



STAFF CODE OF CONDUCT & ETHICS MANUAL

January 2019

1. INTRODUCTION

The Code of Conduct and Ethics outlines the principles and policies that govern the activities of HAL and to which employees and others who work with us, or represent us directly or indirectly, must adhere. All employees are required to read and follow this Code of Conduct and Ethics (the Code).

The code of conduct and ethics expresses the values that drive our behaviour. We live by our values and expect all who work for and with us to live by them as well. They are vital to securing and maintaining respect from our stakeholders and the public at large. They are central to our business growth and sustainability.

This Code will be reviewed by the HR Department at least every two years, or more frequently based on changes in the internal and/or external operating and legal environment affecting the company's governance and ethics program.

This code applied to all HAL representatives, including its Directors, employees, temporary workers, independent contractors, and consultants and should be read in conjunction with the applicable policies, procedures, laws and regulations governing all activities across HAL's operation.

Questions relating to this Code may be directed through the employee's Line Manager, the HR Manager, the Legal & Compliance Manager, or the Managing Director.

HAL expects all its stakeholders to comply with all the requirements as set out in this Code and maintain high personal integrity, moral standards and sound reputation by subscribing and observing to this Code.

This Code neither constitutes nor should it be construed to constitute a contract for a definite term or a guarantee of a continued relationship with HAL.

All staff will be required to annually attest their commitment to abiding by this Code.

2. DEFINITIONS

In this Code of Conduct and Ethics, unless the context otherwise requires;

- i. "Code" means the Code of Conduct and Ethics for Home Afrika Limited
- ii. "Employee" or "Staff" a person employed by Home Afrika Limited for wages or a salary and includes an apprentice and indentured learner.
- iii. "HR" means Human Resources
- iv. "MD" means Managing Director
- v. "The Organization" or "HAL" means Home Afrika Limited

3. Legal and Regulatory Compliance

All staff undertaking activities by or on behalf of Home Afrika should operate within the law and the spirit of the law at all times. This includes but is not limited to:

- i. Dealing in an open, transparent and cooperative manner and ensuring all requirements have been met;
- ii. Not violating the rights and freedoms of any person in carrying out their duties;
- iii. Not evading taxes;
- iv. Not neglecting his financial obligations or neglect to settle them.

4. Business Ethics

Home Afrika is committed to the highest standards of business ethics and integrity and requires honesty in all activities.

4.1 Integrity

- i. Employees shall be persons of integrity. Each employee shall carry out his duties with honesty and impartiality;
- ii. Employees shall act in a financially honest and prudent manner, including ensuring the protection of any money and/or property held on behalf of clients;
- iii. Employees shall be honest and trustworthy with clients information and records;
- iv. Employees shall ensure a transparent relationship with HAL, based on trust, respect, responsibility and integrity.

4.2 Professionalism

- i. Employees shall recognize that they are accountable for their actions to the public, HAL and themselves;
- ii. Employees shall actively adhere to professional standards;
- iii. Employees shall recognize that they are duty bound to conduct themselves ethically;
- iv. Employees shall observe official working hours and not be absent without proper authorization or reasonable cause;
- v. Employees shall not tolerate corruption in any form and shall fight against corruption;
- vi. Employees shall, to the best of their ability, carry out their duties and ensure that the services they provide are provide efficiently;
- vii. In matters related to their employment, employees must act for the benefit of HAL and not deprive HAL of the advantage of their skills and abilities;
- viii. Employees must not knowingly give false or misleading information to clients, HAL or any other person.
- ix. An employee shall not favour relatives, friends or associates in decision making or provision of service.
- x. At all times, employees shall treat clients and other people with fairness, professionalism, courtesy and sensitivity with respect to their rights and dignity. Employees are expected to have respect for diversity.

5. Gifts, benefits and favors

- i. Employees shall not accept money, gifts, entertainment, loans, preferential treatment, benefits or favours from a client, supplier or competitor where these may influence or may be seen to influence his decisions;
- ii. An employee shall not use his office to improperly enrich himself or others;
- iii. Employees shall not improperly use their office to acquire land or other property for himself or another person, whether or not the land or property is paid for;
- iv. Employees shall not for the personal benefit of himself or another, use or allow the use of information that is acquired in connection with their duties and that is not public;
- v. Employees must at all times declare to HAL management, any gifts, benefits and favours offered to them for approval.

6. Fraud/Theft/Cheating

- i. Employees must not steal/cheat or otherwise reduces the assets of the company;
- ii. Employees must at all times observe company rules relating to honesty and integrity;

7. Non-discrimination

Employees of HAL shall not discriminate directly or indirectly individuals on grounds of gender, color, language, religion, political or other opinion, nationality, ethnic or social origin, marital status, sexual orientation, pregnancy, tribe, disability, age or HIV status.

8. Sexual Harassment

An employee or HAL shall not sexually harass a member of the public or a fellow colleague. Sexual harassment includes doing any of the following, if the person doing it knows or ought to know it is unwelcome;

- Directly or indirectly requests that employee for sexual intercourse, sexual contact or any other form of sexual activity that contains an implied or express;
 - Promise of preferential treatment in employment;
 - Threat of detrimental treatment in employment; or
 - Threat about the present or future employment status of the employee;
- Uses language whether written or spoken of a sexual nature;
- Uses visual material of a sexual nature; or
- Shows physical behaviour of a sexual nature which directly or indirectly subjects the employee to behaviour that is unwelcome or offensive to that employee and that by its nature has a detrimental effect on that employee's employment, job performance or job satisfaction.

9. Workplace Harassment

An employee shall avoid unwelcome, abusive, belittling, or threatening behavior to their fellow colleagues.

10. Reporting/whistle blowing

All employees are encouraged to report to their supervisor, Ombudsman or Managing Director; any suspected breach of the Code of Conduct and Ethics or rules, policies, procedures and regulations of HAL;

A suspected breach refers to a suspicion based on reasonable ground which include but not limited to:

- Violation of external rules and regulations
- Violation of internal rules and regulations;
- Unethical behavior.

All staff are encouraged to peruse the Whistle Blowing Policy for guidance on how to seek redress.

11. Official Language

Kiswahili and English shall be the official languages for communication within HAL.

All employees shall use respectful language while communicating to fellow staff, suppliers, shareholders, customers or any party affiliated to the Company's business.

12. Relations with the Media

Employees shall not make any comments to the Media on any affairs of the Company or any of its subsidiaries without prior authority of the Managing Director or the HR Manager. All media inquiries shall be directed to the Public Relations, Branding and, Marketing Manager.

The Corporate Disclosure Policy shall provide guidelines.

13. Smoking

All work premises of the Company are smoke free zones and smoking is restricted to the designated smoke zones. Employees should not smoke whilst within the premises or inside vehicles of the Company.

14. Use of Electronic Media

Every employee shall make reasonable use of the internet, email, electronic and print media to communicate in a manner that is not discriminatory or damaging to the company and general good of the public.

15. Conflict of Interest/Misuse of position

- i. Employees shall not use their position or connection to attempt to gain or to confer a benefit upon others with whom he has an interest such as family members, friends, relatives, business associates or colleagues;
- ii. Employees shall use their best efforts to avoid being in a position in which his personal interests conflict with his official duties;
- iii. An employee shall not hold shares or have any other interest in a company, directly or through another person, if holding such shares or having such interest would result in the employee's personal interests conflicting with their official duties;
- iv. An employee whose personal interests conflict with his official duties shall:
 - Declare the personal interests to his superior, the HR Manager, the Legal Manager, or the

- Managing Director for evaluation and comply with any directions to avoid the conflict; and
- Refrain from participating in any deliberations with respect to the matter.
- v. An employee shall not award a contract or influence the award of contract to himself, a spouse or relative, a business associate or a company, partnership or other body in which the employee has an interest.
- vi. An employee shall not engage in any other business or part-time employment which is in conflict with his employment;
- vii. Employees shall not use their positions to influence the personal decisions of others to contribute to or to otherwise support political parties or candidates.

16. Appropriate Use of Resources

- i. All employees must look after the organization's property and resources and refrain from converting HAL resources for personal use;
- ii. Employees must not associate with parties through which HAL losses funds and/or assets as a result of improper/fraudulent documentation either by self or third party.

17. Confidentiality

- i. Employees shall maintain high level of confidentiality at all times. Areas of confidentiality include:
 - Use and disclosure of client and employee information
 - Personal information
 - Disclosure of HAL information
 - Information management and security.
- ii. Employees must not disclose confidential information acquired as a result of professional or business relationship without proper and specific authority or unless there is a legal or professional right or duty to disclose;
- iii. Employees shall not use confidential information acquired as a result of professional or business relationship to their personal advantage or the advantage of third parties;
- iv. In deciding whether to disclose confidential information, employees should consider the following points:
 - Whether the interests of all parties, including third parties whose interests may be affected, could be harmed if the client or HAL consents to the disclosure of information by the employee;
 - Whether all the relevant information is known and substantiated, to the extent it is practicable; when the situation involves unsubstantiated facts, incomplete information or unsubstantiated conclusions, professional judgment should be used in determining the type of disclosure to be made;
 - The type of communication that is expected and to whom it is addressed; in particular, an employee should be satisfied that the parties to whom the communication is addressed are appropriate recipients.

18. Dress Code

Employees shall be decently and appropriately dressed, and shall maintain their personal hygiene while carrying out their official duties. On official duties and meetings, employees should wear formal dress code. This is applicable throughout the week except on Fridays when smart casual clothing is permitted.

The applicable Friday smart casual dress code is as follows;

- a) **Men – Permitted:**
 - Smart business casual shirts (long or short sleeves) without ties
 - Smart polo shirts
 - Smart Business casual long trousers/khaki/jeans
 - Company branded/corporate t-shirts
 - Casual shoes /sports shoes
- b) **Men – Not Permitted:**
 - Open collar beach wear/sleeveless.
 - Shorts of any kind
 - Torn, patched or dirty jeans
 - Sandals of any kind
- c) **Women – Permitted:**
 - Decent blouses
 - Polo shirts
 - Smart baggy plain or multi colored T-shirts
 - Smart business shorts suits or smart business shorts with matching blouses
 - Pumps or clean sneakers or sports shoes
 - African wears - be it in form of trousers, long dress/ skirt suit
 - Decent skirts
 - Company branded or corporate t- shirts/ skirts
 - Jeans/khaki/ linen trousers.
- d) **Women – Not Permitted:**
 - Tops or blouses that reveal parts of the back or front of the body (strapless)
 - Very Tight pants/spaghetti or transparent tops/skirts
 - Skirts above the knees or with over-revealing slits in the back or front
 - Bathroom slippers

19. Uniformed employees

All employees who are required to be in uniform must be in their complete uniforms at all times. This includes employees required to work with Personal Protective Equipment. Violation of this provision will lead to disciplinary action up to and including dismissal following laid down procedures.

20. Alcohol and Substance Abuse

Employees are prohibited from misusing controlled substances or selling, manufacturing, distributing, possessing, using or being under the influence of illegal drugs or alcohol on the job. HAL will endeavor to provide rehabilitation and counseling services where possible. However, repeat offences of the above

mentioned may lead to disciplinary action up to and including summary dismissal following laid down procedures.

21. Employment and Interpersonal Relationships

Employees are discouraged from having personal or romantic relationships with colleagues as this creates conflict of interest in employment matters decision making or moral concerns where one or both employees are married. All employees are expected to avoid likelihood of conflicts arising due to personal or romantic relationships;

In instances where such relationships exist and there is likelihood of conflict of employees, employees must;

- i. Declare their relationship and conflict of interest to their supervisor and the HR Manager who will then make a decision moving forward;
- ii. Sign a declaration that states their relationship is mutually consensual; that they will not let the relationship effect their performance; and that they understand the company's sexual harassment policy;
- iii. Ensure that there shall be no inappropriate physical contact during working hours as this creates an unprofessional environment for the other employees.

Personal relationships are defined as relationships which extend beyond professional relations, based on factors relevant to the working competencies of staff and include:

- i. Family relationships (siblings, parent/child, husband/wife, de facto spouses, partner, cousins, relations by marriage such as brother- or sister-in-law);
- ii. Emotional relationships (including romantic relationships and close friendships);
- iii. Financial relationships (commercial relationships where monetary interest is present).

22. Ethical Principles

- i. HAL shall be responsible for ensuring that this Code is implemented, understood and observed by all employees;
- ii. Failure to comply to the Code may lead to disciplinary action through laid down procedures;
- iii. All employees shall comply with all regulations and requirements as set out in this Code and the rules, policies, procedures of HAL;
- iv. Employees shall maintain high personal integrity, moral standards, and sound reputation by subscribing to this Code;
- v. HAL shall ensure compliance with this Code of Conduct and Ethics and shall designate an officer responsible for compliance with this Code.

23. Compliance with the Code

All Employees must adhere to this Professional code of conduct that address specific professionals' responsibility to our Clients and to each other.

However to provide sufficient guidance, employees are encouraged to pose the following questions when faced with an ethical or personal conduct dilemmas:

- i. Is it consistent with the provisions herein or the Human Resources Policy?
If the proposed action does not comply with the Company policy, you should not do it.
- ii. Is it ethical?

If the proposed action does not comply with the Company's ethical standards then you should not do it.

- iii. Is it legal?
If you think an action might be illegal, do not proceed. If you need any information regarding the applicable laws talk to your immediate superior, manager, or in-house legal counsel.
- iv. Is there a reputational risk posed to the Company or individual?
If the proposed action will reflect poorly on you, the Company and the industry as a whole then do not proceed.
- v. Would I want to read about it in the newspaper?
If you are not comfortable with the idea of this action being public knowledge, then do not proceed with it.

If the answer to any of these questions is “NO”, then do not pursue that course of action. If you are still uncertain, then ask for guidance from your immediate supervisor or manager. If you need guidance, the following people can be of assistance:

- Your management team;
- The Company's legal counsel; or
- The Company's Human Resource manager/officer

Violations of the responsibilities outlined in this staff Code of Conduct and Ethics Manual can lead to disciplinary action, up to and including dismissal following the laid down procedures. Conduct that violates the law may also result in criminal prosecution and /or civil lawsuit.

In addition to this Staff Code of Conduct and Ethics Manual, the Management may issue from time to time, by way of circulars and/or Memoranda, which may change certain Clauses of the Manual. It must therefore be noted that such changes will over-ride the relevant context in the Manual.

24. ANNEXURES

Annex 1: Consent to be Bound Form

I acknowledge that:

- I have received the Home Afrika's staff Code of Conduct and Ethics Manual and understand that it is my responsibility to read and comply with the legal and ethical practices contained in the Code of Conduct and Ethics.
- I give my consent to be bound by the provisions of this Code of Conduct and Ethics Manual for the duration of my employment at the Company.
- I have responsibility to report potential compliance issues to a supervisor, the legal department, the Human Resources or the Managing Director.
- I am aware that violations of the Code of Conduct and Home Afrika's policies and procedures may result in disciplinary action and/or lawsuit.

Name _____

Signature _____ Date _____

Title/Position _____

Department _____ Phone Number _____

Annex 2: Workplace Relationship Declaration Form

Pursuant to the guidelines hereinabove on personal relationships, it remains a priority for Home Afrika to ensure that ensure that relationships in the workplace do not raise concerns about favoritism, bias, ethics or conflict of interest. The form below is a declaration of personal relationships that provides an avenue to disclose personal relationships. These include romantic relationships, familial or fraternal relationships and business relationships.

For new hires, this form must be submitted and an exception approved prior to an offer of employment. For current staff/faculty, the form must be submitted within thirty (30) days of the development of the relationship.

Check the Appropriate Option: ☐ **New Hire** ☐ **Current Faculty/Staff Disclosure of Relationship**

Complete this Section for Supervisor Relationships

Name /Title of Supervisor _____

Name /Title of Direct Report Faculty/Staff Member _____

Department _____

Nature of Relationship: ☐ Family Member ☐ Consensual Relationship

Signature / Date Supervisor _____
Report Faculty/Staff Member Signature /Date Direct

Complete this Section for Family Relationships

Name /Title of Faculty/Staff Member _____

Department _____

Name /Title of Family Member _____

Nature of Relationship: ☐ Reporting Relationship Exists ☐ Reporting Relationship Does Not Exist

Signature / Date Supervisor _____
Direct Report Faculty/Staff Member Signature /Date

Please continue to next page

Complete this Section for Student Relationships

Name /Title of Faculty/Staff Member _____

Department _____

Name of Graduate or Undergraduate* Student _____

School of Study _____

Nature of Relationship: ☐ Family Member ☐ Consensual Relationship

***Only a pre-existing relationship is permissible**

To be completed by Human Resources Manager

Arising conflict of interest identified _____

Responsibilities assigned to alternate department leader: _____

Action to minimize or remove conflict of interest: _____

HR/ Conflict of Interest Signature _____ Date _____

