

CHUKA



UNIVERSITY

CHUKA UNIVERSITY
ANTI-CORRUPTION POLICY

3rd February, 2014

CHUKA UNIVERSITY ANTI-CORRUPTION POLICY

FOREWARD

The Chuka University Anti-Corruption Policy is intended to put in place a framework for ensuring a corruption-free working environment. In this endeavour it is noteworthy that Chuka University is propelled by ideals enshrined in its Mandate, Philosophy, Mission, Vision and Core Values. These ideals and aspirations are only possible within a framework of **integrity** and **ethics**, which creates a culture of zero-tolerance of any corruption practices.

The benefits of the Anti-Corruption Policy cannot be over-estimated. All the stakeholders of the University are potential beneficiaries through efficient and quality services; improved infrastructure; fairness, justice and equity; respect for the rule of law; stability of policies, assurance of proper planning and sustained development; and improved personal safety and security of property.

To achieve the status of a corruption-free University, fighting corruption must begin with each individual member of the University before it spreads to groups and the entire citizenry. This is due to the fact that it is only by changing ourselves that we can be able to effect changes to others. The desired change is one that bestows positive service delivery to humanity.

Towards this end, the University Management is committed to the implementation of the Anti-Corruption Policy. This will be done through allocation of resources for training, establishment of corruption prevention mechanisms in every sector, and provision of avenues for reporting corruption incidences within the University.

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OVERVIEW OF CHUKA UNIVERSITY

Mandate

Chuka University was established by a presidential order of 2007, gazetted as Legal Notice Number 161 Section 4(1) (a-e), and became a fully pledged University on 8th January, 2013 with the following mandates:

- To provide university education, knowledge and skills to citizens of Kenya.
- To participate in the discovery, transmission, preservation and enhancement of knowledge and stimulate economic, social, cultural, scientific and technological development of Kenya.
- To provide university education and confer degrees and award diplomas and certificates in order to contribute to manpower needs.
- To conduct examinations for such academic awards as may be provided in the statutes pertaining to the University.
- To make proposals for new faculties, schools, institutes, departments, resource and research centres, degree programmes and courses of study.

Philosophy

The Philosophy of Chuka University is: Education and training for social cohesion, as well as human and economic development.

Vision

The Vision of Chuka University is: To be a premier University for the provision of quality education, training and research for sustainable national and global development.

Mission

The Mission of Chuka University is: To generate, preserve and share knowledge for effective leadership in higher education, training, research and outreach through nurturing an intellectual culture that integrates theory with practice and innovation.

Core Values

The management and operations of Chuka University are guided by the following Core Values:

- Passion for excellence and devotion to duty
- Integrity
- Transparency and accountability
- Social fairness
- Professionalism
- Timeliness
- Prudent use of resources
- Corporate citizenship
- Customer focus
- Teamwork
- Confidentiality

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ABBREVIATIONS AND ACRONYMS

CEO	:	Chief Executive Officer
CODs	:	Chairmen of Departments
CU	:	Chuka University
DVC	:	Deputy Vice Chancellor
IAO	:	Integrity Assurance Officer
JAB	:	Joint Admission Board
EACC	:	Ethics and Anti-Corruption Commission
POEA	:	Public Officer Ethics Act
PPDA	:	Public Procurement and Disposal Act
PSC	:	Public Service Code
SSP	:	Self-Sponsored Programme

1. INTRODUCTION

Most people in Kenya have known through experience the adverse effects of corruption both on the personal level and the national level. The effects of corruption include poverty, lack of ethical values and respect for the law. The result has been enormous losses of public funds through fraud and mismanagement. Corruption is the cause of the downward spiral of both individual and national well-being. The Ethics and Anti-Corruption Commission (EACC) was established to help eradicate corruption in all public institutions.

The Integrity Committee of Chuka University (CU) was established in June 2010. The objective of the Committee is to join efforts with EACC and other people of good will to reverse the trend of corruption that can cripple not only personal development, but also institutional and national development. Chuka University is cognizant of the benefits of operating in a corruption-free environment. The objective of an Anti-corruption Policy of CU is to create a University culture that is driven by two values: **Integrity and Ethics**.

The University culture refers to a set of shared values, understanding, assumptions, and attitudes that in turn give rise to standards of behaviour in CU community. Ethics refers to the standard of right and wrong against, upon which decisions will be based. The University culture inspired by this Policy will enable CU employees to make the right decisions, justify those decisions and honestly evaluate the outcome of those decisions.

The objective of this Policy is to create a University culture of integrity at two levels: personal level and University level. At a personal level, integrity would mean developing positive qualities (honesty, trustworthiness, loyalty, courage, truthfulness, impartiality, and steadfastness) in the principles that one holds. At the University level, integrity would mean a group of people who uphold law, legitimacy, rationality, completeness, soundness and efficacy of University objectives, programmes, structures, systems, processes and procedures.

In order to realize the objective, CU is committed to the following standards:

- 1.1. Periodic evaluation of its Strategic Plan, Vision, Mission and Core Values
- 1.2. Regular review of institutional documents such as handbooks and policies
- 1.3. Socialization of new members through orientation and mentoring
- 1.4. Employment of professionalism in services offered to stakeholders
- 1.5. Fostering of an environment of openness to facilitate communication and accessibility
- 1.6. Review of all interview records and correspondence
- 1.7. Fostering of discussion along all levels to create room for airing concerns with regard to irregularity in various sections of the University features and practices
- 1.8. From time-to-time, conducting surveys to determine attitudes towards corruption
- 1.9. From time-to-time, conducting surveys to determine staff satisfaction with work environment, promotion, procurement, financial, and recruitment procedures

To this end, all members of CU are enjoined with the responsibility of fighting corruption by reporting any corruption practices as provided for in this Policy. In this way, the common goal of a corruption-free work environment will be realized, creating a culture of ethics and integrity within which CU's vision, mission and core values will in turn be realized.

2. COMPOSITION AND MANDATE OF THE INTEGRITY COMMITTEE

2.1. Composition

The CU Integrity Committee comprises:

- (1) The Chief Executive Officer (Chair)
- (2) Heads of various Departments, Sections, Boards, and Directorates
- (3) Students' Association Representatives
- (4) Integrity Assurance Officer (Secretary)

2.2. Mandate and Operations

- 2.2.1. Setting priorities in prevention of corruption within the University.
- 2.2.2. Planning and coordinating corruption prevention strategies.
- 2.2.3. Integrating all corruption prevention initiatives in the University.
- 2.2.4. Receiving and reviewing reports on corruption prevention initiatives and recommending appropriate action.
- 2.2.5. Receiving and acting on corruption reports lodged by all CU clients and stakeholders. Evidence of concrete measures taken will be made available and any referrals to other agencies well be documented.
- 2.2.6. Spearheading anti-corruption campaigns within its jurisdiction.
- 2.2.7. Monitoring and evaluating the impact of corruption prevention initiatives.
- 2.2.8. Submitting quarterly reports to the Performance Contract Steering Committee.

3. POLICY STATEMENTS

The purpose of this Policy is to ensure compliance by all employees, customers, service providers and any other stakeholders or bodies associated with CU in eradication of any form of corruption, fraud, theft, misadministration and other dishonest activities. This Policy is intended to provide a framework for conformity to legal requirements within the University.

Chuka University will transact and conduct its business in an honest and ethical manner. Neither CU (or entity associated with it) nor any other person, shall facilitate payments or relationships with third parties, or offer, pay, promise, authorize or receive any bribe, kickback, or other illicit inducement payments or benefits in violation of the Ethics and Anti-corruption Laws.

In this Policy, corruption, which involves an inducement or reward that is provided to gain any academic, commercial, contractual, or personal advantage for CU, will not be tolerated. Such irregular activities will be investigated and followed up by application of all the measures available within national laws, as well as the application of appropriate prevention and detection controls. Such prevention controls include existing financial and other control and check mechanisms as stipulated in the University Statutes.

The prevention, detection and reporting of bribery and corruption is the responsibility of all employees and mechanisms for confidential reporting of any suspicious case have been put in place. It is the responsibility of all employees and other stakeholders to report all incidences of corruption and malpractices to their head of department or sections. Chuka University Management is committed to sensitization and training of staff on matters of ethics and integrity in a bid to eradicate corruption in all its forms.

4. DEFINITIONS

- 4.1. Corruption: It refers to misuse of office or authority for the benefit of an individual or a group through coercion, undue influence, misrepresentation, falsification, dishonesty, or any other improper acts or means in breach of laws, regulations and rules in force (EACC, 2003).
- 4.2. A bribe: It is an offer of money or favour to influence a public official. Considering CU is a public institution, this definition is appropriate.
- 4.3. Offense: it refers to any action contravening the law and/or regulations. According to the Anti-corruption and Economic Crimes Act (2003) the following actions are considered corruption offences/practices:
- (i) Bribery or bribing of an agent (employee)
 - (ii) Secret inducements for advice
 - (iii) Deceiving the employer (Management)
 - (iv) Conflict of interest
 - (v) Improper benefits to trustees for appointment
 - (vi) Bid rigging
 - (vii) Abuse of office
 - (viii) Fraud
 - (ix) Embezzlement or misappropriation of public funds
 - (x) Breach of trust
 - (xi) Dishonesty in relation to taxes, rates or imposed levies
 - (xii) Dishonesty in relation to election of persons to public office

The following four principles can help determine whether actions are corrupt or not:

- (i) Transparency: Do I mind if others know or the press reports what I do?
- (ii) Reciprocity: Would I feel hurt if others did the same to me?
- (iii) Generalization: Would it harm society if everybody did the same?
*In cases (i-iii), **yes** shows that the actions are corrupt.*
- (iv) Accountability:
 - (a) Do I report my actions to others?
 - (b) Do they hold me to standards?*In any of these two cases, **No** shows that the actions are corrupt.*

5. LEGISLATIVE AND ADMINISTRATIVE REQUIREMENTS

With regard to this Policy, the philosophy of CU is zero-tolerance to corruption. In a bid to focus the attention of the University community on fighting corruption, specific requirements have been developed to act as guides. These requirements are:

- 5.1. To promote public confidence in the integrity of the CU.
- 5.2. To serve all people equally.
- 5.3. To employ, promote and appoint staff based on qualification, integrity, competence and suitability of the position.
- 5.4. To be honest in the execution of University duties.
- 5.5. To declare any personal interest that may conflict with University duties.
- 5.6. To be accountable to the public for decisions and actions made.

- 5.7. To be objective and impartial in decision-making and in ensuring that decisions are not influenced by nepotism, favouritism, or other improper motives.
- 5.8. To be disciplined and committed at work and in providing service to the people.
- 5.9. To ensure that staff contractual terms are complied with.
- 5.10. To ensure that the University achieves the targets in the Performance Contract.
- 5.11. To ensure that all expenditures made are lawful authorized, effective, and economical.
- 5.12. To keep proper financial and accounting records.
- 5.13. To ensure adequate protection of any financial or accounting records kept in electronic format by ensuring that such records are adequately backed-up and adequately protected against computer viruses.
- 5.14. To ensure that all applicable procedures are followed in acquisition or disposal of property and that adequate arrangements are made for the custody, safeguarding and maintenance of property.
- 5.15. To declare gifts received in the course of duty to the University Management.
- 5.16. To ensure that proper procedures are followed in admission, teaching and examination of all CU students.
- 5.17. To train all CU staff on integrity.
- 5.18. To comply with all statutory and legal requirements in force.

6. OTHER ANTI-CORRUPTION LEGISLATIONS

All sections of the University are corruption risky. The Constitution of Kenya and other relevant legislation will be applied in fighting corruption in all sections of the University. Such applicable legislations are:

- 6.1. Anti-Corruption and Economic Crimes Act (2003, part III S. 8-11). Financial Crimes.
- 6.2. Public Officer Ethics Regulations. 2003 S. 10: Gifts to public officer (POEA, 2003 S. 11(3)); Performance of duties (POEA, 2003 S. 8, 9, 10, 11); Conflict of interest (POEA, 2003 S. 12 (1), (2), (3)).
- 6.3. Public Procurement and Disposal Act (2005) and Public Procurement and Disposal Regulations (2006). Procurement of materials, works and services (POEA, 2003 S. 12 (4), Tender committee and procedure for Tender Committee meetings, Evaluation Committee, Inspection and Acceptance Committee.
- 6.4. Public Service Code of Conduct and Ethics S. 12 (1), (2); Collections and Harambees (POEA 2003, S. 13); Care of property (POEA 2003, S. 15); Political Neutrality (POEA 2003, S. 16); Nepotism and favouritism (POEA 2003, S. 17); Employment, Promotion and Appointment (POEA 2003, S. 22); Confidentiality of information (POEA 2003, S. 31); Public Service Code of Conduct and Ethics (POEA 2003, S. 13); Sexual Harassment (POEA 2003, S. 21); Retention of information (POEA 2003, S. 31); Conduct of Private Affairs (POEA 2003, S. 20).
- 6.5. Government Financial Management Act (2004). Financial Management, Control of Expenditure, Purchase and Capacity of Official Vehicles for the University.

- 6.6. Responsibilities of accounting officer in relation to financial management (Government Financial Management Act, 2004 S. 18).
- 6.7. Compliance with the general code of conduct (Public Service Code of Conduct and Ethics S. 4).
- 6.8. Performance Contract 2010/2012.

7. CORRUPTION RISKY AREAS AND PREVENTION STRATEGIES

7.1. Finance Department

The Finance Department of the University is one of the corruption risky areas, owing to the nature of work there that deals with finances all the time. In this Department, the Anti-corruption Policy aims at preventing corruption through increased accountability, transparency, and minimizing discretion in financial matters.

7.1.1. Corruption risky areas

Corruption-risky areas within the Finance Department include:

- (i) Payment for goods and services
- (ii) Management of revenue and student debts
- (iii) Management of imprests and payroll
- (iv) Computerized financial management information systems
- (v) Expenditures and payment
- (vi) Handling of finances
- (vii) Clearance of students, and
- (viii) Handling of the safe

7.1.2. Possible corruption practices

Any of the following practices would be considered a corruption activity:

- (i) Altering of cheque amount and name
- (ii) Holding/delaying cheques with a view to gaining financially from the customer
- (iii) Retaining ghost workers in the payroll (fictitious payment for non-existing workers)
- (iv) Colluding with thugs to intercept cash in transit
- (v) Forging of signatures in cheques or authorizing documents
- (vi) Fraudulent activities such as bribing of cash/pay agents
- (vii) Extorting cash at pay points
- (viii) Misrepresenting financial statements
- (ix) Theft of cash and other resources
- (x) Irregular investment of cash
- (xi) Overpricing of goods and services
- (xii) Fictitious payment for goods and services

7.1.3. Strategies for corruption preventions

- (i) Receipts should only be raised in respect to provision of the deposit slip.
- (ii) All accountable documents and cash should be kept in a fireproof safe.
- (iii) Bank reconciliation should be up to date.
- (iv) Only an authorized person of integrity should keep keys to the safe.

- (v) All the cash should be transported with at least two armed police officer escorts.
- (vi) Limit the amount of cash being transported at any one particular time.
- (vii) There should be an insurance cover for all cash in transit, as well as against fire and burglary damages.
- (viii) Establish financial policy and procedures to govern payroll, revenue collection, imprest management, cash handling and banking, book keeping and accounting, investment, expenditure, payment and student data management.
- (ix) Operate within the budget and financial plan.
- (x) Report corruption to oversight authorities; for instance, Kenya National Audit Office, Public Accounts Committee, and Public Investments Committee.
- (xi) Strictly adhere to relevant laws and regulations; e.g. the Companies Act Cap 486; the State Corporations Act Cap 446; and Government circulars issued from time-to-time.
- (xii) Institute strong internal control systems.
- (xiii) Maintain proper accounting systems.
- (xiv) Have a strong Internal Audit Department.
- (xv) Conduct periodic audits.

7.2. Procurement Department

Procurement Department is one of the corruption-risk areas owing to its responsibility to award tenders for goods and services worth huge amounts of cash.

7.2.1. Possible corruption practices

- (i) Unfair distribution of request for quotations.
- (ii) Client using influence to order that quotations be given to suppliers who are not pre-qualified or to friends who are on the pre-qualified list.
- (iii) Unclear specifications tailored to favour a particular company.
- (iv) Inflation of prices of items in collaboration with the suppliers.
- (v) Discouraging certain suppliers by not processing their documents in time.
- (vi) Personal use of goods in the pretext that they are being used in the University.
- (vii) Receiving substandard items and services on behalf of the University.
- (viii) Delaying processing of suppliers' documents for payment.
- (ix) Indicating that items that have not been received have been received.
- (x) Indicating that items that have not been issued have been issued.

7.2.2. Corruption prevention strategies

- (i) Ensure there is a proper Open Tendering system in place.
- (ii) Ensure goods are clearly specified and that the Inspection Committee inspects the goods before receiving them in the store.
- (iii) The suppliers should be paid within **thirty (30) days** from the time of delivery to avoid delay in processing of payments.
- (iv) Ensure users receive issue notes for the goods issued to them.
- (v) Issuing of goods should be done by several persons to verify requisitions.
- (vi) Ensure involvement of various committees to evaluate and award tenders.
- (vii) Engineer's estimates should be entrusted to one person before the opening of the tender to avoid leakage of information.
- (viii) Bidders' representatives should attend opening of tenders to witness the opening.

- (ix) Use of pre-qualified suppliers who should be allowed to quote for goods and services.
- (x) Users should leave the Procurement Department to do its work without interference.
- (xi) All specifications for particular items should be uniform.
- (xii) Brand names should not be used in specifications, as they indicate favouritism of certain manufacturers.
- (xiii) Market research on prices should always be done every three months.
- (xiv) Use of the price list provided by the Public Procurement Oversight Authority.
- (xv) Suggestion boxes should be availed to receive feedback from suppliers.
- (xvi) Practice the open door policy where suppliers can express their views.
- (xvii) Hold regular meetings with suppliers.
- (xviii) Ensure all quotations are sealed and submitted as hard copies.

7.3. Medical Department

In the Medical Department, there is handling of liquid cash and a great deal of discretion, ranging from issuing of drugs to pricing of drugs and medical equipment.

7.3.1. Possible corruption practices

- (i) Issuing drugs without receipting.
- (ii) Fictitious issuing of drugs.
- (iii) Favouritism in dealing with patients.
- (iv) Treating Self-Sponsored Programme (SSP) students at rates for Joint Admission Board (JAB) students.
- (v) Colluding with suppliers to inflate the price/quantity of items supplied.

7.3.2. Corruption prevention strategies

- (i) Designate cashier and pharmacist counters to enable patients pay first and present receipts and prescriptions to the pharmacist before issuance of drugs.
- (ii) Develop a queuing system whereby patients are issued with numbers in the order in which they are processed to see a doctor, except in emergency cases.

7.4. Transport Department

In the transport sector of the University, there are possible loopholes of corruption, ranging from fuel mismanagement, stretching journeys beyond authorized radius, to transporting of unauthorized goods or persons.

7.4.1. Possible corruption practices

The corruption practices in the Transport Department may include siphoning of fuel from vehicle tanks, using institutional vehicles for personal gain, and carrying unauthorized goods and persons at a fee while on official duty.

7.4.2. Corruption prevention strategies

- (i) Approval of fuel should be commensurate to the distance covered (mileage) and fuel consumption to avoid surplus fuel remaining in the vehicle tanks.
- (ii) Authority to use the vehicles should be approved by the Vice-Chancellor or the Deputy Vice Chancellors to avoid use of the vehicles for personal gain or exaggerated errands.

- (iii) There should always be someone in-charge to prohibit the driver from carrying unauthorized goods or passengers when the vehicles are out on official duty.
- (iv) Vehicle usage should be audited to verify distance covered.

7.5. Security Department

In the Security Department, there is a possibility of corruption owing to the long periods of time during which security of University goods, property, students and personnel is left to the discretion of staff in this Department.

7.5.1. Possible corruption practices

- (i) Colluding with workers or students to pilfer University assets.
- (ii) Colluding with thugs to steal from the University premises.
- (iii) Colluding with employees to cheat on reporting time to duty.
- (iv) Lack of commitment to specific duties, e.g. accurate record-keeping at the gate.

7.5.2. Corruption prevention strategies

- (i) Any item moving out of the University gate must be accompanied with a gate pass duly signed by the concerned department and approved by the Security Officer.
- (ii) Goods coming through the University gate must be checked and their intended final destination ascertained.
- (iii) Regular checking on security records by the person in-charge to ensure accountability.
- (iv) Hiring of security personnel of highest reputation and integrity.

7.6. Catering and Accommodation Department

In the Catering Department, loopholes of corruption include security of goods in the store, meal services in the dining hall, cash handling and allocation of accommodation spaces to students.

7.6.1. Possible corrupt practices

- (i) Serving meals and failing to issue receipts.
- (ii) Selling meals to staff at student prices.
- (iii) Pilfering of foodstuff, favouritism when serving students.
- (iv) Colluding with supplier to inflate the price/quantity of items supplied.
- (v) Giving accommodation to students who have not paid.
- (vi) Providing substandard services to students.
- (vii) Interacting with the clients and giving them favours.
- (viii) Receiving undocumented goods, not spiking receipts, which end up re-circulating.

7.6.2. Corruption prevention strategies

- (i) Enforce the pay-as-you-eat system to avoid serving meals without receipting.
- (ii) Punch and retain the cash sale receipt after serving to prevent reuse.
- (iii) Separate students serving point from staff serving point to avoid serving staff at the rate for students.
- (iv) Ensure the storekeeper controls what is being used in the kitchen.
- (v) Ensure the queuing system is in place when serving meals.
- (vi) Reconcile the bed capacity with money collected in the Finance Department.

- (vii) Inspect staff as they leave the work-place.
- (viii) Sign delivery note for the goods supplied only.
- (ix) All money collected should be banked immediately and banking slips issued.
- (x) Supervise staff to ensure that there is no wastage of time when on duty.
- (xi) Institute mechanisms to ensure avoidance of duty lateness.
- (xii) Cashiers should receipt all food ordered before it is served.
- (xiii) Use electronic cash register for receipting payments.
- (xiv) First come first served method should be adopted.
- (xv) Treat clients humanely.

7.7. University Farm

The University Farm is mandated with production of produce such as grains, milk and fruits. There are various corruption loopholes in the process of handling of the farm produce and the cash after sale of the produce.

7.7.1. Possible corruption practices

- (i) Using farm products and machinery for personal gain.
- (ii) Selling items and not receipting the sale.
- (iii) Understating produce and using the difference for personal gain.

7.7.2. Corruption prevention strategies

- (i) Ensure approval of work to be done on the farm or sale of farm produce comes from the Vice Chancellor or his representative to avoid use of farm machinery and produce for personal gain.
- (ii) Any farm items sold should be accompanied with an authorized receipt or invoice.

7.8. Estates Department

In the Estate Department, there are several corruption loopholes due to the fact that recruitment of casual workers, the amount of work done by the recruited casuals and the quality thereof are at the discretion of Estate Manager(s).

7.8.1. Possible corruption practices

- (i) Fictitious and approval of non-existing workers (ghost casuals).
- (ii) Certifying contractor for work not done.
- (iii) Certifying substandard work.
- (iv) Colluding with casual workers to be paid for days not worked and then sharing the exaggerated payment.
- (v) Bribery during recruitment of casual workers.
- (vi) Demanding cash from potential casual workers in exchange for employment.

7.8.2. Corruption prevention strategies

- (i) Ensure approval to engage casuals is done by the Deputy Vice Chancellor before taking to the respective departments.
- (ii) All payments of casuals must be recorded in the muster roll.
- (iii) The Resident Engineer should not single-handedly certify any contractor and work done, but should do it together with the Ministry of Public Works.

- (iv) Employees should sign in to work and out of work to ensure time is not wasted.
- (v) Workers should be closely supervised for delivery of quality work.

7.9. Audit Department

In the Audit Department of the University, there are loopholes of financial crimes in that the Auditor and Examiners of applications and records may be compromised in audit obligations.

7.9.1. Possible corruption practices

The following acts in the Audit Department are considered corruption activities:

- (i) Colluding with departments to conceal financial crimes.
- (ii) Passage of erroneous payments for personal gains.
- (iii) Casual scrutiny of applications, payments and other transaction records.

7.9.2. Corruption prevention strategies

- (i) Institute internal checks so that the work of one person is counter-checked by another officer in the department.
- (ii) Documents for payment must be well supported.
- (iii) Regularly submit quarterly audit reports to the Vice Chancellor.

7.10. Examinations Section

Examinations Office is one of the most important Departments in the University. If the Department is not well guarded against corruption practices, it could result in leakage of examinations for financial gain or other benefits.

7.10.1. Possible corruption practices

There are potentially many corruption loopholes in the Examinations Section by virtue of the fact that it is one of the core mandates of the University. The following actions in the Examination Section are regarded by the University as corruption practices:

- (i) Setting sub-standard examinations due to inadequate coverage of subject or syllabus.
- (ii) Selling examination drafts to students.
- (iii) Careless handling of examination drafts as they are processed, leading to leakage of the examination questions.
- (iv) Allowing entry with bags, this may be used to siphon out examination papers.
- (v) Allowing movement of unauthorized people in and out of the Examination Office.
- (vi) Failure to shred waste examination papers and disposing them off carelessly.
- (vii) Photocopying examinations outside the Examination Office.
- (viii) Illegal issuance of examination cards to students not cleared to sit examinations.
- (ix) Students mingling freely with the staff handling examinations.
- (x) Failure of the internal examiner to proofread the examination, thus requiring proofreading by other persons.
- (xi) Failure to account for all examinations distributed to the typing pool.
- (xii) Colluding with students so that they can copy during examination sessions.
- (xiii) Favouritism and discrimination when marking exams.
- (xiv) Failure to report those found cheating in the examination.
- (xv) Students passing exceptionally in certain examinations.

7.10.2. Strategies for prevention of corruption

- (i) Ensuring that examination rules and regulations are adhered to.
- (ii) Staff typing examinations should be senior and well remunerated.
- (iii) Ensuring that examination processing is as documented.
- (iv) Ensuring that officers of high integrity are deployed in the Examination Department.
- (v) Appropriate identification of examiners when processing, proof-reading and administering examinations.

7.11. Teaching Departments

In the teaching domain of the University, there is a likelihood of occurrence of corruption practices, owing to the enormous discretion controlled by the lecturers. Such discretions include reporting on duty, instruction of students, assessment of students, and setting and marking of examination papers.

7.11.1. Possible corruption practices

In Chuka University, the following practices are considered corrupt activities:

- (i) Teaching contents of examinations with the aim of examining the same.
- (ii) Harassing students by demanding special favours from them in order to pass.
- (iii) Failing to attend classes as required.
- (iv) Going for lectures late and leaving lecture rooms early.
- (v) Conspiring with students to skip some lectures.
- (vi) Failing to cover the subject matter in the course outline.
- (vii) Revealing sections that will be used to set examinations.
- (viii) Failing to mark and submit continuous assessment tests to students.
- (ix) Failing to give students adequate contact hours.
- (x) Using alternative teaching modes and materials such as handouts.
- (xi) Favouring students with marks.
- (xii) Discriminating some students by gender, religion, and ethnicity.
- (xiii) Seeking sexual favours from students in exchange for grades.
- (xiv) Failing to keenly supervise students' assessments.
- (xv) Awarding of grades without assessment.
- (xvi) Holding two jobs at the same time; e.g., holding part-time jobs in other institutions.

7.11.2. Preventive measures

- (i) Paying attention to students' complaints about lecturer's method of teaching and grades that he/she is awarding.
- (ii) Monitoring and apprehending lecturers, who only make technical appearances.
- (iii) Constant monitoring of lecturers by the heads of departments.
- (iv) Allocating courses to ensure lecturers receive courses they can teach competently.
- (v) Ensuring that the lecturers know what is expected of them and addressing their needs.
- (vi) Assessing performance of lecturers by students.

7.12. Admissions Section

In the Admissions Section, there is a likelihood of corruption practices, owing to discretion exercised by the person(s) charged with admitting, when to admit and criterion for admission.

7.12.1. Possible corrupt practices

- (i) Admitting non-qualified students.
- (ii) Bending admission rules to favour certain candidate(s).
- (iii) Registering students after the deadline has passed.
- (iv) Transferring students irregularly to another programme.
- (v) Finalizing admission before approval of applications.
- (vi) Losing students files.
- (vii) Misadvising applicants and the public.
- (viii) Lack of updated and proper records.
- (ix) Lack of proper operating procedures.
- (x) Admitting unqualified students and failing to admit the qualified ones.
- (xi) Engaging in tribalism when admitting students.
- (xii) Lack of admission criteria for certain programmes.

7.12.2. Preventive measures

- (i) Ensure admission documents (spreadsheets) are independently proof-read.
- (ii) Capture any form of inducement/bribery.
- (iii) Ensure that forms without application receipts are not accepted.
- (iv) Unduly signed application forms should not be accepted.
- (v) Ensure that intake number tallies with the approved number.
- (vi) Ensure the Deans' Committee approves the short-listed candidates.
- (vii) Strictly adhere to admission criteria.
- (viii) Display the minimum entry requirements.
- (ix) Properly vet officers manning the Admission Department.
- (x) Properly remunerate staff working in the Admission Department.
- (xi) Register/record all forms received.
- (xii) Compare class lists, nominal rolls with Deans' Committee recommendations.
- (xiii) All forms to be duly signed by CODs, Deans and Registrar (Academic Affairs).
- (xiv) All admission letters should be signed by the Registrar (Academic Affairs).
- (xv) Computerize the Admissions Department.
- (xvi) Institute effective filing system and practice good record keeping.

7.13. Human Resources Department

In the Human Resource Department, the University intends to create awareness and responsiveness in addressing areas prone to corruption and suggest ways and means of sealing corruption loopholes in order to prevent corruption.

7.13.1. Human resource recruitment

(a) Possible corruption practices

- (i) Engaging in tribalism/nepotism when recruiting.
- (ii) Recruiting unqualified staff.
- (iii) Demanding favours from recruits.
- (iv) Leaking interview questions to recruits.
- (v) Involving interested parties in preparing job descriptions and in short-listing.
- (vi) Limiting circulation of job advertisements.
- (vii) Deploying employees in areas in which they are not competent to handle.

- (viii) Deploying or transferring employees for personal interests or punitive purposes.
- (ix) Constituting interview panelists with vested interests.

(b) Preventive measures

- (i) Adherence to terms and conditions of service.
- (ii) Adherence to scheme of work, indicating job descriptions and requisite qualifications.
- (iii) Interested parties should not take part in the recruitment and selection process.
- (iv) Advertisements should conform strictly to the job description and specification.
- (v) Advertisements should be widely circulated to give room for wide exposure, competition and impartiality.
- (vi) Short-listing and appointment panelists should be people of integrity and who hold relevant and higher qualifications/ranking in the job at hand.
- (vii) A high integrity committee should deploy staff based on merit.

7.13.2. Human resource planning

(a) Possible corruption practices

The possible loopholes under human resource planning include ad hoc employment due to lack of employment guidelines, retention of redundant employees due to lack of succession plans, work-skills gap, leading to poor productivity, and lack of elaborate organizational structures.

(b) Preventive measures

The loopholes could be sealed by having a defined staff establishment plan consisting of:

- (i) Clear guidelines on the quantity and quality of personnel needed.
- (ii) Types of skills required by the University from time-to-time.
- (iii) Short-term, intermediate and long-term plans to safeguard against ad hoc hiring, particularly of unqualified persons.

7.13.3. Staff development and training

(a) Possible corrupt practices

The process of staff training and development in the University is at times arbitrary and prone to abuse through arbitrary identification of persons to attend training, training staff not based on needs assessments, lack of a training plan, denying opportunities to deserving staff, and employees proceeding on training without knowledge of the employer.

(b) Preventive strategies

- (i) Undertake training needs assessment and develop a training schedule to guide the training exercise.
- (ii) Develop a comprehensive plan for orientating newly recruited employees.
- (iii) Establish a training committee to award opportunities to deserving employees.
- (iv) Applying standard criteria in all staff training and development processes.

7.13.4. Performance management

(a) Possible corrupt practices

Performance monitoring in the University may be done arbitrarily due to failure to set/agree on standards and targets, thereby creating opportunities for corruption. These omissions expose employees to subjective appraisals, rewards and promotion of non-performing staff members,

overlap of duties and lack of accountability by employees, incidences of fictitious workers, and dormant personnel.

(b) Prevention strategies

- (i) Signing of performance contracts whose targets are known by the appraisee and the appraiser before evaluation is carried out.
- (ii) Specific targets should be set at each level of the service to avoid overlaps and under-employment.
- (iii) Setting clear promotion criteria to be met by all employees before promotion.
- (iv) Performance directly to determine promotion.
- (v) The University Management should be cognizant of duties and responsibilities in each area and compensate performance impartially.
- (vi) Development of terms and scheme of service for all staff, indicating:
 - (1) Job description and accountable officers.
 - (2) Salary structure for various job groups.
 - (3) All benefits, discretions and waiver of each employee.
- (vii) Conducting frequent payroll audit to eliminate fictitious workers.

7.14. Library Department

The Library is one of the important sections as it is the custodian of learning resources in the University. The University Management intends to make the library corruption-free to ensure all who use it benefit from the services and resources in it.

7.14.1. Possible corrupt practices

- (i) Photocopying officers treating genuine photocopies as spoilt photocopies.
- (ii) Officers treating personal copies as official copies.
- (iii) Unauthorized persons photocopying without recording.
- (iv) Submitting quotations to non-qualified suppliers.
- (v) Staff may be sweet-talked to waive fines.
- (vi) Staff conspiring with the offender to under-charge.
- (vii) Failure to issue receipts for payments made.
- (viii) Secret withdrawal of offense records.
- (ix) Staff issuing themselves with information materials un-procedurally.
- (x) Staff may borrow for a client at the expense of other clients.
- (xi) Extending favours to some clients.
- (xii) Issuing clients with extra borrowing tickets.
- (xiii) Plucking out pages and chapters from books.
- (xiv) Students hiding books within the library.

7.14.2. Preventive measures

- (i) A tally of both genuine and spoilt photocopies should be cross-checked at the close of business by the supervisor.
- (ii) Spoilt photocopies if any should be very minimal and a proof of the same should be made available to the supervisor.
- (iii) Photocopies made by user departments should be recorded in a purposely-designed counter book and officers making the copies should countersign.

- (iv) The in-charge of photocopy services should ensure that the photocopier meter reading is taken at the close of business.
- (v) All prospective suppliers (booksellers), except publishers and Government institutions should be pre-qualified.
- (vi) The in-charge of the section should take note of all the overdue loans and transfer them to a central place like the Librarian's office for safe custody.
- (vii) Receipts should be issued for all the monies paid and received.
- (viii) Library staff should not lend themselves books, but instead ask their colleagues to process issuance to them.
- (ix) Clients should not borrow materials for friends.
- (x) Clients should observe loan periods for fairness to prevail.
- (xi) All reserved materials should be issued to the deserving clients.
- (xii) Borrowers should not be allowed to use other identifications to borrow reserved materials apart from the Student or Staff ID cards.
- (xiii) Installing of CCTV cameras to deter vandalism and hiding of books in the library.

7.15. Student Welfare Department

By its very nature, the Student Welfare Department is corruption-risk area. The Department handles cash from fundraising activities by the students, appoints students for training and work-study programme, and handles students' elections. These activities constitute the potential corruption loopholes that could exist in the Student Welfare Department.

7.15.1. Possible corruption practices

- (i) Asking for favours to attend to students needs.
- (ii) Concealing useful information to the University under confidentiality rules.
- (iii) Shielding undisciplined students from the consequences.
- (iv) Colluding with rehabilitation centers and external counselors for referrals.
- (v) Engaging in malpractices during student electioneering.
- (vi) Misuse of funds that students collect.
- (vii) Unfairly recruiting students for training.
- (viii) Unfairly selecting students for inclusion in the work study programme.

7.15.2. Corruption prevention strategies

- (i) Adhering to the ethics that govern serving and attending to clients (students).
- (ii) Educating the staff on the rules governing confidentiality and the exemptions that pertain to confidentiality.
- (iii) Clear separation of counseling and disciplinary issues.
- (iv) Proper consultation of staff and vetting of all referral cases and destinations.
- (v) Being non-partisan and adhering to rules governing student elections.
- (vi) Confirming the authenticity of all requests made by students to collect funds.
- (vii) Making students account for all money collected.
- (viii) Disbursing the money collect to deserving recipients only.
- (ix) Thoroughly interview through a committee using clear criteria when students to be selected for training, as well as those to involve in the work-study programme.

8. REPORTING CORRUPTION INTERNALLY AND EXTERNALLY

All University staff members and other stakeholders are charged with fighting corruption in all its forms. It is, therefore, the duty of all the University staff members and stakeholders to report any corruption practices as soon as it is detected.

8.1. Avenues for Reporting Corruption Incidences

The avenues could include any of the following routes:

- (1) A letter
- (2) A phone call
- (3) Drop-in boxes
- (4) Anonymous reporting to EACC available at the EACC website
- (5) In person to EACC Officers
- (6) Any other means convenient to the reporter

8.2. Whom to Report to

- | | |
|--|-------------|
| (1) Vice-Chancellor/Chief Executive Officer: | 0721-672506 |
| (2) DVC (Administration, Planning, Finance & Development): | 0722-291165 |
| (3) DVC (Academics, Research and Students Affairs): | 0721-252293 |

8.3. Protecting Whistleblowers

Any person (whistleblower), who discloses corruption activities, will be protected against reprisals. No information leading to the identification of the reporter will be released without the whistleblower's consent.

8.4. Disciplinary Measures

The reports will be acted upon promptly and fairly by investigating the evidence according to the law. Any Chuka University employee accused of corruption will have to step down to pave way for investigation. In all cases regarding the Anti-Corruption Policy, Chuka University Management is the implementing authority. The Management will go about implementation of the Policy in accordance with established laws and other relevant anti-corruption legal instruments.

9. POLICY IMPLEMENTATION

The CU Management will be responsible of implementation of this Policy. However, all the stakeholders shall be called upon to participate at the individual and collective level.

10. POLICY REVIEW

This policy will be reviewed regularly in consultation with the Integrity Committee. The Committee shall further ensure that data relating to corrupt practices in the University is updated annually. The Committee shall also monitor both staff and students to evaluate the degree of satisfaction with the services provided.

11. RECOMMENDATION

The Human Resource and Management Committee is requesting the Council to adopt and approve the Chuka University Anti-Corruption Policy.

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