



Wekeza na jenga mataifa na SACCOS

LESA SACCOS LTD

REG. No DSR 1299

ICT POLICY

Version I: 2020

APPROVAL SHEET



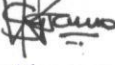


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| S/N | Name | Designation | Date | Signature |
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| Registrar Use: | | | | |
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1. OVERVIEW

1.1. Introduction

In today's world of competitive business environment, ICT has become a major means of achieving business goals. Therefore, **Savings and Credits** sector have adopted the technological environment so as to achieve its goals. The technological adoption has gone through investment plan and intelligent deployment and maintenance management.

For **LESA SACCOS Ltd** to realize the value out of ICT investment, ICT must be deployed to improve efficiency and effectiveness in internal and external services delivery. This means that, a comprehensive framework established by ICT Policy in order to provide appropriate directives to exploit ICT.

Establishment of ICT Policy is the important step toward ensuring that ICT will assist **LESA SACCOS Ltd** to achieve its objectives. The ICT Policy will ensure that the ICT infrastructure and capacity are utilized effectively and are in alignment with the **LESA SACCOS Ltd** strategic objectives, National ICT Policy, National e-Government Strategy and the Cooperatives law No. 6 of 2013, Cooperative law regulations of 2015, the microfinance law No. 10 of 2018, regulation No.5 (k) of microfinance regulations (SACCOS) of 2019 and **LESA SACCOS Ltd** By-Laws.

1.2. Rationale

LESA SACCOS Ltd will improve its services and productivity by leveraging on new technologies. **LESA SACCOS Ltd** has been investing in ICT to facilitate its internal business operations so as to attain its strategic goals.

LESA SACCOS Ltd operations are increasingly depending on ICT which makes the Institution vulnerable to ICT related risks. Hence, it is suffice to say that, **LESA SACCOS Ltd** needs to develop and use comprehensive ICT Policy that will address and mitigate ICT risks.

1.3. Objectives

This document provides the highest level of ICT directives for **LESA SACCOS Ltd**. The main purpose of this document is to ensure that **LESA SACCOS Ltd** ICT related investment; operations and maintenance processes and usage are well managed. The specific objectives of this policy are;

- i. To ensure ICT policy is integral part of **LESA SACCOS** governance.
- ii. ICT services provisions are in line with **LESA SACCOS Ltd** policies, and Microfinance regulations (SACCOS), 2019.

- iii. All information resources and services are well secured using appropriate controls.
- iv. To ensure that all members use ICT facilities and services in an appropriate and responsible manner and to ensure that other persons do not misuse those ICT facilities and services.

1.4. Scope

This policy is applicable to all **LESA SACCOS Ltd** staffs, SACCOS members and all users of ICT equipment's and infrastructure. This policy applies to all **LESA SACCOS Ltd** ICT related resources and services.

2. ICT POLICY STATEMENTS

2.1. ICT Governance

ICT Governance is an integral part of corporate governance and consists of the leadership, organisational structures and processes that ensure that the organisation's ICT sustains and extends the organisation's strategies and objectives.

The general objective of ICT Governance is to put the strategic and operational management of ICT within the principles of ICT Governance and within the context of **LESA SACCOS Ltd** strategic directions. Specific objectives are:

- i. Establishing a framework for ICT investment decisions, accountability, monitoring and evaluation; and
- ii. Ensuring there is formal ICT governance process that is consistent across the **LESA SACCOS Ltd** and has strong accountability.

2.1.1. ICT Processes and Organisation

- 2.1.1.1. **LESA SACCOS Ltd** will set up an ICT governance model so that it has the right ICT structure to manage operations and ensure secured environment is in place that complies with Microfinance regulations (SACCOS), 2019 and Cooperative law No.6 of 2013.
- 2.1.1.2. The Board shall determine prioritisation of ICT-enabled investment programmes in line with the SACCOS business strategy, track status of ICT initiatives, resolve resource conflicts and monitor ICT services.
- 2.1.1.3. **LESA SACCOS Ltd** shall ensure that ICT strategic plan and business Architecture are established and used.
- 2.1.1.4. **LESA SACCOS Ltd** shall establish a strong ICT unit capable of supporting ICT strategic objectives.
- 2.1.1.5. **LESA SACCOS Ltd** shall ensure that ICT policy fit its current plans, and strategic plans.

2.1.1.6. **LESA SACCOS Ltd** shall ensure that ICT Risk Management is **periodically** evaluated.

2.1.2. Roles and Responsibilities of LESA SACCOS Ltd for ICT

2.1.2.1. Shall ensure that users of ICT equipment's and infrastructure understand and accept their responsibilities and accountabilities.

2.1.2.2. Shall ensure that contracts with ICT service providers are clear and well understood.

2.1.2.3. Staff must ensure that they read, understand and adhere to this policy.

2.1.3. ICT Resources Management by LESA SACCOS Ltd

2.1.3.1. Shall define a set of policies for ICT security, which shall be approved by management, published and communicated to employees and relevant external parties.

2.1.3.2. Shall ensure that ICT acquisitions are duly approved.

2.1.3.3. Shall ensure that there is appropriate balance between costs, risks, long-term and short-term benefits.

2.1.3.4. ICT Performance Management by LESA SACCOS Ltd

2.1.3.5. shall ensure that ICT save its purpose, and fit its business requirements.

2.1.3.6. shall ensure that ICT Services are defined. e.g. Email services, Printing services and so forth.

2.1.3.7. shall establish mechanism for evaluating and monitoring ICT services. (E.g. Service availability, staff satisfaction / feedback system).

2.1.4. Compliance of ICT Policy

2.1.4.1. shall ensure that ICT conforms to and guidelines and all external regulations and complies with all internal policy, procedures and practices.

2.1.4.2. All employees and third parties have a personal obligation to comply with internal ICT policy, guidelines and procedures and must keep abreast of, and comply with, any changes. Failure to comply may result in legal or disciplinary actions.

2.1.5. ICT Projects Management

2.1.5.1. **LESA SACCOS LTD** shall ensure that ICT complies with all internal developed procedures for managing projects.

- 2.1.5.2. **LESA SACCOS LTD** management team will monitor the key ICT projects undertaken and provide regular progress reports on risks identified and preventive/detective actions taken.

2.1.6. Procurement of ICT Equipment and Services

- 2.1.6.1. **LESA SACCOS LTD** management will implement the necessary controls to ensure that all ICT procurements comply with requirements of **LESA SACCOS Ltd** accounting procedures.
- 2.1.6.2. Each Unit shall establish and submit in writing all ICT related requirements to ICT Unit who will process and submit them to the Manager.
- 2.1.6.3. ICT department shall ensure that all requirements for ICT procurements comply with Cooperatives Standards and Guidelines.
- 2.1.6.4. **LESA SACCOS Ltd** shall not procure any ICT System, Service, Equipment, Consumable or Accessory without consulting the ICT Unit.

2.2. ICT Infrastructure

ICT infrastructures is the backbone for supporting the LESA SACCOS LTD business operations by enabling information exchange and provide secured access to different applications. This consists of all hardware devices such as network devices, servers, workstations, laptop, storage devices, operating facilities and supporting platform like operating systems and databases.

The objective of managing ICT Infrastructure is to ensure that ICT operations are optimized in order to deliver higher service level and support business operations.

2.2.1. Infrastructure Planning and Design

- 2.2.1.1. **LESA SACCOS Ltd** shall ensure that ICT infrastructure architecture is in place and meets current and future requirements.
- 2.2.1.2. **LESA SACCOS Ltd** shall ensure that appropriate ICT infrastructure is in place and well managed.

2.2.2. Data Management and Storage

- 2.2.2.1. **LESA SACCOS Ltd** shall ensure that all data are stored in the ICT systems and are secured.
- 2.2.3. Back up of data in the ICT systems shall be taken daily and stored.
- 2.2.4. ICT equipments must be efficient, accurate and save the intended purpose.

2.2.5. ICT Equipment and Hosting

- 2.2.5.1. **LESA SACCOS Ltd** shall acquire desktop computers, laptop, server's printers and networking equipment from authorized suppliers

- 2.2.5.2. All ICT resources shall be acquired in consultation with ICT Unit.
- 2.2.5.3. **LESA SACCOS Ltd** shall ensure that appropriate environment for hosting, and storing back up are based on standards and best practices..

2.2.6. Infrastructure Maintenance and Support

- 2.2.6.1. **LESA SACCOS Ltd** shall ensure that all ICT infrastructure components are maintained at a reasonable operational and secure level.
- 2.2.6.2. **LESA SACCOS Ltd** shall establish core operational soft wares and ensure that they are installed in the ICT equipments.
- 2.2.6.3. **LESA SACCOS Ltd** shall engage organizations that have technical capabilities to provide maintenance services.
- 2.2.6.4. **LESA SACCOS Ltd** shall engage maintenance services after consulting ICT Unit.

2.3. Applications Soft ware

Applications are software designed for end-users to use in their daily operations to support the enterprise business processes.

The general objective of managing applications is to ensure that ICT applications that are in use or are to be acquired address the business requirements of the Institute and provide reasonable return on investment. Specific objectives are:

- i. To ensure system acquired follow proper procedures;
- ii. To establish controls for efficient acquisition and administration of applications; and
- iii. To enhance accountability on the management and usage of ICT Applications.

2.3.1. Applications Acquisition and Deployment

- 2.3.1.1. There shall be clear understandable business and system requirements before acquisition of any application.
- 2.3.1.2. Each Unit shall submit to ICT Unit their ICT requirements that will be included in ICT resource budget.
- 2.3.1.3. All applications supplied shall be checked by ICT Unit to verify if requirements are met as approved.
- 2.3.1.4. ICT Unit shall establish appropriate specifications for software in order to facilitate acquisition/development.
- 2.3.1.5. ICT Unit shall ensure the configuration and installation are adopted for the soft ware acquired as per LESA SACCOS Ltd requirements.

2.3.2. Applications Maintenance and Support

- 2.3.2.1. Administration and maintenance of applications shall be an on-going process that will last throughout the life cycle of the application.
- 2.3.2.2. Every application acquired by the **LESA SACCOS Ltd** shall have documentation in place and updated regularly.
- 2.3.2.3. Installation of additional applications or overriding existing one shall follow procedures.
- 2.3.2.4. All software acquired by **LESA SACCOS Ltd**
- 2.3.2.5. Must be licensed.

2.4. ICT Service Management

ICT Service management deals with how ICT resources and core business practices altogether are delivered in such a way that the end user experiences the most desired results from accessing the entire solution stack.

The objectives of ICT Service Management are:

- i. To improve internal and external stakeholders satisfaction.
- ii. To assist in defining meaningful metrics to measure service results and using the metrics to drive continuous service improvement.
- iii. To enable monitoring and improvement of service quality through the effective application of processes.
- iv. To ensure compliance with microfinance regulations (SACCOS), 2019 and Guidelines relating to the ICT Service Management.

2.4.1. ICT Service Desk

- 2.4.1.1. **LESA SACCOS Ltd** shall operate an ICT service and support function which will ensure that business disruptions are minimised, users' queries are responded to and ICT problems are resolved. An ICT Service Management document shall be developed accordingly.

2.4.2. Management of Service Levels

- 2.4.2.1. **LESA SACCOS Ltd** shall ensure that for every ICT services provided, Service Level Agreements between the providers and the recipients are established.
- 2.4.2.2. **LESA SACCOS Ltd** shall ensure that reports on service quality are reviewed periodically in order to determine things that could be added or changed to improve service delivery and support.

2.4.3. Management of Third Party Services

- 2.4.3.1. **LESA SACCOS Ltd** ensures proper processes and procedures for managing vendors are in place.
- 2.4.3.2. ensure that services procured from third parties (suppliers, vendors and partners) meet business requirements.
- 2.4.3.3. ensure that it builds good relationships with the business and third party providers to ensure that ICT services delivered continue to meet evolving business needs.

2.4.4. ICT Service Requests, Incidents and Problems Management

LESA SACCOS Ltd shall;-

- 2.4.4.1. set up a single point of contact i.e. service desk for end users where requests will be recorded, escalated to the correct group, resolved and closed to ensure restoration of normal service operations as quickly as possible.
- 2.4.4.2. ensure that ICT service catalogue is prepared and approved. ensure that Service Requests and Incidents Management processes and procedures are established to minimize adverse impacts on customers.
- 2.4.4.3. review all reports about problems that resulted to systems downtime in order to identify root causes of problems.

2.4.5. Change Management

- 2.4.5.1. **LESA SACCOS Ltd** shall ensure that a process for recording, assessing and authorizing all changes prior to implementation, including changes procedures, processes, systems and service parameters is established.

2.4.6. ICT Service Availability

- 2.4.6.1. **LESA SACCOS Ltd** shall implement an availability management process to ensure that services are available, when needed, and as defined in approved Service Level Agreements.

2.4.7. ICT Service Continuity

- 2.4.7.1. **LESA SACCOS Ltd** shall conduct a Business Impact Analysis to identify critical Business functions to be supported by ICT.
- 2.4.7.2. **LESA SACCOS Ltd** shall ensure that a robust business continuity and service recovery plans are in place and that these plans are regularly reviewed and tested and key staffs are appropriately trained.

2.4.8. Configuration Management

- 2.4.8.1. All information regarding ICT assets, Service Level Agreements, End User documentations, version control and change requests shall be loaded into the configuration management system.

2.4.9. Capacity Management

- 2.4.9.1. **LESA SACCOS Ltd** shall establish a capacity plan to monitor ICT resources usage for existing and planned systems in order to assist in time and cost effective purchase of additional resources so as to avoid panic purchase when resources run out.

2.4.10. Data Management

- 2.4.10.1. **LESA SACCOS Ltd** business requirements for data management shall be determined and data shall conform to the Microfinance regulations (SACCOS), 2019 and metadata standards.
- 2.4.10.2. **LESA SACCOS Ltd** shall develop procedures for effective and efficient data storage, retention and archiving to meet business objectives, the Institution's ICT Security Policy and regulatory requirements.

2.5. ICT Security Policy

ICT Security covers all the processes by which computer-based equipment, information and services are protected from unintended or unauthorized access, change or destruction throughout an organization.

The general objective of managing ICT Security is to provide **LESA SACCOS Ltd Ltd** with information security mechanism to support its strategic goals. The specific objectives are:

- i. Protection of the **LESA SACCOS Ltd** ICT resources from accidental or malicious attack.
- ii. Any information obtained from **LESA SACCOS Ltd** Management Information Systems should not be shared to a third party unless authorised by the Board or the law of the country requires doing so.
- iii. Any user of **LESA SACCOS Ltd** ICT resources should be aware of responsibilities and accountabilities with respect to ICT security.

2.5.1. ICT Security Management

- 2.5.1.1. **LESA SACCOS Ltd** should support ICT security through clear direction, demonstrated commitment, explicit assignment, and acknowledgment of ICT security responsibilities.
- 2.5.1.2. **LESA SACCOS Ltd** shall ensure information systems are designed, acquired and implemented with effective ICT security controls to safeguard the integrity, confidentiality and continual availability throughout the entire life cycle.
- 2.5.1.3. All users of **LESA SACCOS Ltd** systems shall be responsible in protecting the information system resources.

2.5.1.4. All information system assets will be owned by **LESA SACCOS Ltd.**

2.5.2. Monitoring

2.5.2.1. **LESA SACCOS Ltd** will monitor the use of ICT facilities. This includes accessing and reviewing the contents of servers, email accounts, hard drives, text messages, the telephone system, voicemail and mobile telephone logs, access control logs and CCTV recordings for security protection and quality control.

2.5.3. Continuity Management

2.5.3.1. **LESA SACCOS Ltd** will ensure that its ICT environment is always active

2.5.3.2. **LESA SACCOS Ltd** will develop ICT disaster recovery plans

3. IMPLEMENTATION, REVIEWS AND ENFORCEMENT

3.1. Implementation and Reviews

3.1.1. This document shall come into operation once tabled and agreed in the mandated Board meeting and approved by Registrar of Cooperatives.

3.1.2. The policies described below provide top level issues for common understanding of implementation and usage based on Microfinance regulations (SACCOS), 2019.

3.1.3. **LESA SACCOS Ltd** management will use this policy with other related policy i.e. HR policy to ensure that it is operated within a well geared ICT environment.

3.1.4. All employees and other authorised users of **LESA SACCOS Ltd** shall comply with requirements of this policy.

3.1.5. ICT unit shall enforce compliance of this policy.

3.1.6. **LESA SACCOS Ltd** staff found to have violated this policy may be subject to withdrawal and or suspension of systems and network privileges or disciplinary action in accordance with rules defined by **LESA SACCOS Ltd** HR policy.

3.1.7. This document shall be reviewed within one year, or whenever business environment of **LESA SACCOS Ltd** changes in a way that affects the current policy.

3.2. Exceptions

3.2.1. In case of any exceptions to this policy, it shall be thoroughly documented and authorized by the Board.

3.3. Roles and Responsibilities

3.3.1.1. **Board of LESA SACCOS Ltd** Review ICT Policy and provide strategic directives on utilisation of ICT resources in order to enhance productivity by ensuring effective and efficient systems;

3.3.1.2. Ensure implementation of the ICT Policy.

3.3.2. OPERATION UNIT OF LESA SACCOS Ltd.

3.3.2.1. Shall propose ICT Policy for Board consideration;

3.3.2.2. Shall coordinate the establishment and continues review of **LESA SACCOS Ltd** ICT Policy, ICT Strategy and Enterprise Architecture;

3.3.2.3. Shall ensure that the ICT Strategy is aligned with Strategic Plan;

3.3.2.4. Shall advice the **Board** in making decisions about ICT resources;

3.3.2.5. Shall review all ICT services and applications including **LESA SACCOS Ltd** website and infrastructure with the view to advice required improvements; and

3.3.2.6. Shall ensure that risks associated with ICT are managed appropriately.

3.3.2.7. Shall review and prepare procedures, standards, policies and guidelines developed from this policy for the purpose of maintaining business continuity and security of **LESA SACCOS Ltd** ICT resources

3.3.2.8. Plan and develop ICT Strategy and **LESA SACCOS Ltd** Enterprise Architecture and ensure its implementation

3.3.2.9. Recommend procedures, standards and policies for effective implementation of this policy in line with Microfinance regulations (SACCOS), 2019.

3.3.2.10. Be the custodian of all ICT resources of **LESA SACCOS Ltd**

3.3.3. Managers/Head of Units

3.3.3.1. Shall ensure that all users under their supervision are aware and comply with this policy;

3.3.3.2. Shall provide adequate and appropriate protection of ICT assets and resources under their control;

3.3.3.3. Shall ensure integrity and confidentiality of information produced from systems under their areas of functional responsibilities; and

3.3.3.4. Shall ensure that information posted and obtained from systems are relevant, accurate, and complete.

3.3.4. Head of Internal Audit Unit

3.3.4.1. Shall audit **the ICT Function of LESA SACCOS Ltd** and ensure compliancy with the policy.

3.3.5. Users of ICT Systems

- 3.3.5.1. Shall be responsible to safeguard ICT assets of **LESA SACCOS Ltd** in their custody.
- 3.3.5.2. Shall comply with this policy.

3.4. Monitoring and Evaluation

- 3.4.1.1. The Board shall monitor and evaluate the achievements in ICT initiatives outlined in this Policy and Strategic Plan for at least quarterly.

4. GLOSSARY AND ACRONYMS

4.1. Glossary

ICT Policy—A document that elaborate on the **LESA SACCOS Ltd** ICT Management Philosophy by providing general statements of purpose, direction and required activities for the entire ICT Management Framework.

4.2. Acronyms

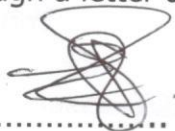
- **CCTV** – Closed Circuit Television

ICT – Information & Communication Technology

5. DOCUMENT CONTROL.

| VERSION | NAME | COMMENT | DATE |
|----------|-----------------|------------------------|------|
| Ver. 1.0 | ICT DEPARTMENT. | <<What has been done>> | |

This ICT Policy is prepared and approved by the Board of **LESA SACCOS Ltd**; the Board was delegated the Annual General Meeting authorities by Registrar of Cooperatives, through a letter dated **3rd August, 2020** which had Reference No. **MA.82/309/163/06**



Chairman



Manager



.....
Registrar of Cooperative Societies

Date

