters:

4.1.2.1   Past relevant experience
4.1.2.2   Financial health of the organization
4.1.2.3   Human resource detail
4.1.2.4   Rationale for interest in the assignment

An Expression of Interest is usually asked by new clients or government institutions to authenticate the process. All organisations do not ask for an EoI, some skip this step and directly Request for Proposal (RFP)

4.1.3   Request for Proposal (RFP): (STEP 3)
Once the EoI is accepted, clients then request a proposal. A proposal usually deals with following aspects:
4.1.3.1   Introduction of the Project
4.1.3.2   Project Objectives
4.1.3.3   Methodology
4.1.3.4   Activity Timeline
4.1.3.5   Human Resources
4.1.3.6   Budget
4.1.3.7   Terms and Conditions

4.1.4   Acceptance of contract or ToR: (STEP 4)
Once the proposal is accepted by the client, the next step is the signing of the contract by both parties. The following aspects are usually covered in the contract:
4.1.4.1   Deliverables
4.1.4.2   Budget
4.1.4.3   Payment Schedule
4.1.4.4   Terms and Conditions
4.1.4.5   Signature and Seal (Both Parties)

4.2   **Project Management**

4.2.1 Understanding the contract or ToR (Step: 5)
Once the contract is signed, it is very important for the concerned authorities to understand the same and plan accordingly.

4.2.2 Project Planning (Step: 6)
At ALC India, project planning is done jointly by the team leader and quality leader. Planning is done based on the given ToR or Contract. Project planning comprises of project objectives, deliverables and milestones, expertise and skill required for the task, allocated budget and timeline.

4.2.3 Implementation and Assessment (Step: 7)
Once the planning is completed, the project implementation phase is started. The assessment of the project is done on a periodic basis throughout the project life cycle by using different tools. The tools and mechanisms used for periodic assessments are:
1. Project Progress and Budget Tracker
2. Programme Audits
3. Project Audits
4. Mid-term Evaluation
5. Weekly Progress/ Fortnightly Progress Report

4.2.4 Project Closure (Step: 8)
Project closure is initiated once the project is completed from the client side. Project closure comprises of financial closing, client feedback, internal assessment and project learning. The tool used for project closure is Winding-up report.

5   DEFINE TOOLS AND PROCESS FOR PROJECT MANAGEMENT

5.1   **Partner Programme Services/Internal Operation Services**

5.1.1   ToR
ToR or contract is the legal document that defines the terms and condition between both the parties (Partner and ALC India)

5.1.2   Approach Paper
The Approach Paper is a planning tool used at ALC India. The Approach Paper is prepared based on the contract and it provides guidelines for the consultants throughout the project period. The following sections are covered in the approach paper:

    5.1.2.1   Objectives and deliverables
    5.1.2.2   Methodology
    5.1.2.3   Work plan
    5.1.2.4   Team detail
    5.1.2.5   Activity wise human resource budgeting
    5.1.2.6   Budget summary
    5.1.2.7   Format of report
    5.1.2.8   Probable risk

It is mandatory to submit the approach paper before initiating the project.

5.1.3   Project Progress and Budget Tracker
Project Progress and Budget Tracker (PP&BT) is the monitoring tool used for tracking the following:

    5.1.3.1   Time status of project
    5.1.3.2   Cost status of project

It is used as a tool by the team leader for decision-making and it is prepared periodically throughout the duration of the project. It is mandatory to submit the PP&BT for all ongoing projects.

5.1.4   Winding-up Report
Winding-up report is the project closure document. It is mandatory to prepare the winding-up report for each completed project and the team leader is responsible for preparing the report. The Winding-up report comprises of the following sections:

    5.1.4.1   Activity variance
    5.1.4.2   Financial variance
    5.1.4.3   Issues and learning's
    5.1.4.4   Internal assessment
    5.1.4.5   External assessment (Client Feedback)

Winding-up reports help improve project performance in similar assignments in the future.

5.1.5   Project Evaluation
5.1.5.1   Client Feedback Form

It is important to get the client feedback form filled by clients once the project is completed. It helps the organisation to better understand the partner satisfaction level based on the following points:

   i. Time compliance aspects
   ii. Communication aspects
   iii. Quality and other aspects
   iv. The Quality Leader and Team Leader are responsible for getting client feedback.

5.1.6   Internal Assessment

Internal assessment is divided into two parts:

1. Internal Project Assessment
2. Internal Team Assessment

It is mandatory to conduct an assessment meeting while closing the project. During the closing meeting, internal project assessment is done by all the team members along with the PQM team (atleast 1 PQM team representative should be present during this assessment). Once the project assessment is done, all the members need to rate each other on the given parameters.

5.2   Community Programme Services

5.2.1   ToR
Please refer to sub-section "5.1.1"

5.2.2   Approach Paper
Please refer to sub-section "5.1.2"

5.2.3   Project Progress and Budget Tracker
Please refer to sub-section "5.1.3"

5.2.4   Operational Guidelines
A separate operational guideline is prepared for each project under CPS division. Operational guidelines help in the smooth functioning of the project. Operational guidelines mainly cover the following aspects:

5.2.4.1   Administration
5.2.4.2   Finance Management
5.2.4.3   Human Resource Management
5.2.4.4   Project Management

It is mandatory to prepare operational guidelines for CPS projects during pre-operative phase. The guidelines are prepared by the Project Director.

5.2.5   **Creation of Sub-projects:**

CPS projects are considered to be long-term projects, hence it becomes important to create sub-projects for proper functioning and quality deliverables. Once the sub-projects are created, it is mandatory to perform the entire project management cycle. In case of sub-projects offered to PPS division, it is mandatory for both the parties to sign the contract or ToR.

The sub-projects are created based on the indicators, deliverables and phases. Any activity whose budget is more than Rs. 2,50,000 can be created as a sub-project.

5.2.6   **Creation of Accounting System**

It is mandatory to design a separate accounting system for each CPS division project. The Tally Tree has been designed based on sub-projects and utilisation certificate components.

5.2.7   **Fortnightly Progress Report**

It is mandatory to submit the fortnightly progress report of CPS project to PQM domain along with CPS division head, CPO and CEO (if required). Fortnightly progress report focuses on the following aspects:
1. Actual activity status against the planned activities for the month
2. Actual completion date against the planned deadline for the month
It is a decision-making tool for the Project Director and other senior management for smooth functioning of the project.

5.2.8   **Assessments and Audits**
   5.2.8.1   **Programme Audits**
   It is mandatory for PQM Domain to conduct the quarterly programme audit for CPS projects. The Programme audit is designed, based on the following:
       i.   Project timeframe based audit (For specific quarter, with specific start and end dates)
      ii.   Analyzing the project time and cost performance
     iii.   Analyzing the quality of deliverables
      iv.   Analyzing the process followed against the operational guidelines
       v.   Review of action points of previous audit report
   Programme audit report is submitted to the Project Director, Division head, CPO and CEO. The project team needs to work on the suggestions and actions points given in the report.

5.2.9   **Mid Term Evaluations**

   It is mandatory for the PQM Domain to conduct the midterm evaluation of CPS division projects, once half the project cycle is completed (For instance, if the project duration is 2 years, the midterm evaluation needs to be done after an year).

Midterm evaluations help management to understand the status of the project after completion of half the project duration and accordingly decisions are taken for the rest of cycle.

5.2.10 Winding-up Report
Please refer to sub-section "5.1.4"

5.2.11 **Project Evaluation**
Please refer to sub-section "5.1.5"

5.3   **Other tools**

5.3.1   **Monthly Planner**
The Monthly Planner is a very important tool for planning; it captures project wise and individual wise planning for the specific month. The Monthly Planner is prepared by PQM team members in consultation with all the division heads in the organisation.
It is mandatory to submit the monthly planner at the start of the month, following the monthly meeting of the division and domain heads.

5.3.2   **PMIS Report**
The PMIS report provides the performance of all the current projects at ALC India in the financial year. The information captured in the PMIS reports is as follows:

- 5.3.2.1   Basic Information (Project Name, Project Description, Team Leader Code, Quality Leader Code, Partner Name)
- 5.3.2.2   Financial Information (ToR Value, Approach Paper Value, Actual Expenses)
- 5.3.2.3   Time status (Start date, End date, Completion status)
- 5.3.2.4   Process Status (ToR, Approach Paper, PP&BT, Winding Report and Client Feedback Form)

It is mandatory for the PQM team to submit the report every month. (It is submitted in the 2nd week of the month.

6   Project Quality Assessment

Individual Quality Assessment Score" is divided into the following categories:
i)   Internal Assessment
ii)   External Assessment

6.1   6.1 Internal Assessment

6.1.1   The assessment is done jointly by the Team leader and Quality Leader.
6.1.2   The project is assessed only after the winding-up report is received.

6.2   External Assessment

6.2.1   This is the score given by the external client (extracted from the external client feedback)
6.2.2   This score is computed only after the client feedback is received.

Table 3: Score Bifurcations.

#	Particulars	Partner Programme Services	Internal Operation Services	Community Programme Services
I	Scoring Details			
A	Score Weightages			
1	Consulting Projects	100%	30%	
2	Overhead Projects		70%	
3	Turnkey Projects			100%
B	Project Score Distribution			
C	Project Assessment Distribution			
1	External	40%		40%
2	Internal	60%	100%	60%

7   ANNEXURE

7.1   **7.1 Project Approach Paper template**

Project Management Work Book

Project Details

Project Code		Client Name	
Project Name		Concerned Person	
Project Start Date		E-mail	
Project End Date		Contact Number	
Project Value		Project Margin	

Team Details

Team Leader		Quality Leader	

Team Member 1		Team Member 2	
Team Member 3		Team Member 4	
Team Member 5		Team Member 6	
Team Member 7		Project Advisor	

#	Objectives
1	
2	
3	
4	

#	Deliverables
1	
2	
3	

7.2   **7.2 Methodology:**

	Methodology		
#	**Activity List**	**Description**	**Measurable Detail**
A	**Pre-Field Activities**		
1			
2			
3			
4			
B	**Field Study**		
5			
6			
7			
8			
9			
10			
11			
C	**Post Field Study**		
12			
13			
14			
15			
16			
17			
18			
19			

#	Activity List	Stage	GVK	PAS	CNM	PAG	Associate
A	**Pre-Field Activities**						
1							
2							
3							
4							
B	**Field Study**						
5							
6							
7							
8	Preliminary activities	Field					
9							
10							
11							
12							
13							
14							
C	**Post Field Study**						
15							
16							
17							
18							
19							
20							

Activity wise HR-Budgeting

#	Activity List	Stage	GVK	PAS	CNM	PAG	Associate	AYK	Total	Cumulative Total	Scheduled Date
A	Pre-Field Activities										
B	Field Study										
C	Post Field Study										
D	TOTAL HUMAN RESOURCE COST										

Budget Summary

#	Particulars	Unit	No	Unit Cost	Total
1	**Resource Persons**				
1		Days			
2		Days			
3		Days			
4		Days			
5		Days			
6		Days			
7		Days			

		No of people	No of days	Unit Cost	
A	Total HR Cost- exclusive of service tax				
	Service tax @ 12.36%				
I	Total HR Cost - inclusive of service tax				
2	Other Incidentals*	No of people	No of days	Unit Cost	
a	Travel				
i	a) Flight Trips to and Fro				
ii	b) Train trips (To and Fro)				
iii	c)Local Conveyance				
b	Lodging				
i	District				
ii	Block				
iii	Consultative meet				
c	Boarding				
i	District				
ii	Block				
iii	Consultative meet				
d	Printing and Stationery	Lumpsum			
e	Communication	Lumpsum			
f	Miscellaneous	Lumpsum			
II	Total Incidental Cost (a+b+c+d+e+f)				
III	Total estimated budget (I+II)				

Report Structure

#	Sections	Details	No of Pages
Structure of Report		
1	Background		
2	Objective of Study		
3	Methodology		
4	Current Sectorial Scenario		
5	Challenges and Issues		
6	Potential Sub Sectors		
7	Livelihoods mapping Study Analysis		
8	Identified Potential Interventions		
9	Capacity Building Scope		
10	Action Plan		
11	Recommendations		
12	Annexures		
	Total Number of Pages		

Risks

#	Type of Risk	Description	Concerned Area	Probable solution
	Risks			
1				
2				
3				
4				
5				

Benefits to Community				
#	**Area of Project**	**Community Details**	**Outreach**	**Outreach No.**
1				
2				
3				
4				

Client Feedback form

Access Livelihoods Consulting India (ALC India) is a professional management consulting organization working for sustainable livelihoods of the economically marginalized. Delivering best quality service in our consulting and other assignments is an important stance that ALC India has taken in pursuance of its value of excellence.

In this regard, we seek feedback from you for the project that we have done. This feedback goes a long way in improving our systems and thus providing the best quality services to meet the client needs. Please give your feedback by mentioning the score that best reflect your opinion and also by your overall remarks on the project.

Name of the organization:	
Name of project & location:	
Team leader from ALC India:	

Name of the respondent:	
Designation:	
Contact number:	
E-mail:	
Date & place:	

#	Parameters	Rank	Score	Weightage	Actual Score (Score* Weightage)
1	**Time Compliance aspects:**			15%	0.00
i.	Work initiation (Field as well as In-house)				
ii	Midterm Deliverable				
iii	Presentation (if applicable)				
iv	Final deliverable				
v	Financial transactions (sending bills, accounts settlement etc.) were followed in the project				
vi	Overall rating on time compliance				
	Sub Total			**15%**	
2	**Communication aspects:**			15%	0.00
i.	changes in the deliverables (schedules, reports etc.) as mutually agreed upon				
ii	Timely delivery of information				
iii	Timely information and updation regarding the progress of assignments				
iv	Overall rating on communication				
	Sub Total			**15%**	
3	**Quality and other aspects:**			50%	0.00

i.	Quality of plan preparation (Methodology, Sampling, Timeline etc)				
ii	Quality of deliverable vis-à-vis requirement				
iii	Extent of suggestions/recommendations made in the project is valid				
iv	Overall Cost Effectiveness				
v	Overall Project Quality				
	Sub Total			**50%**	
4	**ALC India as preference for Future Projects (Client Delight)**			20%	0.00
i	**ALC India as preferred choice by the organisation**				
ii	**Recommending ALC India to other organisations**				
	Sub Total			**20%**	
	Total			**100%**	

Reference table for Grading.

Grades on Time Compliance	Rank	Score
Very Well in Time	5	2
Well in Time	4	1
Just in Time	3	0
Slight delay in Time	2	-1
Not at all in Time	1	-2
Grades on Quality of Deliverables	**Rank**	**Score**
Very Good	5	2
Good	4	1
Average	3	0

	Rank	Score
Economically Marginalized	2	-1
Very Economically Marginalized	1	-2
Grades on Communication	**Rank**	**Score**
Very Regular	5	2
Regular	4	1
Average	3	0
Few Times	2	-1
Never	1	-2
Grades on Preference for future projects	**Rank**	**Score**
Yes		2
No		0

Thank you very much for giving us your valuable Time & Feedback

Internal Quality Assessment Form

Internal Evaluation	
Project Name	
Organization	
Team Leader	
Quality Leader	
Date of Assessment	

#	Performance Indicators	% Achievement	Score	Weightage	Actual Score (Score*Weightage)	Remarks
1	**Goal Attainment (Deliverables as specified by client / required by projects)**	**0**		**20%**	**0.00**	
(i)				4%	0.00	
(ii)				4%	0.00	
(iii)				4%	0.00	
(iv)				4%	0.00	
(v)				4%	0.00	
2	**Project Time Compliance**	**0**		**20%**	**0.00**	
(i)	Work Initiation (Field and In house)			4%	0.00	
(ii)	Draft Submission			4%	0.00	
(iii)	Presentation / Final deliverable			4%	0.00	
(iv)	Financial Transactions			4%	0.00	
(v)	Overall rating on Time compliance			4%	0.00	
3	**Project Communication**	**0**		**10%**	**0.00**	
(i)	Changes in the schedules to Clients			2%	0.00	
(ii)	Changes in the schedules to Team			2%	0.00	
(iii)	Project Progress to client			2%	0.00	
(iv)	Project progress to QAS Team			2%	0.00	
(v)	Overall rating on communication			2%	0.00	
4	**Project Quality**	**0**		**20%**	**0.00**	
(i)	Quality of Plan (Methodology, Sampling etc.)			4%	0.00	
(ii)	Quality of draft			4%	0.00	
(iii)	Presentation			4%	0.00	
(iv)	Final output delivered			4%	0.00	
(v)	Overall Project quality			4%	0.00	

	5	Budget Vs. Actual Expenses Variation			10%	0.00
	6	Net Surplus			10%	0.00
	7	Benefit to Community Members			10%	0.00
		Final Score			100%	0.00

Grades on Goal Attainment	% Achievement	Score
Excellent	>=90 %	2
Good	>=81% to <90%	1
Okay	>=61% to <81%	0
Bad	>=50% to <61%	-1
Very bad	< 50%	-2
Grades on Time Compliance		Score
Well in time		2
Just in Time		0
Not in time		-2
Grades on Project Communication		Score
Regular		2
Average		0
Never		-2
Grades on Project Quality		Score
Excellent		2
Good		1
Average		0

Economically marginalized		-1
Very Economically		-2
Marginalized		
Grades on Budget Variation	**% Achievement**	**Score**
Excellent	<=5%	2
Good	>5% to <=10%	1
Okay	>10% to <=15%	0
Bad	>15% to <=20%	-1
Very bad	>20%	-2
Grades on Net Surplus		**Score**
Positive		2
Expected		0
Negative		-2
Grades on Benefit to Community Members	**% Achievement**	**Score**
Good	>=75%	2
Okay	>=25% to <75%	1
Not Satisfactory	<25%	0

WINDING UP REPORT
   Activity Variance

#	Activity List	Stage	Scheduled Date	Implemented Date	Reason for Non Compliance
	Actual Implementation Schedule				
A	Developing Approach paper				
B	Impact Assessment Study				
	Pre -Field Visit				
2	Secondary research				
3	Designing tools.				
4	Finalization of tool with client.				
5	Field plan preparation.				
C	Field Study				
6	Survey(IDI)				
7	Focus group discussion -(7 FGDs)				
8	Interview with officials				
9	Review of project related documents				
D	Post-Field Study				
10	Data entry & Data Cleaning				
11	Data analysis				
12	Report preparation				
13	Submission of final report of the key findings				
Total					

Financial Variance

S.N	Particulars	Unit	No	Unit Cost	Total
	Actual Budget				
1	**Resource Persons**				
A		Days			
B		Days			
C		Days			
E		Days			
F		Days			
G		Days			
H		Days			
I		Days			
J		Days			
K		Days			
L	Sub Total (A)				
	Service Tax (B) (10.3%)				
	Total HR Cost (C)				
2	**Field Execution**				
I	Travel				-
	a) Flight Trips to and Fro	Number			-
	b) Train trips (To and Fro)	Trips			-
	c)Local Conveyance	Days			-
II	Lodging	Days			-
	Mandal level				-
	District				-
	State/metro				-
III	Boarding	Days			-

	Mandal level				-
	District				-
	State/metro				-
IV	Printing and Stationery	Lumpsum			
V	Communication	Lumpsum			
VI	Miscellaneous	Lumpsum			
	Sub Total (D)				-
	Sub Total (E)				**-**
3	**Grand Total (E+D)**				
4	Budget as Per Approach Paper				
5	Variance				
6	% Variance				

Issues and Learnings.

#	Issues	Learnings	Areas of improvement
1			
2			
3			
4			
5			
6			
7			
8			

Weekly Progress Sheet

Weekly Progress:

#	Project Name	Planned Activity	Point Person	Status as on Date (Ongoing/ Completed/ On hold)	Deadline				
				Consulting					

Monthly Planer

#	Working domain	Project	Domain wise individual details									Total Days
			PPS	**AEP**	**FEP**	**ALDF**	**PQM**	**IOS_HRM**	**IOS_IOM**	**IOS_FMA**	**BDC**	
			Member code									
Consulting	**CPS_FEP**											
	CPS_AEP											
	ALDF											
	PPS											
Consulting Total												
Overhead	**BDC**											
	PQM											
	IOS_HRM											
	IOS_IOM											
	IOS_FMA											
	PPS											
	LPI_ITI											
	General											
Overhead Total												
Total Planed Days (Consulting+ Overheads)												
Unplanned Day												

Total Working Days												
Un-paid leaves												
Paid Off												
Sunday + 2nd Saturday												
National Holiday												
Total Non-Working Days												
Grand Total												
Consulting as per monthly plan												
Consulting Target												
Meeting consulting percentage												
Final Validation												