

MOI UNIVERSITY
16TH CYCLE PERFORMANCE CONTACTING CORRUPTION PREVENTION INDICATOR
REPORTING ON THE IMPLEMENTATION OF CORRUPTION RISK PLAN

Institution: Moi University **Reporting Quarter:**2019/2020

A. Core Mandate: Academics, Research & Extension

Key Sub- Indicator	Risk identified	Mitigation measures proposed	Measures Undertaken	Changes	Remarks
1. Undergraduate Admissions	<ul style="list-style-type: none"> Skewed Admission of students through interschool transfer 	<ul style="list-style-type: none"> Use of KUCCPS Criteria to ensure correct placement of transferred students to various degree programs. 	•	•	•
	<ul style="list-style-type: none"> Admission of unqualified students by scrupulous officers. 	<ul style="list-style-type: none"> Programme coordinator to verify all documents presented before admission Develop a checklist of all requisite application documents for admission 	•	•	•
2. Post Graduate Admissions	<ul style="list-style-type: none"> Irregular admission of students where chances are limited Non adherence to Senate criteria on postgraduate admissions. 	<ul style="list-style-type: none"> Deans should ensure adherence to all senate rules and regulations Directors (Quality Assurance) to monitor and ensure candidates are competitively selected. 	•	•	•
3. Curriculum	<ul style="list-style-type: none"> Curriculum Review. 	<ul style="list-style-type: none"> Regular review of the curricular after a full academic circle to prevent use of outdated curricular. 	•	•	•

	<ul style="list-style-type: none"> • Coverage of the curriculum. 	<ul style="list-style-type: none"> • Close supervision and monitoring by Heads of Department to ensure teaching of full content, provision of course outlines and punctually in attendance of lectures by lecturers and students. • Strict adherence to regular student-lecture evaluation form at the end of every course. • In-house/in-service Schools to conduct regular workshops for curriculum/ content delivery. 	•	•	•
	<ul style="list-style-type: none"> • Implementing unaccredited curriculum. • Using outdated curriculum. 	<ul style="list-style-type: none"> • Ensuring that all curricula are senate approved before implementation. • Ensuring that all curricula are accredited by Commission for University Education before implementation. 	•	•	•
4. Lectures	Late release teaching Time-Table.	<ul style="list-style-type: none"> • Release of the timetable a month before the start of a semester as per Senate Rules. 	•	•	•

	<ul style="list-style-type: none"> • Commencement of lectures 	<ul style="list-style-type: none"> • Ensure prompt commencement of lectures as per Senate Guidelines. • Monitor adherence to 20% rule and nominal roll. • Disciplinary of Sanctions to offenders. • 		•	•
5. Part-time Lecturers	<ul style="list-style-type: none"> • Favoritism in hiring process. 	<ul style="list-style-type: none"> • Ensure adherence to Senate approved part-time teaching policy. 	•		•
	<ul style="list-style-type: none"> • Course Delivery (not covering the entire course outline). 	<ul style="list-style-type: none"> • Use students evaluation reports on part-time Lecturers. 			
	<ul style="list-style-type: none"> • Poor coverage of course and/or modules. • None attendance of classes. 	<ul style="list-style-type: none"> • Timely course allocation. • Use of diverse teaching approaches. • Course evaluation reports. • Use of class attendance register. 	•		
6. Setting and Moderating Examinations (Departmental / School Levels)	<ul style="list-style-type: none"> • Coverage of the Curriculum. 	<ul style="list-style-type: none"> • Ensure Examinations Questions (Final and CATS) cover the entire syllabus. 	•	•	•
	<ul style="list-style-type: none"> • Leakage at Departmental or school levels. 	<ul style="list-style-type: none"> • Conduct awareness workshops on Public Officer's Code of Ethics to those handling exams. • Vetting of Officers who handle examinations. 	•		
	<ul style="list-style-type: none"> • Sitting examination when not authorized. • Forged examination card. • Poor quality of set 	<ul style="list-style-type: none"> • At least 80% class attendance. • Full Fee payment. • Internal and external moderation of Examinations. 			

	questions.				
7. Administering Examinations	<ul style="list-style-type: none"> Continuous Assessment Tests (C.A.Ts) 	<ul style="list-style-type: none"> None marked CATs. Issuance of artificial marks. Non adherence to the rule of two CATs per course. Missing CAT marks. Marked CAT scripts not returned to students. 	•	•	•
	<ul style="list-style-type: none"> Conflict of Interest. 	<ul style="list-style-type: none"> Unauthorized persons should not handle / deliver examinations. 			
	<ul style="list-style-type: none"> Issuance of examination cards 	<ul style="list-style-type: none"> Ensure that only bona-fide students are issued with Exam Cards. 			
8. Invigilation of examination	<ul style="list-style-type: none"> Flouting of Examinations Rules. 	<ul style="list-style-type: none"> Adherence to set examination rules. Ensure that all invigilators. 			•
	<ul style="list-style-type: none"> Booklets. 	<ul style="list-style-type: none"> Use of different colors for examination booklet. 			
	<ul style="list-style-type: none"> Invigilators. 	<ul style="list-style-type: none"> Use of adequate invigilators and security personnel in examination rooms. 			
	<ul style="list-style-type: none"> Inadequate number of invigilators in the examination room. 	<ul style="list-style-type: none"> Ensuring a minimum of two invigilators in the examination room. 			
9. Processing of Results and award of degrees	<ul style="list-style-type: none"> Marking of Papers. 	<ul style="list-style-type: none"> Moderation of Ensure lecturers have enough time to mark and not too many papers. 		•	•
	<ul style="list-style-type: none"> Late processing of 	<ul style="list-style-type: none"> Ensuring that results 			

	<p>results.</p> <ul style="list-style-type: none"> • Incomplete marks. 	<p>submitted one month after the end of semester examination.</p> <ul style="list-style-type: none"> • Ensuring that the results are externalized each Academic year. 			
	<ul style="list-style-type: none"> • Altering Mark Sheets. 	<ul style="list-style-type: none"> • Sensitization of staff on the Code of Conduct and Ethics for Public Universities. 	•		
	<ul style="list-style-type: none"> • Ethical Behavior of Lecturers and Staff Handling Exams. • Presentation of complete set of examination scripts to the examiners. 	<ul style="list-style-type: none"> • Vetting of Staff. • Use of Disciplinary Sanctions. 			
	<ul style="list-style-type: none"> • Nonpayment of requisite fee • Non completion of degree course 	<ul style="list-style-type: none"> • Attachment of payment receipt/bank slip • Approved results by the School board 	•		
Key Sub- Indicator	Risk identified	Mitigation measures proposed			
1. Staff Conduct and Ethics	<ul style="list-style-type: none"> • Non adherence to Public Officer’s Ethics. • Pilferage of the University property. • Reporting to work late and leaving early/Absenteeism. 	<ul style="list-style-type: none"> • Strict monitoring. • Enforcing disciplinary Measures. • Impromptu spot checks. • In-house trainings. • Introduction of work attendance sheet. • Monthly reports to registrars. 	•	•	•

2. Medical	<ul style="list-style-type: none"> • Referrals. • Approval of Medical claims. • Approval of dependants lists. • False medical claims. 	<ul style="list-style-type: none"> • Review the current medical Scheme to address approvals, payments and dependants' lists. • Engage insurance companies to provide medical services. 	•	•	•
3. Leave	<ul style="list-style-type: none"> • Staff being compromised to award leave to non-qualified or non-deserving staff. 	<ul style="list-style-type: none"> • Adherence to the Terms of Service, CBA's and Employment Act, 2007. • Follow the laid down procedures for leave applications and computation. 	•		•
4. Retirement	<ul style="list-style-type: none"> • Retention on service after attainment of retirement age. • Payment of salary /allowances to retirees. 	<ul style="list-style-type: none"> • Notices to retirees to be issued as per regulations. 	•	•	•
<i>C. Procurement and Financial Management :</i>					
• <i>Financial Management</i>					
Key Sub- Indicator	Risk identified	Mitigation measures proposed	Measures undertaken	Changes	Remarks
1. Payments	Payment of money Claims to wrong or non-beneficial activities.	<ul style="list-style-type: none"> • Automating the processes • Adherence to procedures. • Adherence to financial management policies. • No expenditure must be incurred using personal money without seeking approval from finance officer. 		•	•

2. Revenue	<ul style="list-style-type: none"> Misuse of revenue collected. 	Automating the processes.	•	•	•
3. Examination and accounting	<ul style="list-style-type: none"> Wrong Payment to staff in form of allowances not deserved. 	<ul style="list-style-type: none"> Develop/review relevant policies to guide payment of allowances Automating the processes. 	•	•	•
4. Imprests	<ul style="list-style-type: none"> Non accounting of imprest in time. 	<ul style="list-style-type: none"> Imprests to be surrendered within 2 days of the end of activity. 		•	

Procurement

Key Sub- Indicator	Risk identified	Mitigation measures proposed	Measures Undertaken	Changes	Remarks
1. Methods of Procurement.	<ul style="list-style-type: none"> Tenders Request for quotations Expression of interest Low value procurement Direct Procurement 	<ul style="list-style-type: none"> Adherence to procedures 	•		•
2. Receiving of Procured Goods / Services.	<ul style="list-style-type: none"> Delivery of goods Receipt of goods 	<ul style="list-style-type: none"> Adherence to procedures 	•		•
3. Disposal of Goods.	<ul style="list-style-type: none"> Identification & Valuation of assets. 	<ul style="list-style-type: none"> Adherence to procedures. 	•		•

<i>D. Information Communication Technology</i>					
Key Sub- Indicator	Risk identified	Mitigation measures proposed	Measures Undertaken	Changes	Remarks
1. Finance Management Information System	Fraud in (FMIS) systems e.g. Bribery, Abuse of trust through sharing of passwords, Manipulation of financial records by unauthorized persons.	<ul style="list-style-type: none"> • Audit trails • Control of access rights of staff. • Full automation & Integration of FMIS system with other existing systems. 	Integrating the system directly with the bank and updating the office of the DVC finance on current status of financial transactions.		
2. Exam Processing System	Abuse of Exam processing system. E.g. Bribery, Favoritism, Abuse of trust through sharing of passwords.	<ul style="list-style-type: none"> • Full automation of exam process. • Implement & strengthen the exam policy. • Strict adherence to examination Almanac. 	Procurement of a comprehensive ERP with Exams module which is more secure, efficient and transparent.		

3. Human resource management information systems	Mismanagement of staff/students information records e.g. Manipulation of staff information without permission. Leaking confidential information of (staff mails) to the public.	<ul style="list-style-type: none"> • Automation and integration of staff records • Train/Sensitize staff who handle sensitive information (oath of secrecy). • Proper handling of records (register, tracking files). 	Procuring a comprehensive ERP with Human Resource module which is more secure, efficient and transparent.		
4. Managing of ICT Resources	Misuse of ICT Resources E.g. Propagating viruses with intention of corrupting the IT system, Hacking IT systems to explore vulnerabilities of the systems which can inconvenience the legitimate users of the system.	<ul style="list-style-type: none"> • Installing of firewalls (Both software & hardware) • Installing network monitoring tools • Use of bandwidth optimization tool. • Training of staff (Sensitization). • Carry out regular system audit. 	<ul style="list-style-type: none"> • Training and sensitization of University staff across the campuses on proper use of ICT equipment and resources. 		

<p>5. Moi University Web Portal (Student information)</p>	<p>• Manipulation of students information e.g. Bribing to manipulate students marks and issuing exam cards irregularly, Abuse of trust through sharing of passwords,</p>	<ul style="list-style-type: none"> • The University to own and host the system. • Full automation of all systems in the university (ERP). • Establish an MIS section in ICT to handle all systems centrally. • Sufficient training of the system end users. • Carry out regular system audit. • Review of Systems especially in house developed systems. 	<p>Procurement of a comprehensive ERP to automate all student academic processes and manage student information securely, efficiently with minimal human intervention.</p>		
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Chairperson of the Corruption Prevention/Integrity Committee

Signed:.....Date:.....

Secretary of the Corruption Prevention/ Integrity Committee

Signed:..... Date:.....