

**UNITED NATIONS STAFF
SAVINGS AND CREDIT CO-OPERATIVE SOCIETY
LIMITED
(UNS-SACCO)**



OPERATIONS POLICY MANUAL

**UNS-SACCO
Plot 89 Mawanda Road
2nd Floor AGA House
P.O. BOX 21412
KAMPALA UGANDA**

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Approval

This Operations policy manual was approved by the AGM

Held on the 27TH Day of MARCH 2021

DR. KARUWA MURAGI Mumbie

CHAIRPERSON

FOREWORD

The development of this manual was necessitated by the need to have guidelines in the SACCO to assist SACCO Leadership in the governance of the SACCO Business operations. The Manual acts as a practical guide to both leaders and Management staff in the process of executing their duties in a more transparent manner. The main output of this manual is having a more enlightened and professional leadership and management delivering better services to their members sustainably.

The objective of this manual is to provide a framework within which leadership and management decision shall be judged beyond which it shall constitute unacceptable decision or conduct. All these guidelines here in presented are founded on national laws and regulations, international standards and good practices in governance, human resource and administration. It is the desire of the UNS-SACCO not to follow others but to be among the top in good governance and management practices.

The process of formulating this manual was conducted through a lot of consultations at all levels including key stakeholders, professionals, the legal and accounting fraternity and all relevant policies and guidelines related to Cooperative Business with technical support of UCSCU.

It is therefore my confidence that they are premised on a strong foundation that will lead us to a better organization to belong to and for others to work for.

These guidelines are subject to correction and review as long as areas of improvement are carefully identified and documented and raised with the Management and governance organs.

I call upon all members and staff to pick interest so that these manuals can be a better document for the good of all of us.

Thank you


Kaggwa Mugagga

Chairperson

PREFACE

This manual has been developed to streamline and building into an efficient and admirable SACCO in Uganda a class above the rest.

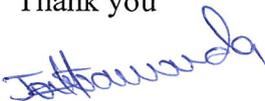
The Manual will be useful in ensuring that the highest ethical and professional standards which are a prerequisite in handling finances are upheld and confidence built in the SACCO systems of operation. It will go a long way in assuring the stakeholders that objectivity and prudence are exercised in handling every client without discrimination.

The manual is to the best of efforts founded on good management, operations, procurement and other administrative standards nationally and internationally and strives to realize more.

It is cognizant of the regulations in the sector of SACCO operations and procurement laws of Uganda and also of the many actors out in the field. It endeavors to ensure that individuals are aware of environment in which they operate and their right and obligations to the SACCO. At the same time there is need to appreciate the challenges faced in handling working with a young institution as UNS-SACCO.

I therefore appeal to all stakeholders to take time and understand the provisions in this manual so that they are served with transparency and understanding.

Thank you



Oliver Wananda

General Manager

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0.1 General Provisions

0.1.1 This manual and its provisions shall be cited as ‘The Operations Policy Manual.’

0.2 Mandate of the manual

0.2.1 This manual derives its mandate from the Cooperative Societies Act Cap 112 section 28, The Cooperatives Societies Regulations, 1992 section 26, Amended Cooperative Act 2020, Tier IV microfinance and money lenders Act, UNS-SACCO Bye-laws as registered under 9020/RCS Article 26; and UNS-SACCO Strategic Plan.

0.3 Objectives of the manual

To guide the UNS – SACCO to;

0.3.1 Perform their duties in accordance with the appropriate recognized ethical and legal standards and comply with other policies.

0.3.2 Exercise fiduciary responsibility with respect to safeguarding SACCO Assets.

0.3.3 Exercise custodial responsibility with respect to the use of SACCO property and resources

0.3.4 Take action to mitigate any real or perceived conflicts of interest and;

0.4 Scope

0.4.1 This manual applies to all stakeholders of the SACCO (members, staff, Board, Supervisory Board, Vendors, Interns and Volunteers).

0.4.2 The Annual General meeting shall be responsible for approval through a resolution, the Board shall authorize the manual and Management & Operations committee for oversight.

0.4.3 The General Manager shall be responsible for its implementation and interpretation of its provisions BUT it shall be a responsibility of every staff to read and understand this manual.

0.5 Revision and amendment

0.5.1 Any member of UNS-SACCO may with justifications request the Board in writing through the Finance and Risk Committee for changes. The Board may amend the provisions to conform to changes in higher regulations.

0.5.2 An electronic copy shall be stored on the SACCO Server and copies also shared with all staff and Board members. A hard copy shall be available in the office for reference on request by any stakeholder.

Definition of terms used in this manual

Contract	A legal relationship that bestows rights, privileges and obligation
Best value for money	The best available outcome when all relevant cost and benefits of the procurement cycle are considered
Board	Board

Abbreviations and acronyms

UACE	Uganda Advanced Certificate of Education
UNS-SACCO	United Nations Staff Cooperative Savings and Credit Society Ltd
SACCO	Savings and Credit Cooperative Society
AGM	Members' Annual General Meeting
UGX	Uganda Shillings

1.0 INTRODUCTION

The United Nations Staff Cooperative Savings and Credit Society Limited (UNS-SACCO) was registered under the Co-operative Societies Act 2004 vide registration Number 9020/RCS and was established in 2009. The aim of the SACCO is to provide UN agencies' staff and their families access to affordable and manageable credit facilities.

The SACCO draws its members from UN agencies staff members both national and international operating in Uganda. The financial and membership base has grown since its establishment and is still growing as the operation of UN expand and more personnel are engaged.

1.1 Background

The SACCO has grown in numbers and consequently in its financial base and operations which necessitates detailed guidelines in handling the two outcomes of its growth. According to the SACCO's Bye-laws Article 2, there are 10 objectives of forming this SACCO:

- 1.1.1 Offer Members Savings and credit services and other financial products as may be required by members from time to time;
- 1.1.2 Provide members with credit facilities for purposes of development through acquisition of assets;
- 1.1.3 Provide an opportunity for members to improve their respective economic, social and financial conditions;
- 1.1.4 Encourage and develop a savings culture among members so as to develop a wide capital base for accessing external sources of funds at affair and reasonable interest rates as a result of enhanced bargaining power;
- 1.1.5 Offer savings, deposits and related services earning competitive rates of interest while minimizing financial risk on such savings;
- 1.1.6 Provide loan services at costs allowing the Society to cover its costs including legal reserves, reserves for loans and other required reserves;
- 1.1.7 Minimize the risks of loan defaulters through efficient and effective loan recovery mechanisms;
- 1.1.8 Facilitate members to set up development and/or investment projects through continuous training programs on the proper use of credit;

- 1.1.9 Professionally manage the SACCO to ensure operational and financial sustainability;
- 1.1.10 Any other necessary and legally-authorized and economically feasible financial services demanded by its members.

1.2 Strategic direction

The manual will be guided by Strategic Plans which will be developed by the SACCO governance bodies and adopted as a guiding tool in the operations. In a nutshell, the SACCO has substantial business to transact and can only do so in a carefully regulated and guided environment to minimize risk and moderate personal discretion.

1.2.1 The Vision:

A leading SACCO promoting member prosperity for generations.

1.2.2 The mission:

To mobilize financial resources and provide affordable financial services to members.

1.2.3 The Core Values:

i. Accountability

The SACCO is accountable to its members, the Government and all its stakeholders. It ensures that the culture of accountability is embodied in its internal stakeholders both individually and collectively.

ii. Member Orientation.

In developing its products /services as well as in the provision of its services, the SACCO ensures that these are customer-driven so as to satisfy diverse members and their changing needs.

iii. Transparency

The SACCO endeavors to ensure transparency at all times when dealing with stake holders. The internal stake holders are also expected to be sincere and transparent in their dealing with the SACCO

iv. Professionalism

The SACCO adheres to impeccable and beyond reproach professional and personal standards in the conduct of its affairs. The SACCO offers its services effectively and efficiently to all its members.

v. Integrity

The SACCO upholds a high degree of honesty and integrity in serving its members and other stakeholders.

vi. Teamwork

The success of the SACCO in pursuit of its mission will be ensured by the close collaboration among its members. VETCO, SUPBO and the staff. This will enhance the quality of services to its stakeholders.

vii. Respect for diversity

UNS-SACCO also encourages respect for diversity among its members, the Board, Committees and Management to ensure that they uphold the above values in fulfilling the SACCO mandate.

2 RECORDS MANAGEMENT

2.0 SACCO RECORDS GUIDELINES

2.1 All SACCO records are kept under the care and custody of the General Manager whose responsibility is to manage all SACCO Records which he/she can delegate and include:

- i. The Client records,
- ii. Personnel files),
- iii. General Subject files and reports;

2.2 All records are currently being kept manually and retrieved according to their filing system;

2.3 Files are issued on request by custodian, and they are issued based on a ‘first come first serve’ basis;

2.4.1 The following steps are followed in the filing and retrieval of SACCO records in the Administration:

- i. A file is first opened with a clearance from a General Manager, or based on any of the three categories outlined in 2.1 above;
- ii. All files are issued strictly by the records personnel on duty to SACCO staff or Board members on request;

2.5 A files register is maintained listing the file title and when opened, which register may be both manual and electronic

2.6 The records registry/storage place is a restricted area (RA) for strangers and SACCO staff members.

- 2.7 Eating, Drinking and keeping any kinds of foods or beverages are prohibited from the registry to avoid rodents and other insects from infesting the records and files;
- 2.8 The SACCO is generally a Smoking free area so is the records registry which is strictly a 'Non-Smoking' area and staff and clients are prohibited from using fire emitting objects near or around the records registry;
- 2.9 The SACCO records are categorized into 3 categories and they are:
 - i. Active Files which are in use
 - ii. Inactive Files whose subject matter were concluded or loans retired
 - iii. Closed Clients whose membership have ceased on subject matter no longer of interest.
- 2.10 All closed and Inactive records are archived in a secure location only accessed with express authorisation of the General Secretary;
- 2.11 The Closed and Inactive files are kept based on the closure dates / Category, for ease of retrieval and/or arrangement;
- 2.12 In the event that some records are required for official reasons (say Registrar, AGM, or Government agencies, etc.), permission must be sought from, and granted by the General Secretary or Chairperson in accordance with existing procedures;

3.0 STAFF AND SUBJECT RECORDS

- 3.1 UNS-SACCO generates and receives and maintains an assortment of other non-client records (Manual as well as electronic), whose processing, receipting, movement, documentation, custody, retrieval, and follow up pose a huge challenge particularly, due to the fact that there are so many persons involved at all the foresaid stages of records management;
- 3.2 The manual records are mainly kept by the Registry (commonly referred to as personnel registry).
- 3.3 It is therefore important that staff shall ensure that all official records are kept on official files in the Registry for reference all the time;

- 3.4 Personnel registry receives and maintains both Open and Confidential records; open records (files) are kept on open shelves where as confidential records / files are kept in a lockable cabinet under key and lock in the General Manager’s office;
- 3.5 While the volume of records coming into and going out of SACCO poses a challenge, the staff has to develop a procedure and a schedule to cope with the task in records handling.
- 3.6 Electronic records on the other hand shall be handled by all staff with personal computers on their desks. It shall also be advisable to download important documents for record on manual files for reference, in case of acute power shortages;
- 3.7 The detailed operational procedures in the management of active mail and correspondences in the Registry are as follows:

No	Activity	Procedure	Responsibility
1a	Mail receiving electronically	Forwarded electronically/ manually to action officers requesting them to take action. - Hard copies are put on file and sent to the action officers for follow up action - Replies shall then be downloaded and filed	ICT Administrator
1b	Mail picked by from Post Office	- Opened and read in Registry - Sorted according to subject matter - Stamped - (Received and Dates) - Filed on the relevant file(s) - A transit ladder completed and the file forwarded to the responsible / action Office	Office Assistant, Administration Assistant
1c	Hand delivered mail	These shall be received during working hours; and during non-working hours. Mail shall later be passed on to the Registry on the next working day	Administration Assistant/ Receptionist Askaris or

			Security Guards
1d	Speed Post / Courier delivered mail	Shall be handled as in (b) or (c) as the case shall be	By any of the above as the case may be
2.	Document filing & management	<ul style="list-style-type: none"> - Both the file and subject reference(s) shall be checked to ensure their correctness. Then the document shall be given a sequential folio number and filed; - Where it is found that a wrong file / subject reference was given, the correct one shall be ascertained and the document transferred to the relevant file accordingly - Once on the correct file, the correspondence shall then be forwarded to the appropriate action Officer(s). 	Administration Assistant
3.	Movement of files	<ul style="list-style-type: none"> - Files shall be moved to and from the Registry by designated staff and / or Office Assistants. - Highly sensitive files shall be moved by the head of records in person or action officers. 	
4.	Opening / closing files	<ul style="list-style-type: none"> - Opening files involves giving reference numbers, subject(s), date of opening / closing, and volume No; - New files are opened in circumstances where a new staff is recruited, or a new subject is created (as the circumstances may become necessary); 	

		<ul style="list-style-type: none"> - Files are closed when they become too bulky, and / or if they are personal files for deceased staff and / or those who Resigned / left the service; - In case of bulky files, new ones shall be automatically opened to replace the closed ones in a successively marked order, i.e.vol.1; - Where a file is closed, the front cover is crossed twice diagonally and Labeled “Closed”, preferably with a Red mark pen; - All closed files shall be stored in a designated place or Records Centre, and shall be stored for three years, after which thy shall be moved to the Archives. 	
5.	Destruction of records	Once records have been stored in the Archives for more than 3 years, they shall be destroyed on the approval of the Board/AGM	

4. ASSETS ACQUISITION, USE AND DISPOSAL

4.0 PROCUREMENT MANAGEMENT

4.1 Procurement policy objectives

- 4.1.1 The aim of this section is to provide guidelines for establishing effective and efficient procedures for purchasing goods and services for UNS- SACCO.
- 4.1.2 The policies and procedures suggested in this manual are designed to assist UNS-SACCO in the establishment and implementation of a system of procurement and disposal in compliance with UNS-SACCO other policies and procedures.
- 4.1.3 This manual shall also regulate UNS-SACCO in its functions and operations relating to procurement of goods and services, and disposal of assets.
- 4.1.4 Procurement handling process shall be guided by; value for money, open and effective competition, ethics and fair dealings, and accountability and reporting
- 4.1.5 All UNS-SACCO staff associated with procurement, particularly those dealing directly with suppliers or potential suppliers are required
 - i. To organize and deal with actual or potential conflict of interest.
 - ii. To deal with suppliers even handedly.
 - iii. To ensure they do not compromise the standards of UNS-SACCO code of conduct by acceptance of gifts or hospitality.
 - iv. To be scrupulous in their use of SACCO's money.
 - v. To provide assistance in the elimination of fraud and corruption.
- 4.1.6 All procurements and disposals shall be conducted in a manner that promotes transparency, accountability and fairness.
- 4.1.7 All procurements and disposals shall be conducted in such a manner as to maximize competition and achieve value for money irrespective of the method of procurement used or nature of works, services or supplies to be procured.
- 4.1.8 All procurements and disposals shall be conducted in a manner which promotes economy, efficiency or value for money.

4.2 The procurement process

4.2.1 Procurement in UNS-SACCO shall go through the following five basic steps:

- i. Specification of what is needed and when
- ii. Selection of supplier or service provider
- iii. Negotiation
- iv. Delivery and acceptance
- v. Payment

4.2.2 Only those individuals in the SACCO with the appropriate delegated levels of authority should carry out procurement functions. Staffs who do not have delegated authority to carry out procurement should not enter into discussions with suppliers and are not authorized to make commitments on behalf of the SACCO.

4.2.3 Wherever possible, the four key procurement duties should be carried out by different people. These duties are:

- i. Approval to incur or commit expenditure
- ii. Ordering goods or services
- iii. Certifying the satisfactory receipt of goods or the completion of services
- iv. Authorizing payment

4.2.4 The SACCO's basic principles for Value for Money also refer to good management practices:

- i. Being clear about what is needed;
- ii. Identifying the most appropriate funding method and market route to deliver maximum value for money
- iii. Developing well focused terms of reference that enable bidders or service providers to be clear what they are being asked to deliver and by when;
- iv. Having appropriate evaluation criteria and assessment
- v. Conducting good negotiations
- vi. Maintaining appropriate relationships with the supplier
- vii. Carrying out effective monitoring
- viii. Payment by results

4.3 Procurement Instruments

4.3.1 UNS-SACCO will use basic procurement instruments;

- i. Purchase Order (*See Appendix II: Purchase Order Form*): This will be used to procure all supplies and office equipment. Purchase will be made from vendors who will have qualified the procurement methods contained in this manual.
- ii. Consultant Agreements: Consultant agreements will be used for all specialized services that cannot (either because of time or skill levels), clearly specify the scope of work, rate and period of performance, deliverables and terms of agreement.
- iii. Consultant Contract: UNS-SACCO will use consultant contract whenever carrying out works in relation for construction. The consultant contract will clearly describe the scope of work, terms and conditions of payment, the period of performance, deliverable and terms of agreement.

4.3.2 The management and Operations Committee shall be responsible for procurement as per guidelines in the Management and Operations Manual.

4.3.3 The normal process for UNS-SACCO procurement will involve the following:

- i. Notification of opportunities for tendering
- ii. Prequalification where appropriate
- iii. Invitation to tender where applicable
- iv. Receipt of tenders, evaluation of tenders and contract award
- v. Contract Administration.

4.3.4 Management and Operations Committee members shall be provided with copies of bid document before beginning of their individual review of the responses.

4.3.5 The Management and Operations Committee members shall determine whether each bidder is responsive or non-responsive, that is the bidders confirms in all material respects and meets all set standards set in the bid documents.

4.3.6 The Management and Operations Committee shall use Ranking (scoring) techniques by ranking basing on the weighted criteria each member of the Sub-Committee will make his/her independent ranking from other members after which the discussion from all the group members to determine who is the best out of ranking during the evaluation Sub-

Committee meeting. The Management and Operations Committee will record a justification note for their decision.

- 4.3.7 Negotiations may be conducted with a selected group of respondents on an established competitive range. Negotiation can be done if quoted prices are high or specific quantity of supplies is required out of what was quoted by all. There shall be no minimum number of negotiation rounds and no limitations to how many rounds of negotiations must be conducted.

4.4 Recommendations and Awards

- 4.4.1 All contracts awards should be on terms and conditions in the interest of UNS-SACCO. Upon completion of evaluation and any negotiation, the responses will be ranked according to the total scores assigned to each in descending order. The list of scores and recommendations shall be submitted to Board for more perusal and advice.

- 4.4.2 Once the successful bidder has been identified, the approval levels shall be thus

- i. If the price of a supply is equal to or less than Five million shilling (5,000,000) the General Manager will approve the vendors and the vendors list approved shall be submitted to Management and Operations Committee for blessing.
- ii. If the price of supply is above Five Million to Fifty Million shillings (5,000,000-50,000,000), the Management and Operations Committee will approve the procurements with a blessing from the Board.
- iii. If the price of a supply is above Fifty Million Shillings (50,000,000), the Management and Operations Committee shall present the evaluations to the Board for approval.
- iv. All contracts (general or specific) of any magnitude shall be approved by Board and all contracts signed by Chairperson Board on behalf of SACCO.
- v. Both lists approved by the Management and Operations Committee shall be presented to Board by chairperson of the Sub-Committee through their periodic reports.

- 4.4.3 The General Manager shall sign all award letters to successful bidders and all contracts of Consultants Agreements below five million on behalf of the SACCO.

4.4.4 Secretary of Board together with the General Manager shall sign all contracts and works contract agreements above Five Million Shillings on behalf of the SACCO.

4.5 Procurement methods

4.5.1 UNS-SACCO shall use any of the following procurement practices and methods;

- i. Prequalification
- ii. Open bidding
- iii. Selective bidding
- iv. Direct procurement
- v. Micro-procurement

4.5.2 The choice of procurement method shall be in accordance and on the basis of;

- i. Estimated value of the requirement
- ii. Circumstances pertaining to the requirements.

4.5.3 Pre-qualification procurement method shall be used under open bidding to obtain a shortlist of different service providers and to ensure that invitations to bid are confined to capable provider/s only. It shall also be used where works and services or supplies are highly complex, specialized or require detailed design or methodology.

4.5.4 Open Bidding procurement. This shall be done by public advertisement for a bid notice in a newspaper to attract more bidders. Bid documents may be sold to interested bidders by a cost agreed upon by the Board as contribution to SACCO's other income.

4.5.5 Selective bidding. This shall be used where there is insufficient time for open bidding procedures in emergency situations or where the estimated value of procurement or disposal does not exceed a substantive value of UGX 5,000,000 (Five Million Shillings)

4.5.6 Direct Procurement. This is a sole source procurement or disposal method for procurement requirements where exceptional circumstances prevent the use of competition where:

- i. There is insufficient time for any other procedures such as emergency situations brought about by unforeseeable events not attributable to UNS-SACCO.
- ii. The works or supplies are available from only one provider because of exclusive capabilities or rights

- iii. Additional works, service or supplies are required to be compatible with existing suppliers, works or services and its advantageous to the SACCO.
- 4.5.7 Micro-Procurement. This is a simple direct procurement or disposal method which can be used for very low value procurement requirements to achieve efficient and timely procurement where the value does not justify competitive procedures and provider is conducted on a single provider basis without competition.
- 4.5.8 The Accountant shall keep a register of Pre-Qualified Suppliers (PQS). A call for applicants is made through the local media and via contact with agencies. Criteria for inclusion are technical ability, price, and past performance. This register is reviewed at least bi-annually by the Management and Operations Sub-Committee.
- 4.5.9 Technical requirements and specifications
- i. A clear and accurate description of the technical requirements for the goods and services to be procured will be developed by the user. There should be a detailed description of the technical requirements in terms of functions to be performed or performance required including the ranges of acceptable characteristics or minimum acceptable standards. Consultations should be made with the technical personnel in the appropriate technical field.
 - ii. Clarifications. If, in a tendering process, a bidder has questions or asks for clarifications, the Manager will respond in writing as soon as possible. In this case, the same information and clarifications should be provided in writing to other potential bidders.
 - iii. Tax compliance. Suppliers shall show proof of tax compliance to UNS- SACCO before being awarded the supply contract, and shall be responsible for any applicable tax obligations to the relevant tax authorities.
 - iv. Warranty and guarantees. The SACCO shall obtain warranties for technical goods and services where applicable. The supplier shall warrant that the goods furnished under the supplier contract conform to the specifications and are free from all defects in workmanship or materials.

4.6 Procurement documentation

4.1 Requisition Form. This shall include as an attachment the Terms of Reference for the required service. The TOR should contain the following:

- i. A detailed description of the services being requested;
- ii. A timeframe in table format setting out key dates in the procurement process;
- iii. Description of key personnel profiles required to deliver the outputs;
- iv. Full description of deliverables and outputs required with dates attached;
- v. A schedule setting out the evaluation criteria with respect to which proposals will be evaluated.

4.6.2 The call for Expression of Interest or invitation to tender prepared by the Accountant, reviewed by the General Manager and approved by the Management and Operations Sub-Committee.

4.6.3 Proposals. A service provider who tenders is required to make a full written proposal in response to the invitation to tender which should set out the following:

- i. Methodology and approach to the assignment
- ii. A list of key personnel, their specific roles in the assignment, and their CVs
- iii. Time inputs of each person together with daily charge out rates
- iv. A schedule of reimbursable costs including any applicable taxes
- v. A proposed work plan with key milestones and deliverables
- vi. A proposed payments schedule linked to tangible deliverables in the work plan
- vii. The service provider's experience in related assignments.

5.0 ASSETS MANAGEMENT

5.1 The assets management system at UNS-SACCO consists of the following processes and procedures:

- i. Assets are acquired mostly through procurement; but donations or project-based items are also received sometimes;
- ii. Irrespective of the source or manner of acquisition all items must be delivered to Stores for receipt, verification, documentation and issue to the users.

- iii. The Officer in charge of Stores arranges for Auditors to verify items received to ensure they conform to specifications. It is on the basis of this verification that bills relating to the items are authenticated and passed on to the Accountant for payment;
- iv. The Officer in charge of Stores arranges for engraving items received in store where applicable before issuing them to the users. It is intended that the engraving shall facilitate tracking of items to particular locations within the SACCO through the Assets Register within the Finance Management Information System;
- v. The user makes requisition(s) for items in the Store on specified forms that are duly signed. Forms are passed on to the officer in charge of stores to release the items from the Store;
- vi. Daily transactions in the stores are recorded in the ledger book;
- vii. Given that the work in the SACCO may sometimes constitute emergency situations, stores may seek the General Manager's authorization to perform emergency purchases as and when they arise;
- viii. Recipients are expected to keep a record of those items, report any repairs required and see to their efficient use and safe custody;

5.2 Buildings and movable property of the SACCO shall have insurance covers which are renewable annually;

5.3 Any SACCO item that has to be taken out must be authorized by a Gate Pass signed by the General Manager. The Gate Pass must be presented to the Security Guard(s) at the point of exit. A copy of the pass will be left at the gate and a record entered into the incidence books at the gate. On return, the item must be shown to the Security Guard who shall verify its condition and continue to make appropriate records in the books;

5.3 All items no longer required by the users must be returned to Store in preparation for boarding off and disposal as provided for in these regulations. It must be emphasized that items that have life and are not consumables must be formally disposed of and taken off the books otherwise they remain recorded against the Officer who took them out of Store. The life cycle is only completed if the item is disposed of.

6 INFORMATION, COMMUNICATION TECHNOLOGY USE

6.0 ICT GENERAL PRINCIPLES

- i. UNS-SACCO information technology and communications facilities must be used sensibly, professionally, lawfully, and consistently with duties, in respect to colleagues and for UNS -SACCO and in accordance with this policy and UNS SACCO's other rules and procedures.
- ii. All information relating to clients/customers and SACCO business operations shall be treat as confidential. All paper-based and electronic information shall be treated with utmost care.
- iii. Particular care must be taken when using email, UNS-SACCO blog or internal message boards as a means of communication because all expressions of fact, intention and opinion in an email may bind you and/or UNS-SACCO and can be produced in court in the same way as other kinds of written statements
- iv. Internet and email are extremely easy and informal ways of accessing and disseminating information, but this means that it is also easy to send out ill-considered statements. All messages sent on email systems or via the internet should demonstrate the same professionalism as that which would be taken when writing a letter or a fax.
- v. Any irresponsible use of media to do or say anything may be subject to disciplinary or legal action in any other context such as sending any discriminatory (on the grounds of a person's sex, race, disability, age, sexual orientation, religion or belief), defamatory, or other unlawful material (for example, any material that is designed to be, or could be construed as, bullying or harassment by the recipient). If you are in doubt about a course of action, take advice from your supervising line manager/departmental head/partner.
- vi. UNS-SACCO will ensure that its ICT system has a provision for saving any transaction carried out in the system be it real time or periodically (preferably every hour). Back up of all the transactions will be done daily at the end of day.

- vii. The external storage media will be offsite and the SACCO will determine the frequency of transporting the media to the site. (These sites will include other branches of the SACCO).
- viii. The Back Up shall be incremental from the Business System and File system.

6.1 Authentication

- 6.1.1 All ICT users will have a designated username and password. The username will be assigned to the user by the ICT administrator.
- 6.1.2 All users will have their designated user rights and privileges. These will be assigned by the ICT administrator.

6.2 Server /Desktop decommissioning.

- 6.2.1 To decommission a server or desktop, the appropriate ICT administrator must completely clean the data on the hard drive(s) before the machine is taken out of service and label the machine accordingly.
- 6.2.2 ICT administrator shall follow these procedures whenever the following circumstances arise:
 - i. When a desktop/server is upgraded and the old machine is to be disposed of, donated, discarded, or recycled.
 - ii. Whenever a drive is re-configured for existing or new users.
 - iii. Whenever equipment containing storage is returned to a manufacturer or other vendor for repair or warranty replacement.
- 6.2.3 The ICT Administrator shall be responsible for ensuring that all servers have been decommissioned before they are sold, donated, discarded, or recycled.

6.3 Acceptance of ICT use

- 6.3.1 This shall apply to anyone who accepts to use Computer, network access & Internet access and disclosure of electronic mail messages sent or received by the him or her within the use of the SACCO's e-mail system.

- 6.3.2 UNS- SACCO respects the individual privacy of its employees. However, employee privacy does not extend to the employee's work related conduct or to the use of computing equipment provided by the SACCO.
- 6.3.3 The acceptable use of ICT by employees governs all computers, computing equipment, printers, scanners, network equipment, LCD projectors and video conferencing facilities across the entire SACCO together with use of all associated networks, internet access, email, hardware, dial in access, data storage devices, computer accounts, software (both proprietary and those developed by the SACCO), telephony services and voicemail (the ICT facilities').
- 6.3.4 Users of the ICT facilities must be aware of the conditions on which access is provided. Access to the ICT facilities is restricted to authorized users, i.e. enrolled employees of UNS-SACCO. Access is normally based on the employment status and responsibilities of individual employees.
- 6.3.5 Login access to the ICT facilities is granted by IT department. The ICT administrator may restrict access to an individual user on the grounds that the user is in breach of this Acceptable Use policy.
- 6.3.6 Disciplinary action shall be taken against users of the ICT facilities who breach this policy and the security policy.
- 6.3.7 Unlawful use will breach this Policy and will be dealt with as a discipline offence. Unlawful use of ICT Facilities may also lead to criminal or civil legal action being taken against individual employees. The SACCO will not defend or support any employee who uses ICT facilities for an unlawful purpose.
- 6.3.8 As a condition of providing Internet access to its employees, UNS-SACCO encourages employee use of the Internet to;
- i. Communicate with fellow employees and clients (members) regarding matters within an employee's assigned duties;
 - ii. Acquire information related to, or designed to facilitate the performance of regular assigned duties

- iii. iii. Facilitate performance of any task or project in a manner approved by an employee's supervisor.

6.3.9 Each user shall be responsible for:

- i. The unique computer accounts which the SACCO has authorized for the user's benefit.
- ii. Selecting and keeping a secure password for each of these accounts, including not haring passwords and logging off after using a computer.
- iii. Users must not compromise or attempt to compromise the security of any ICT facility belonging to UNS- SACCO or other organizations or individuals, nor exploit or attempt to exploit any security deficiency in the SACCO's systems. Users must report such deficiencies to the ICT department immediately.
- iv. Using the ICT facilities in an ethical and lawful way, in accordance with the SACCO's Information Security Policy.
- v. Co-operating with other users of the ICT facilities to ensure fair and equitable access to the facilities.

6.3.10 Users are expressly forbidden to allow unauthorized access to user account information, data or files on UNS-SACCO ICT facilities.

6.3.11 Management shall consider and authorize access to IT facilities for any one not provided for in the SACCO.

6.3.12 UNS-SACCO Logo: Users are not permitted to use the SACCO's name, crest or logo on their personal web pages, unofficial e-mail, or other messaging facilities.

6.3.13 Pornography: Users are not permitted to utilize the SACCO's IT facilities to access pornographic material or to create, store or distribute pornographic material. It will not be a defence to claim that the recipient was a consenting adult.

6.3.14 Non Business Activities: Users are not permitted to run a business or to publish a journal or magazine (unless authorized by the SACCO) on the SACCO's ICT facilities.

- 6.3.15 Game Playing: Game playing is not allowed on UNS-SACCO ICT facilities.
- 6.3.16 Users shall at all times avoid causing unnecessary email congestion by not sending emails of more than 2 GB at anyone time

6.4 User IDs and Passwords

- 6.4.1 Password. All authorized users shall be provided with a password or ID for a network and/or Internet resource which must be kept that password confidential. The Sacco will assign and control access to network and application resources using unique logon ids.
- 6.4.2 These IDs and passwords shall help maintain individual accountable for network and Internet resource usage.
- 6.4.3 The sharing of user IDs or passwords is strictly prohibited.
- 6.4.4 Every employee is responsible for the secure use of his/her assigned user ID and password combination and is directly liable for activity carried on SACCO systems using this id/password.
- 6.4.5 The SACCO's network operating systems will require change of password every 21 days but the application systems may require change of password more regularly.
- 6.4.6 Users are encouraged to always change password when they suspect it might have been compromised
- 6.4.7 Users should select strong passwords which must be at least 6 characters long and should be a combination of uppercase and lowercase letters, numbers and symbols.
- 6.4.8 Users should never write their passwords down or save them onto a computer file. Do not use the same password for multiple applications/networks as this increases the risk if one password is compromised.
- 6.4.9 All computers or computer systems that are accessed using a password should never be left unattended while logged on. Users must logoff any computer system if they will leave it unattended at any time. If using a computer that is running Windows Operating System, press CTRL+ALT+DELETE then select LOCK COMPUTER to lock your workstation (screen).

6.5 E-mail usage

- 6.5.1 Every employee of the SACCO with email access is responsible for ensuring that the email system is used properly and in accordance with this policy. Any questions about this policy should be directed to the General Manager UNS-SACCO.
- 6.5.2 The Email system of the SACCO is part of the business equipment and Technology platform and should be used for official purposes only. Personal business should not be conducted by means of the Email system.
- 6.5.3 Employees should disclose information or messages from the Email system only to authorized employees/persons.
- 6.5.4 Employees do not have a personal privacy right in any matter created on, received through, or sent from the SACCO's Email system. Employees should not enter personal matters into the Email system. The SACCO, in its discretion, reserves the right to monitor and to access any matter created on, received through, or sent from the Email system.
- 6.5.5 No messages or information shall be entered into the SACCO's Email system without a good business reason for doing so. Copies of e-mail messages should be sent only for good business reasons.
- 6.5.6 The SACCO reserves the right to access e-mail information without limitation. Even with a password for the Email system there is no guarantee of the confidentiality of any message created on, received through, or sent from the SACCO Email system
- 6.5.7 No email message should be created or sent that may constitute intimidating, hostile, or offensive material on the basis of sex, race, color, religion, national origin, sexual orientation, or disability. The SACCO's Policy against sexual or other harassment applies fully to the Email system, and any violation of that policy is grounds for discipline up to and including discharge.

- 6.5.8 The SACCO expressly reserves the right to access, retrieve, read, and delete any communication that is created on, received through, or sent in the Email system to assure compliance with this or any other SACCO policy.
- 6.5.9 Any employee who becomes aware of misuse of the Email system should promptly contact either the Human Resources department or the Email Administrator.
- 6.5.10 The SACCO's email services are provided for official business use. Personal email is not official SACCO business, although minimal use of email for personal communication is acceptable. Email may be monitored by authorized system administrators.
- 6.5.11 Abuse of the email policy, outlined herein, will be brought to the attention of the departmental head and may result in disciplinary action.
- 6.5.12 All users of the email system are expected to conduct themselves in a legal, Professional and ethical manner.
- 6.5.13 Users are responsible for their information technology accounts, and may be held accountable if someone uses their account with (their) permission and violates policy.
- 6.5.14 The email system shall be used in accordance with International laws and other SACCO policies, and may not be used as a vehicle to harass or intimidate.
- 6.5.15 The SACCO's IT resources are provided to employees for the purpose of business, research, service, and other work related activities. Access to information technology resources is granted to an individual by the SACCO for that individual's sole use, the use of which must be in furtherance of the mission and purpose of the SACCO. The user may not participate in any behaviour that unreasonably interferes with the fair use of information technology resources by another.
- 6.5.16 The SACCO reserves the right, without notice, to temporarily limit or restrict any individuals use and to inspect, copy, remove, or otherwise alter any data, file, or system resource which may undermine the authorized use of any information

technology facility. This is intended to protect the integrity of the SACCO's ICT facilities and its users against unauthorized or improper use.

6.5.17 Users must use only those information technology resources that the SACCO has authorized for their individual use. Users are authorized to access, use and copy, modify, or delete files and data on their own account. Users are not authorized to perform any of these functions on another user's account or a SACCO system.

6.5.18 User privacy is not to be violated. It is the responsibility of the user to protect their privacy. Users should not leave a password where it can be easily found, give a password to someone else, leave confidential information on a screen where it could be viewed by an unauthorized person, or leave a public PC or terminal signed on and unattended.

6.5.19 Non business related chain email messages are not to be forwarded using any SACCO resource. Chain email is defined as any message sent to one or more people that instructs the recipient to forward it to multiple others and contains some promise of reward for forwarding it or threat of punishment for not doing so. Chain email messages can have technological, social, and legal ramifications. Chain email messages have the ability to clog an entire network and degrade the ability of employees to do their work. Heavy traffic due to chain mail messages can disrupt not only the email service by other network activities as well.

6.5.20 Users may not intentionally obscure, change, or forge the date, time, physical source, logical source, or other label or header information on electronic mail, files, or reports. Departments should contact the ICT Help Desk to report all problems with email.

6.5.21 Never Import a File that is Un scanned for Viruses

6.6 Internet Usage

6.6.1 The SACCO will provide access to the information resources of the Internet to assist in supporting learning, research, and information handling skills.

6.6.2 Internet access is provided as an information and learning tool and is to be used for

Business related purposes only.

- 6.6.3 The SACCO shall have a software system that can monitor and record all Internet usage, and record each chat, newsgroup, or email message. The SACCO reserves the right to do this at any time. No user should have any expectation of privacy as to his or her Internet usage.
- 6.6.4 The SACCO reserves the right to inspect any and all files stored on the network in order to ensure compliance with SACCO policies.
- 6.6.5 The SACCO will use independently supplied software and data to identify inappropriate or sexually explicit Internet sites. The SACCO shall block access from within the networks.
- 6.6.6 No user shall use the SACCO's Internet facilities to deliberately disable or overload any computer system or network, or to circumvent any system intended to protect the privacy or security of another user.
- 6.6.7 Employees are expressly forbidden to make digital files of commercially available recordings, music albums, album covers, and videos, without permission of the copyright owner. Infringing activities can be detected by investigative bodies and employees will be personally liable for damages and costs if a copyright owner takes action for infringement of copyright.
- 6.6.8 Any software or files downloaded via the Internet onto the SACCO network become the property of the SACCO. Any such files or software may be used only in ways that are consistent with their licenses or copyrights.
- 6.6.9 No user may use SACCO facilities knowingly to download or distribute illegal software or data. The use of SACCO resources for illegal activity will be grounds for disciplinary action. Any file that is downloaded must be scanned for viruses before it is run or accessed.
- 6.6.10 No user may use the SACCO's Internet facilities to deliberately propagate any virus. Video and audio streaming and downloading represent significant data

traffic, which can cause local network congestion. Video and audio downloading are prohibited unless for SACCO official purposes.

- 6.6.11 Always use the email template which contains the appropriate disclaimer notice from UNS-SACCO and do not amend this notice in any way.
- 6.6.12 Do not amend any messages received and, except where specifically authorized by the other person, do not access any other person's in-box or other email folders nor send any email purporting to come from another person.
- 6.6.13 It is good practice to re-read and check an email before sending.
- 6.6.14 If you copy an email to others, it may breach the Data Protection Act if it reveals all the recipients' email addresses to each recipient e.g. in the case of marketing and mailing lists.
- 6.6.15 It can also breach duties of confidentiality (e.g. in the case of internal emails to members of a staff benefit scheme). Accordingly, it may be appropriate to use the 'Bcc' (blind carbon copy) field instead of the 'Cc' (carbon copy) field when addressing an email to more than one recipient. If in doubt, seek advice from your line manager/departmental head/partner.
- 6.6.16 Each business email should include the appropriate UNS-SACCO business reference.
- 6.6.17 If the email message or attachment contains information which is time-critical, bear in mind that an email is not necessarily an instant communication and consider whether it is the most appropriate means of communication.
- 6.6.18 If you have sent an important document, always telephone to confirm that the email has been received and read.
- 6.6.19 Depending on the future relevancy, file a hard copy of any email including any attachments sent to or received from the customer/client before filing or deleting the electronic copy. The same applies to all internal email transmissions concerning customer/client matters.

- 6.6.20 In light of the security risks inherent in some web-based email accounts, you must not email business documents to your personal web-based accounts. You may send documents to a customer's/clients web-based account if you have the customer's/clients express written permission to do so. However, under no circumstances should you send price sensitive or highly confidential documents to a customer's/clients personal web-based email account, even if the customer/client asks you to do so.
- 6.6.21 Although UNS-SACCO email facilities are provided for the purposes of our business, it may occasionally be used for own personal purposes. This is permitted on the condition that all the procedures and rules set out in this policy are complied with.
- 6.6.22 Use of official email facilities provides very little privacy because UNS-SACCO shall monitor communications use of these facilities. Therefore, it shall be a requirement to ensure that personal email use:
- i. Does not interfere with the performance of your duties
 - ii. Does not take priority over your work responsibilities.
 - iii. Is minimal and limited to taking place substantially outside of normal working hours (i.e. during any breaks which you are entitled to or before or after your normal hours of work);
 - iv. Does not cause unwarranted expense or liability to be incurred by UNS SACCO.
 - v. Does not have a negative impact on UNS-SACCO in any way; and is lawful and complies with this policy.
- 6.6.23 By making personal use of our facilities for sending and receiving email you signify your agreement to abide by the conditions imposed for their use, and signify your consent to UNS-SACCO monitoring your personal email in accordance with this policy.
- 6.6.24 Misuse of UNS-SACCO facilities and systems, including its telephone, email internet systems in breach of this policy will be treated seriously and dealt with in

accordance with UNS-SACCO disciplinary procedure. In particular, viewing, accessing, transmitting, posting, downloading or uploading any of the following materials in the following ways, or using any of UNS-SACCO facilities, will amount to gross misconduct capable of resulting in summary dismissal (this list is not exhaustive):

- i. Material which is sexist, vulgar, racist, xenophobic, pornographic, discriminatory and/or offensive
- ii. Offensive, obscene, derogatory or criminal material or material which is liable to cause embarrassment to UNS-SACCO and any of its staff or its customers/clients or bring the reputation of UNS-SACCO and any of its staff or its customers/clients into disrepute
- iii. Any defamatory material about any person or organisation or material which includes statements which are untrue or of a deceptive nature
- iv. Any material which, by intent or otherwise, harasses the recipient
- v. Any other statement which is designed to cause annoyance, inconvenience or anxiety to anyone
- vi. Any material which violates the privacy of others or unfairly criticises or misrepresents others
- vii. Confidential information about UNS-SACCO and any of its staff or customers/clients
- viii. Any other statement which is likely to create any liability (whether criminal or civil, and whether for you or UNS SACCO)
- ix. Material in breach of copyright and/or other intellectual property rights
- x. Online gambling; or
- xi. Unsolicited commercial or advertising material, chain letters or other junk mail of any kind.

6.7 Chats and News groups

6.7.1 Each user of the Internet facilities must identify him or her honestly, accurately, and completely (including SACCO status and function if requested) when participating in chats or newsgroups, or when setting up accounts on outside computer systems.

6.7.2 Only those users who are duly authorized to speak to the media on behalf of the SACCO may speak or write in the name of the SACCO to any newsgroup or Web site.

6.7 Other users may participate in newsgroups or chats in the course of information research when relevant to their duties, but they do so as individuals, speaking only for themselves.

6.7.4 The SACCO retains the copyright to any material posted to any forum, newsgroup, chat, or World Wide Web page by any employee in the course of his or her duties.

6.7.5 Users shall not that chats and newsgroups are public forums and it is inappropriate to reveal confidential SACCO information.

6.8. Privacy and surveillance

6.8.1 SACCO reserves the right to access and monitor e-mail, web sites, server logs and electronic files and any computer or electronic device connected to the UNS- SACCO network, should it determine that there is reason to do so. Such reason would include, but not be limited to, suspected or reported breaches of this Acceptable Use policy, or breach of any Regulations or policies of the SACCO, or suspected breaches of the law.

6.8.2 Violation of SACCO's Acceptance Use Policy may result in disciplinary actions, including but not limited to, immediate termination.

6.8.3 The electronic mail system shall be subject to periodic unannounced inspections, and should be treated like other shared filing systems. All key production system passwords and encryption keys must be available to the SACCO's management, and your passwords or encryption keys must be lodged with the Manager for custody.

6.9 Security and Integrity

- 6.9.1 Employees are prohibited from the unauthorized use of the passwords and encryption keys of other employees to gain access to the other employee's email messages. In the event that you suspect that your password is known to someone else, you should change it immediately.
- 6.9.2 UNS SACCO has the right, but not the duty, to monitor any and all aspects of its computer system, including, but not limited to, monitoring sites employees visit on the Internet, reviewing material downloaded or uploaded by employees, and reviewing email sent and received by employees. Employees waive any right to privacy in anything they create, store, send, or receive on the SACCO computer or network.
- 6.9.3 Security of our IT systems is of paramount importance. We owe a duty to all of our customers/clients to ensure that all of our business transactions are kept confidential. If at any time we need to relay in court on any information which has been stored or processed using our IT systems, it is essential that we are able to demonstrate the integrity of those systems. Every time you use the system you take responsibility for the security implications of what you are doing.
- 6.9.4 UNS-SACCO system or equipment must not be used in any way which may cause damage, or overloading or which may affect its performance or that of the internal or external network.
- 6.9.5 Keep all confidential information secure, use it only for the purposes intended and do not disclose it to any unauthorized third party.
- 6.9.6 Keep your system passwords safe. Do not disclose them to anyone.
- 6.9.7 If a document is highly commercially confidential or price sensitive, you should mark it as "private and confidential" and password-protect the document itself. Bear in mind that documents which are NOT marked "private and confidential" can be accessed by all users of the network.
- 6.9.8 Copies of confidential information should be printed out only as necessary, retrieved from the printer immediately, and stored or destroyed in an appropriate manner.

6.9.9 You should not download or install software from external sources without having first received the necessary authorisation from the IT department or Line Manager.

6.9.10 No external device or equipment, including discs and other data storage devices, shall be run on or connected to UNS-SACCO systems without the prior notification to and approval of the IT department/line manager.

6.9.11 You shall always exercise caution when opening emails from unknown external sources or where, for any reason, an email appears suspicious. The IT department/line manager should be informed immediately in such circumstances.

6.10 Other considerations

6.10.1 Working remotely

6.10.1.1 This part of the policy and procedure apply to your use of our systems, laptops and also to your use of your own computer equipment or other computer equipment e.g. customer's equipment whenever you are working on UNS-SACCO business away from UNS-SACCO premises working remotely.

6.10.1.2 When you are working remotely you must:

- i. Use Password protect any work which relates to UNS-SACCO business so that no other person can access your work;
- ii. Position yourself so that your work cannot be seen by any other person;
- iii. Take reasonable precautions to safeguard the security of our equipment, and keep your passwords secret

6.10.1.3 Inform the police and General Manager (as appropriate) as soon as possible if either a UNS-SACCO laptop in your possession or any computer equipment on which you do UNS-SACCO work, even if this is personal IT equipment, has been lost or stolen; and

6.10.1.4 Ensure that any work which you do remotely is saved on UNS-SACCO system or is transferred to our system as soon as reasonably practicable.

6.10.2 Personal Blogs and websites

- 19.10.2.1 This part of the policy and procedures apply to the content that you publish on the internet (e.g. your contributions to blogs, message boards and social networking or content-sharing sites) even if created, updated, modified or contributed to outside of working hours or when using personal IT systems.
- 6.10.2.2 UNS-SACCO recognises that in your own private time you may wish to publish content on the internet. For the avoidance of doubt, such activities are expressly prohibited during work time or using UNS-SACCO systems.
- 6.10.2.3 If you post any content to the internet, written, vocal or visual, which identifies, or could identify, you as a member of UNS-SACCO staff and/or you discuss your work or anything related to UNS-SACCO or its business, customers or staff, UNS-SACCO expects you, at all times, to conduct yourself appropriately and in a manner which is consistent with your contract of employment and with UNS-SACCO policies and procedures. It should be noted that simply revealing your name or a visual image of yourself could be sufficient to identify you as an individual who works for UNS-SACCO.
- 6.10.2.4 If a blog posting clearly identifies that you work for UNS-SACCO and you express any idea or opinion then you should add a disclaimer such as "these are my own personal views and not those of UNS-SACCO"
- 6.10.2.5 The following matters will be treated as gross misconduct capable of resulting in summary dismissal (this list is not exhaustive):
- i. Revealing confidential information about UNS-SACCO in a personal online posting. This might include revealing information relating to UNS-SACCO clients, business plans, policies, staff, financial information or internal discussions. Consult your manager if you are unclear about what might be confidential.
 - ii. Criticising or embarrassing UNS SACCO, its clients or its staff in a public forum (including any website). You should respect the corporate reputation of UNS-SACCO and the privacy and feelings of others at all

times. If you have a genuine complaint to make about a colleague or workplace matter the correct procedure is to raise a grievance using UNS-SACCO grievance procedure.

- iii. Accessing or updating a personal blog or website from UNS-SACCO computers or during work time. If you think that something on a blog or a website could give rise to a conflict of interest and in particular concerns issues of impartiality or confidentiality required by your role, then this must be discussed with your supervisor.

6.10.3 Monitoring of SACCO ICT use

6.10.3.1 UNS-SACCO is ultimately responsible for all business communications but subject to that will so far as possible and appropriate, respect your privacy and autonomy while working. UNS-SACCO may monitor your business communications for reasons which include:

- i. Providing evidence of business transactions;
- ii. Ensuring that UNS-SACCO business procedures, policies and contracts with staff are adhered to;
- iii. Complying with any legal obligations;
- iv. Monitoring standards of service, staff performance, and for staff training;
- v. Preventing or detecting unauthorized use of UNS-SACCO communications systems or criminal activities; and
- vi. Maintaining the effective operation of UNS-SACCO communications systems.
- vii. UNS-SACCO will monitor telephone, email and internet traffic data (i.e. sender, receiver, subject; non-business attachments to email, numbers called and duration of calls; domain names of websites visited, duration of visits, and files downloaded from the internet) at a network level (but covering both personal and business communications) for the purposes specified in these guidelines.