

COMPREHENSIVE ACTION PLAN AGAINST CORRUPTION

REVIEWING INSTITUTION: ETHICS AND ANTI-CORRUPTION COMMISSION

ORGANIZATION: UNIVERSITY OF NAIROBI QUARTER TWO (2)... 11TH JANUARY 2016

ACTIVITY A	Strategies implemented	Risks addressed	Timelines	Actor (Responsible Officer(s))	Status	Outcome/Impact
<p>Implement Corruption Prevention Strategies/Corruption Prevention Plans(CPP)</p>	<p>Financial & project management</p> <p>Research and Grants Management Information System</p> <p>Grants Management Strategic Plan</p>	<p>Management of Research funds.</p> <p>Auditor-General's Report</p>	<p>Continuous</p> <p>Continuous</p>	<p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>College Principals</p> <p>Finance Officer</p> <p>Vice-Chancellor</p> <p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>Finance Officer</p>	<p>The University through the office of the Finance Officer has guidelines on management of research funds.</p> <p>The University has sensitized concerned staff members on the need to observe the University guidelines and policies in expediting prompt processing of financial requests.</p> <p>The Auditor-General's report on University of Nairobi for the year ended June 30, 2014 gave the University a clean bill of health on its financial position and its performance in cash flows in accordance with the International Financial Reporting Standards and the Universities Act, 2012.</p> <p>The University of Nairobi Research and Grants Management Information System is in place and there is a committee appointed to oversee the same.</p>	<p>The management of research funds is done in a completely transparent manner and projects are financed to conclusion against the set budgets and agreements in the Memoranda of Understanding.</p> <p>The Auditor-General's Report and the Certificate for 2013/2014 FY is herewith attached as ANNEXURE I</p> <p>Address external audit queries.</p> <p>Effective Management of Research Grants and Reporting Mechanisms.</p>

	Research Proposals	Financial Management			<p>The Grants Management Strategic Plan is in place.</p> <p>The University continually trains staff members in the relevant Faculties/Schools/Departments and Units on proposals writing to attract more research funds.</p> <p>The University of Nairobi has a policy on the management of donor funds – University of Nairobi Policy on Donor Funds for Research.</p> <p>The University has financial regulations that ensure sound financial management of funds.</p>	<p>Structure for effective management of research grant</p> <p>Properly developed winning research proposals</p> <p>In the event of any failures to account for the monies used, the researchers are surcharged.</p> <p>-All funds received online to the designated research accounts.</p>
		Official Advance/Imprest Management	Continuous	<p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>Finance Officer</p> <p>College Principals</p> <p>Deputy Finance Officer (SWA)</p> <p>College Bursars</p>	<p>There are controls to check proposer utilization and accounting of funds.</p> <p>Staff with unaccounted Advances/Imprest are required to surrender within approved timelines.</p>	<p>Unaccounted Advances/imprest are recovered from the respective staff members' salary upon expiry of the approved timelines.</p>

		Management of other University Funds	Continuous	Deputy Vice-Chancellor (Administration and Finance) Finance Officer College Principals Deputy Finance Officer (SWA) College Bursars	<p>The University adheres to the following legislations and guidelines:</p> <ul style="list-style-type: none"> - The Universities Act, No. 42 of 2012 and the University of Nairobi Charter, 2013. - The Finance Act - The Financial Regulations - Financial Management Information System (FMIS) - Fiscal Management Act, 2009 - The State Corporation Act, Cap. 466 - The Public Audit Act, 2003 - The Exchequer and Audit Act - The Value Added Tax, Cap. 476 - The Income Tax Act -The University uses ACCPAC Enterprise Resource Planning for Financial Reporting and Management -International Financial Reporting Standards 	Ensuring compliance with all related legislation and government and University policy guidelines
		Student Fees	Continuous	Deputy Vice-Chancellor (Administration and Finance)	<p>There is strict adherence to direct banking of fees by students and bank reconciliation is done and student debt portfolio maintained and updated.</p> <p>The University has implemented</p>	Improved fees collection and management.

				Finance Officer College Principals Deputy Finance Officer (SWA) College Bursars	auto receipting of students fees deposited directly to the bank. Online receipting Maintenance of students fee statement. Control Office in Student Finance Office and Centre for Self Sponsored Programmes (CESSP)	
		Staff and other General Debtors	Continuous	Deputy Vice-Chancellor (Administration and Finance) Finance Officer College Principals Deputy Finance Officer (SWA) College Bursars	Maintain and update debtors ledger Demand from debtors Attach salary where necessary and appropriate	Ensure compliance with the financial regulations of the University on debtor management
		Revenue Collection	Continuous	Deputy Vice-Chancellor (Administration and Finance) Finance	Ensure timely collection and banking of all University Revenue.	Compliance with the Financial Regulations of the University All University revenue is collected and accounted for.

				Officer College Principals Deputy Finance Officer (SWA) College Bursars		
		Budget and Budgetary Control	Continuous	Deputy Vice-Chancellor (Administration and Finance) Finance Officer College Principals Deputy Finance Officer (SWA) College Bursars	The Authority to Incur Expenditure (A.I.E.) are used for control of expenditure.	<p>Budget is prepared as per the Government guidelines and compliance with set levels observed.</p> <p>The budget for other University funds follow all Government guidelines and regulations</p> <p>The University is guided by the University Financial Regulations and the Public Financial Management Act.</p> <p>Improved financial systems and ensure compliance as appropriate.</p>
		Payments	Continuous	Deputy Vice-Chancellor	Only approved payments as per the budget and financial regulations are processed.	Compliance with University and Government

				<p>(Administration and Finance)</p> <p>Finance Officer</p> <p>College Principals</p> <p>Deputy Finance Officer (SWA)</p> <p>College Bursars</p>	<p>The Internal Audit section ensures audit of all payments.</p>	<p>Regulations and Guidelines</p> <p>All Payments are managed as per University Financial Management Policy.</p> <p>Compliance with the Labour Laws.</p>
	<p>Procurement/supply chain management and Disposal of unserviceable Items</p>	<p>Public Procurement and Disposal Act of 2005 and the Public Procurement Disposal Regulations of 2006</p>	<p>Immediate</p>	<p>Vice-Chancellor</p> <p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>Procurement Manager</p>	<p>There is full compliance with the Act and the Regulations.</p> <p>Starting from March 2015 E-Procurement is in place.</p> <p>-The University has qualified personnel working in the Department.</p> <p>-The following committees are in place;</p> <p>Tender Committee, Procurement Committees, Inspection and Acceptance Committee Disposal Committee, Tender Processing Committee.</p> <p>All the committees are required to keep minutes of all meetings and submit quarterly reports for all the activities undertaken for reference.</p>	<p>The Procurement process is transparent.</p> <p>Each Department/Unit has a Procurement Plan and products are purchased as per specifications and recommended standards.</p> <p>Ensures confidentiality and strict compliance to the relevant Acts and Regulations.</p> <p>Compliance with the Public</p>

				<p>Members of the Committees have been extensively sensitized on the operation of the Act.</p> <p>The Ethics and Anti-Corruption Commission, PPOA and Treasury regularly offer advice on the operations of the department.</p> <p>Vetting of Tender Committee is undertaken whenever there is change of membership.</p> <p>Suppliers are required to provide a written commitment not to participate in corrupt activities.</p> <p>The University compiles annually lists of obsolete items due disposal in compliance with the Act and Regulations</p> <p>The Tender, Procurement and Disposal Committees meet regularly as guided by the relevant Act.</p> <p>The Tender Committee has met severally during the 4th Quarter 2014/2015 and has approved procurements worth <u>Kshs. 50,495,961.00</u> of which <u>Kshs. 7,838,240.00</u> were for Women, Youth and Persons with Disabilities as shown in the attached summary.</p> <p>The Tender Committee has met severally during the 1st Quarter 2015/2016 and has approved procurements worth Kshs.71,152,241.32 of which Kshs. 16,769,152.00 were for Women, Youth and Persons with</p>	<p>Procurement and Disposal Act, 2006 and the Public Procurement and Disposal Regulations, 2006.</p> <p>The University complies with government guidelines on tenders for youth, women and persons with disability.</p> <p>A summary of the Tender Awards is herewith attached as ANNEXURE I</p>
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					<p>Disabilities as shown in the attached summary.</p> <p>The Tender Committee processed Twenty two (22) tenders above Kshs. 500,000.00 during the 2nd Quarter 2015/2016 totalling to kshs. 38,490,240.30</p> <p>That during the quarter good wort Kshs.110,599,074.21 of which Kshs. 27,554,489.80 were for Women, Youth and Persons with Disabilities as shown in the attached summary</p>	
	Human Resource Management	Recruitment Promotion Training Staff Induction Appraisal Staff Labour Relations Staff Discipline Staff Benefits Retirement Benefits Staff Health and Welfare Succession Planning	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principals Registrar, Administration Finance Officer	<p>The University has a Staff Recruitment and Selection Policy.</p> <p>Appointment Committees are sensitized on the format for writing Shortlisting & Appointment Committees minutes.</p> <p>The University conducts Staff Appraisal annually which forms part of the information used in considering staff members for training and promotion.</p> <p>A Staff Training and Development Policy is in place.</p> <p>The University continuously promotes staff to different grades on merit.</p> <p>The following policies are also in place and operational: -</p> <p>-The University of Nairobi Anti-Corruption Policy</p>	<p>Compliance with the Labour Laws as well as internal University Policies, Terms of Service and guidelines which have been uploaded in the intranet.</p> <p>The University has a cohesive, competent and diverse workforce.</p>

					<ul style="list-style-type: none"> -The University of Nairobi Code of Conduct and Ethics -The Training, Promotion and Establishment Policy -University Disabilities Mainstreaming Policy. -University of Nairobi Gender Policy -HIV/AIDS Policy -Research Policy -ICT Policy -Policy on Records Management -Prevention of Alcohol & Drug Abuse Policy -Maintenance Policy -University of Nairobi System of Websites Policy - Open Access Policy -University of Nairobi Intellectual Property (IP) Policy. -University of Nairobi Plagiarism Policy. -Human Resource Policy. -University of Nairobi Research Policy -Communication Policy. -Safety Plan. 	
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					<p>-Fixed Assets Management Policy</p> <p>The Terms of Service for all cadres of staff are fully enforced. The Public Officer Ethics Act, 2003, the Leadership and Integrity Act, 2012, the Code of Conduct and Ethics for Public Universities and the University of Nairobi Staff Code of Conduct also form part of the terms.</p> <p>Staff Members who contravene policies are suspended and subjected to the disciplinary committee and their services terminated when found guilty.</p> <p>The Staff Members are continuously sensitized on matters of corruption prevention at their various units.</p> <p>The University has recruited a total of One Hundred and Four (104) staff members on different grades starting from full professor's level to Senior Assistant Registrar's level respectively.</p> <p>The University has recruited a total of Sixteen (16) staff members on different grades.</p> <p>The University has recruited a total of <u>thirty two (32) and promoted (5)</u> staff members on different grades</p>	
		Disability Mainstreaming	Continuous	Vice-Chancellor	There have been continuous training on sign language for staff	Ditto

				Deputy Vice-Chancellor (Administration and Finance) College Principals Registrar, Administration	<p>members and students in key units as computers and printers installed with special software are being provided for visually impaired staff and students.</p> <p>There University had acquired an additional Braille computer, Laptop and Wireless printer for two (2) visually impaired students at a cost of Kshs. 300,000/=.</p>	
		Declaration of Income, Assets and Liabilities	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principals Chief Legal Officer	<p>The University of Nairobi coordinates the Declaration of Income, Assets and Liabilities exercise for University staff members ensuring that the relevant guidelines from the Commission for University Education are followed to the latter in compliance to Part IV, Section 26 of the Public Officer Ethics Act, 2003.</p>	<p>The Declaration of Income, Assets and Liabilities is conducted every two (2) years as prescribed in the Public Officer Ethics Act, 2003.</p>
		Ethnic Audit	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principals	<p>The University of Nairobi continuously participates in the Ethnic Audit exercise and provides the relevant information on its staff members.</p>	<p>The University complies with the government directive and the National Cohesion and Integration Act, No. 12 of 2008 to continuously conduct an Ethnic Audit on its staff members to guarantee Ethnic</p>

				Registrar, Administration		balancing.
		Constitution of Kenya, 2010	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principals Chief Legal Officer	<p>The University has also ensured that every staff member has a soft copy of the Constitution of Kenya through personalized email addresses.</p> <p>The University of Nairobi has acquired a considerable number of original copies of the Constitution of Kenya, 2010 together with the Pocket-sized version and the same have been distributed to staff members.</p> <p>The University of Nairobi together with the Commission for the Implementation of the Constitution (CIC), the Ethics and Anti-Corruption Commission (EACC) and the Alumni Association launched a 100 days Rapid Results Initiative (RRI) on the Role of the University in the Implementation of the Constitution, 2010 and the sensitization of the University Community with the Public Service Integrity Programme (P.S.I.P.). The University has managed to sensitize the Top University Management and Integrity/Constitution Champions and has also rolled out the programme to the colleges with various activities taking place. The activities were concluded and a website to capture the activities and feedback from stakeholders is already in place:</p>	The University of Nairobi has complied with the stipulation of the Commission for the Implementation of the Constitution (CIC) and has prepared a report on the Implementation of the Constitution of Kenya, 2010.

					<p>www.rr100.blogspot.com.</p> <p>The University Central Corruption Prevention Committee Members have been issued with copies of the book entitled “An Overview of Kenya’s New Constitution” and the Leadership and Integrity Act, 2012 to sensitize and enable them comprehend the letter and spirit of the Constitution of Kenya, 2010 as they cascade the same to their respective Corruption Prevention Committees.</p> <p>The University is in process of reviewing and aligning all its policies to the Constitution of Kenya, 2010 and the relevant laws in place.</p>	
		The Universities Act, No. 42 of 2012	Continuous	Vice-Chancellor	The University of Nairobi was audited by the Commission of University Education and was awarded the University of Nairobi Charter on March 1, 2013.	The University of Nairobi has complied with the stipulation of the Universities Act, No. 42 of 2012.
		The Leadership and Integrity Act, 2012	Continuous	Vice-Chancellor	<p>The University received a gift in form of a plaque from the Kenya Education Management Institute, which gift was registered in the Gift Register in compliance to Section 14 of the Act on Leadership and Code of Conduct.</p> <p>There were no cases of conflict of interest reported to the University in compliance to the provisions of Section 16 of the Act.</p> <p>There were no reports recorded on institutional disciplinary</p>	<p>The University of Nairobi has complied with the stipulation of the Leadership and Integrity Act, 2012.</p> <p>A copy of the report is herewith attached as ANNEXURE III</p>

					committee on breach of codes	
		Alignment of the University Policies to the constitution of Kenya, 2010	Immediate	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance)	The University of Nairobi is currently aligning its Policies to the Constitution of Kenya, 2010.	The University of Nairobi has a total of Twenty One (21) Policies
	Records Management	Records Management policy	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) Deputy Vice-Chancellor (Student Affairs) Deputy Vice-Chancellor (Academic Affairs) Deputy Vice-Chancellor (Research, Production and Extension) Registrar, Administration	<p>The University has an operational Records Management Policy and is effectively implemented in all the Departments/Units.</p> <p>There is continuous review of the Records Management Systems, procedures and practices to enhance accountability and efficiency in access, storage, use and preservation of information.</p> <p>Records Committees have been formed across all the units and colleges and staff members are constantly sensitized on Records Management by the Records Manager.</p> <p>Additionally, four (4) staff members from the University Pensions Scheme, 2007 have also been trained on Records Management.</p> <p>The University has acquired two (2) mobile shelves for storage of records in personnel and general registries.</p> <p>The Records Manager continuously sensitizes staff members drawn from various</p>	The documents are kept in good condition for future reference.

				<p>College Principals</p>	<p>departments of the University on the requirement and implementation of University's Records Management Policy.</p> <p>Petty cash holders are continuously sensitized on the need for proper record keeping done by the College Internal Auditor.</p> <p>The University through the office of the Records Manager implements the Records Management Policy through which;</p> <ul style="list-style-type: none"> ▪ Records surveys are conducted. ▪ Reviews on the classification and indexing schemes of records are done. ▪ Tools to control records have been put in place in registries. ▪ Draft retention schedules have been put in place. ▪ An appraisal of closed records is done. ▪ Records disposal lists are kept. ▪ Valuable records are transferred to the archive. ▪ Several seminars and workshops on records
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					management are conducted in all Colleges, Schools, Institutes, Departments and Units.	
	ICT/computerization	<p>Reliance on manual operations.</p> <p>Unauthorized access to the University's information systems</p> <p>Upgrading of ICT Infrastructure</p>	Continuous	<p>Director, ICTC</p> <p>Registrar, Administration</p> <p>Director, SWA</p> <p>Chief Medical Officer</p> <p>Coordinator, Transport and Garage</p> <p>System Administrator</p> <p>Internet Security User Support Administrator</p>	<p>The University has an operational ICT Policy</p> <p>The University has computerized the methods of safe keeping information which include engraving new ICT equipment and installing anti-virus facility. In addition, the University acquired Fifteen (15) fingerprint scanners to be used by officers with authority to access the SMIS.</p> <p>The Center upgrades the Internet Server to improve capacity, reliability and accessibility of the same.</p> <p>The Center has also reduced reliance on manual operations.</p> <p>The Center had acquired two (2) servers which have been configured and installed and is in the process of acquiring five (5) more servers for the intended purpose.</p> <p>The ICT Department has now procured five (5) additional new high end servers and centralized printing solution to improve on data centre resources.</p> <p>The use of Smart Cards by both Staff and Students to access services is underway.</p>	<p>Access to information is safely controlled and only authorized ICT officers with overriding personalized passwords are allowed to access specific information such as student grades. The use of fingerprint scanners will eliminate instances of illegal access to the system.</p> <p>Records are also kept electronically as back up for future reference.</p> <p>Students are able to apply for room allocation online among others.</p> <p>Easy access to information.</p>

					<p>There are improved services offered to students and staff members as there has been further procurement of several biometric readers by departments and colleges to enhance the integrity of the University data.</p> <p>Staff members are able to follow the happenings at the University by simply logging into the University website using their respective user identifications.</p> <p>A major ICT networking project at the College of Agriculture and Veterinary Sciences worth Twenty One (21) Million is almost nearing 100% completion.</p> <p>There has now been complete installation of wireless internet services at the School of Law, Parklands Campus.</p> <p>There has also been installation of antivirus software in some computers to safeguard data.</p> <p>The ICT Department introduced Bio-Metric Log in for Management Information System (MIS) user to minimize cases of theft and hacking of MIS.</p> <p>The ICT Department has introduced seamless integration between Barclays Bank Integrator System and Student Management Information System (SMIS).</p> <p>The ICT Department has implemented and launched a Customer Relationship</p>	
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				<p>Management System with the Examination Centre to improve efficiency in issuance of transcripts and certificates.</p> <p>The ICT Center has developed the following software;-</p> <ul style="list-style-type: none"> - Customer Relationship Management System (CRMS) -Student Management Information System (SMIS) -Student Clearance System -Human Resource Management Information System (HRIMS) -HAMIS -SWA System (Online room booking) -E-learning System -Performance ContractManagement Information System (PCMIS) -Catering Management InformationSystem -Staff Appraisal System. -Online Leave Application System (OLAPS) -Staff Education Support Fund -University Health Management Information System (UHIMS) -JAB System. 	
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					<p>- Fleet Management System</p> <p>The ICT department is conducting baseline survey on all the e-waste in the entire university</p> <p>That implementation of SSL certificates to ensure security of web systems and transactions during the quarter</p> <p>That the next generation of firewall was rolled out to reduce cyber security risks</p>	
		Fleet Management	Immediate	<p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>Coordinator, Transport and Garage</p> <p>Director, ICTC</p> <p>College Principals</p>	<p>The implementation of the Transport Management Information System to enhance and improve on efficiency and to greatly reduce misuse of services and fuel cards has been completed out apart from an up-to-date inventory of all fleet vehicles.</p> <p>The Fleet Management System is operational.</p> <p>All quotations for repair and service works for University Vehicles are obtained from pre-qualified garages and service/repairs done.</p> <p>Work tickets are effectively used to monitor and control movement of University vehicles which is updated on a daily basis.</p> <p>The University has a policy on branding of University Motor Vehicles. All Motor Vehicles have been branded with Stickers, UoN Logo, name and address respectively. The process is on-going.</p>	Cost efficient fleet management by maintaining a fleet inventory.

	Academic Matters	<p>Graduation of students</p> <p>Student discipline</p> <p>Examination procedures</p> <p>Admission of Students</p> <p>Student Health and Welfare</p>	Continuous	<p>Vice-Chancellor</p> <p>Deputy Vice-Chancellor (Academic Affairs)</p> <p>Deputy Vice-Chancellor (Student Affairs)</p> <p>College Principals</p> <p>Deans and Directors</p> <p>Director, SWA</p> <p>Director Sports and Games</p> <p>Chief Medical Officer</p> <p>Registrar, Academic</p> <p>Registrar, Student Affairs</p> <p>Dean of Students</p>	<p>The University has policies that are followed to ensure that the academic services offered to students are compliant to:-</p> <ul style="list-style-type: none"> - Procedure for Graduation (UON/OP/09) - Procedure for Management of Examinations (UON/OP/07) - Procedure for Admission (UON/OP/10) - Procedure for Management of Transfer of Credits (UON/OP/13) - Procedure for Student Disciplinary Matters (UON/OP/14) - Procedure for Management of Accreditation (UON/OP/17) - Procedure for Management of Inaugural and public Lectures. <p>The University of Nairobi also ensures that all students attending lecturers have cleared their respective fees as the students' data is continuously uploaded from the bank and reconciled with banking slips.</p> <p>In addition, the University of Nairobi ensures that students receive communication on conduct of examinations by way of circulars from the Registrar, Academic and the respective</p>	<p>Graduands have sufficient knowledge to enable them to effectively compete with those from other Universities in the job market.</p> <p>There is continuous sensitization of invigilators, examiners and students on strict observance of examination regulations.</p> <p>The University adheres to Examination Regulation on invigilation and the recommended Staff to Student ratio is 1:50.</p> <p>The University ensures that invigilators are only identified from among the teaching members of staff.</p> <p>The Examination rooms are fitted with CCTV cameras to ensure there is full compliance to the Regulations.</p> <p>The University has clear guidelines on</p>
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					<p>Deans and Directors.</p> <p>Students caught engaging in examination malpractice are suspended pending the disciplinary process. A total of Six (6) disciplinary cases were processed the respective students suspended after they were caught cheating in examination.</p> <p>The Students results are considered by the respective School Boards and the College Academic Board and released to the candidates on time.</p> <p>The University sensitized One Thousand Eight Hundred (1800) Students and Two Hundred (200) Supervisors on the Rules and Regulations governing teaching practice.</p> <p>The University hosted Four Thousand (4000) external and school-based students in Nairobi, Kisumu, Kakamega, Eldoret and Kisii. One Hundred (100) Supervisors were mobilized to ensure adequate supervision during the examinations.</p> <p>The University hosted Three Thousand (3000) external students and school based students for tuition and examination</p>	<p>admission of new students which ensures that it only admits a number of students that it can comfortably cater for.</p> <p>The University has set Rules and regulations Governing the Conduct and Discipline of Students which ensure that there is sufficient cohesion among students and the administration.</p>
	Board of Postgraduate Studies	<p>Admission and scholarship award criteria.</p> <p>Supervision of students.</p>	Continuous	<p>Vice-Chancellor</p> <p>Deputy Vice-Chancellor</p>	<p>The Board has published Admission and Scholarship Award guidelines</p> <p>The Board ensures that students</p>	<p>Students have often graduated on time upon having completed their studies.</p>

		Strategic Plan		(Academic Affairs) Registrar, Academic	are well supervised while writing their thesis. The Board has a Strategic Plan for the period 2012 – 2016.	There have been no complaints with regard to the process of issuance of scholarships.
	Management of Farms	Accountability of the Farm Produce and Animals.	Continuous	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principal, CAVS Finance Officer College Registrar and College Bursar, CAVS	The process of updating the farm records is continuous. The University of Nairobi has carried out risk assessment in relation to the management of the University farms and put in place strategies to curb corrupt activities as follows: - <ul style="list-style-type: none"> ▪ <i>Farm Produce:</i> The risk of losing farm produce has been curbed by the sustained visits to the farms and carrying out increased surveillance of the farm produce including supervision of workers in the farm. ▪ <i>Stores Management:</i> The University ensures that stock movement is recorded and that incoming stock is formally accepted by an Inspection and Acceptance Committee. ▪ <i>Sale of Horticultural Produce:</i> The University ensures that all the produce is weighed upon harvest and recorded in the Farm and Kiosk register. 	Adequate and sufficient strategies in place have curbed corrupt activities and farm records are properly maintained through a register.

					<ul style="list-style-type: none"> ▪ <i>Accounting for Milk:</i> The University ensures that milk records for both production and sales are kept. ▪ <i>Disposal of dead/deceased farm animals:</i> The University ensures that post mortem reports on all dead animals from the Departments of Veterinary Pathology, Microbiology and Parasitology are properly kept apart from ensuring that disposal of dead/deceased animals is done in compliance with existing procedures ▪ <i>Weighing of farm animals:</i> The University ensures weighing of animals before sale so that the farm obtains the appropriate weight before sale. ▪ The University initiated the planting of over Eight Thousand (8000) trees in its various colleges. ▪ The University planted over four Thousand (4000) trees during the quarter. 	
	Real Asset Management	Management of University Assets,	Continuous	Vice-Chancellor	The UoN ensures there are lease agreements for the lessor and the lessee.	There is proper and coordinated management of the

		Properties and Utilities		<p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>College Principals</p> <p>Finance Officer</p> <p>Estates Manager</p> <p>Manager, Construction and Maintenance)</p>	<p>The University has managed to process to completion twenty two (22) title deeds for various University lands and the remaining five (5) titles are in process to safeguard University property from private developers.</p> <p>The University has complied with the provisions as relates to: -</p> <ul style="list-style-type: none"> ▪ National Lands Commission Act, 2012 ▪ Government Lands Act, Cap. 280 ▪ Rating Act, Cap. 267 ▪ Factories Act, Cap. 514 <p>The University protects its lands against any encroachment by fencing.</p> <p>The University of Nairobi complies with the relevant legislation which include payment of stamp duty and registration of leases as appropriate.</p> <p>Routine repairs and maintenance of University buildings also carried out including the expansion of the Sewage system where necessary.</p> <p>The University of Nairobi Towers - state of the art building to cater for more lecture rooms and staff offices commenced during year 2013/2014 and still on-going.</p>	<p>University's assets and properties as there are no more dubious claims made on University land by outsiders/imposters.</p> <p>Appropriate controls have been put in place to ensure there is no payment of bills that do not belong to the University.</p>
Establish mechanisms to reduce corruption related audit queries			Continuous	Vice-Chancellor	All departments/units have Corruption Prevention Plans cascaded from the main	All the Corruption Prevention Committees have

(assessed in last quarter)				<p>Deputy Vice-Chancellor (Administration and Finance)</p> <p>College Principals</p> <p>Chief Legal Officer</p> <p>Program Analysts</p>	<p>University Corruption Prevention Plan and implemented in line with the guidelines given by the University Central Corruption Committee.</p> <p>The Corruption Prevention Committees have developed Risk Assessment Matrices capturing the risks prone areas and the action to be taken to seal the loopholes.</p>	<p>acquired Corruption/ Complaints Reporting Boxes and Hotlines to aid in the fight against corruption at the University.</p>
<p>Conduct integrity training/sensitization of staff to build capacity on Corruption Prevention</p>	<p>Corruption Prevention Committees,</p> <p>Integrity Assurance Officers</p>	<p>Strategic Corruption Prevention Committee Workshop in February 2011.</p> <p>Training of Integrity Assurance Officers.</p> <p>Sensitization of various cadre of staff and students on anti-corruption strategies and implementation of the Integrity Testing Program</p>	<p>Immediate</p>	<p>Vice-Chancellor</p> <p>Chief Legal Officer</p> <p>Integrity Assurance Officers (IAO)s</p>	<p>The University Corruption Prevention Committee members are trained.</p> <p>The University of Nairobi has sixty one (61) trained Integrity Assurance Officers.</p> <p>The Integrity Assurance Officers are drawn from across the entire University have cascaded the lessons learnt from the sensitization to all other members of staff within their respective departments/units and colleges.</p> <p>That the Integrity Testing Program Video continues to be watched by the Corruption Prevention Committees' members.</p> <p>The staff members from all cadres continuously watch the video on the Integrity Testing Program during the sensitization workshops on the same in their respective college/units.</p>	<p>Strengthening of the fight against corruption.</p> <p>All the Corruption Prevention Committees have in place schedules of monthly and quarterly meetings tabulated for the current financial year (2014/2015)</p>

					<p>That a total of twenty nine (29) members of staff were vetted, three (3) from Central Examination Center, nine (9) from Audit department, three (3) from the Finance department and fourteen (14) members of staff from procurement department.</p> <p>Staff members from the Finance Department attended a Public Finance Management and Internal Public sector Accounting Standards (IPSAS) training in Mombasa County.</p> <p>A total of Nineteen (19) staff members from UNES attended a sensitization training on Information Security Management System (ISMS).</p> <p>A total of One Hundred and Eight Staff Members were sensitized on their Role in the Implementation of Records Management Policy.</p> <p>There were Eight (8) members of staff from the Library Department who were trained on Tunitin software to improve skills on Anti-Plagiarism.</p> <p>A total of fifteen (15) College Management Board were trained on Public Governance.</p> <p>During the 1st Quarter (2015/2016), a total of One Hundred and Forty One (141) participants comprising of Corruption Prevention Committee</p>
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					<p>members and Integrity Assurance Officers were trained by the Ethics and Anti Corruption Commission staff on the 12th Cycle Guidelines on Corruption Eradication Indicator for the Performance Contract year.</p> <p>A total of Two (2) staff members from University Health Services (UHS) were trained on first aid, Three (3) staff members attended the Kenya Professional Councillors (KUPCA) conference, and Nine (9) staff members attended Kenya Pharmaceutical Association Annual Scientific Conference.</p> <p>A total of four (4) staff members from the Finance Department attended professional seminar to improve on their skills</p> <p>The Integrity Assurance Officers held Quarter 2 (2015/2016) meeting and discussed integrity and ethical issues affecting the institution</p>	
Undertake Integrity Testing			Immediate within Three (3) Months	Vice-Chancellor Deputy Vice-Chancellor (Administration and Finance) College Principals Chief Legal	Internal and External Integrity Testing Programs are on-going.	

				Officer Program Analysts	
Submit quarterly returns to EACC			Quarterly	Vice-Chancellor Chief Legal Officer	Submission of Quarterly Reports
ACTIVITY F					
	Number of Officers	Nature of Corruption	Status of investigations	Action taken	
F	Indicate if there are any officers suspected of corruption who have been requested to step down to allow room for investigations	Mr. Patrick Omedo, the Cashier Finance Department was suspended for having a cash shortage of approximately Kshs. 48,000.	Gross Misconduct (Cash shortage of approximately Kshs. 48,000.)	Awaiting disciplinary action	Suspended
Baseline/Survey on Corruption Perception (to be undertake in the 4th quarter of the FY)					
Corruption perception index 2013/14		Corruption perception index 2013/14	Corruption Perception index 2015/16		
Already submitted		Already submitted	The same is currently underway and shall be submitted at the end of the fourth (IV) quarter.		
Comments					
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NOTES.

1. Organizations that have **not** formulated *Anti-Corruption Policies, Codes of Conduct, and Corruption Prevention Plans* will be required to develop the documents and submit the same to EACC for analysis.
2. All organizations should attach copies of quarterly CPC/Integrity Committee minutes when submitting returns.

3. Institutions that undertook Baseline Surveys on Corruption perception in 2013/2014 and 2014/2015 are required to provide the corruption perception index above. Institutions that have not undertaken a Baseline survey will be required to do so and provide the Corruption Perception index on a scale 1-10 when submitting the 4th quarter returns.
4. Under Activity **A** - Implement Corruption Prevention Strategies/Corruption Prevention Plans (CPP) Organizations should customize this section and include **technical departments** not listed above in line with their core mandates. In reporting on this section provide information for only those strategies that have been implemented within the reporting quarter or are-ongoing.
5. Under activity **B** - Establish mechanisms to reduce corruption related audit queries, organizations should indicate measures undertaken to address any queries arising from the 2011/12 Audit Report. This performance target will be assessed against the following aspects: Resolution of Audit queries; Reduction or increase in the number of Audit queries; monetary value of audit queries raised and the adequacy of mechanisms instituted to reduce corruption related audit queries.
6. EACC has provided guidelines for developing Anti-Corruption Policy; Code of Conduct and undertaking a Baseline Survey on Corruption Perception. The documents are available on the Commission website www.eacc.go.ke.

Name

Chairperson CPC

Permanent Secretary/Chief Executive Officer /Clerk/Principal

Sign..... Date.....