



## **THE SACCO SOCIETIES REGULATORY AUTHORITY**

**Britam Centre, First Floor, Junction of Mara Ragati Road, Upper Hill**

**P. O. Box 25089-00100, NAIROBI, Kenya**

**Tel: +254 (20) 2935000/101**

**E-mail: [info@sasra.go.ke](mailto:info@sasra.go.ke)**

**Website: [sasra.go.ke](http://sasra.go.ke)**

# **CODE OF CONDUCT AND ETHICS FOR EMPLOYEES IN SASRA**

**MAY 2016**

## Table of Contents

<b>PREAMBLE .....</b>	<b>4</b>
<b>PART I: PRELIMINARY .....</b>	<b>5</b>
1. Object of the Code .....	5
2. Short title and commencement .....	5
3. Application .....	5
4. Interpretation.....	5
5. General Objective of Code.....	6
6. The specific objectives of this Code include to:- .....	6
<b>PART II: SPECIFIC CODE OF CONDUCT AND ETHICS FOR EMPLOYEES .....</b>	<b>6</b>
7. Specific Code .....	6
8. Professional and statutory codes to be binding.....	7
9. Rule of law .....	7
10. Public Trust.....	7
11. Responsibility and duties .....	7
12. Performance of duties.....	7
13. Professionalism.....	7
14. Financial Integrity .....	8
15. Moral and ethical requirements .....	8
16. Gifts and benefits in kind.....	8
17. Wrongful and unlawful acquisition of property.....	9
18. Conflict of interest.....	9
19. Participation in tenders .....	10
20. Collections and Harambees .....	10
21. Bank accounts outside Kenya .....	11
22. Acting for foreigners .....	11
23. Care of Property .....	11
24. Misuse of Official Information .....	11
25. Political neutrality.....	12
26. Impartiality .....	12
27. Giving advise .....	12
28. Gainful employment.....	12
29. Offers of future employment.....	12
30. Former Employee Acting in a Government or Public Entity Matter.....	13
31. Misleading the Public.....	13
32. Falsification of Records.....	13
33. Conduct of Private Affairs .....	13
34. Tax, financial and Legal Obligations.....	13
35. Bullying.....	13
36. Sexual Harassment.....	13
37. Selection of Employees.....	13
38. Submitting of Declarations .....	14
39. Acting Through Others .....	14
40. Reporting Improper Orders .....	14
<b>PART III: ENFORCEMENT OF THE CODE OF CONDUCT AND ETHICS FOR EMPLOYEES IN THE SACCO SOCIETIES REGULATORY AUTHORITY.....</b>	<b>14</b>

41.	An employee to Sign and Commit to the Code .....	14
42.	Disciplinary Procedure.....	15
43.	Lodging of Complaints and Investigations .....	15
44.	Referral for Possible Civil or Criminal Proceedings.....	16
45.	Advisory Opinion.....	16
46.	Reports of the Authority .....	16
47.	Promotion of Compliance.....	16
<b>PART IV – OFFENCES AND PENALTIES .....</b>	<b>16</b>	
48.	Violation of the Code .....	16
<b>PART V - REVIEW OF THE CODE .....</b>	<b>16</b>	
49.	Review of Code .....	16
50.	Revocation of SASRA Staff Code of Conduct.....	16
<b>FIRST SCHEDULE</b>	<b>[Section 18(6).] .....</b>	<b>18</b>
	Registrable Interests.....	18
<b>SECOND SCHEDULE</b>	<b>[Section 16(7)].....</b>	<b>19</b>
	Register of Gifts (Template).....	19
<b>THIRD SCHEDULE</b>	<b>[Section 18(9)].....</b>	<b>20</b>
	Register of Declaration of Conflict of Interest (Template).....	20
<b>FOURTH SCHEDULE</b>	<b>[Section 41(1)].....</b>	<b>21</b>
	Commitment Form.....	21
<b>FIFTH SCHEDULE</b>	<b>[Section 43(1)].....</b>	<b>22</b>
	Register of Complaints (Template) .....	22

## **PREAMBLE**

This Code is made pursuant to section 52(1) of the Leadership and Integrity Act, 2012 and section 5(1) of the Public Officer Ethics Act, CAP. 183 with the primary purpose of ensuring accountability, objectivity, honesty, discipline, integrity, commitment, impartiality and selfless service based solely on the public interest.

This Code also gives effect to the provisions of the United Nations Convention Against Corruption which was signed and ratified by Kenya on 9th December, 2003 and satisfies the provisions of Article 2(6) of the Constitution and the obligations of the Republic under Article 132 (1) (c) (iii).

## **PART I: PRELIMINARY**

### **1. Object of the Code**

This code is made pursuant to Section 52(1) of the Leadership and Integrity Act 2012 as read with Section 5(1) of the Employee Ethics Act Cap 183. The primary purpose of the Code is to ensure that employees respect the values, principles and requirements of the Constitution.

### **2. Short title and commencement**

(1) This Code may be cited as the Code of Conduct and Ethics for employees in Sacco Societies Regulatory Authority.

(2) This Code shall come into operation on the date it is approved by the SASRA Board of Directors.

### **3. Application**

This Code shall apply to all staff of the Sacco Societies Regulatory Authority.

### **4. Interpretation**

In this Code, unless the context otherwise requires -

“Authorized employee” means the Chief Executive Employee of Sacco Societies Regulatory Authority;

“Code” means the Code of Conduct and Ethics for Employees in the Sacco Societies Regulatory Authority;

“Authority” means the Sacco Societies Regulatory Authority;

“Gainful employment” means work that a person can pursue and perform for money or other form of compensation or remuneration which is inherently incompatible with the responsibilities of the public office or which results in the impairment of the judgment of the employee in the execution of the functions of the public office or results in a conflict of interest;

“Harambee” means public collections;

“Member” means member of Board of Directors of the Sacco Societies Regulatory Authority;

“Employee” means an employee to whom this Code applies under rule 3;

## **5. General Objective of Code**

The General objective of this Code is to give full effect to provisions of chapter six of the Constitution on Leadership and Integrity and the Leadership and Integrity Act, 2012 as read with the Public Officer Ethics Act, CAP. 183.

## **6. The specific objectives of this Code include to:-**

- a. Ensure accountability to the public for decisions and actions taken;
- b. Establish a moral foundation of values in the Sacco Societies Regulatory Authority;
- c. Ensure discipline and commitment in service to the people;
- d. Ensure honesty in the execution of public duties;
- e. Ensure objectivity and impartiality in decision making;
- f. Provide mechanisms for the management of conflict of interest;
- g. Protect the integrity of the Sacco Societies Regulatory Authority by building trust internally and externally;
- h. Provide an objective measure for assessment of the conduct of employees;
- i. Provide mechanisms for building consensus on vital ethical issues, guide decision making and stimulate legitimate ethical dialogue;
- j. Provide a framework for reporting of misconduct and the processing of disciplinary matters on breach of the Code; and
- k. Provide mechanisms for enforcement and sanctions for breach of the code.

## **PART II: SPECIFIC CODE OF CONDUCT AND ETHICS FOR EMPLOYEES**

### **7. Specific Code**

- (1) This part prescribes a Specific Code of Conduct and Ethics for employees in the Sacco Societies Regulatory Authority.
- (2) The provisions of Part II of the Leadership and Integrity Act, 2012 and Part III of the Employee Ethics Act CAP. 183 shall form part of this Code.

(3) In the event of any inconsistency between the provisions of this Code, the general code in the Employee Ethics Act, CAP. 183 and the general code in the Leadership and Integrity Act, 2012 the latter shall prevail.

#### **8. Professional and statutory codes to be binding**

Employees shall be bound by and shall observe provisions of professional codes of conduct applicable to the employees.

#### **9. Rule of law**

(1) Employees shall respect and abide by this Code.

(2) An employee shall carry out the duties of the office in accordance with the law.

#### **10. Public Trust**

A public office is a position of public trust and the authority and responsibility vested in an employee shall be exercised in the best interest of the people of Kenya.

#### **11. Responsibility and duties**

Subject to the Constitution and any other law, an employee shall take personal responsibility for the reasonably foreseeable consequences of any actions or omissions arising from the discharge of the duties of the office.

#### **12. Performance of duties**

An employee shall, to the best of his or her ability:-

- a) Carry out the duties of the office efficiently and honestly;
- b) Carry out the duties in a transparent and accountable manner;
- c) Keep accurate records and documents relating to the functions of the office;
- d) Report truthfully on all matters of the public office;
- e) Not be absent from duty without official permission; and
- f) Not engage in private business during official working hours;

#### **13. Professionalism**

An employee shall:-

- a) Carry out duties of the office in a manner that maintains public confidence in the integrity of the public office;
- b) Treat members of the public and other employees with courtesy and respect;
- c) Not discriminate against any person;
- d) To the extent appropriate to the office, maintain high standards of performance and level of professionalism;
- e) Ensure efficient, effective and economic use of resources;
- f) Ensure public participation in the process of policy making and implementation;
- g) Provide services promptly, effectively, impartially and equitably;

- h) Be accountable for his or her own administrative acts;
- i) Ensure transparency and provision to the public of timely and accurate information;
- j) Maintain an appropriate standard of dress and personal hygiene;
- k) discharge any professional responsibilities in a professional manner; and
- l) If the employee is a member of a professional body, observe and subscribe to the ethical and professional requirements of that body in so far as the requirements do not contravene the Constitution, the Leadership and Integrity Act, 2012, the Employee Ethics Act, 2003 and this Code.

#### **14. Financial Integrity**

- a) An employee shall not use his or her office to unlawfully or wrongfully enrich himself or herself or any other person.
- b) An employee shall not seek or accept a personal loan or benefit in circumstances that compromise the employee's integrity.
- c) An employee shall live within his or her means and avoid incurring any financial liability that he or she cannot satisfy.

#### **15. Moral and ethical requirements**

An employee shall observe and maintain the following ethical and moral requirements:-

- a) Demonstrate honesty in the conduct of public affairs;
- b) Not engage in activities that amount to abuse of office;
- c) Accurately and honestly represent information to the public;
- d) Not engage in wrongful conduct in furtherance of personal benefit;
- e) Not misuse public resources;
- f) Not falsify any records; and
- g) Not engage in actions which may lead to removal from the membership of a professional body.

#### **16. Gifts and benefits in kind**

- 1) A gift or donation given to an employee on a public or official occasion shall be treated as a gift or donation to the Authority.
- 2) Notwithstanding subsection (1), an employee may receive a gift given in an official capacity, provided that:-
  - a) The gift is within the ordinary bounds of propriety, a usual expression of courtesy or protocol and within the ordinary standards of hospitality;
  - b) The gift is not monetary; and
  - c) The gift does not exceed such values as may be prescribed in the regulations issued by the Ethics and Anti-Corruption Authority.
- 3) Without limiting the generality of subsection (2), an employee shall not:-
  - a) Accept or solicit gifts, hospitality or other benefits from a person who-



- i. Has an interest that may be achieved by the carrying out or not carrying out of the employee's duties;
    - ii. Carries on regulated activities with respect to which the public entity has a role; or
    - iii. Has a contractual or legal relationship with the public entity;
  - b) Accept or offer gifts of jewellery or other gifts comprising of precious metal or stones, ivory or any other animal part protected under the convention on International Trade in Endangered Species or Wild Fauna and Flora; or
  - c) Any other type of gift specified by the Ethics and Anti-Corruption Authority regulations.
- 4) An employee shall not receive a gift which is given with an intention of compromising the integrity, objectivity or impartiality of the employee.
  - 5) Subject to subsection (2), an employee who receives a gift or donation shall declare the gift or donation to the Authority.
  - 6) Whereas an employee can accept gifts dictated by custom such gifts shall not be given or accepted in the Authority's offices.
  - 7) The Authority shall keep a register of –
    - a. Gifts received by employees; and
    - b. Gifts given by the Authority.
  - 8) The Authority shall comply with Ethics and Anti-Corruption Authority regulations on receipt and disposal of gifts.

### **17. Wrongful and unlawful acquisition of property**

An employee shall not use the office to wrongfully or unlawfully influence the acquisition of property.

### **18. Conflict of interest**

- 1) An employee shall use the best efforts to avoid being in situation where personal interests conflict or appear to conflict with his or her official duties.
- 2) Without limiting the generality of subsection (1), an employee shall not hold shares or have any other interest in a corporation, partnership or other body, directly or through another person, if holding those shares or having that interest would result in a conflict with the employee's official duties.
- 3) An employee whose personal interest's conflict with his or her official duties shall declare the personal interests to the Authority.
- 4) The Authority may give direction on the appropriate action to be taken by an employee to avoid the conflict of interest and the employee shall -
  - a) Comply with the directions; and

- b) Refrain from participating in any deliberations with respect to the matter.
- 5) Notwithstanding any directions to the contrary under subsection (4), an employee shall not award or influence the award of a contract to –
- a) Himself or herself;
  - b) The employee's spouse or child; or
  - c) A business associate or agent.

In this section "personal interest" includes the interest of a spouse, child, business associate or agent or any other matter in which the employee has a direct or indirect pecuniary or non-pecuniary interest.

- 6) Where an employee is present at a meeting, where an issue which is likely to result in a conflict of interest is to be discussed, the employee shall declare the interest at the beginning of the meeting or before the issue is deliberated upon.
- 7) A declaration of a conflict of interest under subsection (7) shall be recorded in the minutes of that meeting.
- 8) The Authority shall maintain an open register of conflicts of interest in the prescribed form in which an affected employee shall register the particulars of registrable interests, stating the nature and extent of the conflict.
- 9) For purposes of subsection (9), the registrable interests include the interests set out in the First Schedule.
- 10) The Authority shall keep the register of conflicts of interest for five years after the last entry in each volume of the register.
- 11) It shall be the responsibility of the employee to ensure that an entry of registrable interests under subsection (9) is updated and to notify the Ethics and Anti-Corruption Authority of any changes in the registrable interests, within one month of each change occurring.

### **19. Participation in tenders**

An employee shall not participate in a tender for the supply of goods or services to the Authority.

### **20. Collections and Harambees**

- 1) An employee shall not:
- a) Use his/her office or place of work as a venue for soliciting or collecting harambees; or
  - b) Either as a collector or promoter of public collection obtain money or other property from a person by using his official position in any way to exert pressure.

- 2) In this section “collection”, “collector” and “promoter”, have the same meanings as in section 2 of the Public Collections Act.
- 3) Preside over a harambee, play a central role in its organisation or play the role of guest of honour.
- 4) Participate in a harambee in such a way as to reflect adversely on his or her integrity or impartiality or to interfere with the performance of his or her official duties.

### **21. Bank accounts outside Kenya**

An employee shall not maintain a bank account outside Kenya except with the approval of the Ethics and Anti-Corruption Authority in accordance with regulations passed by the Authority pursuant to section 54(2)(e) of the Leadership and Integrity Act, 2012.

### **22. Acting for foreigners**

An employee shall not be an agent of, or further the interests of a foreign government, organization or individual in a manner that may be detrimental to the security interests of Kenya.

### **23. Care of Property**

- 1) An employee shall take all reasonable steps to ensure that Authority’s property in his/her custody, possession or control is taken care of and is in good repair and condition.
- 2) An employee shall not use public property, funds or services that are acquired in the course of or as a result of the official duties, for activities for which they were not intended.
- 3) An employee shall return to issuing authority all the Authority’s in his or her custody, possession or control at the end of the appointment.
- 4) An employee who contravenes sub-clause (2) or (3) shall, in addition to any other penalties provided for under the Constitution, the Leadership and Integrity Act, 2012 or any other law or Code, be personally liable for any loss or damage of the Authority’s property.

### **24. Misuse of Official Information**

- 1) An employee shall not directly or indirectly use or allow any person under the his/her authority to use any information obtained through or in connection with the office, which is not available in the public domain, for the furthering of any private interest, whether financial or otherwise.
- 2) The provisions of subsection (1), shall not apply where the information is to be used for the purposes of –
  - a) Furthering the interests of this Code; or

- b) Education, research, literary, scientific or other purposes not prohibited by law.
- 3) Notwithstanding the generality of subsection 1 an employee shall ensure that confidential or secret information or documents entrusted to his or her care are adequately protected from improper or inadvertent disclosure

## **25. Political neutrality**

- 1) An employee shall not, in the performance of his or her duties -
  - a) Act as an agent for, or further the interests of a political party or candidate in an election; or
  - b) Manifest support for or opposition to any political party or candidate in an election.
- 2) An employee shall not engage in any political activity that may compromise or be seen to compromise the political neutrality of his/her office.
- 3) Without prejudice to the generality of subsection (2) an employee shall not -
  - a) Engage in the activities of any political party or candidate or act as an agent of a political party or a candidate in an election;
  - b) Publicly indicate support for or opposition against any political party or candidate participating in an election.

## **26. Impartiality**

An employee shall,

- 1) At all times, carry out the duties of the office with impartiality and objectivity.
- 2) Not practise favouritism, nepotism, tribalism, cronyism, religious bias or engage in corrupt or unethical practices.

## **27. Giving advise**

An employee who has a duty to give advice shall give honest, accurate and impartial advice without fear or favour.

## **28. Gainful employment**

An employee who is serving on a full time basis shall not participate in any other gainful employment.

## **29. Offers of future employment**

- 1) An employee shall not allow himself or herself to be influenced in the performance of his or her duties by plans or expectations for or offers of future employment or benefits.
- 2) An employee shall disclose, in writing, to the Authority, all offers of future employment or benefits that could place the employee in a situation of conflict of interest.

### **30. Former Employee Acting in a Government or Public Entity Matter**

A former employee shall not be engaged by or act for a person or Authority, in a matter in which the employee was originally engaged in as an employee of the Authority, for at least two years after leaving the Service of the Authority.

### **31. Misleading the Public**

An employee shall not knowingly give false or misleading information to any person.

### **32. Falsification of Records**

An employee shall not falsify any records or misrepresent information to the public.

### **33. Conduct of Private Affairs**

An employee shall conduct private affairs in a manner that maintains public confidence in the integrity of his or her office.

### **34. Tax, financial and Legal Obligations**

- 1) An employee shall pay any taxes due from him or her within the prescribed period.
- 2) An employee shall not neglect his or her financial or legal obligations.

### **35. Bullying**

- 1) An employee shall not bully any person.
- 2) For purposes of subsection (1), "bullying" includes repeated offensive behaviour which is vindictive, cruel, malicious or humiliating and is intended to undermine a person.

### **36. Sexual Harassment**

- 1) An employee shall not sexually harass a member of the public or a fellow employee.
- 2) In sub section (1) "sexually harass" includes doing any of the following if the person doing it knows or ought to know that it is unwelcome
  - a) Making a request or exerting pressure for sexual activity or favours;
  - b) Making intentional or careless physical contact that is sexual in nature; and
  - c) Making gestures, noises, jokes or comments including innuendoes regarding another person's sexuality.

### **37. Selection of Employees**

- 1) In selecting employees, the Chief Executive Officer of the Authority shall:
  - a) Ensure fair competition and merit as the basis of appointment and promotions;
  - b) Ensure representation of Kenya's diverse communities; and

- c) Afford adequate and equal opportunities for appointment, training and advancement in all levels of Sacco Societies Regulatory Authority of men and women, members of all ethnic groups and persons with disabilities.
- 2) The Chief Executive Officer may appoint or promote employees without undue reliance on fair competition if:
  - a) A community in Kenya is not proportionately represented in appointments to or promotions in the Sacco Societies Regulatory Authority;
  - b) The balance of gender in the Authority is biased towards one gender; or
  - c) An ethnic group is disproportionately represented in the Sacco Societies Regulatory Authority.

### **38. Submitting of Declarations**

An employee shall submit any declaration or clarification required under Part IV of the Public Officer Ethics Act, 2003.

### **39. Acting Through Others**

- 1) An employee contravenes the Code if the employee: -
  - a) Causes anything to be done through another person that would constitute a contravention of the Code if done by the employee; or
  - b) Allows or directs a person under his or her supervision or control to do anything that is in contravention of the Code.
- 2) Subsection, (1) (b) shall not apply where anything is done without the employee's knowledge or consent if the employee has taken reasonable steps to prevent it.
- 3) An employee who acts under an unlawful direction shall be personally responsible for his or her action.

### **40. Reporting Improper Orders**

- 1) If an employee considers that anything required of him or her is a contravention of the Code or is otherwise improper or unethical, the employee shall report the matter to the Chief Executive Officer.
- 2) The Chief Executive Officer shall investigate the matter reported and take appropriate action within ninety days of receiving the report.

## **PART III: ENFORCEMENT OF THE CODE OF CONDUCT AND ETHICS FOR EMPLOYEES IN THE SACCO SOCIETIES REGULATORY AUTHORITY**

### **41. An employee to Sign and Commit to the Code**

- 1) Upon appointment to the Authority, an employee shall sign and commit to the Code of Conduct and Ethics for Employees in the Authority issued by the Authority at the time of the employee is joining the service.

- 2) Serving employees shall sign and commit to the Code within seven days upon approval.

#### **42. Disciplinary Procedure**

- 1) Subject to subsection (2), a breach of the Code amounts to misconduct for which an employee may be subjected to disciplinary proceedings.
- 2) Where an allegation of breach of this Code has been made against an employee in respect of whom the Constitution or any other law provides the procedure for removal or dismissal, the question of removal or dismissal shall be determined in accordance with the Constitution or any other law.

#### **43. Lodging of Complaints and Investigations**

- 1) A person, who alleges that an employee has committed a breach of the Code, may lodge a complaint with the Chief Executive Officer who shall register and inquire into the complaint.
- 2) The Chief Executive Officer may assign any of his or her employees or a competent authority to inquire into a complaint on his or her behalf and determine whether an employee has contravened the Code.
- 3) The Chief Executive Officer may initiate an investigation pursuant to a complaint by any person.
- 4) An employee being investigated under this section shall be informed by the investigating authority, of the complaint made against that employee and shall be given a reasonable opportunity to make a representation relating to the issue, before the investigation is concluded.
- 5) A person who has lodged a complaint against an employee shall be entitled to be informed of any action taken or to be taken in respect of the complaint and shall be afforded a hearing.
- 6) Where an investigation under this section is initiated while an employee is in office, it may be continued even after the employee under investigation has ceased to be an employee.
- 7) Subject to the Constitution and any laws and regulations for the enforcement of the code, an employee may be suspended from office pending the investigation and determination of allegations made against the employee where such suspension is considered necessary.
- 8) The disciplinary mechanisms and procedures prescribed by the Ethics and Anti-Corruption Authority pursuant to section 54(2) (f) of the Leadership and Integrity Act shall apply.
- 9) The Chief Executive Officer may take disciplinary action against a serving employee.

#### **44. Referral for Possible Civil or Criminal Proceedings.**

- 1) If upon investigation under this Part, the Chief Executive Officer is of the opinion that civil or criminal proceedings ought to be preferred against the respective employee, the Chief Executive Officer shall refer the matter to –
  - a) The Ethics and Anti-corruption Authority or the Attorney-General, with respect to civil matters;
  - b) The Director of Public prosecutions, with respect to criminal matters; or
  - c) Any other appropriate authority.

#### **45. Advisory Opinion**

- 1) An employee may request the Ethics and Anti-Corruption Authority to give an advisory opinion on any issue relating to the application of Chapter Six of the Constitution.

#### **46. Reports of the Authority**

- 1) The Authority shall submit an annual report, containing all the information relevant to the enforcement and compliance with the provisions of this Code, to the Sacco Societies Regulatory Authority.
- 2) The report in (1) above shall form part of the report to the President and Parliament on compliance with values and principles in Articles (10) and (232) of the Constitution.

#### **47. Promotion of Compliance**

The Authority shall promote compliance with the provisions of this code by regularly sensitizing employees on the standards and principles prescribed in the Code.

### **PART IV – OFFENCES AND PENALTIES**

#### **48. Violation of the Code**

An employee violating the provisions of this Code is liable and may be penalised in accordance with the provisions of Part V of the Leadership and Integrity Act, 2012 and Part VI of the Employees Ethics Act, 2003.

### **PART V - REVIEW OF THE CODE**

#### **49. Review of Code**

The Authority may amend any provision of this code every three years.

#### **50. Revocation of SASRA Staff Code of Conduct**

The Sacco Societies Regulatory Authority Staff Code of Conduct, 2011 is hereby revoked.



**Issued by the Authority on the**

**..... Day of..... 2016**

**Signed.....**

**Chairperson Sacco Societies Regulatory Authority**

## **FIRST SCHEDULE**

## **[Section 18(6).]**

### **Registrable Interests**

- 1) Directorships in public or private companies, whether or not remunerated directly or indirectly.
- 2) Remunerated employment (including office, trade, profession or vocation which is remunerated or which the employee has any pecuniary interest).
- 3) Securities (shares, bonds, debentures or any other similar holding) a company or enterprise or undertaking the aggregate nominal or market value of which exceeds a prescribed value while the employee is in office.
- 4) Contracts for supply of goods and services.
- 5) Plans or expectations for or offers of future employment.
- 6) Public affairs advice and services to clients.
- 7) Shareholdings (amounting to controlling interest).
- 8) Land property.
- 9) Sponsorship (from companies, trade unions, professional bodies, charities, universities or other organizations or individuals).
- 10) Travel facilities and overseas visits (made by an employee or the employee's spouse or child substantially catered for by the office of the employee).
- 11) Gifts, benefits and hospitality (to an employee or the employee's spouse or partner or child or any other material benefit of a prescribed value, from a company, organization or person within Kenya or overseas, which relates substantially to a membership of a public office, to a public office or Parliament or County Assembly).
- 12) Miscellaneous financial interests (not falling within above categories but which a reasonable member of the public would think might influence the conduct of an employee in the discharge of his or her official duties).
- 13) Non-financial interests (which may reasonably be thought to affect the way a member discharges the duties in a public office (such as unremunerated directorships; membership of public bodies such as hospital trusts, governing bodies of universities, colleges or schools, and other spheres of government, trusteeships etc.)).
- 14) Pending civil and criminal cases touching on the employee or business associate or firm.
- 15) Possession of dual citizenship or pending applications for dual citizenship and the status of such application.

**SECOND SCHEDULE**

**[Section 16(7)]**

**Register of Gifts (Template)**

**SACCO SOCIETIES REGULATORY AUTHORITY**  
**FINANCIAL YEAR .....**

<b>S/NO</b>	<b>NAME OF EMPLOYEE</b>	<b>NAME OF PERSON OR ENTITY GIVING THE GIFT</b>	<b>VALUE AND PURPOSE OF GIFT</b>	<b>DATE GIFT GIVEN</b>	<b>DATE RECORDED IN THE REGISTER</b>	<b>DECISION ON THE GIFT - FOR EMPLOYEE / ORGANISATION / TO BE RETURNED</b>
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						

**THIRD SCHEDULE**

**[Section 18(9)]**

**Register of Declaration of Conflict of Interest (Template)**

**SACCO SOCIETIES REGULATORY AUTHORITY**

**FINANCIAL YEAR .....**

<b>S/NO</b>	<b>NAME OF EMPLOYEE</b>	<b>DATE CONFLICT RECORDED</b>	<b>BUSINESS UNDER TRANSACTION</b>	<b>NATURE OF CONFLICT</b>	<b>DECISION MADE ON PARTICIPATION OF EMPLOYEE</b>	<b>SIGNATURE OF EMPLOYEE MAKING DECLARATION</b>
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						

**Commitment Form**

**CODE OF CONDUCT AND ETHICS FOR EMPLOYEES IN THE SACCO SOCIETIES  
REGULATORY AUTHORITY**

**COMMITMENT FORM**

**Name of the Employee.....**

**Employee Number.....**

**Department: .....**

**Job Title: .....**

I,....., hereby confirm that I have read, understood, and agree to adhere to the content of the Code of Conduct and Ethics and further confirm that I will comply fully to the extent that it is written.

**Signature.....**

**Date.....**

**Register of Complaints (Template)**

**SACCO SOCIETIES REGULATORY AUTHORITY  
FINANCIAL YEAR .....**

<b>S/NO</b>	<b>NAME OF PERSON MAKING COMPLAINT</b>	<b>DATE OF COMPLAINT</b>	<b>PARICULARS OF EMPLOYEE / ORGANISATION COMPLAINT AGAINST</b>	<b>NATURE OF COMPLAINT</b>	<b>DECISION MADE ON THE COMPLAINT</b>	<b>PARICULARS AND SIGNATURE OF EMPLOYEE ATTENDING TO COMPLAINT</b>
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						