



SERITI INSTITUTE
HR POLICIES AND PROCEDURES MANUAL
November 2017

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1. LIST OF ABBREVIATIONS

BCEA	Basic Conditions of Employment Act 75 of 1997
CEO	Chief Executive Officer
COO	Chief Operations Officer
EE	Employment Equity Act 55 of 1998
HR	Human Resources
LRA	Labour Relations Act 66 of 1995
PO	Purchase Order
SDL	Skills Development Levy
Seriti	Seriti Institute
UIF	Unemployment Insurance Fund
WSP	Workplace Skills Plan

2. GENERAL INFORMATION

Seriti is a registered NPO whose mission is to strengthen community organisation for the realization of sustainable livelihoods and prosperity, through facilitation of partnerships and enhancement of community capabilities.

In addition to its major programmes, Seriti Institute continues to innovate in the sphere of community organization, to address social challenges, establish enterprises and in other ways strengthen livelihoods. In some cases Seriti nests its innovations in partner organisations.

The Institute fosters a culture of continuous learning at community level while ensuring that insights derived from practice inform development theory and impact government policy.

2.1 SERITI VALUES

2.1.1. Integrity

Refers to being trustworthy, honest and having strong moral principles that one upholds all the time.

2.1.2. Communication

This relates to the act or process of using words, sounds, signs, or behaviors to express or exchange information or to express ideas, thoughts, and feelings with internal and external stakeholders. Seriti strives to foster a spirit of openness and sharing of information and plans with relevant stakeholders.

2.1.3. Learning

Growth of consciousness, a change in activity and improvement in our situations are all possible through learning, growth and self-development. Seriti will contribute to societal learning by finding ways to share insights from practice, advocating new ways of doing things, or affirming innovative proven ways of doing things.

2.1.4. Accountability

We will hold ourselves to the most exacting standards of professional performance. We are accountable for the goals we set for ourselves and teams. Above all Seriti Institute is accountable to the communities in which we work and donors.

2.1.5. Leadership

We value leadership, and understand this to include learning, thinking, pro-activeness, responsiveness and accountability. Leadership means acting in light of the values we hold true and can be shown at every point in the organisation, by every single person working in it or by groups of people working together.

2.1.6. Support and respect

This means that a key concern of our organisation is guided by the relationships between people. We need to treat all those we work with and amongst with full respect, and accord dignity to all even when they are critical of us.

2.1.7. Understanding

The Institute works to improve conditions in society and specifically in those communities that suffer the impact of the inequality and poverty that characterize our country. We recognize that our organization is at the service of those 'at the bottom of the pyramid' and will seek to engage as best we can with their plight and actions to address social challenges and bring about meaningful sustainable change.

2.2 CODE OF CONDUCT

All employees must comply with the code of Ethics and Conduct (below) and must:

- Act in all circumstances with honesty, integrity and professionalism;
- Ensure that our funders' and stakeholders interests and identified needs remain paramount
- Adhere to the highest ethical standards of service

- Subscribe to and comply with all applicable laws and regulations in our business dealings
- Immediately disclose any actual or potential conflict of interest, which has the potential to interfere with the independence of our judgement in the best interests of our project partners and Seriti
- Maintain the integrity of confidential or proprietary information and ensure it is used solely for the purpose for which it is intended;
- Provide a healthy and supportive work environment that enhances the professional, physical and emotional well-being of the employees and management of Seriti
- Subscribe to a policy of equal employment without discrimination on the basis of race, religion, colour, affiliation or gender or any other discriminatory nature
- Report unethical conduct to senior management and the Board.

2.3 ETHICAL BUSINESS CONDUCT

Seriti strives to maintain a high standard of integrity in all of its operations and business relationships, both inside and outside Seriti.

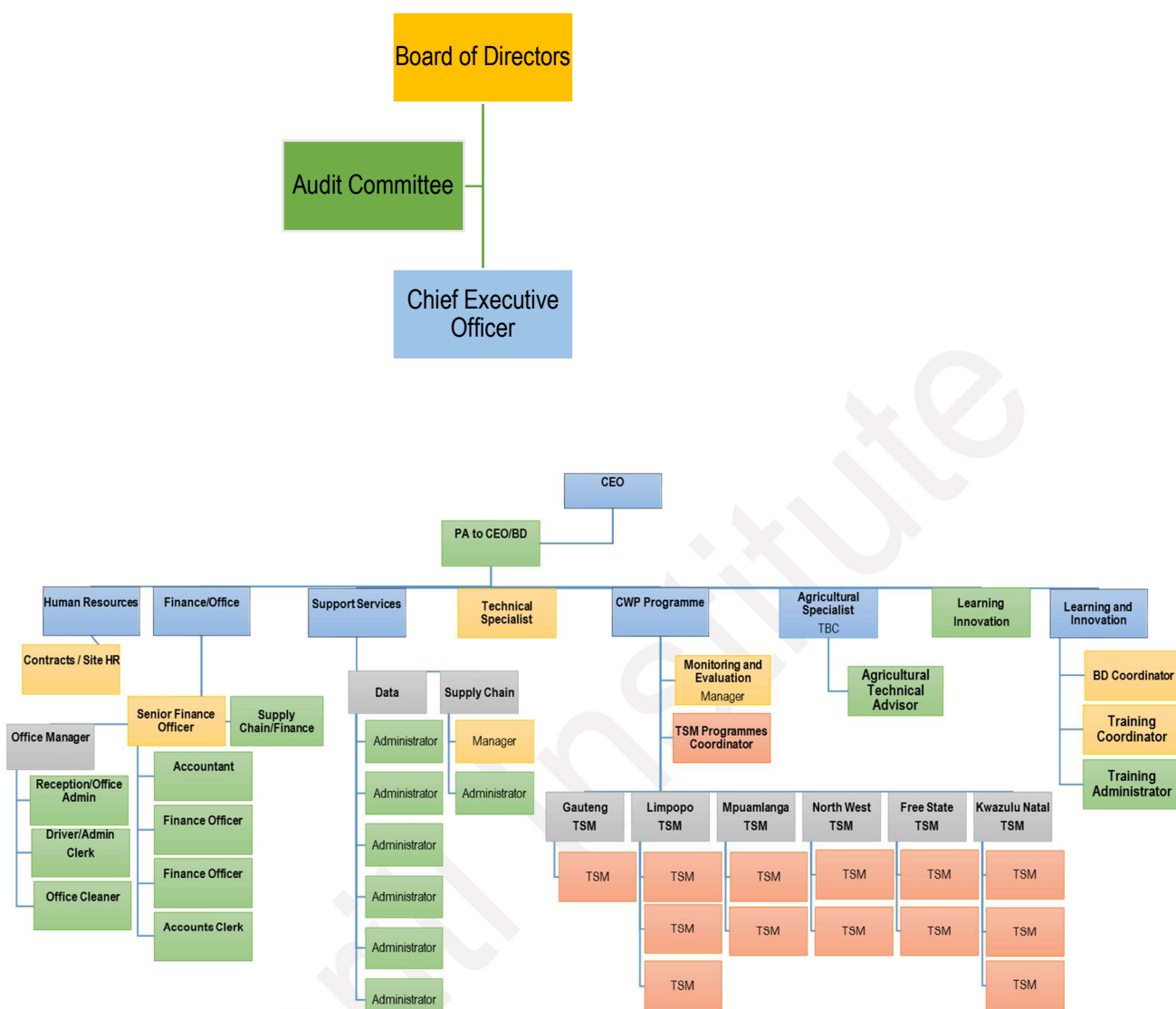
Internally, we value and actively promote respectful, collegial, and trusting relationships among the staff who work within the organisation. Seriti is fully compliant with all applicable South African laws that affect conduct and behaviour in the workplace. Above and beyond the legal requirements, we place a premium on civility, honesty, and teamwork. We seek to develop and maintain loyalty to fellow employees, and to Seriti as a whole, as a distinguishing feature of our work environment and our corporate culture.

In our dealings with potential employees (recruits), collaborating firms (partners), and clients, Seriti seeks to practice the positive values and high standards shared among our staff. By doing so, we enhance Seriti's position as an employer of choice, a partner of choice and an organisation of choice within a highly competitive marketplace. Our objective is to sustain and fulfil expectations by:

- Being open, fair, and transparent in our business relationships with outside parties;
- Honouring the commitments that we make to partners, and clients;
- Promoting candid two-way communications so as to ensure that each party's agenda and perspectives are well understood; and
- Seeking to resolve issues and disagreements constructively

A cardinal principle of Seriti's business strategy is an emphasis on technical and managerial excellence that will influence a client's decision in awarding a contract to Seriti. Seriti's policy does not authorize or condone practices that would subvert these criteria by offering direct benefits and/or financial consideration to decision-makers within the client organisation in return for a favorable review of a proposal submitted by Seriti.

3. ORGANIZATIONAL STRUCTURE



4. SERITI DELEGATION MATRIX

In the interests of promoting efficiency and effective management of programs and best-practice financial management, the Seriti delegation matrix:

- Sets out the various matters that are reserved for the Board as an accounting authority, and
- Sets out the powers that have been delegated to committees and individuals within Seriti.

The delegation matrix is one component of the broader Seriti corporate governance framework. Therefore, the document has to be read in conjunction with other documents including the policy documents dealing with specific matters and the various systems and procedures that have been approved by the Auditors and Board.

The document does not profess to cover all situations that may arise in the conduct of day-to-day business. Being the dynamic organisation that Seriti is we are bound to be confronted with situations that are not covered in the delegation matrix. However, the following are salient Guiding principles:

- Delegated authority - the Board and CEO/COO retain the responsibility of exercising delegated authority. The Board remains the supreme accounting authority and may confirm, vary or revoke any decision taken by an official;
- Where the delegation matrix requires consultation with a specific individual before a delegated authority is exercised, the person to be consulted should attach his/her signature to supporting documents as proof that he/she has indeed been consulted and that he/she is in agreement with the proposed course of action;
- Where there is uncertainty as to whether a proposed course of action falls within the confines of a specific provision in the delegation matrix, the rule of thumb should be that such power has not been delegated and the issue should be referred back to the original approving committee (e.g. Board).

LEGEND:

- A Approving
- R Recommending
- C Consultation before decision is taken
- I Informed of decision
- E Executing authority

	Oversight	Assurance Providers		Management Roles and Responsibilities	
AUTHORITY	Board	Audit Committee	Auditors	CEO/COO	Management Committee
CORPORATE GOVERNANCE					
Appointment of directors	A				
Appointment of the CEO/COO	A				
Determination of Directors' /Audit committee remuneration (if applicable)	A	R	R	R	
Appointment of External Auditors	A	R		R	
Approval of the Audit Terms of Reference (scope and budget)		A		R	
Approval of the risk management framework	A	R		R	C
Approval of the Code of Business Ethics	A			R	C
Approval of Seriti structure	A			R	
Approval of Seriti performance & targets	A			R/E	C/E
Approval of Seriti budgets & business plans	A	I		A/E	C/E
Approval of CEO/COO targets	A			C	
Approval of team performance targets				A	C
Preparation of proxies	A			R	
FINANCIAL MATTERS					
Credit control policy	A	C/R	R	E	E
Approval of borrowing policy	A	C/R	R	E	
Approval of banking policy	A	C/R	R	E	
Appointment/change of bankers	A			R/E	R/E
Opening of bank sub accounts linked to the main account				A	E
Approval of signatories / procedures	A			R	

	Oversight	Assurance Providers		Management Roles and Responsibilities	
AUTHORITY	Board	Audit Committee	Auditors	CEO/COO	Management Committee
Annual review of policies / procedures	A	C/R		R/E	C/E
PROJECT RELATED MATTERS – Non- budgeted					
Approval of non-budgeted contribution to projects of less than R150K	I			A	
Approval of non-budgeted contribution to project of between R150 001 – R300 000	A			R/A	
Approval of non- budgeted contribution to project of more than R300k	A				
OPERATIONAL POLICIES					
Ensuring regulatory compliance	I			A	E
Approval of Seriti involvement in new projects	I			A	R
Approval of Charters and Terms of Reference of all operational committees	I			A	C
Approval of the Authorized Signatory List for cheques and contracts	I			A	
Approval of usage of Seriti assets for private use				A	
Approval for the institution of legal proceedings with material implications for Seriti	A			R	
Approval for the institution of legal proceedings with no material implications for Seriti	I			A	
Signing off legal agreements	I	I		A	
Approval of travel requests by staff (national)					A
Approval of travel requests by staff (international)				A	
Approval for budgeted (or unbudgeted) acquisition of goods or services where the amount involved is more than R500k	A			R	R
Approval for budgeted acquisition of goods or services where the amount involved is less than R%50k	I			A	R
Disposal and writing off of physical assets (excluding land and buildings)	I	I	I	A	E

	Oversight	Assurance Providers		Management Roles and Responsibilities	
	Board	Audit Committee	Auditors	CEO/COO	Management Committee
AUTHORITY					
Determination & amendment of insurance principles, policy & guidelines (property, management, directors & officers)	I	I		A	
Approval for opening and closing of bank accounts locally & overseas; entering into credit card & electronic banking arrangements	A		C	R	
Mandate to report misconduct externally	A			R	
Conclusion of Memoranda of Understanding	I			A	C
HUMAN RESOURCE RELATED MATTERS					
Approval of Employee Retention strategies				A	C
Appointment and remuneration of staff below CEO/COO level				A	C
Approval of salary advances				A	
Approval of training (management, career development, coaching)				A	C
HR policies / procedures	A		C	R	C
Approval of staff salary increases	A	R		R/E	C
Approval of changes to the organizational structure	A	R		R/E	C

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5. TALENT MANAGEMENT - RECRUITMENT, SELECTION AND APPOINTMENTS

Seriti is committed to recruitment, selection and appointments that are in line with the principles of fairness, transparency and openness through developing job descriptions linked to competency statements. This ensures that qualifying applicants have the opportunity to apply for posts based on qualification and experience

Preference will be given to internal staff as part of career development in line with the WSP and EE Plan. No expectations of any nature is created.

5.1 RECRUITMENT, SELECTION AND APPOINTMENT

- Seriti organogram and head count is informed by organizational needs and funding which may necessitate the appointment of permanent, temporary or sessional staff.
- Full-time staff may only be appointed once the head count is approved by the CEO/COO. (Part-time staff are employed for specific programmes for a defined and limited duration).
- Contract staff may be employed for determined specific programmes/projects.
- Seriti management shall regularly review the organogram and roles performed in order to ensure efficiencies for all posts.
- Seriti develops job descriptions for each of the full-time and part-time posts. This includes a breakdown of the Key Performance Areas of each of the posts, competencies required for the role, and an analysis of what percentage of the job is represented by each KPA.
- KPA's may be incorporated into existing positions where it is possible and warranted in consultation with the affected employees.
- New approved positions will initially be advertised internally and should a prospective candidate not be found internally, the vacancy will be advertised externally. This will be via approved media indicating that "The appointment shall be in line with the EE plan and Seriti reserves the right not to fill in any position. Applicants who have not heard from Seriti within 1 month of the closing date may accept that their application was unsuccessful."
- Correspondence will be entered into with only short listed applicants.
- The Interview and selection process will be in line with the policies of the organization and the relevant legislation. This includes the need to ensure that the process is not biased and promotes equity and fairness. Depending on the nature of the post, the selection process could take any of the following forms, or a combination of more than one:
 - A selection based on a review of the applications which will be made against an agreed upon set of criteria;
 - A structured interview process with an appointed panel;
 - A written assessment based on a set of standardized instruments;
 - A demonstration process that enables the applicant to show competence against the requirements of the post;
- Psychometric tests and evaluation to ascertain candidates fit, and development areas may be done. The process will ensure consistency, and panel members will record their responses. All appointments will have a written contract with a specified probation period, a detailed job description and KRA's.
- Where the role will be played by individuals in existing posts and the role is being added to this existing job description through additional KPAs, there will be a consultation with the incumbent to consider the implications of this new role and the manner in which this additional responsibility will be managed. In addition, training requirements to fulfill this new role will also be explored with the individual.
- Where Seriti is intending to outsource certain roles, terms of references for each of these will be developed. Service providers or individuals will be selected in accordance with the procurement policies and procedures of the

organization. A database of facilitators and consultants will be kept and regularly updated. This database is aimed at making it easier for managers to meet the BEE requirements when selecting consultants.

- Only positions authorized by the CEO/COO will be considered for recruitment.
- Advertisements placed directly in the press must be cleared with the COO prior to the advert being placed.
- Recruitment agencies may be used only if approved by the CEO/COO where the position is specialized and technical.
- All those involved in the interview process are required to use the selection criteria established for the position for the final selection or recommendation for hire.
- Interviews for professional and management staff will be conducted by a panel appointed by senior management.

5.2 APPOINTMENT PROCEDURE

- 5.2.1. New employees will be issued with a letter of appointment from HR which should be signed by the employee and CEO/COO.
- 5.2.2. No verbal offers may be given and have no effect.
- 5.2.3. The applicant will be issued with the HR policy and procedures for understanding and acceptance prior to signing the employment contract.
- 5.2.4. Any special details agreed to at the time of making the offer of employment must be reduced to in writing.
- 5.2.5. The original signed letter of appointment must be filed in the employee's personnel file. No faxed or copies are accepted.
- 5.2.6. Before a candidate is offered a position, reference checks should be made to confirm the validity of the information supplied. Those reference checks must be appropriately documented in the files. If technical background information is needed, the selecting official may call references but should only ask questions of a technical nature and should, where possible, confirm salary details and length of employment. (Please refer to the policy on reference checks)

5.3 INDUCTION

All new employees are required to undergo induction in order to ensure that they understand the policies and procedures of Seriti, as well as are orientated about the culture of the organisation and the nature of its activities.

5.4 APPOINTMENT OF STAFF

- After a candidate has been selected for a position and the candidate has accepted the job offer, the employee's supervising manager is responsible for supplying the information along with all resumes, to HR for filing. It is also the responsibility of the interviewer to notify candidates interviewed but not successful. This must be done in writing and copies kept on file.
- Prior to commencing employment, the candidate will be given a Letter of Appointment to review and sign. Any questions or concerns regarding this document must be raised immediately and addressed as soon as possible. This contract will include performance review and probation period.
- The respective Manager under whom the new employee will report to is responsible for introducing the new employee to other staff at Seriti. The HR department is responsible for ensuring that the employee is given materials and other guidance.

6. RECRUITMENT, SELECTION AND APPOINTMENT OF TEMPORARY STAFF

Temporary appointments may be made to fill a vacancy for a defined period of time for a specific purpose.

6.1 APPOINTMENT OF TEMPORARY STAFF

- Temporary Staff must be sourced via approved sources only. Liaise with the HR department regarding this.
- Temporary staff are required to sign a contract of temporary employment, which will be drafted by the HR department.
- The relevant manager must sign the contract letter of temporary employment in consultation with the CEO/COO.
- Temporary staff are employed for a specific purpose and limited duration and their contracts may not be renewed without the approval of the CEO/COO.

6.2 PAYMENT OF TEMPORARY STAFF

- All temporary employees must have a valid banking account and will be captured on the VIP payroll and paid via EFT.
- Appropriate tax and other deductions will be made.

7. EMPLOYMENT EQUITY

A wider range of candidates may be interviewed for positions, but preference should be given to EE candidates and those with disability.

Affirmative action is part of a broader human resource development policy aimed at maximizing human resources and empowering individual staff members. Unfair discrimination is defined as the, 'exclusion of any candidates based on race, gender, sex, ethnic or social origin, colour, age, disability, religion, conscience, belief, political opinion, culture, language, marital status or family responsibility.' Employment practices shall adhere to Employment Equity, Affirmative Action measures, fairness and transparency in the achievement of a representative of the organisation.

7.1 PRINCIPLES

Seriti recognizes that because of past inequalities, there is a need to take positive steps to eliminate discrimination and provide equal opportunities in the workplace. Seriti is committed to providing preferential employment opportunities to South African citizens. Seriti is committed to ensuring that no person is discriminated against on the basis of race, gender, religion, sexual preferences or disabilities or any other discriminatory practices.

7.2 SETTING TARGETS

The HR committee will recommend EE targets which are realistic and achievable to management for approval. The EE plan is reviewed every 5 years and progress reported on an annual basis to DoL. The targets should reflect the demographics of South African society, with special reference to the disability and specific target groups. These targets will be recorded in the Employment Equity Plan, which will be reported on annually.

7.3 INSTITUTIONAL TRANSFORMATION

In addition to ensuring that gender is mainstreamed in its service delivery, Seriti will strive to put these principles into practice in its internal policies, procedures and in the work place ethos that it seeks to develop. Transformation contributes to organizational culture.

7.4 EMPLOYMENT OF FOREIGN (NON-SOUTH AFRICAN) NATIONALS

Only people with proven South African Citizenship, permanent residence or a valid work permit can be employed by the organization. Non-South African citizens shall be appointed where the South African market cannot provide such expertise and the recruitment process dictates so. Prior to making such an offer, the HR department must be contacted and the necessary permission obtained from the CEO/COO.

8. TRANSFER AND PROMOTION OF STAFF

8.1 TRANSFERS

Seriti supports internal movement of staff subject to the following conditions:

- The transfer is in line with the operational requirements of Seriti and contributes to the staff member's career development requirements;
- The transfer will not adversely affect the business;
- Staff must be employed in a permanent capacity for more than a year.

The following **steps** are critical to consider and adhere to when staff are to be transferred:

- The position must be advertised internally to enable a fair application and selection process.
- The notice period should be no longer than one calendar month to transfer to the new position unless agreed differently by both Managers. The staff member should apply first to the line manager, who will evaluate the application in terms of the requirements for the position.
- Once satisfied, the line manager will advise the applicant's manager of his or her intentions to transfer and the process outlined above will commence.
- The cost of relocation will be for the employees cost.

8.2 PROMOTIONS

- Promotion into a higher post is not an automatic right and all staff have a fair opportunity to apply for such positions which will be advertised internally. A current incumbent's position may be expanded subject to the approval of the CEO/COO.
- Note that promotion does not automatically guarantee an increase in remuneration. Salaries are reviewed annually and any ad hoc increases are subject to approval by the CEO/COO.

9. RELOCATION

Requests for relocation are employer initiated and is done at the sole discretion of Seriti considering operational requirements and employees circumstances. Relocation is a last option to place an employee into a position. All relocation cases will be dealt with on a case-by-case basis. In cases where relocation is project-specific, the guidelines of the agency involved will be followed and will be discussed with the employee prior to the signing of a contract.

Employees who receive reimbursement for relocation expenses are expected to remain employed by Seriti for one calendar year from their original date of hire. If an employee terminates for any reason before the one-year has elapsed, he or she is required to reimburse Seriti for the relocation expenses paid.

The following will be covered under relocation costs:

- Once off transport costs – the cheapest option.
- Accommodation (3 star hotel/guesthouse/ BB) or part thereof.
- Meals are not included as staff would incur this expense despite where they live.

10. EMPLOYMENT OF FRIENDS AND RELATIVES

The employment and working together of close friends and relatives is not permitted unless previously approved in writing by the CEO/COO. Staff are to note that new situations or relationships that develop (E.g. as result of new appointments, relocation or promotion) and are in contravention of this policy, are to be referred to the CEO/COO. Seriti reserves the right to request that one member in a relationship be transferred to another business unit in such instances. A business unit for the purpose of this policy refers to a unit where the line authority extends to the same line manager. Failure to disclose relationships where there is a potential conflict of interest is viewed in a serious light.

11. WORK REFERENCES

It is recorded that every employee is entitled to receive a Certificate of Service upon termination of his/her employment with Seriti, in compliance with the requirements of section 42 of the BCEA.

Managers and employees may not give testimonials or character references on former employees, other than a Certificate of Service, without written approval from HR.

The Certificate of Service issued by HR shall contain the following information:

- The employee's full name;
- The full name, registration number and address of Seriti;
- Period of service – including the date of commencement and date of termination of employment;
- Position/s held;
- Final salary details – including a breakdown of the employee's remuneration as at the date of termination of employment;
- If the employee so requests, the reason for termination of employment.

Managers may not disclose reasons for leaving Seriti or any other personal information of former employees.

Persons making enquiries, who are not prepared to accept the limited information given, should be referred to the CEO/COO who will inform such persons that the information requested is confidential and that it is the policy of Seriti not to disclose same.

Important: No employee may give testimonials on behalf of Seriti; all requests must be forwarded to HR.

12. CONFLICT OF INTEREST

In the context of this policy *staff member* includes the staff member and his/her immediate family (parents, children, spouse, etc.).

- Staff members must always act in the best interests of Seriti.
- Personal financial interests, where there is any possibility of a conflict or coincidence of interests, must be declared, in the first instance in writing to the CEO/COO who will, if s/he deems it necessary, discuss the potential conflict with the Board to obtain a ruling. Please refer to the policy relating to Staff involvement in outside Business.

With regard to the receipt of gifts or rewards by staff members the following principles apply:

- Transparency and disclosure
- No upward referral for approval / recommendation and/or information to influence a decision
- No staff member may solicit or receive a gift (in its broadest sense) or reward:
- No gifts may be accepted that are related to a business transaction;
- No gifts may be accepted where it could be seen as one that could influence an outcome or decision.

Any gift or reward with a value of higher than R300.00 is to be disclosed in writing to your Line Manager who will, in discussion with the COO, decide on the most appropriate way of dealing with the situation.

Small gifts associated with recognized anniversaries/events (E.g. Birthday, Christmas, etc.) or marketing material may be accepted.

All staff are required to complete the declaration of interest form. A new form must be completed whenever the situation dictates so appropriate (e.g. when you receive a gift or acquire an interest in a business or contract where Seriti is involved). All information disclosed will be confidential and not disclosed without your permission.

13. STAFF INVOLVEMENT IN OUTSIDE BUSINESS ACTIVITIES

As a general principle, staff members are employed by Seriti to do work which should occupy the normal working day. Staff members are expected to promote the best interests of Seriti and to represent Seriti with integrity and honesty. Anything that interferes with these obligations is a breach of the employment contract.

Seriti may tolerate staff being involved in or having an interest in outside business enterprises on condition that the following is complied with:

- Management is provided with details of the business in writing to their HR Manager who will discuss the matter with the CEO/COO.
- Matters relating to private business enterprises that are conducted outside of office hours.
- Seriti equipment and resources are not to be used except for Seriti business.
- Seriti products/services and delivery are not compromised.
- The other activities are not in conflict with Seriti.
- Any outside business interest or employment does not in any way negatively affect performance of the work for which the person is employed by Seriti.

Please note that all staff members are responsible to declare their interests in outside business enterprises on appointment and during employment on an ongoing basis.

Staff members who do not declare such interests will be subject to the disciplinary code regardless of whether they believe that such interest may be applicable or not. Employees are therefore urged not to make any assumptions regarding Seriti's views on their involvement in any outside interest or business as non-disclosure in itself will be viewed as an infringement of this policy.

This excludes any personal investments, property rentals and annuity income in your personal capacity.

14. PAY PERIODS, TIMESHEETS AND WORKING HOURS.

14.1 PAY PERIODS

Employees are paid on a monthly basis, in arrears, on or before the 25th day of the month (or on the next workday if the 25th falls on a weekend or holiday); Payment is done electronically and the onus rests with the employee to ensure that correct and up to date banking details are given to Seriti

14.2 TIMESHEETS

Seriti will compensate all staff and contracted parties for hours worked during a particular period (month) based upon accurate, properly completed, signed and approved monthly timesheets. Timesheets must be completed by each staff member and or consultants and they must be approved by the Line Manager /COO. Time sheets will be audited to verify accuracy and correctness. The timesheet should **be filled out on a daily basis** to ensure accuracy in time keeping. Completing the timesheet at the end of a particular week, or month, from memory has proven to be ineffective leading to inaccurate/incorrect reimbursements, which is not acceptable.

The timesheet is the tool to be used to record an individual's time allocation. Employees may use a variety of line items as they may work on more than one project, proposal, and Seriti assignment at a time. The form is quite simple to follow and is available on the Seriti Server. All accounting of time should be in half-hourly or hourly increments. The timesheet is broken down into the main types of activities expected in an attempt to accurately reflect the actual activities worked on, as described above and below.

The timesheet is the official document upon which Seriti submits invoices to its clients/donors. Unless required and provided by the client/donors, no other format of timesheet will be accepted. Payments for hours expended will not be possible without the submission of a duly completed and correctly authorised timesheet.

PLEASE NOTE: It is the responsibility of each employee and subcontractor to read, understand and adhere to these procedures. When approving a timesheet, the employee's line manager must review and approve it carefully. Timesheets that have not followed the procedure should be returned to the individual. Timesheets containing unexplained alterations should not be forwarded to the Finance Department for payment. Timely submission of a properly filled out and authorised timesheet is the sole responsibility of the employee.

14.3 WORKING HOURS

All employees are required to work 40 hours a week. Seriti office hours are 8h00 – 17h00, Monday to Friday. Employees are allowed a 1 hour (60 minutes) lunch break.

It is compulsory for employees to be available for meetings, special events, development in dialogues, etc.

Flexi Hours/Working from home is dealt with on a case-by-case basis and this will require prior written approval by the COO/CEO.

15. SALARY PAYMENT PROCEDURES

The broad objective of Seriti Institute salary policy is to attract, retain and appropriately reward competent and high-performing staff. Salaries are informed by market surveys in the Salary NGO environment and financial situation of Seriti

Salaries of staff members at Seriti Institute are differentiated on the basis of job related criteria. The key criteria used to differentiate salaries are:

- The level of responsibility inherent in the job;
- The complexity of the job.
- Level of decision making;
- Knowledge, skills and educational qualifications required by the job.

Salaries are confidential and should not be disclosed to other employees or third parties under any circumstances. Failure to adhere to this clause will surmount to the respective employee being subjected to disciplinary measures.

The salaries in the scale are based on **total cost of employment** to the organization and include all benefits e.g. Provident fund, SDL and UIF.

Salaries are reviewed annually and possible increases implemented from 1 April, using Consumer Price Index as a bench mark and a performance related increase that is linked to performance.

The Board considers possible salary increases. Annual bonuses are optional and based on the staff members performance. The amount can be lesser or equal to a maximum of 1 (one) month's salary. Increases and bonus is dependent on availability of funds Deductions

The following statutory deductions will be made from all employees earnings: Unemployment Insurance Fund: Employees are obliged to contribute to the UIF as specified in the Unemployment Insurance Act PAYE and SDL as per legislation in the Republic of South Africa.

Workers Compensation: the Commissioner of Injuries and Disease Fund reimburses employees for occupational injuries and diseases incurred during employment.

16. OVERTIME

General Rules

- Seriti does not pay for overtime; however additional leave will be granted at a rate of 1.5 times the time worked, in lieu of the overtime. This is permissible for all staff excluding those whose earnings are above the threshold as determined by the Minister of Labour in the Government Gazette.
- This leave must be approved in advance and must be taken within two months of the overtime worked, or the leave will be forfeited. Furthermore, the leave must involve a minimum of 4 hours worked in order to book off time. No accrual of overtime for leave is allowed.
- A staff member may not work overtime without the prior authorization of her/his direct line manager.
- The line manager and CEO/COO will have the overall authority to accept or decline an application to work overtime and/or to receive time off in lieu of overtime.

Procedure to apply and claim for overtime work

- Once approval has been obtained via your line manager, the employee may commence with overtime work. The timesheet must be attached.
- A leave form has to be approved in advance detailing the reasons for working overtime, as detailed above.
- The relevant line manager is to authorize time off for overtime worked and submit to HR.

17. LEAVE

This policy aims to ensure that all employees are granted leave within the statutory requirements of the Basic Conditions of Employment Act.

The following categories of leave are applicable:

- Annual leave
- Sick leave
- Maternity leave
- Family responsibility leave, including paternity leave
- Study leave
- Unpaid leave
- Leave on termination of service

Leave provisions apply only to permanent staff. During the first year of service, the amount of leave that the employee is entitled to is as per the BCEA.

The line manager has the authority to authorize leave for staff that s/he is directly responsible for. Where a Senior Manager applies for leave, the CEO/COO has the authority to approve the leave. All leave must be tabled at the management committee meeting for noting.

17.1 ANNUAL LEAVE

- Employees are entitled to 15 (fifteen) working days per annum, calculated at 1.25 days per month. In addition, 5 (five) days compulsory days leave is allowed during office closure for the Christmas period.
- The employer shall not pay an employee in lieu of leave. The employee's annual leave to be taken must be negotiated at a time that is mutually convenient to the employee and the organisation.
- A maximum of 7 (seven) days leave can be accumulated and carried over to the following year. Leave carried over to the following year must be taken within 3 (three) months of the new financial year (April –June). Unused leave will be automatically forfeited.
- Where an employee wishes to take 5 (five) or more consecutive days leave, s/he must submit the leave application form to the relevant manager for approval, three weeks before commencement of leave.
- If the employee is applying for less than 5 (five) days leave, 1 (one) week notice will be required.
- Where leave is required by the manager, the application form must be submitted to the COO/CEO.
- Should an employee wish to take more leave than has been accrued, unpaid leave will apply. Unpaid leave is not an entitlement but may be considered by the CEO/COO, after consideration of the implications for Seriti.
- In the event that an employee becomes ill during a period of annual leave, the annual leave will only be converted to sick leave on submission of a medical certificate from a registered medical practitioner.

17.2 SICK LEAVE

17.2.1 An employee must inform Seriti immediately and no later than two hours on the first working day of illness; and thereafter at intervals of not more than 3 (three) days for the entire period of his/her absence, and immediately when so required by Seriti.

17.2.2. The employee is entitled to 6 (six) weeks paid sick leave in a 3 (three) year cycle. During the first 6 (six) months of employment, the employee is entitled to 1 (one) day for every 26 (twenty six) days worked.

17.2.3. If the employee is absent on 2 (two) or more occasions in an 8 (eight) week period, the employee is required to produce a medical certificate of each day of absence during the subsequent 8 (eight) week period.

17.2.4. Seriti reserves the right to request an employee to produce a medical certificate for absences in the following instances:

- Absence of more than two days;
- Absence on a Friday and or Monday;
- Absence on the day prior to or last day of a public holiday.

If no certificate is produced, annual leave will apply.

17.3 MATERNITY LEAVE

17.3.1. Seriti is committed to providing maternity leave benefits that assist in meeting the needs of permanent employees whilst considering the operational requirements of the business

17.3.2. An employee is required to notify Seriti at least 8 (eight) weeks prior to the start of maternity leave on the dates on which the employee intends to:

- Commence maternity leave; and
- Return to work after maternity leave;
- Shorter notice for commencement of maternity leave may be granted if it is not reasonably practical to give 8 (eight) weeks' notice – for instance when a Medical Practitioner recommends that the employee commence maternity leave earlier.

17.3.3. Maternity leave is granted to all permanent female employees for the purposes of child birth and the mother's wellbeing. Maternity leave shall commence at any time within four (4) consecutive weeks before the expected date of birth, or on a date specified by a healthcare practitioner or midwife as being necessary for the employee's health and/or the health of the unborn child.

Guiding principles:

- Female employees who have worked for Seriti Institute for less than 12 (twelve) months are entitled to 4 (four) months unpaid maternity leave.
- Female employees of Seriti Institute who have one or more year's continuous service are entitled to 4 (four) months' maternity leave. Seriti will pay 50% per month of total basic salary for the 4 (four) months maternity leave taken.
- Seriti will be responsible for all payments of any authorised deductions and statutory payments such as UIF, PAYE, SDL and Retirement Funding contributions during maternity leave.
- In compliance with the Basic Conditions of Employment Act 75 of 1997, a female employee may not resume work within six (6) consecutive weeks after the birth of her child, unless a registered medical practitioner certifies that she is sufficiently healthy to commence work earlier.
- Employees who are granted maternity leave during their probation period will have an extended probation period equivalent to the four (4) consecutive months (120 consecutive days) maternity leave granted to Seriti permanent employees.
- A female employee who has a miscarriage during the third trimester of pregnancy or who bears a stillborn child is entitled in terms of Section 25 (4) of the BCEA to maternity leave for six (6) consecutive weeks after the miscarriage or stillbirth, whether or not the employee had commenced maternity leave at the time of the miscarriage or stillbirth. An employee who has a miscarriage prior to the third trimester may apply for sick leave in the normal course.

Extension of maternity leave

- Employees may apply to have their maternity leave extended by a period of not more than two (2) months. The approach to approve extended maternity leave is the same as that of unpaid leave.

- This means that:
 - All annual leave must be exhausted before unpaid leave is considered and granted.
 - The application for extension of maternity leave must be made at least 4 (four) weeks in advance.
 - The employee must submit a leave form to the line manager for approval.
 - The extended maternity period will be unpaid.
 - No leave will accrue to the employee's leave credit.
- The employee will be responsible for the payment of the full contribution towards the employee's Retirement Fund during extended maternity leave.

Commencement and duration

- Maternity leave shall be in accordance with section 25 the Basic Conditions of Employment Act, 1997 as amended.
- An employee may commence leave on the following conditions:
 - At any time from 4 (four) weeks before the expected date of birth, unless otherwise agreed to.
 - On a date from which a Medical Practitioner certifies that it is necessary for the employee's health and that of the unborn child.
- The employee may not work within 6 (six) weeks of the birth of her child unless a Medical Practitioner certifies that she is fit to do so.

Unemployment insurance fund

- On commencement of maternity leave, employees contributing to the Unemployment Insurance Fund (UIF) will be provided with the necessary documentation to enable them to claim benefits as defined under the provisions of the UIF Act.
- The employee must apply directly to the Department of Labour (DoL) for maternity benefits as determined by Section 25 (7) of the BCEA.

Steps for Unemployment Insurance Fund Claims

Below is a step by step process for the UIF claim:

- Step 1 – Ensure you have all the necessary documentation for the UIF application.
- Step 2 – Go to the nearest Labor Center to apply for UIF or organize for someone to go in their place should the employee be too ill to physically go to the Labor Center themselves.
- Step 3 – Follow the instructions of the staff at the Labour Center.
- Employees must ensure they have all the necessary documentation as required by the DoL.
- For additional information employees may go to the Labor Department website. The link is as follows:

<http://www.labour.gov.za/DOL/legislation/acts/basic-guides/basic-guide-to-uif-maternity-benefits>

Maternity/family responsibility leave procedure

- The employee must apply for Maternity or Family Responsibility leave at least 8 (eight) weeks prior to the commencement of leave by filling in a leave form.

- The Maternity or Family Responsibility leave application should be forwarded to the line manager and the HR Department for approval, together with a Medical Practitioner's note confirming the expected date of birth.
- The HR Department must be kept informed in the event of any complications prior to birth, during birth or after birth if a leave extension is required.
- The employee intending to take either Maternity or Family Responsibility leave must ensure that they work closely with their line manager to collate a handover document.
- The handover document must state all relevant work which has been completed and all outstanding work to be completed including appropriate documentation.
- The handover document must be signed by the employee and line manager prior to the commencement of the Maternity or Family Responsibility leave and handed over to HR.

Illness / injury during maternity leave.

- In general, should the employee fall ill (whether due to pregnancy complications or illness not connected with pregnancy) during maternity leave, the illness shall be regarded as forming part of maternity leave and shall not be extended. In other words, no sick leave can be taken in this period.
- Should Seriti Institute implement a salary increase whilst the employee is on Maternity leave, she will be entitled to the salary review based on her job performance prior to commencement of Maternity leave. Such an increase will be effected only on the employee's return from Maternity leave.

17.4 FAMILY RESPONSIBILITY LEAVE (INCLUDING PATERNITY LEAVE)

17.4.1. The employee is entitled to 5 (five) working days family responsibility leave per annum where reasonable proof per eventuality is submitted for the following:-

Death of an employee's spouse, life partner, employee's parent, adoptive parent, grandparent, child, adopted child, grandchild or sibling;

- In the event of the sickness of the child:-

The prescribed leave form must be completed for all the above. Reasonable proof (certificates, sick note etc.) must be submitted with the leave form to the line manager for authorisation.

17.4.2. Seriti Institute will grant, an additional 5 days Family Responsibility leave to those employees whose spouse or partner is expecting the birth of a child or in the event of an adoption, where the child is 6 (six) months or younger. Conditions for Family Responsibility leave are as follows:

- An employee may commence Family Responsibility leave on a date agreed upon between the employee and his immediate superior;
- Seriti will grant an employee, who has completed at least 4 (four) months service with Seriti and at the request of the employee, a total of 5 (five) days paid paternity leave during each annual leave cycle. Proof of birth must be submitted to Seriti at the employee's earliest convenience;
- Paternity leave requests must be submitted at least 1 (one) month in advance to the Management Committee for approval and is subject to operational requirement;
- Subject to the approval of Seriti, where an employee wishes to utilize annual leave in addition to paternity leave, only leave already accrued to the employee prior to the commencement of paternity leave may be utilized.

17.5 STUDY LEAVE

Study leave may be granted for the purpose of writing an examination, provided that proof of such examination has been provided 6 (six) weeks prior to the date of the exam. 2 (two) days of leave will be given for each exam, up to a maximum of 10 (ten) days of study leave per annum. No study leave is granted for repeated examinations. It is the responsibility of the staff member to advise the line manager and the HR of his/her intention to study and to obtain the necessary approval for study leave before registering for the qualification.

A copy of the examination time table is to be attached when processing a request for study leave. Leave applications must be approved by line manager at least 1 (one) month in advance.

Based on the employee being awarded study leave on the conditions stipulated above, study leave is granted as follows:

- 1 (one) day per subject to facilitate preparation for the writing of examinations; and
- 1 (one) day per subject for the writing of each examination.
- Should any of these days fall on a weekend or public holiday; the staff member will not be eligible for additional working days leave.
- Under no circumstances will leave be approved in excess of 10 (ten) days per annum.
- Seriti reserves the right to decline or reduce the amount of leave requested based on operational requirements of the business.

17.6 UNPAID LEAVE

Applications for all unpaid leave should be directed to the CEO/COO for approval. The CEO/COO will base his/her decision on the following:

- a) The nature of the request, for example study reasons, overseas trip; and
- b) The workload and staffing of the organization during the requested absence.

17.7 LEAVE UPON TERMINATION OF EMPLOYMENT

- Annual leave will not be granted to staff members during their month of notice.
- On termination, should a staff member have a positive leave balance (excluding accrued leave from the previous financial year), this will be paid out at the BCEA rate.
- In the unlikely event that a staff member has a negative leave balance, this will be recouped from the staff member's final salary payment, at their current earnings.

18. MEDICAL AID AND PROVIDENT FUND

18.1 MEDICAL AID

- Seriti does not provide a dedicated medical aid; however, in terms of the employment policy; all employees are required to belong to a medical scheme of their choice unless they are dependents on their spouse or parent medical scheme.
- New employees who are dependents on another medical aid scheme are required to provide evidence of this upon employment.

18.2 PROVIDENT FUND

All head office payroll staff are required to belong to the Seriti Provident Fund as part of their conditions of employment. The rules of the fund are applicable to all members.

19. LOANS AND SALARY ADVANCES

Seriti does not grant any loans under any circumstances as Seriti is not a registered financial service provider.

Salary Advance

Seriti does not normally grant salary advances to employees. In exceptional cases of financial hardship where an advance is urgently needed, this will however be considered. There is however no obligation on Seriti to offer employees advances. Employees who are in extreme financial difficulty may apply for a salary advance but this is not encouraged.

Conditions for salary advances are:

- The full amount will be deducted in the next pay run.
- A maximum of two advances per employee will be granted in one year.
- A salary advance is not likely to be approved where the amount requested exceeds 25% of the employee's net salary.
- No interest is charged.
- An advance will not be granted two months in a row.
- Salary Advances will not be granted against annual or any other type of bonus or incentive.
- All salary advances are to be approved by the CEO/COO.

The CEO/COO has the final approval of the advance and his/her decision will be final. The respective employee must motivate the salary advance application for the CEO/COO to approve.

20. MANAGEMENT, CAREER AND PERSONAL DEVELOPMENT ASSISTANCE

Seriti is committed to the future of South Africa. We believe that the development of skills among our employees is an inherent building block in improving the country as a whole. In this regard Seriti would like to encourage staff to continually strive to upgrade themselves.

Seriti will set aside a total budgeted amount each year to meet the costs for management, career and personal development assistance. The amount to be budgeted will be calculated based on the total number of employees at the time the budget is approved.

The development assistance is aimed at improving knowledge and skills, and enhancing employee performance within Seriti. The assistance is provided to meet business needs in line with the Workplace Skills Plan and EE.

Conditions for the granting of assistance will include the following and any other conditions, as may be appropriate and determined for each case.

- The employee must have an employment contract with Seriti which has duration of one year or more.
- The employee must be performing at a satisfactory level.
- The employee must sign an undertaking to provide proof, within 30 days of receiving his/her results that s/he has passed or satisfactorily completed the course for which the assistance was granted.
- The employee must sign an undertaking that if s/he fails to furnish a report on the satisfactory completion of a course, the assistance will automatically be converted to a loan which will be subjected to the terms of the loan policy.
- The employee who fails or does not complete a subject/course/module, will not be eligible for further assistance for the subjects or course or module failed or not taken or completed. The decision to determine pass or fail is based on the course as a whole if it is built up of several modules.
- The employee who fails a course or modules of courses or does not take or complete them will be required to repay the amounts provided and disbursed as assistance. The amounts will be deducted from the employee's salary in no more than 6 instalments, or from final emoluments.
- In exceptional cases, where a single course costs in excess of R20 000, including any overseas training/seminars, the employee will be required to work back for a period of 12 months.
- Once agreed, the employee's development assistance plan and records must be submitted to HR for inclusion in the employee's personnel file.

Resignation or Termination

Should the employee's services be terminated prior to the completion of the respective work back period, the employee will be required to repay the pro-rata value of the money outstanding at the time of the employment contract termination.

Death or Illness

In the unfortunate event of an employee's death before the training expires, their designated beneficiaries will not be required to pay back any amount provided as development assistance.

Retrenchments

Should a project contract be terminated and an employee be retrenched during the bonded period, he/she will not be expected to reimburse Seriti with the outstanding amount.

21. DISCIPLINARY CODE AND PROCEDURES

21.1 INTRODUCTION

Disciplined behaviour is essential both for the successful achievement of Seriti Institute's objectives and for the safety and fair treatment of the employees.

It is the responsibility of management to maintain disciplined behaviour and it is entitled to expect satisfactory conduct and work performance from employees.

For discipline to be maintained fairly, the employees should know what constitutes misconduct and the procedure which will be followed when dealing with misconduct. A dismissal may be unfair if it is not effected for a fair reason and in accordance with a fair procedure. Whether or not a dismissal is for a fair reason is determined by the facts of the case and the appropriateness of dismissal as a penalty.

The Labour Relations Act of 1995, as amended ("the LRA") recognises three grounds on which a termination of employment may be legitimate:

- The conduct of the employee;
- The capacity of the employee, and
- The operational requirements of Seriti Institute's business.

The LRA further provides that dismissals for certain reasons may be automatically unfair, i.e. if it amounts to an infringement of the fundamental rights of employees or if it is for a reason listed in section 187 of the LRA such as participation in a lawful or protected strike, intended or actual pregnancy and acts of discrimination.

Essentially, the procedures and requirements of Section 189 of the LRA will be complied with in such situations. This code and procedure is to deal with misconduct and incapacity.

A disciplinary code and procedure is based on the following principles:

- Disciplinary action that is corrective as opposed to punitive, the aim being to bring about a change in the behaviour of employees who have indulged in undesirable actions so that such employees adhere willingly through greater acceptance and understanding, to standards of conduct and performance.
- Punitive action should only be taken when prior graduated corrective action has proved ineffectual or when a first offence is very serious.
- The responsibility for imposing discipline is that of management. Management also adopts clear disciplinary rules that establish the standard of conduct required of employees. Such rules create certainty and consistency in the application of discipline. The standards of conduct are also clear and are made available to employees in a manner that is easily understood.
- As far as is practicable, similar offences committed in similar circumstances will be treated equally through similar disciplinary action.
- Formal procedures do not have to be invoked every time a rule is broken or a standard is not met. Informal advice and correction is the best and most effective way for Seriti Institute to deal with minor violations of work discipline. The relevant supervisor will, in the main, be responsible for this first level of discipline. Repeated misconduct will

warrant warnings which themselves may be created according to degrees of severity. More serious infringements or repeated misconduct may call for a final warning or other action short of dismissal. The directors will, in the main, and depending on the circumstances, be responsible for this level of discipline. Dismissal will be reserved for cases of serious misconduct or repeated offences.

- Generally, it is not appropriate to dismiss an employee for a first offence except if the misconduct is serious and of such gravity that it makes a continuous employment relationship intolerable. When deciding whether or not to impose a penalty of dismissal, management should in addition to the gravity of the misconduct consider factors such as the employee's circumstances (including length of service, previous disciplinary record and personal circumstances), the nature of the job and the circumstances of the infringement itself.
- Prior to any disciplinary action being taken, careful consideration of the circumstances must be given. This must follow an investigation into each incident. Guidelines are separately provided in respect of matters not related to misconduct such as capacity and/or incompatibility.

21.2 MISCONDUCT

Offences can be divided into two broad categories, namely:

21.2.1. Serious Offences:

These could, subject to an inquiry, result in action against employees in the form of instant dismissal with notice pay, or written reprimand.

21.2.2. Moderate Offences:

These usually consist of breaches of general discipline resulting in graduated disciplinary measures such as counselling and warnings.

[NB: The list set out below is not exhaustive and serves only as illustrations]

21.2.3. Serious Offences

Examples of serious offences are as follows:

21.2.4. Dishonesty:

- theft, bribery or fraud;
- falsification of Seriti Institute's records, or records relating to projects of Seriti Institute;
- misuse or wrongful appropriation of property of Seriti Institute for private purposes;
- gross negligence or incompetence;
- making false statements when applying for employment; and/ or
- revealing confidential information to unauthorised persons.

21.2.5. Dangerous Actions:

These are actions endangering the lives, health or safety of the employee, guests, clients or other employees:

- wilful damage to Seriti Institute's equipment or the property of other employees, or the property of guests;

- flagrant disregard of safety standards;
- fighting, assault or attempted assault;
- being drunk or under the influence of illegal drugs during work hours so as to constitute a “danger to persons” property, e.g. whilst in charge of a vehicle or machine belonging to Seriti Institute/insubordination; and/ or
- causing damage to Seriti Institute’s property, or property dealt with in relation to employment tasks, through drunkenness or serious neglect.

21.2.6. Other

- Sabotage by damaging machinery, or by interrupting any supply of power, materials or services necessary for the operations of Seriti Institute or a client;
- illegal striking or influencing others to strike illegally;
- refusal to obey instructions given to the employee or by a supervisor designated by Seriti Institute;
- bringing Seriti Institute into disrepute with a client;
- desertion;
- persistent misconduct following on two previous written warnings for the same or substantially the same form of misconduct; provided that, generally speaking, any written warning issued (an exception is dishonest conduct, where the specific nature and circumstances will be taken into account) more than 6 (six) months prior to the misconduct now complained of, should be disregarded;
- insolence;
- absence from the workplace while on duty (depending on the nature of the job, e.g. an employee whose absence will hold up the work of other employees and cause serious prejudice to Seriti Institute); and/ or
- unauthorised absenteeism where such absence is longer than 3 (three) successive working days.

21.2.7. Moderate Offences

- Absence from the workplace without permission or proper reason, unless such absence constitutes a serious offence due to the nature of the employee's work;
- laziness/loafing: passing time idly or failing without reasonable cause to complete tasks set;
- poor workmanship / inefficiency: failure to carry out work to the required standard without reasonable cause and concealing defective work;
- poor time keeping and late coming;
- coming to work under the influence of liquor or drugs, but not entering the working areas or engaging in activities;
- disorderly behaviour;
- negligence: negligent loss, damage or misuse of Seriti Institute's property/ failure to exercise proper care in executing duties to the extent that tasks have to be repeated or equipment or persons are at risk of damage or injury; and/ or
- being disrespectful towards guests/clients.

21.3 DISCIPLINARY MEASURES

There are four basic methods of disciplinary action which can be taken against any employee. In order of severity these are:

- verbal warning;
- written warning;
- final written warning; and
- dismissal on notice with pay in lieu of notice or summary dismissal.

Attached hereto marked Annexure "A" is a schedule which, with reference to the different categories of misconduct, provides a guideline for management in respect of possible disciplinary measures. Each case is, however, to be considered on its own merits, relevant circumstances and consistency in respect of past practice. Dismissal may, for instance, under certain circumstances be warranted even for a first offence despite the schedule's guideline.

21.4 DISCIPLINARY PROCEDURE

21.4.1. Verbal warning

In case of a moderate offence, a direct superior should conduct an informal disciplinary interview with the employee which may result in a verbal reprimand. The supervisor must point out the undesirable behaviour or unacceptable performance to the employee, explain why it is a problem, discuss ways and means whereby a recurrence can be avoided.

It is important that the employee at this stage be made aware that further misconduct or non-compliance with Seriti Institute's standards could lead to formal disciplinary action being taken against him with the possibility of dismissal.

No written record is kept of this warning.

21.4.2. Written warning and final written warning

If the verbal warnings fail, the supervisor should give the employee a formal written warning. A repetition of wrongful behaviour, or a more serious offence can result in a final written warning.

A written warning shall be valid for a period of 6 (six) months, where after the employee will revert a clear record (an exception is dishonest conduct, where the specific nature and circumstances will be taken into account.)

The issuing of a final written warning must be preceded by a formal disciplinary hearing. A final written is valid for a period of 12 (twelve) months.

All written warnings will be recorded in a disciplinary form which will be placed on the employee's file. A copy of the disciplinary form will be handed to the employee. A pro-forma final written warning form is annexed hereto marked Annexure "B".

The exact nature of the employees misconduct, transgression of unacceptable behaviour or performance must be clearly recorded by the senior co-ordinator/superintendent on the appropriate form.

The employee should be asked to sign a warning form only to indicate receipt thereof. Should the employee disagree with the contents of a warning or refuses to sign such warning, such disagreement or refusal must be noted on the warning form in the presence of a witness. Management will not insist on the employee's signature as this is a pre-requisite for the validity of the warning.

The warning must be completed in duplicate. One copy should be handed to the employee and the second copy must be filed in the employees personnel file.

Management when giving verbal or written warnings must counsel employees properly using the following guidelines:

- explain the purpose of the meeting
- meetings must be held in private;
- state the breach of discipline; and
- state why the breach creates a problem;
- explore the employees reasons –
- let the employee explain reasons for the breach;
- ask for information; and
- gather information by asking why, what, where, when, how, etc.;
- development action plan –
- ask the employee what needs to be done to resolve the situation;
- suggest certain steps to be followed to avoid the situation arising again; and
- gain commitment from the employee;

21.4.2.1 confirm the action plan –

- 21.4.2.1.1 go through the action category with the employee;
- 21.4.2.1.2 confirm the plan with the employee; and
- 21.4.2.1.3 confirm that action will be taken;
- 21.4.2.1.4: implement disciplinary measure (if necessary) –
- 21.4.2.1.5 implement necessary disciplinary measure; and
- 21.4.2.1.6 follow up on disciplinary measure.

21.4.2.2 At such hearings, prior to providing verbal or written warnings, the employee should be allowed an opportunity to state a case in response to the allegation and if so requested, should also be allowed the assistance of a fellow employee.

21.4.3 Dismissal on notice or with pay in lieu of notice or summary dismissal

When, in the opinion of a director of Seriti Institute:

- 21.4.3.1 a series of performance improvement measures have not produced the anticipated effect; or
- 21.4.3.2 a series of verbal or written reprimands given for minor misconduct have not been effective; or
- 21.4.3.3 when an employee is alleged to have committed serious misconduct,

Seriti Institute should before taking disciplinary action, hold a formal disciplinary inquiry.

21.4.4. Formal disciplinary inquiry

The following principles should be observed at that inquiry:

- the inquiry should be held as soon as possible after the event of alleged misconduct provided that a reasonable time is accorded to the employee to prepare for his defence;
- the employee may, if necessary, be suspended on pay prior to, during or pending the outcome of the inquiry;
- the employee should, within a reasonable time after the commission of the alleged offence, be notified in writing of:
 - the date, time and venue of the inquiry; and
 - the misconduct which he is alleged to have committed and of his rights at the inquiry.

21.4.5. Conducting the Formal Disciplinary Inquiry

Present at the inquiry shall be:

- The chairman of the inquiry. The chairman must not be the complainant. At the commencement of the inquiry the chairman should read out and explain the misconduct under inquiry. The chairman should ask the accused if he/she understands the complaint and if so whether he/she pleads guilty or not guilty;
- the accused;
- an employee representative, unless the accused does not require representation (the representative should be a fellow employee);
- interpreter (if necessary); and
- the complainant, together with witnesses, if any.

The employee's rights at the inquiry are to:

- have an interpreter, if requested;
- have representation by a fellow employee, if requested;
- have the opportunity to confer with the representative, at reasonable times before, during and after the inquiry;
- question the complainant and witnesses during the inquiry either himself or through his representative;
- give evidence himself/herself (he/she cannot be compelled to do so);
- to call witnesses to give evidence and to argue either himself/herself or through his/her representative on the question of whether the misconduct occurred;
- give evidence himself/herself; and
- to call witnesses to give evidence and to argue either or through his/her representative in mitigation of disciplinary action.

After hearing all sides of the case, the chairman must decide whether the alleged misconduct was committed or not and if so, on the action to be taken. The action taken should be in line with Seriti Institute's policy and thus with previous decisions involving the same or substantially the same circumstances.

The outcome of the inquiry may include:

- exoneration;
- a verbal reprimand;
- a written reprimand;
- dismissal on notice or dismissal with pay in lieu of notice; or
- summary dismissal.

The chairman must not consult the employee's previous work records until after he has reached a decision on whether or not the alleged misconduct was committed. A check list containing a step by step guideline for conducting an inquiry is annexed hereto marked Annexure "C". The chairman may use this checklist as a tool during such disciplinary hearing and tick off the different steps taken. After the inquiry Seriti Institute should communicate the decision taken and preferably furnish the employee with written notification of that decision.

Also annexed hereto marked Annexure "D" is a pro-forma notice to attend an inquiry. It should be noted that the attention of the accused employee should be drawn to the fact that should he refuse/fail to attend the inquiry, the inquiry may be held in his absence. In such instances, care should be taken by the chairperson to ensure that the employee indeed refuses to attend the inquiry and waives his right to such an inquiry prior to continuing with the hearing in his absence.

At the conclusion of the hearing, the chairperson of the hearing should ensure that the disciplinary hearing/inquiry record (see Annexure "E") is completed and distributed.

Should the hearing be held outside an employee's normal working hours, he shall be paid overtime, if he/she qualifies for such payment in terms of existing policies and the Basic Conditions of Employment Act of 1997, as amended.

21.5 APPEAL PROCEDURE AND FURTHER DISPUTE RESOLUTION

A staff member, who is dissatisfied with a dismissal decision and has valid grounds in terms of the substantive or procedural fairness of that decision, may request an appeal.

This must be made to HR in writing within 5 (five) working days of the disciplinary enquiry and must specify the reasons for the appeal. HR will facilitate the appeal process.

The Appeal Chairperson is responsible for:

- Reviewing the records of the disciplinary enquiry and making a decision;
- Conducting further investigations and consideration of any other evidence that it deems necessary;
- Calling any of the parties involved to clarify any aspect of the case on appeal; and
- Communication of the decision, in writing, to the staff member.

The decision of the appeal chairperson is final.

An employee found guilty at a disciplinary hearing, and in respect of whom the penalty of dismissal has been imposed, has a right to refer such dismissal dispute directly to the Commission for Conciliation, Mediation and Arbitration ("CCMA"), in terms of the provisions of Section 191 of the LRA.

21.6 INCAPACITY

Incapacity cases may be viewed differently from misconduct and the following provides a guideline:

21.6.1. Poor work performance

A newly hired employee may be placed on probation for a period that is reasonable, given the circumstances of the job, and in order to consider the probationary employee's suitability and performance, prior to offering permanent status. The period should be determined by the nature of the job, and the time it takes to determine the employee's suitability for continued employment. When appropriate, Seriti Institute should give an employee whatever evaluation, instruction, training, guidance or counselling the employee requires to render satisfactory service. Dismissal during the probationary period should be preceded by an opportunity for the employee to state a case in response and to be assisted by a fellow employee.

After probation, an employee should not be dismissed for unsatisfactory performance unless Seriti Institute has –

- given the employee appropriate evaluation, instruction, training, guidance or counselling; and
- after a reasonable period of time for improvement, the employee continues to perform unsatisfactorily.

The procedure leading to dismissal should include an investigation to establish the reasons for the unsatisfactory performance and SERITI INSTITUTE's management should consider other ways, short of dismissal, to remedy the matter.

In the process, the employee should have the right to be heard and to be assisted by a fellow employee.

21.6.2. Recording of process

It is advisable that supervisors record in writing the whole process of work performance counselling, taking into account what is stated above and to be utilised for record purposes.

21.7 GUIDELINES

Any person determining whether a dismissal for poor work performance is justified should consider

- whether or not the employee failed to meet a performance standard; and
- if the employee did not meet a required performance standard whether or not – the employee was aware, or could reasonably be expected to have been aware, of the required performance standard;
- the employee was given a fair opportunity to meet the required performance standard; and
- dismissal was an appropriate sanction for not meeting the required performance standard.

21.8 INCAPACITY: ILL HEALTH OR INJURY

21.8.1. Incapacity on the grounds of ill health or injury may be temporary or permanent. If an employee is temporarily unable to work in these circumstances, Seriti Institute should investigate the extent of the incapacity or the injury. If the employee is likely to be absent for a time that is unreasonably long in the circumstances, Seriti Institute should investigate all the possible alternatives short of dismissal. When alternatives are considered, relevant factors might

include the nature of the job, the period of absence, the seriousness of the illness or injury and the possibility of securing a temporary replacement for the ill or injured employee. In cases of permanent incapacity, Seriti Institute should ascertain the possibility of securing alternative employment, or adapting the duties or work circumstances of the employee to accommodate the employee's disability.

- 21.8.2 In the process of the investigation referred to in 8.1 the employee should be allowed the opportunity to state a case in response and to be assisted by a fellow employee.
- 21.8.3 The degree of incapacity is relevant to the fairness of any dismissal. The cause of the incapacity may also be relevant. In the case of certain kinds of incapacity, for example alcoholism or drug abuse, counselling and rehabilitation may be appropriate steps for Seriti Institute to consider.
- 21.8.4 Particular consideration should be given to employees who are injured at work or who are incapacitated by work-related illness. The courts have indicated that the duty on Seriti Institute to accommodate the incapacity of the employee is more onerous in these circumstances.

21.9 GUIDELINES IN CASES OF DISMISSAL ARISING FROM ILL HEALTH OR INJURY

Any person determining whether a dismissal arising from ill health or injury is unfair should consider -

- whether or not the employee is capable of performing the work; and
- if the employee is not capable –
 - the extent to which the employee is able to perform the work;
 - the extent to which the employee's work circumstances might be adapted to accommodate disability, or, where this is not possible, the extent to which the employee's duties might be adapted; and
 - the availability of any suitable alternative work

22. ANNEXURES IN RELATION TO THE ABOVE

22.1 ANNEXURE "A" CODE RELATING TO DISCIPLINARY MEASURES

Category of offence and Standard	Offence	Penalty - first offence	Penalty - second offence	Penalty - third offence
Timekeeping: Employees must be at their work stations during normal working hours and shall adhere to the timekeeping procedures	Sleeping on the job Unauthorised absence from the work station, late arrival, early departure, extended meal/tea breaks - minor - serious Failure to adhere to timekeeping procedures Fraudulent timekeeping Desertion : Away from work for 5 working days without permission or without good reason or without notifying a senior manager during the period of absence. A medical certificate must be produced if the absence is for medical reasons. Note: It is the responsibility of every employee to communicate immediately with his senior manager during any period of absence in order to explain the reason for such absence.	Written warning Written warning Final written warning Written warning Dismissal Written warning	Final written warning Final written warning Dismissal Final written warning Final written warning Final written warning	Dismissal Dismissal Dismissal Dismissal Dismissal
Attitudinal offences: Employees shall obey all reasonable and lawful job instructions and fulfill their contract of employment	Disrespect/Insolence towards superiors - serious - minor Unco-operativeness towards superiors/fellow employees Failure to follow standing orders/procedures - serious - minor Disobeying reasonable and lawful job instructions Disloyalty (Note: a combination of the above offences may warrant dismissal depending on circumstances)	Final written warning Written warning Written warning Final written warning Written warning Written warning Written warning	Dismissal Final written warning Final written warning Dismissal Final written warning Final written warning Final written warning	Dismissal Dismissal Dismissal Dismissal Dismissal
Social Offences: Establishing and maintaining working relationships with fellow employees	Intimidation Victimisation	Dismissal Final written warning	 Dismissal	

Category of offence and Standard	Offence	Penalty - first offence	Penalty - second offence	Penalty - third offence
	Assault with intent to injure, fighting Threat of assault. Abusive or obscene language Sexual harassment of a fellow employee Lending money and charging interest to fellow employees	Dismissal Final written warning Final written warning Written warning	 Dismissal Dismissal Final written warning	 Dismissal
Quality of work offences: Do not endanger the safety of other employees and adhere to safety standards and procedures Do not endanger the safety of other employees and adhere to safety standards and procedures	Horseplay Failing to report an injury or accident Smoking in a non-smoking area Carrying unauthorised or illegal weapons Failure to wear issued protective clothing Failure to adhere to procedures - serious - minor Bringing an unauthorised person on to employer's premises	Final written warning Written warning Written warning Final Written warning Written warning Final written warning Written warning Written warning	Dismissal Final written warning Final written warning Dismissal Final written warning Dismissal Final written warning Final written warning	 Dismissal Dismissal Dismissal Dismissal Dismissal Dismissal
Quality of work offences: Employees are to look after the assets of SERITI INSTITUTE in a diligent way Employees are to look after the assets of Seriti Institute in a diligent way Employees shall give diligent and satisfactory levels of performance	Reckless or negligent driving Negligence, abuse, misuse, damage, wastage of company property - serious - minor Incurring unnecessary expenditure Unauthorised use of company vehicles Unauthorised posting or distribution of notices, posters, placards on company property Willful damage to Seriti Institute's equipment or property or to property of other employees or employer's guests Misuse of company equipment and property for private purposes	Final written warning Final written warning Written warning Written warning Written warning Final written warning	Dismissal Dismissal Final written warning Final written warning Final Written Warning Final written warning Dismissal	 Dismissal Dismissal Dismissal Dismissal

Category of offence and Standard	Offence	Penalty - first offence	Penalty - second offence	Penalty - third offence
<p>Employees will give Seriti Institute honest service</p> <p>Employees shall not consume or possess alcohol or, without permission, intoxicating drugs during working hours</p>	Loafing, poor quality, poor productivity	Final Written warning	Dismissal	Dismissal
	Gross incompetence	Written warning	Final written warning	
	Gross negligence	Final written warning	Dismissal	
	Bribery, theft from company or employees, fraud, forgery, dishonesty, disclosure of confidential information, bringing Seriti Institute into disrepute, false evidence	Final Written warning	Dismissal	
	Using machinery whilst under the influence of alcohol or intoxicating drugs	Dismissal		
	Drunkenness	Final written warning	Dismissal	
		Final written warning	Dismissal	

22.2 ANNEXURE "B" NOTIFICATION OF FINAL WARNING

Employee name: _____

Date: _____

As a result of a disciplinary hearing held on: _____, you are hereby informed that you are issued a final warning due to:

This final warning takes immediate effect. Should a similar offence, or any other serious offences be committed by yourself, you will render yourself liable for dismissal.

SERITI INSTITUTE NPC

This final warning has been read to me in my own language. I am aware of the contents of this notification and acknowledge receipt of a copy thereof.

SIGNED :

EMPLOYEE

AS WITNESS:

DATE:

22.3 ANNEXURE "C" PROCEDURE TO BE FOLLOWED BY THE CHAIRPERSON

AT A DISCIPLINARY HEARING

The chairperson must follow the steps as outlined below and tick (✓) on the appropriate space when completed.

The secretary is responsible to the chairperson to record the exact events during the disciplinary hearing. Remember to ensure that the secretary keeps up with proceedings.

1	The chairperson to introduce everybody present, explain the nature of the proceedings and establish the designation and capacity in which every person present is in attendance.	
2	Records the names, designations and capacity in which every person present is in attendance.	
3	Confirm whether the accused was properly notified of the nature of the complaint brought against him and record confirmation.	
4	Confirm whether the accused has had enough opportunity to prepare his/her case and record confirmation.	
5	Confirm the right to representation and whether the representative qualifies to represent the employee. The representative qualifies to represent the accused if he is a friend or colleague working for Seriti Institute, or is an employee organisation officer bearer, who is an employee of Seriti Institute.	
6	Ensure that the accused and his representative are satisfied with the interpreter (if required).	
7	Explain the rights of the representative. The representative can ask questions and speak on behalf of the accused, address the committee on the merits of the case and in mitigation.	
8	Inform everybody of the fact that all questions must be directed via the chairperson as and when the opportunity for questions arise.	
9	Request all witnesses to leave and wait outside until called upon.	
10	Read the breach/misconduct brought against the accused and assure that the accused understands the alleged breach.	
11	Record the accused's plea, if guilty, go to paragraph 22. If the plea is not guilty carry on with paragraph 12.	
12	Allow the complainant to proceed with his case by stating the facts which led him/her to bringing the case against the accused.	
13	Allow the complainant to first complete his own evidence prior to allowing the accused and/or his representative to question the complainant on the evidence he/she has given. (The Chairperson and/or members of his committee has the right to ask questions in order to clarify any issue which may have arisen).	
14	Call the witnesses of the complainant individually, allow each witness to state the facts appertaining to the case, and allow questions as per paragraph 13.	
15	On completion of the complainant and his/her witnesses case, request the accused to state his/her case and allow questioning by the complainant and committee members as above.	
16	Allow the accused's witnesses to state their facts and allow questions to be asked as above.	
17	After completion of all the evidence by both parties, allow the complainant and the accused or his/her representative to address the Chairperson on the merits of the case.	
18	Request the parties to the case to leave the room whilst the question of guilt/innocence is being deliberated. (Case can be postponed for this purpose e.g. till next morning).	
19	Consider all the facts which were brought in front of the inquiry as well as the addresses by the parties prior to the reaching a decision. The accused's guilt/innocence must be determined solely on the facts of the case and the addresses of the parties. The accused's past disciplinary record and other mitigation/aggravating circumstances must not be taken into consideration when determining the accused's guilt/innocence.	

20	Once a decision has been reached, recall the accused, his representative and the complainant and inform them of the decision and record the decision. The Chairperson must state a summary of his reasons. Full reasons in writing can be provided on written request.	
21	Should the accused be found guilty or pleads guilty, he/she and/or the representative must be afforded the opportunity to address the committee in mitigation prior to decision being taken on what punitive action is to be taken.	
22	Again request both parties to leave the room prior to deliberating on an appropriate penalty.	
23	Consult the employee's previous disciplinary record.	
24	Consider all the facts raised in mitigation, the employee's previous disciplinary record, the length of service, the severity of the breach/misconduct, as well as any future facts which may influence the decision on the appropriate penalty to be applied.	
25	Recall the parties and inform them of the penalty to be applied and record the decision.	
26	Inform the employee of his right to lodge an internal appeal, or alternatively, to refer a dispute directly to the CCMA should he feel aggrieved about the outcome/penalty imposed.	
27	Complete the hearing form and request the employee or his representative to sign acknowledgement of the outcome of the hearing (refusal to acknowledge the outcome should be recorded) and his right to appeal.	

22.4 ANNEXURE "D" NOTICE TO ATTEND INQUIRY

Employee: _____

KINDLY TAKE NOTICE THAT an inquiry will be held to investigate the alleged offence/s as detailed below:

NATURE OF COMPLAINT:

ALTERNATIVELY:

COMPLAINANT:

The inquiry will be held on:

Date: _____

Time: _____

Place: _____

I confirm that I have been advised of the following:

- i. I am entitled to be assisted at the disciplinary hearing by a fellow employee.
- ii. I am entitled to have an interpreter, if requested;
- iii. I am entitled to have the opportunity to confer with my representative at reasonable times before, during and after the inquiry.

- iv. I am entitled personally, or through my representative, to question the complainant and witnesses during the inquiry.
- v. I am entitled to furnish evidence and to argue on the question of whether the misconduct occurred.
- vi. I am entitled to furnish evidence and to argue in mitigation of disciplinary action.
- vii. I have been advised that should I refuse/fail to attend the inquiry, the inquiry will be held in my absence.

AS WITNESSES:

1. _____

2. _____

SIGNATURE OF EMPLOYEE

Date:

22.5 ANNEXURE "E" DISCIPLINARY REPORT

NAME OF OFFENDER: _____

DATE OF ENQUIRY: _____

DETAILS OF OFFENCE:

FINDING OF THE ENQUIRY:

ACTION TAKEN:

SIGNATURE OF CHAIRMAN

DESIGNATION: _____ **DATE:** _____

I have been handed a copy of this document and informed of its contents.

EMPLOYEE'S SIGNATURE

DATE: _____

23. GRIEVANCE PROCEDURE

The purpose of this policy is to provide staff members with the necessary information regarding grievances they may have and to give management guidelines in dealing with grievance issues. Counselling is the preferred option for dealing with potential conflict in the workplace and for preventing grievances from developing. When all other options have been explored a grievance may be lodged.

It is a way of dealing with a feeling of dissatisfaction that a staff member or group of staff members has with:

- Seriti
- A superior
- Colleague

The objective of a grievance procedure is:

- To address staff member concerns and complaints speedily and effectively.
- To contribute to peace and productivity in Seriti.
- To provide individual staff members with an effective method of raising grievances with management.
- To ensure fair, just and equitable treatment of all staff members.
- To provide management with guidelines to be used in addressing grievances and settling them timeously at the lowest appropriate level.
- A problem solving mechanism that forms part of the individual contract of employment and may result in corrective action where there are legitimate grounds.

The procedure excludes:

- Any matters arising from the application of disciplinary action which are dealt with in terms of an appeal/review procedure.
- Attempts to amend any substantive condition of employment for any category of staff members.

The following are important in raising or processing a grievance:

- No staff member will be victimized or punished because s/he raised or lodged a grievance.
- A grievance must be raised within 30 days of the occurrence. A grievance may be considered even if a longer period has lapsed provided HR is of the opinion that the grievance is not frivolous.
- The staff member may be assisted by a fellow staff member at any stage in the grievance process to assist him/her in completing the grievance form and/or to represent the staff member during the grievance enquiry by presenting his/her case and questioning the respondent and witnesses.

The representative may not be:

- A member of the Human Resources department.
- A superior in the same reporting line or who may be affected in the case.
- An external person who is not appropriately affiliated to Seriti.

23.1 THE PROCESS

- To start the process the staff member completes the grievance form and sends it to the line manager and the CEO/COO.
- The person dealing with the grievance is to conduct whatever investigations s/he deems necessary in order to reach resolution or impose a solution. The grievance is first raised with the line manager where appropriate, and escalates upwards a line at a time until it reaches the CEO/COO/COO. Each stage should be completed within 5 days. It is the line manager duty to attend to the grievance.
- If the grievance is with the line manager, it is raised with the CEO/COO or HR.
- The decision of the CEO/COO is final in terms of internal procedures. Should the staff member be dissatisfied with the outcome s/he has the right to refer the dispute to HR who will advise whether to escalate the grievance or advise the staff member to refer it to the CCMA (Commission for Conciliation, Mediation and Arbitration).
- At each level the manager concerned is required to document information, consider the facts, make a decision and give the staff member written feedback.

23.2 GRIEVANCE PROCEDURE FOR GROUP EMPLOYEES

If the grievance affects, or is common to a group of employees, then the employees concerned shall nominate a spokesperson in writing and consult their spokesperson during a break in working time or at such other suitable time as shall be agreed upon by all parties and their respective line managers.

The spokesperson shall then follow the procedure set out above, accompanied, if necessary, by a delegation of not more than 2 employees.

Employees shall not stop work in order to lodge a grievance unless the CEO/COO has granted permission.

24. SUSPENSION

A staff member may be suspended after consultation with the CEO/COO.

25. ABSENCE WITHOUT LEAVE

If a staff member is absent without authorisation for three consecutive working days s/he will be considered to have absconded. The process is as follows:

- The line manager is to attempt to make contact with the staff member requesting that he/she contact the office before a certain date, and inform him/her that failure to do so will result in our assumption that he/she has absconded.
- At the expiry of three days, the line manager will lay a formal complaint of abscondment. The staff member will be advised of the disciplinary enquiry for unauthorised absence and that should he/she fail to contact the office or report within a specified date, the enquiry would be held in his/her absence which may lead to his/her dismissal.
- A disciplinary enquiry chaired by an Independent Chairperson will be convened.
- A review or appeal will only apply after the dismissal, if appropriate.

26. RETRENCHMENT

Where it becomes necessary for Seriti to terminate employment based on operational requirements, the procedure to be followed will be in accordance with the Labor Relations Act as amended from time to time, as well as any other relevant legislation. At present, staff consultation as prescribed, followed by the contractual notice period that the affected staff member is entitled to.

Below is a summary of the benefits in terms of policy. These benefits may change in the light of legislative and other amendments from time to time. Staff members will be advised of such changes as and when they occur.

- On completion of the staff consultations and where retrenchment is unavoidable, Seriti will pay one weeks' salary as severance pay for every year completed.
- Accrued leave in terms of the leave policy will be paid to staff members subject to the maximum annual leave accrual allowed.
- If there are funds owing to Seriti, these must be paid to Seriti and/or will be deducted from any benefits due. If the funds due to Seriti exceed the amount due to the staff member, the staff member is to make alternative arrangements with another financial institution acceptable to Seriti to assume the outstanding debt. These arrangements should be finalized by no later than the end of the notice period.
- Seriti will obtain a tax directive from the Receiver of Revenue in respect of severance pay.
- Any other financial commitments staff members may have will be addressed during the consultation process.

27. HIV/AIDS

Seriti is committed to:

- Treating all staff members with fairness, dignity and compassion.
- Ensuring that individuals with HIV or AIDS are not unfairly discriminated against in the workplace.

In terms of the Employment Equity Act 55 of 1998, testing of a staff member to determine his or her HIV status is prohibited, unless such testing is determined to be justifiable by the Labour Court. A staff member is not legally required to disclose his or her HIV status. If the staff member makes a voluntary disclosure, this information will remain confidential and will not be disclosed to others without the staff member's written consent.

Staff members with HIV or AIDS will not be victimised, prejudiced or discriminated against on account of their medical condition. They will be treated the same as staff members with comparable life threatening diseases or illnesses. Medical assistance for staff members with HIV or AIDS is available according to the rules of the relevant medical aid scheme or government clinics and community based organisations. All medical information in this regard will be kept strictly confidential, unless law requires disclosure or the staff member gives his or her written consent.

If a staff member becomes disabled, he or she may be entitled to the standard disability benefit in terms of the Provident Fund (subject to the rules of the scheme.)

Co-workers are expected to continue their working relationship with any employee who has HIV infection or HIV/AIDS. Refusal to work, withhold services from, harass or otherwise discriminate against said employee would be subjected to the same disciplinary procedures that apply to any other policy violations. Seriti has undertaken to ensure that all staff members are well informed about HIV/AIDS and will ensure that the work environment is kept safe and healthy.

This policy will be amended from time to time to accommodate any changes in legislation.

28. ALCOHOL, DRUG AND SMOKING FREE WORKPLACE

Seriti's policy is to provide employees with a working environment that is free from the problems associated with the use and abuse of controlled substances. The use of controlled substances is inconsistent with the behaviour expected of employees, and subjects Seriti to unacceptable risks of workplace accidents or other failures that would undermine Seriti's ability to operate effectively and efficiently.

The non-prescriptive use, sale, possession, distribution, dispensation, manufacture, or transfer of controlled substances and alcohol on Seriti property or other work sites where employees may be assigned during work hours (or elsewhere) is strictly prohibited.

In line with government regulations, Seriti premises are a non-smoking environment and an office-wide no-smoking policy is in effect. Smoking is not permitted by Seriti staff members in any Seriti office, hallway, meeting rooms or other public space that is not specifically demarcated as a designated smoking area. Guests of Seriti employees will be expected to follow the no-smoking policy.

29. DRESS CODE

Professionalism is one of the key codes of ethics and Seriti would therefore encourage staff to present themselves in a fitting manner. All employees will be required to dress in suitable, smart, presentable and professional attire at all times.

No jeans are allowed on Mondays to Thursdays for office bound staff. On Fridays staff are allowed to dress smart casual **unless** they are attending meetings.

30. SEXUAL HARASSMENT

Seriti is committed to taking firm measures to eliminate inappropriate and unwanted sexual harassment in the workplace. This is in accordance with one of our core values: to “respect the dignity and worth of the individual” and to continue to create an environment where people can operate without unnecessary restrictions.

Anyone who has been subjected to sexual harassment has the right to lodge a grievance (formal or informal) with his or her manager, Senior Manager and/or HR. In deciding whether the conduct reported is sexual harassment, Seriti will consider the definition set out in the Code of Good Practice on the handling of Sexual Harassment cases, which in summary states that:

- Sexual harassment is unwanted conduct of a sexual nature;
- Sexual attention becomes sexual harassment if the behaviour is persisted in, although a single incident of harassment can constitute sexual harassment and/or the recipient has made it clear that the behaviour is considered offensive and/or the perpetrator should have known that the behaviour is regarded as unacceptable.
- Seriti will investigate the complaint in a sensitive and confidential manner.

If requested by the complainant, an informal procedure may be used to address the sexual harassment complaint. Where the conduct is serious or continuous, management retains the right to carry out a formal disciplinary procedure.

Where a formal grievance is laid, a full investigation will be conducted, which may result in disciplinary procedures being instituted against the perpetrator. Should a staff member be found guilty of serious or continuous sexual harassment, he or she could face dismissal.

Seriti will not tolerate retaliation against a staff member who, in good faith, lodges a grievance of sexual harassment.

31. TRAVEL

The allowable amounts depend on the specific project regulations. Please liaise with the Finance Manager for details of your particular project. In most cases, reimbursement is based on the time spent out of town i.e. place of duty. ***All travel must be authorised prior to departure.***

31.1 BOOKING PROCEDURE

- All requests for travel bookings must be made via email attaching the business case request. An email should be sent by the traveller to the Manager and copied to the Travel Administrator.
- The Manager/CEO/COO must then authorise per email using "Reply to all" functions. (Alternatively if rejected it applies).
- The Travel Administrator will then obtain a Purchase Order Number from the finance department.
- The PO and Project Code Number will be placed on the travel agent Booking Form that will then be emailed to the travel agent/or online booking.
- The Booking Confirmation from the travel agent/online booking will be printed and filed. All supporting documents will be attached to this form (such as copies of tickets). NB. All changes/cancellations must be done per email (i.e. in writing) and must be printed and kept with the original booking.
- Should a booking be cancelled a new PO number must be used and in the comments column must be written "cancellation of PO number".
- The finance department will utilise the PO spread sheet to verify all invoices and will contact the Travel Administrator in cases of query.
- Employees are required to provide their line managers with relevant itineraries and contact details.
- The email to the travel agent must contain the PO number. The travel agent has been advised not to accept any booking without these numbers.

31.2 TRAVEL ADVANCES

- The *advance request form* must be completed and authorised by the line manager and forwarded to the Finance Department for processing. Applications for per diem advance must be made at least 3 days prior to departure.
- The maximum advance allowed would be 80% of the total estimated per diem. Please note that advances are considered to be interest free personal loans from Seriti to the individual employee for the period of the assignment and up to 14 days after the return from the assignment.

31.3 SUBMISSION OF EXPENSE CLAIMS

- Receipts - All projects require receipts. Please ensure that, receipts are kept for all incurred expenses. It is the responsibility of the traveller to understand and comply with all of the relevant rules and regulations regarding expense claims, whether on project billable travel or on company overhead.
- Upon return, a Travel claim form must be completed, and submitted to the Finance Officer who will verify that all documentation is correct. The forms must be authorised by the line manager.
- The finance department will then process the reconciliation and cheque preparation. **If the requisite supporting documentation is not attached (e.g. hotel receipts, airline tickets, etc.), payment will not be made.**
- **Claims must be made within 14 days of return or they will not be paid.**

Travellers have to retain all meal receipts, airport parking receipts and hotel invoices, as all projects require proof that the costs actually incurred. Without the requisite receipts, reimbursements are at risk. It is the traveller's responsibility to ensure correct audit procedures are followed.

31.4 PER DIEM ALLOWANCES

Per Diem is a subsistence allowance, applied when an employee is required to be away from their home for an extended period. Eligibility to claim per diem commences when the individual is out of town **for more than 12 hours**. Calculation of per diem commences when leaving home/office and ends when returning to home/office.

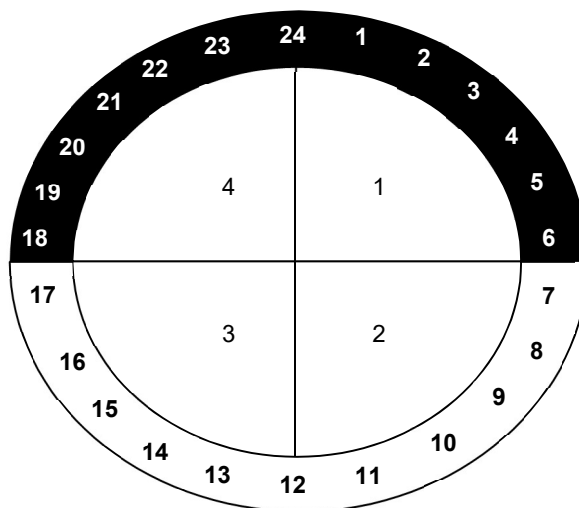
Examples of an M&IE claim

- Leave home at 05:00 return at 19:00; using the 24 hour cycle divided into quarters (refer per diem 24 hour clock diagram). Four quarters covered; therefore the full per diem allowance may be claimed.
- Leave home Monday at 08:00 return Tuesday 17:00. Six quarters covered, therefore the amount, which you are able to claim, is 6/4 x the daily per diem.

Note: in cases where a person is away for a full day (i.e. 4 quarters) but does not spend a night away from home 50% of per diem may be claimed.

Accommodation is typically reimbursed at cost, up to a maximum amount allowable under the project contract. Claims for accommodation reimbursement must be accompanied by an original receipt/invoice stamped paid.

Per Diem 24 Hour clock



31.5 DOMESTIC DESTINATIONS ACCOMMODATION AND PERDIEM

- Company approved Accommodation – up to a R1000.00 per night
- Per Diem – up to a maximum of R300.00 (*only in cases where all meals are not provided for*)
Other - In cases where some meals are provided then the following will apply:
 - Breakfast – R100.00
 - Lunch – R80.00
 - Dinner – R120.00
- Employees may elect to stay at a friends or relative house for which they will be reimbursed a maximum of R 300.00 per day for accommodation.

- **Day Trips** – Employees traveling for the day, outside of your designed area of work and for more than 12 hours, and who do not spend a night away from home are only entitled to 50% of the per diem.
- **Conference** - In cases where Seriti pays for registration and accommodation and the conference package includes meals employees are **not entitled** to a standard per diem.
- All costs (travel, accommodation and per diems) relating to any independent business travel employees undertake on behalf of external organizations should be carried by that organization, unless this is explicitly agreed beforehand with the Seriti Manager.
- No reimbursement will be made for any alcoholic or intoxicating drinks.

31.6 SACU COUNTRIES – ACCOMMODATION AND PERDIEM

Accommodation - R1600.00

Per Diem - up to a maximum of R500.00 (only in cases where all meals are not provided for)

31.7 OVERSEAS - ACCOMMODATION AND PERDIEM

Accommodation – USD200.00

Per Diem - up to a maximum of USD80.00 (only in cases where all meals are not provided for)

31.8 TRAVEL REIMBURSEMENTS

- Employees who use their personal vehicles for work related business may claim **R 3.55 per kilometre**.
- The point of departure can be the office or employee's house depending on whichever is closest to the destination.
- These claims have to be submitted to finance for payment.
- The line Manager is responsible for controlling, authorising and managing travel claims.
- No claim will be processed without the relevant the authorisation and a travel visit report
- The rate per kilometre will be reviewed annually in line with the SARS rates.

31.9 TRAVEL BY AIR

- Business trips must be planned in advance to ensure that a discounted fare / best rate is received and mitigate unnecessary avoidable costs e.g. handling fees.
- Travel by air will only be considered where the destination is outside a radius of 400 kilometres from the employee's workplace. Deviations to the guideline must be motivated and approved.
- Additional or unnecessary expenses related to deviation of travel booked e.g. change of flights on employees requests, shall be for the employees account
- All employees travel Economy Class.
- Where an employee extends a business trip for leisure purposes, any additional costs incurred will be for the employee's account.
- Loyalty miles earned through a service provider is for the individuals account.

31.10 CAR HIRE

No private travelling is permitted and additional costs will be for the employees account. The entitled vehicle category will be class B or a cheaper option if available. Where practical and economical, Uber may be used if a rented car is not going to be utilized the whole time.

31.11 CAR HIRE TRAFFIC VIOLATIONS

Employees must ensure that they to adhere to the rules of the road at all times. Seriti Institute will not be held responsible for any traffic violations incurred by the employee whilst driving a hired vehicle and the onus is up to the employee to ensure all fines are paid on their own accord. Employees must take note of the following when operating a hired vehicle:

- Should you, for any reason, receive a summons for a traffic violation or a parking ticket, you will be held liable for the payment and the deduction will be made via the payroll.
- All traffic violations and parking tickets should be reported to the Travel Administrator as soon as possible.
- Under no circumstances will traffic and parking fines be paid by Seriti Institute.
- A driver with three (3) traffic violations or any combination of three accidents within a three-year period will be prohibited from driving a hired vehicle.
- Any excess payable on the insurance claim will be for the staff members own account.

31.12 TRAVEL INSURANCE

31.12.1. Car Hire Bookings

Comprehensive cover is included on all car hire bookings. Comprehensive Cover must insure the vehicle against collisions, theft and damage to the maximum value.

31.12.2. Flight Bookings

For domestic flights and international flights insurance is compulsory. There is no set cost as there are variables that have to be taken into account such as the country being visited, duration of visit, age of the traveller, etc.

Travel insurance for international flights is essential to cover travellers from cancellations, medical costs, personal expenses or loss.

31.12.2. Medical Cover

In both the bookings mentioned above medical costs are at the expense of the traveller except in cases of international flight bookings.

Seriti salaried employees are covered by the Workmen's Compensation Fund in cases of injuries on duty. The objective of the Compensation for Occupational Injuries and Disease Act (COIDA Act) is to facilitate a process which provides for payment of medical treatment and compensation for disablement caused by occupational injuries and diseases sustained by employees in the course of their employment, or for death resulting from such injuries or diseases; and to provide for matters connected therewith.

It is compulsory that employees belong to a medical aid scheme in order to ensure that they are covered for medical illnesses and hospitalisation.

31.13 PREFERRED TRAVEL SUPPLIERS

Seriti has negotiated preferred supplier and corporate agreements with various industry suppliers. Any requests to use alternates should be cleared with the CEO/COO and the finance department should be advised of the changes e.g. travel, hotel etc.

32. ENTERTAINMENT

On occasion, it is necessary for employees to entertain clients on Seriti's behalf. The following procedure needs to be adhered to in terms of obtaining authorization to entertain clients on the account of Seriti:

- Prior written approval must be obtained from management before incurring any entertainment expenses.
- The maximum limit for such expenses must also be authorised in writing by management.
- Employees may claim back entertainment expenses on the appropriate claim form, which must be approved by the line manager who authorised the expenditure.
- If an employee overspends on his/her entertainment limit without authorization, s/he will not be reimbursed for the additional amount.
- Employees need to adhere to acceptable behavioural standards entertaining clients on behalf of Seriti:
- Time spent during office hours must be reasonable.
- Employees must be professional at all times and maintain behaviour that is within acceptable business standards and etiquette.
- Employees must not conduct themselves in a manner that would cause embarrassment to themselves, bring Seriti into disrepute and/or danger to themselves and/or clients.
- Alcohol consumption, where necessary, may only be consumed in compliance within the legal limit applicable to motor vehicle drivers. The use of narcotics is never acceptable.

33. COMPANY VEHICLES

Due to the nature of your work, you may be allocated a company vehicle. Employees eligible for a company vehicle are selected at the discretion of Seriti's Management and the CEO. Prior to vehicle assignment, eligible employees must prove that he or she has a valid South African driver's license which is not suspended or revoked.

Authorisation to drive company vehicles within Seriti Institute may be withdrawn should an employee be found guilty of the following:

- Abuse or misuse of the vehicle or failure to comply with the rules and procedures stipulated in this company policy.
- A consistently bad driving record whilst operating a company vehicle which, under certain circumstances, may be grounds for dismissal.
- Convicted or a guilty plea to driving a company vehicle under the influence of alcohol or an illegal controlled substance.
- If an eligible driver has a long-term disability, his/her assigned vehicle could be reassigned to another driver. Upon recovery from the disability and return to work, the driver may be assigned another vehicle.

Seriti reserves the right to withdraw the privilege of driving a company vehicle from employees.

33.1 DRIVER RESPONSIBILITIES

Authorised drivers are responsible for driving the vehicle in a safe and professional manner. Employees must know and abide by the South Africa AARTO laws at all times when operating a company vehicle. If for any reason, an employee's driver's license is revoked, suspended, or restricted, it is mandatory that the CEO be notified immediately.

Employees who have been allocated a company vehicle should abide by the following:

- Always ensure that seat belts are used by all occupants of Seriti vehicle at all times without exception. It is Seriti driver's responsibility to ensure that all occupants fasten their seat belts prior to operating the vehicle. Any malfunctioning seat belt should be reported for repair by the employee immediately.
- Smoking is not allowed in company vehicles.
- The acceptance of any form of compensation from any individual for carrying passengers or material is prohibited
- Employees are not allowed to use a company vehicle for anything other than work related tasks
- Any driver with a violation associated with alcohol or drugs will be prohibited from driving a company vehicle. This type of violation may also be grounds for immediate termination of employment
- Texting while driving is not allowed.

33.2 TRAFFIC VIOLATIONS

Employees must ensure that they adhere to the rules of the road at all times. Seriti Institute will not be held responsible for any traffic violations incurred by the employee whilst driving a company vehicle and the onus is up to the employee to ensure all fines are paid on their own accord. Employees must take note of the following when operating a company vehicle:

- Should you, for any reason, receive a summons for a traffic violation or a parking ticket, you must pay it as soon as possible.
- All traffic violations and parking tickets should be reported to the Office Administrator as soon as possible.
- Under no circumstances will traffic and parking fines be paid by Seriti Institute.
- A driver with three (3) traffic violations or any combination of three accidents within a three-year period will be prohibited from driving a company vehicle.

33.3 PERSONAL USE OF A COMPANY VEHICLE

Company vehicles while intended primarily for Seriti business use, may also be used for commuting to and from work and for limited personal use "on an emergency basis only." Evening and weekend travel is prohibited unless conducting company business after normal business hours. No other drivers are permitted to operate a company vehicle. Friends and family members should not be permitted to drive or ride in Seriti's vehicle.

33.4 VEHICLE MAINTENANCE

Seriti drivers are expected to maintain his or her assigned vehicle in a safe operating condition. Vehicle service and maintenance schedules outlined in the vehicle's log book should be adhered to and log books must be updated accordingly.

Never leave a company vehicle at a service facility without specific instructions as to what work needs to be done. It is the employee's responsibility to call the Office Administrator for pre-approval of all work.

Ensure that all windows are rolled up, all doors are locked and the vehicle is parked in a safe parking at all times.

Do not leave any items and equipment in open view inside a car, which may tempt a break-in. Lock all valuable items inside the trunk when the vehicle is left unattended. When traveling outside your residential area, make sure to take reasonable precautions to safeguard the vehicle and its contents.

Work closely with the Finance Manager and Office Administrator to ensure that the maintenance of Seriti vehicle is up to date. Ensure that the log book is always kept in the glove compartment and present to the repair shop when service is needed.

Ensure that the vehicle is neat and clean at all times and do periodic inspections to identify possible areas for improvement or concerns.

33.5 VEHICLE ACCIDENTS

In the case of an accident, the driver must notify the local police and of the accident. All accidents, no matter how seemingly inconsequential, must be reported to the Office Administrator.

The employee will be responsible for the payment of the insurance excess if the employee was at fault in an accident while driving a company vehicle.

If the employee grants permission for someone to drive their assigned vehicle, the employee will be considered financially responsible for all damages and vehicle repairs.

33.6 THEFT OF VEHICLES

- If your company vehicle is stolen whilst in your possession, report the theft immediately to the local police station as well as to the Office Administrator.
- Obtain a copy of the police report filed and case number.
- Maintain one copy for your personal files and submit another to the Office Administrator.
- Any attempted break-in or theft of items from a company vehicle must be reported to the local police station.

Seriti requires that the following information be provided to the Office Administrator:

- The name, badge and contact details of the police officers responding to your call.
- A list by model and serial number of any equipment which was stolen.
- The date and location of where the theft occurred.
- Case number

33.7 PROCEDURE TO FOLLOW IN THE CASE OF AN ACCIDENT

If you are involved in an accident, it is necessary to follow the procedure outlined below:

- Call for medical assistance if anyone is injured.
- Stop, immediately after an accident and investigate what damage might have occurred to the vehicle.
- If applicable, make note of the names and addresses of the owner(s) and driver(s) involved, license number and registration number of the car(s) involved and the names and addresses of any passengers in the vehicles who were involved with the accident.
- Get the name of the other party's insurance company and insurance policy number.
- Get the names and addresses of witnesses, if any.
- If police officers are present at the scene, note their names, badge and contact details. If no police officers are present, try to have one called to the scene of the accident.
- Express no opinion as to who was at fault. Give no information except when questioned by the police officers.
- Sign no statements for anyone except an identified representative of the Seriti's insurance company covering the company vehicle.
- Report the accident to the Office Manager within the first 12 hours after the accident.
- Ensure all local law enforcement reports are completed as required. If you need help in completing these reports, request help from your local police department or Office Administrator.
- Contact Seriti Office Administrator immediately, should there be any demand, claims or summons served to you relating an accident. Seriti will assess the situation to ascertain liability.
- If the collision involves an unattended vehicle, you must attempt to notify the owner. If that is not directly possible, attach a note to the vehicle asking the owner to contact you. Notify the police immediately telling them that you have attempted to make contact with the owner.

There are **NO EXCEPTIONS** to the above requirements. Failure to comply with this procedure could have serious consequences for Seriti and your association with Seriti.

Seriti Institute reserves the right to revoke the driving privilege for any driver who do not complying with this policy. In addition, Seriti Institute expects all employees to drive defensively during business, to obey all traffic laws, and prohibits employees from driving under the influence of drugs and alcohol, including prescription drugs. Company vehicles should not be used to transport flammable items, firearms, or other hazardous materials.

33.8 INSURANCE

The insurance company details must be kept in the glove compartment at all times. Family members should not be permitted to ride in Seriti vehicle for insurance purposes. Excessive speeding violations and/or accident history may exclude a driver from being covered by company-provided insurance and may disqualify an employee to drive a company vehicle.

34. CELLULAR PHONES

This policy aims to manage control expenditure on cell phones and 3G cards, which have been approved for business use.

The policy applies to all staff of Seriti, whose job function necessitates a cell phone for business purposes and/or access to the internet for email purposes.

The provision of cell-phones to employees is intended for work purposes only.

All private calls made on Seriti cell-phones in excess of the package amount and without justification, will be for the user's account.

All cell-phone users have a 'subsidy' level. This subsidy level is for calls, monthly subscription and SMS's. Any costs exceeding the subsidy level will be for the user's personal account.

- **Senior Management**

The actual expenditure, limited to R 1200.00 per month for cell phones, will be deemed to be expenditure incurred for the purposes of business activities.

- **Management (Programme Managers and Technical Service Managers)**

The actual expenditure, limited to R 600.00 per month for cell phones, will be deemed to be expenditure incurred for the purposes of business activities.

- **Support Employees and Site Staff**

Employees, who are required to use their cell phone on an ad hoc basis to effectively complete their job functions, are limited to R400 per month for cell phones/airtime only in cases of events and travel.

Site staff will be provided with 3G cards to enable them to transmit data to Seriti Head Office

The employee in possession of the modem will be held liable should the 3G card be lost, stolen or destroyed.

Responsibilities

- It is the managers responsibility to ensure that all costs in respect of cell phones add value to Seriti
- Cell-phones are only allocated to staff that uses them for justifiable business purposes
- Approved staff should sign acknowledgement letter on cell phones; Insurance is provided by Seriti to cover lost, stolen or damaged cell-phones and must be actioned via a case / reference number or affidavit as the case may be.
- All contracts have a reasonable subsidy rate approved by the CEO/COO and/or Finance Manager.
- Seriti cell phones are to be used by the allocated user only.
- Any replacement phones (upgrades and replacements due to loss, theft or damage) are authorized in writing. In the event of upgrades or damage existing phones must be returned to Seriti.
- It is the responsibility of the line managers to ensure that all users exercise their duties as per this policy and associated procedures.
- A cell phone user may not change the package or phone settings under any circumstances.
- International roaming is only allowed with the written explicit instruction of the CEO/COO or duly designated.
- Repairs or replacement due to negligence are for the individuals account.
- All repairs including those outside the guarantee period are for the Cost Centre's Account and must be channelled by Seriti Administrator.
- If the phone is uneconomical to repair a new phone will be purchased if the existing contract has expired; if negligence is detected the user is responsible for replacement.
- Any abuse of cell phones will result in the phone being taken away.

Fringe Benefit Determination:

The employee shall be liable for any tax/ deductions associated with the use of the Seriti cell phone as a fringe benefit taxation as determined by SARS and this will be deducted via payroll and paid over as required

35. TELEPHONE USAGE

Seriti provides its employees with telephone access for Seriti -related business purposes only. Employees may not use Seriti telephone systems for other personal activities, such as soliciting for commercial ventures, political or religious causes, etc. However, it is recognized that employees may on occasion need to use the telephone systems for personal emergencies, and to accommodate this need, Seriti will allow reasonable use of the telephone system for personal calls. However, Seriti reserves the right to claim the cost of personal calls from employees.

All calls that cannot be proven to be business related will be deemed to be private. If the accumulated private calls exceed R50 for any given month, the employee may be required to reimburse Seriti for costs which are in excess of this limit.

Seriti reserves the right to monitor employee phone calls on an as-needed basis for the purpose of training and/or quality control, or if reasonable suspicion exists of violation of Seriti rules. Employees do not need to be informed in advance as to when phone calls may be monitored. The methods that may be used to monitor telephone use include, but are not restricted to, the following:

- Print out and monitoring of actual calls per extension to determine the amount of personal calls made.
- Management control on monthly departmental telephone bills.
- Making use of information from detailed billing reports obtained from the telephone management system.

Violation of Seriti telephone policy is a serious offence that will lead to the implementation of formal disciplinary action in accordance with Seriti's Disciplinary Procedure and Code.

36. PROCUREMENT POLICY AND PROCEDURES

This procurement policy (refer to the seriti procurement policy and standard operating procedures for procurement) applies to all levels and types of procurement, including high and low value transactions, issued by seriti. It applies to all aspects and stages of the procurement process, from the business case and demand planning to logistics and storage.

The purpose of this policy is to assist seriti in achieving value for money in the procurement of goods and services, which seriti needs to fulfil its mandate. Furthermore, seriti aims to use this policy as a mechanism for contributing towards socio-economic transformation. In implementing this policy, seriti aims to achieve the following:

Value for money;

- Equity;
- Effective competition;
- Transparency;
- Efficiency; and
- Effectiveness.

The policy aims to achieve the following objectives:

- Establish a unified approach of acquiring goods and services for seriti through the application of leading procurement practices;
- Support seriti in achieving uninterrupted flow of goods and services;
- Contribute towards the reduction of procurement costs for seriti;
- Identify reliable and affordable sources of supply;
- Achieve effective supplier performance management;
- Clarify the roles, responsibilities and accountabilities for officials and various committees involved in procurement; and
- Reduce economic imbalances of the past.

37. EMAIL AND INTERNET

Seriti provides an electronic communication system, including Internet and email, access to facilitate Seriti business. These facilities and services are Seriti property. They are intended for staff members to use as part of the work that they are expected to perform. While Seriti respects the right of the individual to privacy, this does not extend to a staff member's work-related conduct or to the use of Seriti provided infrastructure or supplies. Misuse of the electronic communication system could result in disciplinary action and could result in termination of employment.

- Please note that there is on-going surveillance of the Internet and email facilities and content of sites and from time to time confidential reports are issued to executive management for appropriate action.
- All electronic messages or files downloaded from the Internet are deemed Seriti records. This means that any information obtained by electronic communication is the property of the Seriti and is regarded as Seriti information. It may be disclosed within the Seriti, regardless of content, without the permission of the staff member concerned.
- Back-up copies of electronic messages may be kept as a reference for business and legal purposes.
- While the Seriti does not condone the personal use of the Internet or email systems, staff members may occasionally use the Internet for urgent and concise personal purposes, such as Internet banking. Seriti retains the right to review this information at any time and expects that it will not be to the detriment of Seriti or of content which they would be uncomfortable with. Should a staff member be unsure of what may breach this, they are to obtain guidance from their line manager/Line Manager.
- Staff members are responsible for the content of all communications that they send using Seriti's electronic communication system and Internet. This includes text, audio and visual images. All messages communicated using the Seriti system must contain the name of the sender. Electronic communications may not hide the identity of the sender.
- In order to prevent viruses from being transmitted through the electronic communication system and or the Internet and Intranet, and potential litigation, unauthorised software may not be downloaded through the system. When a staff member is authorised to download software the software must be registered to the Seriti.
- Staff members using the Seriti electronic communication or Internet system may transmit only materials where the copyright rests with Seriti. Copyright must be respected and staff members may not copy, retrieve, modify or forward copyrighted materials without permission. Staff members who infringe copyright
- Maybe disciplined and may have their employment terminated.
- The amount of data that can be transmitted through the existing network both internally and on the connections to the Internet is limited. In order to ensure that sufficient capacity exists, the size of messages is monitored. Excessively large messages, especially those that do not contain Seriti business-related content, are closely monitored and may be inspected to verify that the content is legitimate. Staff members who transmit excessively large messages on a regular basis will be disciplined.
- The following is to be read in conjunction with the rest of this policy. Use of computer resources for any of the following activities is strictly prohibited:
 - Sending, receiving, downloading, displaying, printing or otherwise disseminating material that is sexually explicit, profane, obscene, harassing, fraudulent, racially offensive, defamatory or otherwise unlawful.
 - Disseminating or storing commercial or personal advertisements, solicitations, promotions, destructive programs (i.e. viruses or self-replicating code), political information or any other unauthorised material.
 - Wasting computer resources by, among other things, sending mass mailings or chain letters, spending excessive amounts of time on the Internet, engaging in online chat groups, printing multiple copies of documents, or otherwise creating unnecessary network traffic.
 - Using or copying software in violation of a license agreement or copyright.
 - Violating any national or international law.
 - Infringement of copyright.
 - Committing PPA to unauthorised business, policy or costs.

- Release of confidential or proprietary information.
- Hate speech; violence; Gambling or gaming.
- Advocacy of drugs or alcohol.
- Business other than Seriti -related business.
- Sending or forwarding virus warnings to anyone except the system's administrator.
- Streaming, i.e. listening to a radio station via the email.

The following rules apply to the use of and access to encryption keys and passwords to Seriti email and Internet system and to any other Seriti software system:

- Email messages may be accessed and disclosed by Seriti management and/ or nominated IT representatives without employee's permission or prior notice.
- Employees may not gain access to other employees email systems through the unauthorized use of passwords or encryption keys. Employees may not give any unauthorized person or employee a password or encryption key.
- Business related emails should carry the following disclaimer, where appropriate. "This email contains Seriti confidential information intended only for the person to whom it is addressed. Any recipient who is not a named addressee is not entitled to read, photocopy, distribute or disclose its contents to any person. This email may be personal, it would therefore not be authorised by or sent on behalf of the sender's employer."
- When Seriti employees receive new computer equipment, equipment formerly used by them will be completely reformatted prior to being re-assigned. This is not the case for short-term loans of laptop computers. In the case of short-term laptop use, the technical support staff prior to reissuing the computer routinely deletes all Email files. It is the responsibility of the employee to ensure that any information they require is copied from the computer in question prior to it being returned to Seriti. Seriti will not be responsible for loss of data by the consultant should the computer be "cleaned" after it is returned. Seriti will not be responsible for extra hours spent by employees in reconstructing lost work, which they have not backed up.

38. VISITORS

Seriti receives numerous visitors to our premises and they should be treated with the outmost respect and courtesy at all times. Visitors fall into three main categories:

- Clients visiting premises
- Board Members
- Consultants working on projects on a freelance basis
- Donors
- Service Providers/ Suppliers
- Partner Organisations
- Delegates / Participants attending seminars and workshops

It is important to remember that an organisation or individual with whom we are collaborating today can easily become a competitor tomorrow. In this regard access to information should at all times be limited to the project to which they are involved at that time.

Consultants and employees from other companies who require access to a computer should be given access to the guest drive only (i.e. they should log on as “guest”), files which they require should be moved to this drive by the line manager (it is the responsibility of the line manager to manage the removal and replacement of these files on the “common drive”). Giving them access to the Guest Drive will also allow them to print.

Clients visiting our premises should be shown to a meeting room as soon as possible and should not be left sitting in a reception area where they may be privy to confidential conversations.

39. SECURITY

39.1 ACCESS TO THE OFFICE

In an effort to manage access and use of the offices outside normal working hours, please note the following steps are to be followed by persons working late during the week or coming to the office over the weekend.

If staff are planning to work late Monday to Friday (after 18:00) please inform the receptionist so that arrangements may be made for a secure lock up. If staff coming to the office over the weekend please fill in the details in the 'After Hours' log book which is kept by reception. They will also be asked to sign in with security at the gate when you arrive and leave.

Please refrain from bringing visitors with you to the office after hours or on weekends as much as possible. It is understood that there may be times where you may have to bring your child with however, staff are urged to avoid bringing friends and relatives along to 'hang out' while they work.

Please note that the office will not be opened over the weekend or late evenings for anyone unless permission has been received from one of the senior managers.

39.2 BORROWING EQUIPMENT

Seriti has an array of electronic equipment for use by both permanent staff and, when necessary, by temporary staff. These include the data projector and laptop computers and cameras.

Prior to removing any of these items a "Laptop Location book" or "Seriti Equipment book" must be completed and lodged with the Beneficiary Payment Manager.

Please note that all such equipment must be transported in the boot of the car or it is not covered by Seriti's insurance. In the event of non-coverage, the borrower will then be responsible for the reimbursement of any missing items.

In the case of short-term laptop use, it is the responsibility of the employee to ensure that any information they require is copied from the computer in question prior to it being returned to Seriti. Seriti will not be responsible for loss of data by the consultant should the computer be "cleaned" after it is returned. Seriti will not be responsible for extra hours spent by employees reconstructing lost work which they have not backed up.

39.3 Loss of Equipment

Where office equipment is assigned to an employee, the employee undertakes to ensure that the equipment is kept in a safe and in good condition. The loss of office equipment shall be recovered from the employee at a rate of 75% of the replacement value. This decision was made as a result of many claims lodged with the insurance company and therefore some of the claims are no longer being honored.

40. OCCUPATIONAL HEALTH AND SAFETY POLICY

The Occupational Health and Safety Policy is to ensure that Seriti is a safe and healthy working environment for staff and for persons at work arising out of or in connection with the activities of the organisation.

The Occupational Health and Safety Act, Act 85 of 1993, requires the employer to provide and maintain as far as reasonable and practical a work environment that is safe and without known risk to the health of employees.

The purpose of this policy is to:

- a. Provide and maintain, as far as is practical, a reasonably safe office, system/s and equipment without risk to the health of the employees.
- b. Take steps to eliminate or mitigate, as far as is practical, any hazard or potential hazard to the safety or health of employees.

40.1 GLOSSARY OF ACRONYMS AND DEFINITION

<ul style="list-style-type: none">• Workplace	<ul style="list-style-type: none">• A workplace is the location at which an employer provides work for an employee.
<ul style="list-style-type: none">• Accident	<ul style="list-style-type: none">• Incident arising out of and in the course of an employee's employment and resulting in a personal injury, illness or the death of the employee.
<ul style="list-style-type: none">• Danger	<ul style="list-style-type: none">• Anything which may cause injury or damage to persons or property.
<ul style="list-style-type: none">• Hazard	<ul style="list-style-type: none">• A source of or exposure to danger.
<ul style="list-style-type: none">• Health and Safety Equipment	<ul style="list-style-type: none">• Any article or part thereof which is manufactured, provided or installed in the interest of the health or safety of any person.
<ul style="list-style-type: none">• Risk	<ul style="list-style-type: none">• The probability that injury or damage will occur.
<ul style="list-style-type: none">• Safe	<ul style="list-style-type: none">• Being free from any hazard.
<ul style="list-style-type: none">• COIDA	<ul style="list-style-type: none">• Compensation for Occupational Injuries and Diseases Act
<ul style="list-style-type: none">• M&E	<ul style="list-style-type: none">• Monitoring and Evaluation

40.2 LEGISLATIVE AND REGULATORY FRAMEWORK

- a) The Constitution of the Republic of South Africa, Act no 108 of 1996.
- b) Occupational Health and Safety Act 85 of 1993
- c) Disaster Management Act, No. 57 of 2002.
- d) Labour Relations Act, no 66 of 1995, as amended.
- e) Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997) as amended.
- f) Compensation for Occupational Diseases and Injuries Act, No. 130 of 1993.

40.3 ROLES AND RESPONSIBILITIES:

40.4 THE EMPLOYER:

- An employer or a user, as the case may be, shall, if he deems it necessary in the interests of health and safety, post up a notice at every entrance to a workplace prohibiting the entry of unauthorised persons to such workplace and no person shall enter or remain at such workplace without the permission of the employer or user, as the case may be.
- The employer shall not require or permit any person to work in a place where the vapour of any flammable liquid is generated to such an extent that it constitutes an actual or potential fire or explosion hazard or endangers the safety of any person.
- The Chief Executive Officer in terms of subsection 16 (2) of the Occupational Health and Safety Act, may assign the duties as contemplated in subsection 16 (1) of the said Act to a manager.
- All Managers have the statutory responsibility and accountability for health and safety within their divisions and working environment.

40.5 THE EMPLOYEE:

- To take reasonable care for the health and safety of him/herself and of other persons who may be affected by his/her acts or omissions;
- To ensure that any duty or requirement imposed on his/her employer or any other person by this Act, co-operate with such employer or person to enable that duty or requirement to be performed or complied with; To carry out any lawful order given to him/her, and, obey the health and safety rules and procedures laid down by his/her employer or by anyone authorised thereto by his/her employer, in the interest of health and safety;
- To report any situation which is unsafe or unhealthy that comes to his/her attention, to his/her employer or to the health and safety representative for his/her division thereof, as the case may be, who shall report it to the manager;
- To report if he/she is involved in any incident which may affect his/her health or which has caused an injury to him/herself, or to his/her health and safety representative, as soon as possible, but not later than the end of the particular working day during which the incident occurred, unless the circumstances were such that the reporting of the incident was not possible, in which case he/she shall report the incident as soon as practicable thereafter;
- No person at a workplace shall be under the influence of or have in his or her possession or partake of or offer any other person intoxicating liquor or drugs;
- No employee shall operate any equipment unless he/she has been fully instructed in the safe operation and use of such equipment and in the hazards which may arise from its use;
- No person shall smoke in any place in which flammable liquid is used or stored, and in non-designated areas and all the entrances to the building.

40.6 OCCUPATIONAL HEALTH AND SAFETY REPRESENTATIVES

OHSA representatives are responsible for the following:

- To regularly inspect the workplace, report on the completed inspection form and report at the OHS meetings.
- To attend and contribute to the Occupational Health and Safety Committee meetings.
- To investigate when someone is injured, or any other relevant incident takes place, or, to be present to assist with the investigation and report the incident as required by law.
- To report when something is not safe or may negatively influence someone's health, who may report it to the CEO and if necessary thereafter to the Department of Labour.

- To carry out OHS inspections when required.
- To attend OHS training.
- To carry out any other responsibility that is indicated in the Act; or as indicated by the appointed Health & Safety Manager, that has relevance to health and safety in the workplace.

40.7 RESPONSIBILITIES OF THE OCCUPATIONAL HEALTH AND SAFETY COMMITTEE

- To make recommendations to the employer regarding health and safety in the workplace.
- To investigate and discuss incidents in the workplace.
- To report in writing to the Department of Labour, if necessary, on any incident that occurred at the workplace.
- To perform any other function agreed upon by all committee members.
- To keep minutes of all committee meetings, as well as all records of reports made to the employer.

40.8 APPOINTMENT OF HEALTH AND SAFETY COMMITTEE

The Health and safety representatives must be appointed by the CEO. In the case of shops and offices, at least one health and safety representative for every 100 employees, and in the case of all other workplaces, at least one health and safety representative, for every 50 employees, or part thereof; as specified in section 17 of the Occupational Health and Safety Act. The Health and Safety Committee will consist of Health and Safety Representatives appointed by the unit managers with one person appointed from the health and safety representatives as a chairman.

A minimum of two health and safety representatives shall be appointed at the head office and one for each site office.

The names of those designated as health and safety representatives shall be made known by communicating and placing notices on the notice boards.

Managers shall nominate a health and safety representative for appointment within 30 days after notice has been received that a health and safety representative will vacate the position.

Health and safety representatives shall not suffer any prejudice in their employment as a consequence of carrying out their duties as representatives.

The functions of the Health and Safety Representatives/Committee are prescribed in sections 18 and 20 of the Health and Safety Act.

A Health and Safety Committee shall meet at least twice a year.

40.9 MONITORING AND EVALUATION

- **Health and Safety Committee Members:**

Reporting to the CEO any members transgressing the policy. Advising all employees about the importance and necessity of adhering to the policy. Ensuring that any risky and hazardous situations are quickly addressed.

- **OHS Representatives:**

Encourage colleagues to respect and adhere to the policies in order to protect themselves, fellow workers and visiting stakeholders against injury. Report any wrong doing on the part of colleagues. Assess and identify risky and hazardous situations to protect individuals in the workplace.

40.10 FIRST AID AND PROCEDURES

The employer shall take reasonable steps that are necessary under the circumstances to ensure that employees at work receive prompt first aid treatment in case of injury or emergency. The employer shall provide a first aid box at the workplace, which shall be available

and accessible for the treatment of injured employees in the workplace. The first aid box shall contain suitable first aid equipment, which includes at least the equipment listed in Annexure A of the General Safety Regulations in terms of the Occupational Health and Safety Act.

A minimum of two first aiders shall be appointed to assist with first aid treatment at the workplace. Such person(s) shall be trained at Seriti's expense to obtain a valid certificate of competency in first aid.

The employer shall affix a prominent notice or sign in a conspicuous place at a workplace, indicating where the first aid box(es) are kept as well as the name of the person in charge of such first aid box or boxes shall be written on, or next to, where the first aid box(es) are kept.

Each injury on duty shall be recorded on the prescribed forms as indicated in the Compensation for Occupational Injuries and Diseases Act and shall be reported to the health and safety representative as well as the Human Resource Manager. The Human Resource Manager shall forward the forms to the Compensation Commissioner in order to register the injury on duty.

Should the circumstances dictate; any injured person shall be provided treatment to avoid contracting HIV/Aids, Hepatitis B and or any other similar diseases.

40.11 EMERGENCY / EVACUATION PLAN

An emergency / evacuation framework and a health and safety plan must be in place for the head office and each work site.

Such health and safety plans shall conform to the framework regarding action to be taken in case of fire, gas, floods, bomb threats, robbery, etc.

Implementation drill shall be conducted in accordance with the comprehensive emergency / evacuation framework to ensure that each employee knows how to react in events of emergency.

Emergency telephone numbers of the health and safety representatives, the police, fire department, ambulance services and the security company shall be made available to all employees.

40.12 VIOLENCE IN THE WORKPLACE

The employer shall, as far as reasonable practical, ensure that the workplace is violence free and safe.

41. ALTERATIONS AND AMENDMENTS

Copies of this document shall be issued as controlled copies. No amendments, variations or alterations shall be of any effect unless reduced to a written document and approved by the Seriti Board and CEO/COO.