



*Inspiring Innovation and Leadership*

**KARATINA UNIVERSITY**

**CORRUPTION PREVENTION POLICY**

**AUGUST, 2013**

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## SIGNATURE PAGE

This Corruption Prevention Policy was approved by Karatina University Council on 27<sup>th</sup> August 2013.

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**Prof. Mucai Muchiri**  
**Vice Chancellor**

A handwritten signature in black ink, appearing to read 'Mucai Muchiri', is written over a horizontal dotted line. The signature is stylized with vertical strokes and a long horizontal stroke at the bottom.

## **VISION**

To be a University of global excellence, meeting the dynamic needs and development of society

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## **MISSION**

To conserve, create and disseminate knowledge through training, research, innovation and community outreach

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## **CORE VALUES**

Equity  
Teamwork  
Meritocracy  
Academic Freedom  
Accountability  
Excellence  
Probity

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## **1.0 Preamble**

Karatina University recognizes that corruption management is an integral part of good governance and management practice to enhance service delivery. The Karatina University has therefore a zero-tolerance stance on the vice and is committed to maintaining an organizational culture which will ensure that effective prevention is part of all the University's activities.

The University's wide integrated policy, risk assessment and internal controls seek to minimize the risk not only of financial loss, but also of damage to its reputation and that of the staff. All the operations of the University are vulnerable to corrupt practices. In this respect, the University recognizes that corrupt practices can adversely affect its reputation and resources and its responsibility to the Kenyan Public to implement operations transparently and obtain fair value of the money.

The University has promulgated a Corruption Prevention Policy to supplement legal provisions and other government initiatives for fighting and preventing corruption in Kenya. The policy seeks to provide a framework for efficient and effective detection and prevention of corruption at the workplace.

## **2.0 Definitions**

Definitions of some of the corruption related terms used in this document are as follows:

- a. Corruption - under the Anti-corruption and Economic Crimes Act 2003 corruption is an offence which constitutes abuse of office, bribing agents, bid rigging, dealing with suspect property, secret inducement for advice, deceiving, conflict of interest, favoritism, discrimination, receiving rewards and improper benefits to trustees for appointments; breach of trust, embezzlement or mis- appropriation of public funds;
- b. Integrity – is adherence to professional ethics and standards, practicing professionalism quality/ being honest and having strong moral principles;
- c. Misconduct – is any inappropriate behaviour or conduct that impact adversely on others, and is likely to bring the service into disrepute, or to diminish public confidence;
- d. Corruption prevention – is adhering to sound ethical principles and includes anticipating areas of misconduct and corruption and having measures in place to counter them.

## **3.0 Policy Statement**

The Vice Chancellor and Karatina University management are committed to upholding integrity and ethics in the conduct of University's operations in a bid to promote good governance and attain zero-tolerance to corruption. All the employees of the University will thus be expected to conduct their functions and duties with integrity, ensure that they

adhere to the provisions of the policy document and any other regulations that have been put in place to deter and manage corruption, exercise due care for the property that is under their control and report any corruption incidence to the Corruption Prevention Committee.

#### **4.0 Aim of the policy**

The aim of this Policy is to promote and strengthen measures to prevent and combat corruption in Karatina University with view to enhancing efficiency and effectiveness in services delivery.

#### **5.0 The role of Corruption Prevention Policy**

The policy provides a coordinated approach and unity of purpose in fighting and preventing corruption in the institution. Karatina University Corruption Prevention Policy provides for the first time a shared reference point for all anti corruption initiatives in order to:

- a. Provide unity of purpose by those involved in the fight against corruption
- b. Provide guidance to the application of anti-corruption mechanisms.
- c. Ensure participation by all the stakeholders of the institution in preventing and fighting corruption.
- d. Provide explicit mechanism for regularly evaluating initiatives towards corruption prevention by all stakeholders.
- e. Empower stakeholders to reject corruption practices and foster a corruption intolerant institution.
- f. Provide a framework within which all stakeholders can plan their activities to contribute towards eradication of corruption.
- g. Facilitate mainstreaming of anti-corruption policies, rules and regulations.
- h. Inculcate a culture of ethics and integrity in all the stakeholders.

#### **6.0 Guiding Principles**

The policy guiding principles include to:

- a. Maintain integrity and promote positive organizational behavior;
- b. Attain zero tolerance to corruption;
- c. Monitor and evaluate corruption risk areas;
- d. Improve operations through enhanced systems, control, procedures and practices to seal corruption loopholes;
- e. Promote behavioral change and attitude of the staff in order to enhance the image of the University.



## **7.0 The objectives of the policy**

The main objectives of the Corruption Prevention Policy is to marshal the efforts and resources of various stakeholders to progressively and systematically reduce to the extent possible, the causes and the destructive effects of corruption in the institution.

Specific objectives are to:

- a. Involve all departments and stakeholders in fighting and preventing corruption.
- b. Create awareness of the cause and terrible effects of corruption and the role of the stakeholders in the prevention and eradication.
- c. Promote good governance in all the departments of the University in order to fight and prevent corruption.
- d. Encourage departments to develop their strategies for preventing and fighting corruption.
- e. Encourage all departments and stakeholders to contribute towards the evaluation, improvement and reinforcement of the policy.
- f. Create an environment where corrupt activity is seen and expressed as a social aberration.
- g. Enhance collaboration among all stakeholders in ensuring that all corruption cases are reported, effectively and expeditiously investigated and prosecuted.

## **8.0 Legislative Framework**

The following are the legislations that apply in the implementation of this policy:

- a. The Constitution of Kenya, 2010
- b. Public Officer Ethics Act, 2003
- c. Leadership and Integrity Act, 2012
- d. Anti-corruption and Economic Crimes Act, 2003
- e. Universities Act, 2012
- f. Ethics and Anti Corruption Commission Act, 2011
- g. Public Financial Management Act, 2012
- h. Public Audit Act, Chapter 412A
- i. Private - Public Partnership Act, 2012
- j. Public Procurement and Disposal Act 2005
- k. Employment Act, 2007
- l. Kenya Information and Communications Act, Chapter 411A
- m. All other relevant legislation

## **9.0 Administrative Framework**

The following frameworks, regulations and/or policies are also applicable alongside the Corruption Prevention Policy:

- a. Karatina University Charter, 2013
- b. Karatina University Statutes
- c. Karatina University Terms and Conditions of Service
- d. Karatina University Code of Conduct and Ethics
- e. Karatina University Citizen's Service Charter
- f. The performance contract
- g. All other relevant policies

## **10.0 Application**

This Policy applies to all members of Karatina University.

## **11.0 Corruption High Risk Prone Areas**

Karatina University conducted a Corruption Risk Assessment and the following were identified as the high- Risk Prone Areas. However, corruption can be manifested in all other areas even though not listed hereunder.

### **11.1 Personnel**

The loopholes in personnel are likely to result from the following areas;

- a. Selection
- b. Recruitment
- c. Payroll management
- d. Promotion
- e. Training
- f. Non- rotational of duties
- g. Deployment/promotions
- h. Managing career progression
- i. Discipline-Interpersonal, punctuality, office etiquette

The above areas are prone to corruption and may have implications on our University should they fail to be addressed. The consequences related to the above are;

- a. Stagnation of some members of staff
- b. Misuse of public resources
- c. Demoralization of members of staff
- d. Poor performance
- e. High turnover
- f. Conflict/hatred among members of staff
- g. Wrong attitude towards work (those wrongly recruited or promoted)

- h. A few members of staff gaining from training at the expense of others
- i. Courses conducted in private institutions might not be recognized and might be expensive and not to the standard.
- j. Members of staff could be denied training whereas there are money/funds allocated.

The University shall employ eradicate corruption in this area by ensuring that training is done on merit basis, to the deserving members of staff. The University shall implement a training staff and development policy which shall take into account a proper projection on training needs whilst ensuring that there is no favoritism, nepotism and tribalism in any area related to personnel.

### 11.2 Finance

The loopholes for corruption in this area are likely to occur in:

- a. Imprest processing- Where fictitious imprests may be prepared, processed and surrendered.
- b. Budgets-preparation and approval
- c. Inadequate training or experience in financial management
- d. Un authorized payments
- e. Fraud –Misappropriation of funds as well as soliciting funds from clients

As a University this area poses more challenges than any other area. The consequences related to the above are;

- a. Recoveries from the staff members' salary.
- b. Activities not implemented at all.
- c. Fictitious reports.
- d. Failure to implement some programmes because of the exaggerated budgets.
- e. Demoralization of junior members of staff, stress and poor performance.
- f. Sabotage;

The University shall minimize corruption in this area by ensuring that officers will only take imprests that are in line with the performance contract and work-plans and only if necessary for effective running of the programmes. The officers will not be allowed to take multiple imprests and follow-up and audit of the programmes that were to be implemented shall be done regularly. The University shall build a fresh and positive culture among the officers.

### **11.3 Procurement**

The loopholes for corruption in this area include:

- a. Abuse of procurement processes
- b. Stores Management

The consequences include:

- a. Delivery of substandard goods
- b. High or inflated expenditure
- c. Delay in delivery of goods and services
- d. Failure to achieve the targets
- e. Poor service delivery.

The University shall ensure that all rules, regulations and government regulations regarding procuring and contracts administration and management will always be complied with. Internal audits of the procurement process will be conducted regularly.

### **11.4 Stores**

Loopholes in this area are due to:

- a. Lack of proper records in reference and description of each item and current stock balance of all items
- b. Lack of close monitoring of stocks movement
- c. Unrestricted access to the stores

The consequences arising there from:

- a. High expenditure
- b. Delay in implementation of the programmes
- c. Loss and wastage of goods and services
- d. Use of goods for personal purpose

The University shall enhance record keeping and close supervision of the stores in addition to both scheduled and unscheduled audits.

### **11.5 Reporting Corruption**

Loopholes for corruption in this area are due to:

- a. Lack of proper reporting mechanisms.
- b. Unwillingness to report
- c. Integrity of the people receiving the report.

The consequences arising there from

- a. Demoralization of officers
- b. Failure to achieve targets
- c. A carefree attitude

The University shall work towards an environment of zero tolerance to corruption and enhance systems, and control of reporting corruption. The principles and the spirit behind the enactment of the Witness Protection Act shall be used as a guide where applicable.

#### **11.6 Resources and Equipments**

The loopholes for corruption in this area are likely to occur in course of:

- a. Distribution of resources
- b. Usage
- c. Maintenance

The consequences arising there from

- a. Misuse of the services.
- b. Misuse of funds.
- c. Poor performance due to time wastage.
- d. Overcrowding.

The University shall maintain a proper inventory of its entire asset and human resource and their distribution. The Head of Departments shall be required to monitor staff load and submit regular reports.

#### **11.7 Information Technology:**

The loopholes for corruption identified under this area are classified as follows:

- a. Information Security
  - i) Internal or external manipulation of data to perpetrate corruption
  - ii) Leakage of confidential information that may be used to perpetrate corruption
  - iii) Viruses or malicious codes that may be used to manipulate IT Systems in the background to perpetrate corruption
  - iv) Sharing of passwords resulting to abuse of trusts
  - v) Gaining unauthorized access to ICT systems
- b. Development and acquisition of IT Software and hardware
  - i) Overpricing of hardware and software in procurement
  - ii) Development of substandard ICT Systems

- iii) Lack of clear guidelines on the Total Ownership Costs of software developed resulting to expenditure beyond the budgeted costs
  - iv) Lack of or poorly done service level agreements on software or hardware leading to exaggerated maintenance costs
  - v) Acquiring of obsolete hardware and software
  - vi) Colluding with vendors to install pirated software
- c. Personnel
- i) Lack of separation of duties in running of key systems
  - ii) Not undertaking proper background checks leading to recruitment of staff with a history of perpetrating IT Corruption
  - iii) Lack of rotation of staff making it difficult to detect e- corruption
  - iv) Poor communication between human resource and IT Department when people change roles or leave employment leading to dormant user accounts that may be used to perpetrate corruption
  - v) Lack of clear job description of staff in the ICT department leading to ICT Staff handling conflicting roles

The University shall ensure all electronic database are well protected with backups whilst ensuring restricted access and privileges to different categories of persons as per the ICT Policy. The University shall also ensure regular audit of all ICT systems in the University

#### **11.8 Audit**

The loopholes for corruption in this area are likely to occur in the following manner:

- a. Concealing/destruction of information
- b. Leakage of information
- c. Bias reporting.

The University shall ensure regular audits are carried out by external auditors.

#### **11.9 Administration**

The Loopholes for corruption are likely to be perpetrated through:

- a. Nepotism
- b. Favoritism
- c. Misuse of vehicles and equipment

The University shall ensure adherence to all policies which shall be applied without any favouritism, biasness, discrimination or nepotism. The University shall ensure documentation of its administrative decisions where possible.

## **12.0 Corruption Prevention Strategies**

There are various strategies that shall be used in preventing, detecting, curbing and redressing corruption in the University which shall include the following provided that the same shall not be construed as being exhaustive:

### **12.1 Internal Audit reviews**

The Internal Audit will play a crucial role in the prevention and detection of corruption within the institution. It will provide a mechanism for effective supervision, control and review of operational systems. The internal auditor will through periodical reports:

- a. Identify, assess, evaluate the institution's corruption risk areas, make appropriate recommendations for improved internal controls in accounting procedures, research and adopt industry best practices where appropriate.
- b. Evaluate financial and operational procedures to assure adequate internal controls are present.
- c. Examine financial transactions for accuracy and compliance with institutional policies, applicable laws and regulations
- d. Develop, document, implement, test, and maintain a comprehensive audit plan and system of internal controls to help provide assurance that applicable laws and regulations.
- e. Develop, document, implement, test, and maintain a comprehensive audit plan and system of internal controls to help provide assurance that the applicable laws, regulations, institutional policies and procedures are complied with judiciously.
- f. Work with the council and management of the institution to identify key corruption risk areas, assess those risks, and establish risk management procedure and practices based on industry best practices.
- g. Liaise with external auditors during their audit and make follow ups on issues raised.
- h. Reviewing the means of safeguarding and verifying the existence of the same.

### **12.2 Reporting Corruption Cases**

Corruption in the University shall be reported in the following ways:

#### **a. Internally**

- i) Corruption reporting boxes placed at strategic places
- ii) Reports to corruption reporting desks manned by Integrity Assurance Officers.
- iii) Introduction of hotlines
- iv) Emails to the Corruption Prevention Committee
- v) Direct reports to the Corruption Prevention Committee
- vi) Use of the institution's official website

**b. Externally**

- i) Reports to the Ethics and Anti-Corruption Commission by the integrity committee
- ii) Direct anonymous reports to the Ethics and Anti-Corruption Commission
- iii) Direct reports to the Kenya Police and other national investigative agencies

**12.3 Handling Corruption Cases**

- a. Anti corruption boxes will be installed at strategic positions in the institution.
- b. The anti corruption boxes shall be opened every two weeks by two appointed integrity committee members who shall also be the custodians of the box keys.
- c. The complains made through the website and email shall also be compiled on a weekly basis.
- d. All corruption complains received through the hotlines shall be recorded daily.
- e. All the anti-corruption complaints reported through the aforesaid mechanisms shall be registered by the integrity committee in the anti-corruption complaints
- f. Register and the committee shall ensure that the complainant's name is not disclosed.
- g. The complaints shall thereafter be tabled before the integrity committee for deliberations.
- h. After deliberating on the complaints, the integrity committee will write a report on each complaint detailing whether the same is genuine or factual.
- i. If the complaint is found to be weighty, then the same shall be referred to the Disciplinary Committee who shall be guided by the statutes and the regulations in place.
- j. Once the Disciplinary Committee adjudicates on a complaint, it shall make the final decision on whether to surcharge the accused.
- k. Both the factual and the non factual reports on corruption complaints shall be filed by the integrity secretariat.
- l. The integrity committee has the open option of reporting a complaint directly to Ethics and Anti Corruption Commission.

**12.4 Deterrence measures/ Penalties**

- a. Any staff found guilty of corrupt practices shall be liable to reprimand, dismissal, suspension, deferment of salary increment, demotion in rank or seniority or to any penalty that may be imposed by the Staff Disciplinary Committee.
- b. Failure by the staff to comply with any provision of this policy constitutes a serious disciplinary offence which will be dealt with in accordance with the laid down disciplinary procedures and regulations and without exclusion to the possibility of institution of civil or criminal charges.



### **12.5 Code of Conduct**

The Code of Conduct and Ethics for Karatina University shall be applied in the implementation of this policy.

### **12.6 Confidentiality**

Confidentiality will be maintained throughout any investigative process.

### **12.7 Staff Development and Training**

Staff development and training is a key component in combating fraudulent and corrupt behavior. To that end:

- a. Corruption Prevention Committee will ensure that the staff are frequently trained on matters concerning integrity and ethics;
- b. Mainstreaming Anti-Corruption Programs to create awareness of this policy particularly with the new staff is paramount;
- c. The Integrity Assurance Officers and the Corruption Prevention Committee will work with the Vice Chancellor, Heads of Department and Karatina University staff to improve awareness of issues regarding corruption, risk management and internal controls, and to develop training programs for management and staff.

### **12.8 Protection of Whistle Blowers**

No staff member will be victimized or otherwise disadvantaged for reporting suspected corruption cases through the proper channels. The principles and the spirit behind the enactment of the Witness Protection Act shall be applied.

### **13.0 Mandate and Operations of the Corruption Prevention Committee**

The Committee shall be responsible for keeping constant check on the University's operations and procedures to ensure that there are no opportunities for corruption. To ensure this is achieved, the CPC will be responsible for establishing the following:

#### **13.1 Preventive Measures**

- a. Ensuring that all corruption prevention initiatives are integrated in the University's policy documents;
- b. Receiving and reviewing reports on corruption prevention initiatives and recommend appropriate action;
- c. Coordinating corruption prevention strategies for implementation;
- d. Considering and approving training on the Public Service Integrity Program for staff;
- e. Ensuring that all decisions and guidelines on corruption prevention are communicated effectively to staff and all interested parties;

- f. Preparing and submitting to Public Service Integrity Programme (PSIP) Secretariat regular progress reports on implementation of the program;
- g. Receiving complaints and information on alleged corrupt activities, evaluates, analyses and recommends appropriate action; and
- h. Monitor the impact of corruption prevention initiatives and other recommended actions.

### **13.2 Detection Measures**

In order to detect and curb corrupt practices, the committee shall:

- a. ensure effective corruption reporting channels are in place
- b. Enhance surveillances and monitoring
- c. Strengthening security operations by involving the police and Integrity Assurance Officers
- d. Use of whistle blowers/anonymous reporters.

### **13.3 Investigating Measures**

After detecting the corruption malpractices, the committee shall ensure that speedy and thorough investigations in the following ways:

- a. Periodic internal audits
- b. Periodic external audits
- c. Impromptu audits
- d. Special audits where a particular area of concern is identified.

### **14.0 Composition of the Corruption Prevention Committee**

The University Management is committed to the fight against corruption and has constituted a Corruption Prevention Committee (CPC) whose composition cuts across most of the functional departments. The committee shall consists of:

- a. The Vice Chancellor (CEO)-Chairman
- b. Deputy Vice Chancellors
- c. Registrars
- d. The Deans of Schools
- e. The Dean of Student
- f. Head of Procurement
- g. Head of Finance
- h. Head of Internal Audit
- i. Head of Legal Office
- j. A representative from each of the Staff Union

The Integrity Assurance Officers shall be eligible for appointment as Secretariat to the Committee

### **15.0 Departmental and Schools' Corruption Prevention Committees**

There shall be Departmental and School Corruption Prevention committees being responsible for all activities and implementation of this policy and shall be required to submit regular reports to the university Corruption Prevention Committee.

### **16.0 Management and Implementation Authority**

The Vice Chancellor shall provide leadership role in the implementation of this policy. The Corruption Prevention Committee will ensure that all matters pertaining to corruption are promptly addressed and necessary action taken.

### **17.0 Monitoring and Evaluation**

17.1 There shall be regular appraisals of the progress made in the implementation of this policy and reports from the Corruption Prevention Committee shall also be forwarded to Council.

17.2 The broad quantifiable performance indicators shall include:

- a. Number of corruption reports received by the Corruption Prevention Committee;
- b. Number of corruption reports received by external authorities;
- c. Number of corruption cases dispensed with in accordance with the policy;
- d. Number of convictions;
- e. Functionality of the Departmental and the Schools' Corruption Prevention Committees
- f. The Corruption Prevalence Index out of the regular surveys on corruption prevalence which shall be conducted regularly provided that there shall be at-least one survey done every two years

### **18.0 Review of the Policy**

Review of the policy document shall be carried out as need arises.

### **19.0 Effective Date**

The commencement date of the policy document shall be the date approved by Council.

