



MACHAKOS UNIVERSITY

ETHICS, INTEGRITY AND ANTI-CORRUPTION POLICY

SEPTEMBER 2023



APPROVAL

Policy Title: Ethics, Integrity and Anti-Corruption Policy

Policy Contact: Vice-Chancellor

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Effective date:

Approved by the University Council:

Sign: Date:

Prof. Joyce Agalo, Ph.D.

Vice-Chancellor

Sign: Date:

Dr. Christopher G. Gakahu, Ph.D.

Chairman of Council



FOREWORD

The Kenya national government has provided a framework through which the unethical and corrupt practices are checked and curtailed. Various reforms and legislations have been noted towards the fight against corruption practices and promoting acceptable levels of integrity in the delivery of service to the public. Some of the instruments that are of great reference in these reforms include; the National Ethics and Anti-Corruption Policy, the MTP II, National Values and Principles of Governance (Article 10), Values and Principles of Public Service (Article 232) and Chapter 6 (Leadership and Integrity) of the Constitution of Kenya, 2010. The development of this Policy is informed by these instruments. It is also important to note that the national government through the Performance Contracting (PC), public institutions' managers are required to fulfil certain targets towards promoting integrity and fighting corruption within their respective institutions.

The universities are no exception institutions as the execution and delivery of their respective mandates revolve around making and discharging decisions that calls for high ethical levels and wisdom. The Machakos University Ethics, Integrity and Anti-Corruption Policy is aimed at enhancing the dignity and standing of the University's ethics and integrity record. It is intended to guide ethical behavior and promote the fight against corruption practices amongst staff, students and Machakos University associates. The Policy covers the conduct of Machakos University members in teaching, research, community service, management and administration. It is notable that all these areas are prone to certain loopholes that could trigger unethical practices and behavior.



Thus, this Policy is intended to instill the spirit of positive behavior and conduct of the internal and external stakeholders of Machakos University. Positive behavior amongst members of the larger family of Machakos University is envisaged to mirror on the set out national ethos and contribute to fast-tracking of the realization of the University's vision and mission. Consequently, the Machakos University Ethics, Integrity and Anti-Corruption Policy is designed to provide a guideline in the conduct of the University business and best practices in safeguarding the dignity, integrity and image of the University and maximize the benefits associated with acceptable ethical conduct and corruption free environment.

This Policy is a product of a collaborative and participatory process. The process harnessed the collective goodwill and opinions of the greater family and fraternity of Machakos University with reference to the various government tools and guidelines in the fight against corruption. As per the requirements of EACC, the University council and management has put in place a Corruption Prevention Committee (CPC) chaired by the Vice-Chancellor (VC) which is mandated with the overall responsibility of putting in place strategies and programmes to aid the fight against corruption in the University; Integrity Assurance Officers (IAOs) Committee which is tasked to act as the secretariat and technical point to the CPC and actualization of the ethics and anti-corruption programmes and Integrity Champions (IC) whose main responsibility is to champion ethical behavior amongst internal and external stakeholders of the University and promote, monitor implementation of the corruption risk mitigation programmes. I appreciate the efforts put by these teams and the participation by members of staff and students of Machakos University in



coming up with this Policy. The feedbacks and inputs received from the divisions, schools and various University units is indeed acknowledged.

This Policy provides us with a blue print that guides our ethical behavior across the various dimensions of our mandate. It is my sincere hope that this Policy will go a long way in guiding all of us in living and upholding high levels of integrity as we serve and do business with our stakeholders.

SIGNED:

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Prof. Joyce Agalo, Ph.D.
Vice-Chancellor

Date



UNIVERSITY FUNDAMENTAL STATEMENTS

VISION

Excellence in transformative scholarship and community service

MISSION

To provide scholarship through teaching, training, research and innovation; and community service for sustainable industrial and socioeconomic transformation

Machakos University Identity Statement

Machakos University is an Academic Institution Committed to Generating and Transmitting Knowledge, Skills, and Attitudes through Science, Technology, Research, and Innovation for the Benefit of Humanity.

Machakos University Philosophy Statement

The Philosophy of Machakos University is ‘Education for Industrial and Economic Transformation’

Mandate

The mandate of Machakos University is to Teach, Train, Conduct research, Innovate, Collaborate, generate new knowledge and Community Service

Core Values

- Creativity:** We shall use imagination and original ideas to create value for our customers.
- Agility:** We shall embrace urgency and flexibility in responding to customer demands
- Meritocracy:** We shall promote merit-based services



Professionalism: We are committed to high standards of training, research and service delivery

Integrity: We shall uphold honesty and high moral standards

Inclusivity: We shall offer equitable access to opportunities and resources



ABBREVIATIONS AND ACRONYMS:

CPC:	Corruption Prevention Commission
CRA:	Corruption Risk Assessment
CRMP:	Corruption Risk Mitigation Plan
EACC:	Ethics & Anti-Corruption Commission
EIO:	Ethics and Integrity Office
EIAC:	Ethics, Integrity & Anti-Corruption
IAOs:	Integrity Assurance Officers
IC:	Integrity Champions
ICT:	Information Communication Technology
MksU:	Machakos University
MTP:	Medium-Term Plan
PC:	Performance Contracting
VC:	Vice-Chancellor



DEFINITIONS

Accountability:	A system of internal and external checks and balances aimed at ensuring that public officers carry out their duties properly and are held responsible if they fail to do so.
Bribe:	An inducement whether, monetary or non-monetary, by one person to another person who holds a public or private office with the intention to influence them to act or forego to act required of them in their official capacity.
Corruption:	The abuse of public office for private gain.
Ethics:	The standard of morality that a State or public officer must commit themselves to follow.
Integrity:	The practice of being honest and showing a consistent and uncompromising adherence to strong moral and behavioral principles and values. It is holding and living the virtues of decency, fairness, sincerity, truthfulness and trustworthiness.
Staff:	Person employed by Machakos University (permanent, contract, casual)
Student:	Learners registered (and active) in Machakos University



Stakeholders: Parties doing business with MksU (students, staff, parents, suppliers, the community)

University Resources: These includes the finances, equipment, facilities, personnel, stationary which belongs to Machakos University



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1.0 INTRODUCTION

1.1 Preamble

Machakos University is committed to ensuring zero tolerance to corruption and having in place measures to curb it and promote integrity as enshrined in the Constitution. It is on this back drop that the University has developed this Ethics, Integrity and Anti-Corruption Policy.

The University recognizes that bribery and corruption have negative effects on society namely, inhibiting economic growth, effective service delivery, employment, investments, reducing tax revenue, and failure to achieve development goal. In addition, corruption erodes the trust in the public sector and wastes funds earmarked for important development projects.

This Policy outlines the principles that the University shall follow to achieve zero tolerance against corruption, bribery and enhance integrity. The objective of the Policy is to ensure that appropriate Anti-Corruption procedures are put in place across the University to avoid any violations of relevant laws and regulations pertaining to corruption and bribery prevention.

In augmenting this, the University has put in place mechanisms of promoting professionalism and integrity amongst her internal and external stakeholders. The University has established the Corruption Prevention Committee and Integrity Assurance Officers Committee, to provide direction in the fight against corruption and coordinate strategies and interventions in promoting ethical behavior and fight against corruption practices in the University respectively. The University has recognized the need for development of ethics, integrity and anti-corruption Policy as a formal and standardized framework to guide this important task. This is also in line with the expectations and requirements by EACC.

1.2 Policy Rationale

- a) In order to realize the University's commitment towards actualizing her mandate, the University has in place policies, systems and

procedures to aid achievement of expected efficiency and effectiveness levels in the conduct of its operations and business.

- b) It is expected through the EACC guidelines in the fight against corruption incidences within Ministries, Departments, Government Agencies and Universities that policies and procedures are put in place to aid this fight.

1.3 Policy Purpose

This Policy is intended to

- a) Promote ethical behavior and acceptable levels of integrity in the University and to secure employees' active contribution to a responsible business culture.
- b) Provide a structured and standardized framework for handling and managing unethical and corruption incidences in the University.
- c) Mitigate against likely corruption practices in the University.

1.4 Policy Objectives

The overall objective of this Policy is to reduce levels and prevalence of corruption and unethical practices in the University by providing a comprehensive, coordinated and integrated framework for the fight against corruption and promotion of positive ethical behaviors. The specific objectives of this Policy are to:

- a) Enhance co-ordination and synergy of Machakos University stakeholders in the fight against corruption.
- b) Generate commitment and support for the fight against corruption.
- c) Provide an institutional framework for anti-corruption, ethics and integrity strategies.



- d) Enhance internal stakeholder participation and engagement in the war against corruption.
- e) Mainstream ethics and integrity in the management of the University.
- f) Establish an effective monitoring and evaluation framework for anti-corruption initiatives in the University

1.5 Scope of the Policy

This Policy covers;

- a) All aspects of the University's operations (teaching, research, community service, administration)
- b) All cadres of staff
- c) All divisions, directorates, schools and administrative units
- d) The University hotel
- e) All staff, students, parents/guardians
- f) Suppliers of goods, services and works
- g) Visiting researchers, the community and collaborating institutions (including development partners) of the University

1.6 Guiding Principles

The following principles shall guide the implementation and monitoring of this Policy;

- a) ***Governance***: There will be high level commitment from the University Council and Management in supporting the execution of this Policy. High levels of integrity will be exhibited from the top management
- b) ***Fairness and justice***: There will be objective handling of any noted deviations from the expected behaviour by staff, student and any other affected stakeholder. All potential breaches shall be handled according to the University's laid mechanisms and other relevant external avenues
- c) ***Transparency***: There will be openness in handling and reporting of unwelcome behaviors



- d) **Disclosure:** There will be full disclosure of incidences of unethical behaviour and corruption by members and in reporting to EACC

1.7 Legislative and Regulatory Framework

This Policy has been developed through a consultative process spearheaded by the Integrity Assurance Officers' Committee and Integrity Champions. A zero draft was developed by the committee and subjected to feedbacks and inputs from division, schools, directorates and departments of the University. Documents that served as inputs and reference points to this Policy include;

- a) The National Ethics and Anti-Corruption Policy,
- b) The MTP II,
- c) National Values and Principles of Governance (Article 10),
- d) Values and Principles of Public Service (Article 232),
- e) Chapter 6 (Leadership and Integrity) of the Constitution of Kenya 2010,
- f) Economic Crimes Act 2003,
- g) Public Officer Ethics Act, 2003,
- h) Public Procurement and Disposal Act, 2015,
- i) Employment Act, 2007, the Government Financial Management Act, 2004,
- j) the Performance Contract,
- k) Relevant University Policies.

Drawing from the above documents and requirements, this Policy went through public participation. The draft was shared to University staff and



students for comments and inputs and subjected to further interrogation and University approval and adoption process.

2.0 ADMINISTRATION OF THE POLICY

2.1 Corruption Prevention Committee

The Vice-Chancellor shall form and appoint members to the Corruption Prevention Committee (CPC). The CPC shall:

- a) Meet to deliberate on anti-corruption and other integrity issues on a quarterly basis.
- b) Set priorities in the prevention of corruption within the University (especially the CRMP).
- c) Plan, coordinate and integrate corruption prevention strategies within the University.
- d) Review training of staff on integrity and anti-corruption issues and determine the mode of trainings to be undertaken whether they will be on the job or off the job.
- e) Communicate effectively to staff and other stakeholders on all decisions and guidelines on integrity and corruption prevention.
- f) Receive complaints and information on alleged unethical behavior and corruption practices in the University and evaluate, analyze and recommend appropriate action.
- g) Monitor and evaluate the impact of unethical and corruption prevention initiatives and other recommended actions.
- h) Coordinate trainings and sensitization programmes for Council members, University Management, staff and students.

2.2 Integrity Assurance Officers

The Vice-Chancellor shall appoint Integrity Assurance Officers. The IAOs shall:

- a) Play an intermediary role between CPC/Management and the rest of staff.
- b) Mobilize and sensitize internal stakeholders on matters of ethics, integrity and corruption prevention.
- c) Convene regular meetings to deliberate on matters under this Policy.
- d) Coordinate the task of corruption risk assessment.
- e) Spearhead the development of CRMP.
- f) Monitor the implementation of the CRMP.
- g) Compile and submit quarterly reports to Chairman, CPC (Vice-Chancellor).
- h) Monitor the enforcement of this Policy.
- i) Ensure security and confidentiality of information disclosed to it under this Policy.
- j) Receive and process amendments to this Policy.

3.0 POLICY IMPLEMENTATION

- a) The CPC shall put in place deliberate plans and efforts in building awareness of this Policy to all the interested parties and stakeholders
- b) This Policy shall be implemented in harmony with other MksU policies



4.0 POLICY FOCUS AREAS

4.1 MksU Integrity and Anti-Corruption Efforts

The following anti-corruption efforts shall guide the execution of this Policy:

- a) The University management team shall constantly communicate their commitment towards zero tolerance for any kind of unethical behavior and corrupt activities throughout the institution.
- b) The University management shall ensure that there are established procedures guiding the operations, functioning and conduct of the institution's business
- c) Corruption Risk Assessments (CRA) shall be carried out in all the University business areas, identifying high, medium or low risks if any. The risk varies, depending on the nature of the operations and business in question
- d) The University management shall constantly communicate the integrity and anti-corruption programmes, strategies and progress made in the fight against corruption. Awareness and sensitization for staff shall be carried out regularly and as per the CRMP
- e) The University management shall conduct due diligence of business partners where appropriate and in a variety of forms. The comprehensiveness of the due diligence conducted is proportionate to the risks.
- f) The University management shall carry out monitoring, reviewing and reporting to ensure effective implementation of planned corruption and unethical risk interventions.
- g) The University management shall communicate to stakeholders of diverse corruption/unethical cases reporting platforms including

the University website, reporting boxes placed in strategic points, EACC offices, University management and police stations.

4.2 Unethical Behavior and Corruption Prevention

- i) MksU shall undertake to identify institutional features that allow unethical behavior and corruption to occur. These features shall be addressed by strengthening systems of control, having better management systems and closer supervision in each unit, procedure and process. This is to aid in minimizing:
 - a) Financial loss
 - b) Public embarrassment
 - c) Waste of University resources
 - d) Loss of business from stakeholders.
- ii) The University shall put in place measures to help:
 - a) Detect corruption, dishonesty and unethical behavior in an organization
 - b) Reduce the possibility of corruption occurring.
 - c) Reduce the vulnerability of staff to corruption
 - d) Maintain best practices and procedures
 - e) Improve procedures and practices
 - f) Improve service delivery

4.3 Corruption Risk Assessment

The University management shall conduct annual corruption risk assessment aimed at helping:

- a) Detect corruption, dishonesty and unethical behavior in organization
- b) Expose weaknesses (loopholes that could trigger unethical behaviour and or corruption)



- c) Establish the nature and levels of unethical behavior and corruption
- d) Reduce the possibility of corruption incidence

4.4 Unethical Behavior and Corruption Risk Management

The University management shall undertake risk management. This shall involve identifying, analyzing, evaluating, treating and monitoring unethical and corruption risks. The following shall be done:

- a) Detecting and assessing MksU's unethical and corruption risk exposures on a financial year basis and assess the impact.
- b) Developing appropriate strategies and interventions to mitigate against identified risks
- c) Implementing the planned interventions
- d) Monitoring and reporting progress made
- e) Maintaining good corporate image and reputation
- f) Inspiring trust among and within individual players at all time
- g) Increased transparency and user friendliness

4.5 Capacity building and awareness Creation

- a) The University management shall disseminate and create awareness of this Policy to the stakeholders.
- b) The University management shall develop the capacity of the IAOs and Integrity Champions to perform the functions under this Policy

4.6 Statement of Action

- i) The University Council, University Management Board, members of staff and student shall:
 - a) Ensure that all parties carrying out business with MksU know and respect this Policy,
 - b) Comply with all relevant laws and regulations governing the institution



- c) Fight corruption in all its forms and manifestations in the conduct of its affairs,
 - d) Actively resist any corrupt payment, gift or hospitality and instead report such corrupt payments, gifts and hospitalities to the management for appropriate action,
 - e) Encourage and urge MksU customers, the public and stakeholders to report any case of corruption including unethical and criminal conduct through letters, e-mails, telephone calls, corruption reporting boxes, suggestion boxes, University website and complaints office/registers,
 - f) Make available confidential communication facilities and platforms to facilitate and encourage reporting of corrupt activities.
- ii) Heads of Departments and Units shall integrate CRMP interventions and strategies into their mainstream mandates and monitor performance on the same.

4.7 Non-Compliance to this Policy

- a) The MksU management shall act firmly against corrupt practices based on the existing laws and effectively ensure integrity is upheld within the institution.
- b) A Staff or Student who breaches any provision of this Policy shall be subject to disciplinary procedure of the University.
- c) A breach of any provision of this Policy by a Collaborating Party shall be referred to other mechanisms outside the University.

5.0 IMPLEMENTATION AND OPERATIONALIZATION OF THE POLICY

This policy shall be operationalized with reference to the Machakos University procedures (2022) for prevention of bribery and corruption.

6.0 POLICY MONITORING AND EVALUATION

- a) The Chairman, CPC (who is the Vice-Chancellor) shall put mechanisms in place to ensure monitoring and evaluation of the implementation of this Policy.
- b) The Monitoring and Reporting of the Policy and implementation of the CRMP shall be done on quarterly basis in the prescribed format provided by EACC.
- c) The MksU management shall endeavor to have adequate resources to support monitoring and evaluation
- d) All Departmental heads shall monitor and evaluate the implementation of this Policy at their levels on quarterly basis and provide briefs with evidence to the CPC secretariat.
- e) Monitoring and evaluation systems shall identify impacts of corruption prevention plans; risks assessment and management plans, which shall be used to identify loopholes or areas vulnerable to corruption and inform the management.

7.0 CITATION STATEMENT

This Policy shall be cited as the Machakos University Ethics, Integrity and Anti-Corruption Policy 2023

8.0 REVIEW OF POLICY

This Policy shall be reviewed every five (5) years or as the need arises.

