# TECHNICAL UNIVERSITY OF MOMBASA

*A Centre of excellence*

# ANTI-CORRUPTION POLICY
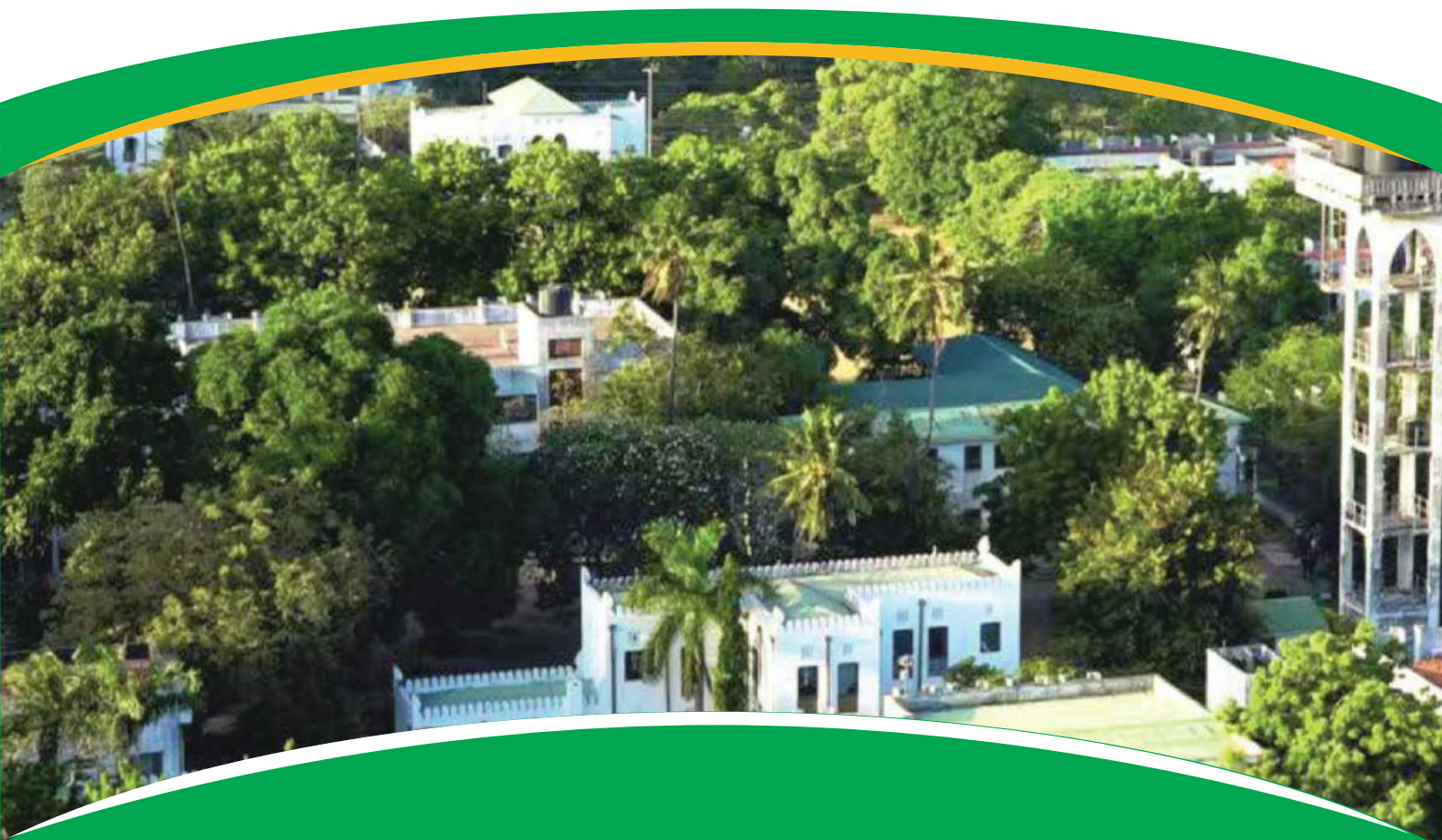
# TECHNICAL UNIVERSITY OF MOMBASA

## ANTI-CORRUPTION POLICY   POLICY

# TABLE OF CONTENTS

**TUM is ISO 9001:2015 Certified**

# ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| CPC | Corruption Prevention Committee |
| CPP | Corruption Prevention Plan |
| CRA | Corruption Risk Assessment |
| DVC (AFP) | Deputy Vice Chancellor (Administration, Finance and Planning) |
| EACC | Ethics and Anti-Corruption Commission |
| GSS | Government Sponsored Students |
| HOD | Head of Department |
| IAO | Integrity Assurance Officer |
| TUM | Technical University of Mombasa |
| SSP | Self-Sponsored Programme |
| VC | Vice Chancellor |

**TUM is ISO 9001:2015 Certified**

# PREFACE

The fight against corruption is a major priority of the Government of Kenya. This fight cannot be won without entrenching mechanisms to fight the vice and deter members of the public from engaging in it. Public institutions are required to set down policies to aid in their protection and enhance awareness as to the demerits of corruption.

At TUM, it is our policy to conduct all of our business in an honest and ethical manner. We are committed to acting professionally, fairly and with integrity in all our dealings with public or private persons. We are also committed to implementing and enforcing effective systems to counter bribery.

This policy aims to sensitise the University community on corruption and unethical behaviour and offers the ways in which the University will fight the vice as well as safeguard its stakeholders from engaging in it.

The Council is committed to the fight against corruption and is determined to put in place policies that will govern this fight most specifically having an Anti-Corruption policy.  The Council wishes to thank the University Management for coming up with this policy.

**Dr Robert Arunga**
**Chairman of the Council**

# FOREWORD

Bribery and corruption is, unfortunately, a feature of corporate and public life in many countries across the world. Governments, businesses and non-governmental organizations are working together to tackle the issue but despite collective efforts eradicating all forms of bribery and corruption will take time. Bribery and corruption are vices that stagnate development leading to increased poverty and suffering.

The need for the Anti – Corruption Policy goes beyond the statutory requirements. This policy will ensure that the institution meets its public obligations as well as ensure that public resources are utilised accordingly. The implementation of the Policy will lead to savings that may be ploughed back into the development of physical and human resources

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

As a University our commitment is to act professionally, fairly and with integrity. The Council and indeed the University recognizes that corruption is a risk and acknowledges that corruption is possible. This policy is, therefore, a measure taken by the institution in combating the vice of corruption.

**Prof. Laila U. Abubakar**
**Vice-Chancellor**

# 1.0    INTRODUCTION

Technical University of Mombasa (TUM) is an institution of higher learning established by the Universities Act No. 42 of 2012 and University Charter, 2013. Core among her mandate is to undertake technological, professional and scientific education and training to disseminate knowledge while ensuring access, equity, quality and relevant education.

The purpose of this policy is to outline the principles, guidelines, practices that the university will embrace in the fight against corruption through Anti-Corruption Policy. In implementing the policy, the University will sensitise and encourage Staff, Students and other stakeholders in the fight against corruption through the laid down mechanisms. This policy shall be cited as Technical University of Mombasa Policy.

## 1.1    Vision

A Technical University of Global Excellence in Advancing Knowledge, Science and Technology.

## 1.2    Mission

To advance knowledge and its practical application through teaching, research and innovation to serve both industry and the community.

## 1.3    Core Values

The Council, Senate, Management, staff and students of TUM will endeavour to institutionalize and inculcate values fostering a strong corporate culture while promoting quality service delivery, cohesion in our diverse community and achieving the targeted goals. These will be realized by espousing the following values:

i)      *Excellence*. We strive for excellence in quality teaching, learning and research, and customer focus by continuously assessing ourselves,

**TUM is ISO 9001:2015 Certified**

applying our own and international benchmarks.

ii)    *Integrity and Professionalism.* We expect high standards of integrity, ethics and respect from one another across the institution and honour collegiality and a climate of critical professionalism among staff and students.

iii)   *Equity.* We are committed to equity, diversity and fairness, and seek to nurture and build on our diverse cultural heritage

iv)    *Teamwork.* We place a high premium on teamwork and shared responsibility working with each other and with external groups in ways that are mutually beneficial.

v)     *Creativity, innovativeness and environmental sustainability.* We embrace innovative problem solving and promote creative value-based solutions. We cultivate a socially secure, responsive and sustainable green environment.

## 1.4    Motto

*Jiddu Tajidu (Endeavour and Achieve)*

# 1.0   INTRODUCTION

It is the policy of Technical University of Mombasa that all staff and students conduct business in an honest way, and without the use of corrupt practices or acts of bribery to obtain an unfair advantage. This is not just a cultural commitment on the part of the University; bribery is a criminal offence in most countries and corrupt acts expose the University and its employees to the risk of prosecution, fines and imprisonment, as well as endangering the University's reputation.

This policy has been adopted by the Council and requires it to be communicated to everyone involved in our organisation to ensure their commitment to it. Council and the Management of TUM attach the utmost importance to this policy and will apply a 'zero tolerance' approach to acts of bribery and corruption by any of our employees or third-party representatives (including students). Any breach of this policy will be regarded as a serious matter and is likely to result in disciplinary action.

## 1.1.   Policy Statement

Technical University of Mombasa is committed to ensuring high standards of ethics and values in all her operations. The same high values applied to research and teaching activities are explicitly extended to governance and financial transactions.

It is our policy to conduct all of our business in an honest and ethical manner. We take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our business dealings and relationships wherever we operate and implementing and enforcing effective systems to counter bribery and corruption. We will uphold all laws relevant to countering bribery and corruption in all the jurisdictions in which we operate.

**1.2.    Scope/Application**

The Policy applies to all individuals acting on behalf of the University. It will, therefore, apply to all staff of the University and all those third parties acting on its behalf, including (but not exclusively) agents, consultants, contractors, suppliers, subsidiaries and joint venture partners, wherever they may be located. The Policy will also apply to students when they are acting on behalf of the University, either in a paid or voluntary role.

**1.3.    Purpose of the Policy**

The purpose of this policy is to ensure that members of the University Community conduct University business in an ethical manner and understand and adhere to the requirements of all applicable anti-bribery laws and best practices.

**1.4.    Guiding Principles**

i)      This policy applies to all of the University's activities and operations and to all of its dealings and negotiations with third parties within Kenya and outside where its employees, agents, partners and associates operate. All employees and individuals working on behalf of, under contract from or in collaboration with any part of the University or with its employees are required to comply with this policy. This includes research students as appropriate.

ii)     The University has a zero-tolerance approach to bribery and corruption and as such, all forms of bribery and corruption are prohibited. A bribe does not actually have to take place – just promising to give or agreeing to receive a bribe is prohibited.

iii)    The University will address risks of bribery by ensuring adequate and proportionate measures are developed and implemented to mitigate them.

iv)     Arrangements with third parties will be subject to clear contractual terms, including specific provisions requiring them to comply with minimum

**TUM is ISO 9001:2015 Certified**

standards and procedures relating to bribery and corruption. The University will not engage or continue business with, any individual or third party who we know or reasonably suspect of engaging in bribery or corruption.

v)    No staff member or associated person will suffer a penalty or other adverse consequences for refusing to pay bribes even if a refusal may result in loss of business or a delay in proceedings.

vi)   The prevention, detection and reporting of bribery are the responsibility of all staff. They should raise any concerns or allegations of bribery or corrupt activity with their immediate supervisors or report any such concerns to the VC or DVCs, Finance Officer and University Auditor. Where staff feel they are not able to report in this way, they should report them through the University's Whistleblowing Policy.

vii)  The University will ensure it takes appropriate action in response to any reported incidents of bribery or corruption. Investigations of bribery or corrupt activity will follow the principles and procedures set out in the Anti-Fraud Policy. Failure to comply with this Policy will lead to disciplinary action and proven allegations will lead to disciplinary action resulting in summary dismissal. In relevant cases, the police and EACC will be informed as certain offences carry criminal liability for individuals concerned and sanctions include significant fines and/or imprisonment.

## 1.5.    Legislative and Administrative Requirements

The following but not limited to, legal instruments and institutional policies shall be applicable to this policy:

i)     The Constitution of Kenya, 2010

ii)    The Ethics and Anti-Corruption Commission Act, 2011 revised 2016

iii)   The Anti-corruption and Economic Crimes Act, 2003 revised 2016

iv)    The Public Officer Ethics Act, 2003;

v)     The Public Audit Act, 2015;

vi)    The Public Finance Management Act, 2012;

vii)   The Public Procurement and Asset Disposal Act, 2015

**TUM is ISO 9001:2015 Certified**

viii)    The Technical and Vocational Training Act, 2013;

ix)     The Universities Act 2012;

x)      Technical University of Mombasa Charter 2013.


### 1.6.    Objectives of the Policy

The objectives of the Anti-corruption policy are to:

i)      Provide guidance to all matters pertaining to Anti-corruption;

ii)     Ensure participation of all university stakeholders in the fight against corruption;

iii)    Provide mechanisms for evaluating initiatives taken against corruption;

iv)     Provide a framework for planning activities against corruption;

v)      Inculcate a culture of ethics and integrity in all aspects of public and private life.

**TUM is ISO 9001:2015 Certified**

## 2.0    MEANING OF CORRUPTION AND ETHICAL MISCONDUCT

Abuse of power, bribery and nepotism are phenomena defined as **corruption.** Offences such as theft, fraud, embezzlement or breach of trust against a principal may very well also imply corruption. It can also be defined as exploiting a public law position in order to achieve an inappropriate profit for yourself or others.[1]

**Ethical misconduct** takes the meaning a step further and implies actions that contravenes the values of the University and current cultural values. Deliberately not following national and local policy documents, may in the broad sense also be considered as ethical misconduct. What is ethical conduct or ethical misconduct is, however, it may not always obvious.

**Ethical misconduct** can partially be defined as acting in a way that harms the general faith in the University as a centre of learning. Together, we must develop and exercise our ability to perform ethical considerations in our work. As support for this work, there are the common basic values for central government employees that are described in the next section**.**

**Bribery,** on the other hand**,** refers to an inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage.

**Corruption Offence** means any action contravening the law and/or regulations. According to the Anti-corruption and Economic Crimes Act the following are considered corruption offences/practices:

i)      Abuse of position or office for personal advantage or for the advantage of another person;

ii)     Bribery, theft, embezzlement and fraud;

iii)    Evasion of payment of government revenues, taxes, rates, fees and other dues;

iv)     Practising nepotism, tribalism and cronyism;

---

A culture that counteracts corruption. The Government Offices S2014.024

**TUM is ISO 9001:2015 Certified**

v)      Practising discrimination on the basis of religion, gender or disability;

vi)     Inversion and distortion of social values including soliciting or and giving sexual and other favours;

vii)    Negligence of professional ethics; and

viii)   Failure to report corruption.

### i.1.    Who can engage in Bribery or Corruption?

In the eyes of the law, bribery and corrupt behaviour can be committed by:

i)      An employee, officer or director

ii)     Any person acting on behalf of the University (agents or third-party representatives which sometimes include students)

iii)    Individuals and organisations which authorise someone else to carry out these acts

### i.2.    Acts of bribery or corruption

These will often involve public or government officials and this is a specific offence under the Act. For the purposes of this policy, a government official could be:

i)      A public official, whether foreign or domestic

ii)     A political candidate or party official

iii)    A representative of a government-owned / majority-controlled organisation

iv)     An employee of a public international organisation (eg the World Bank).

# 3.0    CORRUPTION RISK AREAS

All sections of the University are considered corruption risk areas. However, the university has identified the following departments as being potentially high risk based on the nature of their operations:

## 3.1    Finance Department

### 3.1.1    Possible Corruption Practices

These include the following:

i)      Illegal and unauthorised manipulation of the financial management system;

ii)     Forgery of receipts;

iii)    Misapplication of government grant or monies;

iv)     Over expenditure of budgeted amounts;

v)      Making cheques out of falsified documents;

vi)     Misuse or illegal disclosure of information;

vii)    Falsifying signatures or documents;

viii)   Using University funds for personal purposes;

ix)     Certifying the performance of a service without being sure that the service was actually performed;

x)      Writing off recoverable assets and debts;

xi)     Theft of assets; and

xii)    Manipulation of financial statements.

## 3.2    Procurement and Supplies Department

### 3.2.1    Possible Corruption Practices

These include the following:

i)      Receiving personal benefits in assisting a supplier to get work at the University;

**TUM is ISO 9001:2015 Certified**

ii) Manipulating a tendering process to achieve the desired outcome;

iii) Opening of bids done in secret and not in public;

iv) Specifications are done to favour one particular supplier;

v) Unfair distribution in the request for quotations;

vi) Opening of the tender box before the stated date and time;

vii) Inflations of prices of goods/services to be supplied;

viii) Awarding of tenders to staff and their relatives;

ix) Receiving substandard items and forwarding the same for payment;

x) Claiming to receive goods that were never actually delivered;

xi) Advance release of bid information;

xii) Releasing of quotations to suppliers who are not pre-qualified;

xiii) Contract specifications that are changed after award;

xiv) No procurement plan or non-compliance with it;

xv) Lack of transparency in complaints handling;

xvi) Evaluation of contractor's performance not recorded;

xvii) Colluding with user departments to exaggerate bills of quantity and prices;

xviii) Non-existent works; and

xix) Certifying contractor for incomplete works.

## 3.3    Transport and Maintenance Department

### 3.3.1    Possible Corruption Practices

These include:

i) Fuel mismanagement;

ii) Stretching journey beyond authorised radius;

iii) Transporting unauthorised goods or persons;

iv) Using forged fuel receipts to account for imprests;

v) Personal use of the university assets, including taking building materials or other materials or equipment from the area in which one is working;

vi) Personal use of university vehicles during official hours;

**TUM is ISO 9001:2015 Certified**

vii)     Use of University vehicles on a daily basis during office hours and failing to adhere to the Kenya Revenue Authority rules and regulations on the use of the vehicle;

viii)    Removal and exchange of vehicles spare parts during maintenance;

ix)      Careless use of university vehicles resulting in damage to the vehicles; and

x)       Use of University vehicle without an authorized work ticket.

## 3.4     Academic Affairs, Faculties and Teaching Department

### 3.4.1   Possible Corruption Practices

These include:

i)       Admitting non-qualified students;

ii)      Accepting bribes for student admission;

iii)     Finalising admissions before approval of applications;

iv)      Losing student files;

v)       Lack of updates and proper student records;

vi)      Academic fraud that is plagiarism, misrepresenting qualifications among others;

vii)     Teaching contents of examinations with the aim of examining the same;

viii)    Harassing students by demanding favours from them;

ix)      Failure to attend a class as required;

x)       Failure to cover the subject matter provided in the course outline;

xi)      Failure to mark and submit continuous assessment tests;

xii)     Allowing unauthorised movement of people into the examination office;

xiii)    Impersonation in examinations;

xiv)     Selling live examinations to students;

xv)      Awarding of grades without assessment;

xvi)     Failure to report examination offences;

xvii)    Careless handling of live examinations;

xviii)   Illegal issuance of examination cards to students;

xix)     Failure to properly invigilate an exam;

**TUM is ISO 9001:2015 Certified**

xx)     Unethical issuance of certificates and transcripts; and

xxi)    Forgery of academic documents.

## 3.5     Human Resource Management and Administration

### 3.5.1   Possible corruption practices

These include the following:

i)       Favouring an applicant for employment in criteria other than merit;

ii)      Recruiting unqualified staff;

iii)     Manipulating the selection process for staff appointments;

iv)      Manipulation of the payroll;

v)       Allowing conflict of interest to undermine independence;

vi)      Leaking of the interview questions to recruits;

vii)     Limiting circulation of job advertisement;

viii)    Deploying employees in areas where they are not competent;

ix)      Use of University time to pursue private interests;

x)       Abuse of position and power for personal gain;

xi)      Lack of an elaborate organisational structure; and

xii)     Unfair selection of persons for promotion and training.

## 3.6     Information Communication Technology Services Department

### 3.6.1   Possible Corruption Practices

They include:

i)       Using imaging and desktop publishing to produce apparent original documents;

ii)      Unauthorised and illegal use of assets, information or services for private purposes this includes computers, email and internet;

iii)     Theft of ICT equipment and software;

iv)      Retaining emails and passwords after separation from office;

**TUM is ISO 9001:2015 Certified**

v) Use of pirated software;

vi) Manipulation of computer programs for improper use such as:

      i. Unauthorised approval to pay;

      ii. Diversion of proceeds;

      iii. Writing off debts; and

      iv. Accessing confidential information.

## 3.7 Library Department

### 3.7.1 Possible Corruption Practices

These include:

i) Staff conspiring with users to waive/undercharge fines;

ii) Failure to issue receipts for payments made;

iii) Secret withdrawal of official records;

iv) Staff issuing themselves with information materials in an unprocedural manner;

v) Issuing clients with extra borrowing tickets;

vi) Plucking out pages and chapters from books; and

vii) Theft of library materials and equipment.

## 3.8 Dean of Student Office

### 3.8.1 Possible Corruption Practices

These include:

i) Soliciting for favours before serving students;

ii) Shielding errant students from facing disciplinary action;

iii) Engage in illegal businesses e.g. drug trafficking etc.;

iv) Lack of transparency and engaging in malpractices during student elections;

     **TUM is ISO 9001:2015 Certified**

v)    Forging invitation letters to attend alleged student official functions outside the University to get per diem illegally;

vi)   Misuse of funds by student union leaders;

vii)  Irregular issuance of sports equipment;

viii) Irregular selection of participants in sports;

ix)   Unfair recruitment of students for work-study programmes and bursary allocation; and

x)    Illegal use of hostel facilities.

## 3.9    Health Centre

### 3.9.1   Possible Corruption Practices

These include:

i)    Fictitious issuing of drugs and other materials;

ii)   Over-procurement of drugs;

iii)  Issuing drugs without receipting;

iv)   Forgery and manipulation of records; and

v)    Illegal disclosure of confidential medical records.

## 3.10    Security Department

### 3.10.1  Possible Corruption Practices

These include:

i)    Collecting bribes to drop charges against suspected offenders;

ii)   Colluding with external vandals to steal from the university;

iii)  Allowing unauthorised persons to gain entry to the university;

iv)   Colluding with workers or students to pilfer university assets; and

v)    Poor record-keeping and investigations that fail to lead to the apprehension of suspects.

**TUM is ISO 9001:2015 Certified**

### 3.11    Catering and Accommodation Department

### 3.11.1  Possible Corruption Practices

These include:

i)      Withholding of cash from daily sales for longer periods other than required in order to use the same for personal interests;

ii)     Serving meals without issuing receipts and re-using one receipt on several orders;

iii)    Manipulation of point of sale system;

iv)     Over-stocking of perishable goods;

v)      Pilfering of foodstuff;

vi)     Collection of bribes from students to reserve hostel rooms;

vii)    Illegal room allocation by staff to students who have not paid;

viii)   Subletting of hostel rooms; and

ix)     Failure to maintain accurate records.

**TUM is ISO 9001:2015 Certified**

# 4.0    ROLES AND RESPONSIBILITIES

## 4.1    Role of Management

The University Management is responsible for:

i)      Corruption prevention and detection;

ii)     Setting ethical standards;

iii)    Setting up corruption prevention committees;

iv)     Providing guidance and support to staff

## 4.2    Role of University Staff and other Stakeholders

University staff and stakeholders are responsible for:

i)      Prompt reporting of incidences or suspected cases of corruption;

ii)     Identifying areas which are prone to corruption

## 4.3    The Supervisors

Supervisors are responsible for:

**i)**      Receiving, forwarding, and acting on reported cases**;**

ii)     Clearly explaining to the person making the disclosure what will happen to the information received;

iii)    Taking reasonable steps to ensure that the person who has made the disclosure is not victimized;

iv)     Assuming the responsibility for designing, implementing system improvements, and to ensure non-recurrence of the disclosure relates to their area of control.

**TUM is ISO 9001:2015 Certified**

# 5.0 STRUCTURES TO FIGHT CORRUPTION

TUM shall put in place the following but not limited to structures and measures to facilitate the prevention, detection, investigation and punishment of corruption offenders:

i) Establish and operationalize a Corruption Prevention Committee (CPC);

ii) Constitute an Integrity Assurance Committee;

iii) Operationalize corruption reporting mechanisms;

iv) Strengthen the internal audit department to enable them to conduct regular audits of the university;

v) Implement recommendations of both internal and external audits;

vi) Build a database of commonly occurring corruption practices;

vii) Ensure that all employees sign and abide by the Employee code of conduct;

viii) Sensitise the Council, staff, students and stakeholders regularly on the importance of fighting corruption;

ix) Ensure that all new employees are properly inducted and informed of the university commitments towards fighting corruption; and

x) Ensure that staff found engaging in corruption are adequately dealt with through a laid down disciplinary process.

## 5.1 Composition of the Corruption Prevention Committee/Integrity Committee

There shall be a Corruption Prevention Committee whose membership shall be as follows:

i) Vice-Chancellor (Chairperson);

ii) Deputy Vice-Chancellor (ARE);

iii) Deputy Vice-Chancellor (AFP);

iv) Senate representative;

v) Finance Officer;

vi) Internal Auditor;

vii) Legal Officer;

**TUM is ISO 9001:2015 Certified**

viii)     Procurement Manager; and

ix)      Integrity Assurance Officer (Secretary)

## 5.2     Mandate and Operations of the Corruption Prevention Committee

### 5.2.1     Mandate of the Committee

The committee shall be responsible for:

i)       Setting priorities in the prevention of corruption within the University;

ii)      Planning and coordinating corruption prevention strategies;

iii)     Integrating corruption prevention initiatives and recommending appropriate action;

iv)      Receiving and recommending action on corruption reports;

v)       Spearheading anti-corruption campaigns;

vi)      Monitoring and evaluating the impact of corruption prevention campaigns;

vii)     Developing University procedures on the investigation of corrupt conduct;

viii)    Monitoring the outcome of corruption investigations; and

ix)      Preparing and submitting quarterly and annual Corruption Prevention Performance Reports to EACC.

### 5.2.2     Meetings of the Committee

The committee shall convene at least one meeting every quarter at such time and place that the Chairperson may deem appropriate. Minutes of the quarterly meetings shall be submitted to the Ethics and Anti-corruption Commission together with the progress reports as per the Corruption Prevention Performance.

At all meetings of the committee, a quorum shall be the nearest whole number above half the membership.

Decisions of the committee shall be by a simple majority vote of those present and voting provided that the Chairperson shall have the casting vote in the event of a tie.

**TUM is ISO 9001:2015 Certified**

Where a member of the Committee is reported to have been involved in a corruption offence, he/she shall not attend or be part of the meetings that shall deliberate the report.

In the absence of the Vice-Chancellor, the DVC (AFP) shall chair the meeting.

## 5.3    Internal Audit Reviews

The Internal Audit department plays a crucial role in the prevention of corruption within the institution. It provides an adequate system for supervision, control and review of operational systems within the University. It also plays an important role in assessing the nature and extent of any corruption and fraud risk.

The Internal Audit Department shall, therefore, work closely with the CPC in achieving its mandate.

## 5.4    How to Report Corruption Internally and Externally

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

The CPC shall receive corruption allegation, reports, including anonymous reports addressed to the Committee via the following channels:

i)      Corruption reporting boxes placed strategically at all campuses

ii)     Email: corruptionprevention@tum.ac.ke or integrityassurance@tum.ac.ke

iii)    TUM website www.tum.ac.ke

Corruption allegation reports against a member of the University Management Board should be printed, enclosed in an envelope marked "private and confidential" and addressed to the "Human Resources and Appointment Committee" of the TUM Council.

Corruption allegation reports may be reported directly to EACC via the following channels:

i)      Anonymous Whistle-blowers System on the EACC website www.eacc.go.ke

ii)     Email – report@integrty.go.ke

iii)    In-person to the EACC officers in Mombasa

iv)     Any other means convenient to the reporter.

## 5.5    Protection of Whistle-blowers

Any person who voluntarily discloses corruption activities (whistle-blower) will be protected against reprisals. An employee, who suspects or reports suspected dishonest activity or any such activity that he/she has witnessed, may remain anonymous should he/she require it. In cases where the person who has disclosed this information may be posed with danger to his work, life or family due to his/her information on corruption activity, the whistle-blower policy will be applicable to protect the person.

## 5.6    Disciplinary Procedures

TUM commits to undertake the following measures concerning disciplinary measures for suspected fraud and corruption offenders:

i)      To investigate such irregular activities and follow up by the application of all remedies available within the full extent of the law, as well as the application of appropriate detection and prevention controls.

ii)     Where corruption cases have been deliberated upon and supported by evidence or have been investigated internally or externally by the relevant bodies and found to be true they will be subjected to the disciplinary measures. No person shall be exempted from the above.

iii)    Cases deliberated upon and found to be of high magnitude and cannot be handled internally shall be forwarded to the EACC.

iv)     Cases deliberated upon and found to be of a smaller magnitude shall be forwarded to the disciplinary committee.

**TUM is ISO 9001:2015 Certified**

v)  Any persons allegedly involved in corruption may be suspended for a period not exceeding three months if it is deemed that their presence in the office may interfere with investigations.

**TUM is ISO 9001:2015 Certified**

## 6.0  CORRUPTION RISK ASSESSMENT AND MANAGEMENT

Corruption Risk Assessment and Management is the process of determining organisations exposure to the threat of corruption and proposing mitigation measures aimed at eliminating the threat. The CPC shall, therefore, formulate a Corruption Prevention Plan in line with this policy. The Plan shall be reviewed periodically and address the following areas:

i)      Potential corruption risk areas: This will be achieved by conducting a Corruption Risk Assessment (CRA) of all operational areas of the University;

ii)     Proposed strategies and activities to seal identified corruption loopholes;

iii)    Responsibility for implementing the proposed strategies;

iv)    Budget and time frame for implementing each proposed strategy.

### 6.1    Training

The University through the CPC shall sensitise the council, staff, students and other stakeholders on matters of ethics and integrity. This shall be achieved by among others organising sensitization workshops and distributing information, education and communication (IEC) materials such as posters, leaflets and banners advocating for zero tolerance to corruption.

# 7.0    POLICY IMPLEMENTATION AND REVIEW

## 7.1    Policy Implementation

The Corruption Prevention Committee shall be responsible for implementing this Policy.

## 7.2    Policy Review

The Policy shall be reviewed after every three years or when an urgent need arises.

## THIS ANTI-CORRUPTION POLICY IS EFFECTIVE FROM THIS 1st DAY OF FEBRUARY 2019.

SIGNED…………………………………………

## COUNCIL CHAIRPERSON

**TUM is ISO 9001:2015 Certified**

CONTACT:
**Technical University of Mombasa (TUM)**
**Tom Mboya Street Tudor,**
**P.O. Box 90420-80100,**
**Mombasa-Kenya.**

Tel: (254) 41-2492222/3
Fax:(254)41-2495632
Mobile:(+254)0733 955377|020 8095368|020 8095371
E-mail: vc@tum.ac.ke
Website:www.tum.ac.ke