



UNIVERSITY OF EMBU

**CORRUPTION PERCEPTION SURVEY
REPORT 2016/2017**

Integrity Committee

FUNDAMENTAL STATEMENTS

VISION

To be a dynamic epicenter of excellence in training and research for service to humanity

MISSION

To generate, advance and disseminate knowledge through training, research and innovation for the development of humanity.

PHILOSOPHY

Enhancing human capacity for societal development

CORE VALUES

Integrity

Innovativeness

Professionalism

Customer focus

Teamwork

FOREWORD



On behalf of the University of Embu (UoEm), I am pleased to present the corruption perception survey Report. The Survey presents the responses and findings of 156 respondents drawn from University employees, students and suppliers. The main objective of the survey was to assess the levels of corruption in the University as perceived by employees, students and suppliers and to identify any loopholes in our operations so as to ensure that there are no opportunities for corruption. The findings will provide guidelines and strategies to prevent and fight corruption within the institution. Through this survey, UoEm is firmly making a commitment to prevent and fight corruption at all levels in its operations and amongst all members of staff, students and stakeholders. The University Management will establish organs that will be used to implement the recommendations of the survey.

I wish to appreciate the staff of the Internal Audit Department, Francis Ngure and Isaac Kibet who conducted this Survey. I know it would not have been possible without the kind support and help of many other individuals and organizations not mentioned above. Finally, I call upon all the University stakeholders to read this Report and endeavor to work with the University Integrity Committee to root out corruption and unethical conduct in the University.

Anti-corruption starts with YOU!

Signed



Date: 6th June, 2017

Vice – Chancellor/ Chair Integrity Committee

EXECUTIVE SUMMARY

The overall objective of the Survey was to assess the levels of corruption as perceived by employees; students and suppliers and their suggestions on how the service delivery could be improved. The survey focused on aspects of corruption and unethical behavior, including anti-corruption measures; effects and causes of corruption; capacities of the University to deliver efficient and corruption free services and the level of confidence and trust in the University to address problems of corruption and unethical behavior.

The survey targeted all UoEm students who were in session during the time of conducting the survey, suppliers who have participated in procurement processes in the University and University employees. The survey employed quantitative survey design. This entailed gathering information using self-completion questionnaires distributed to the respondents. The self-administered questionnaires were developed by Integrity Committee in consultation with EACC. Purposive random sampling procedure was employed to draw a representative sample. A guideline for sampling process for the study was developed, discussed and agreed upon by the Integrity Committee. The data for this survey was analyzed using Ms. Excel and SPSS Platforms. The open ended questions were tested for reliability and validity. The survey responses were analyzed and reported using descriptive statistics. The key finding of the survey shows that the overall corruption index in the University stood at 0.78. This indicates that the level of corruption at the University is between low and medium levels as shown in the following Table.

Factor	Scale (0-3)
Corrupt Practices	1.50
Change in level of corruption	1.13
Magnitude of corruption	0.30
Exerted Pressure	0.22
Average	0.78

Therefore on a score of 1 to 3 where,

0= Corruption free,

>0-1= Low,

>1-2= medium,

> 2-3= high

A score of 0.78 was considered to be at low level when put on a scale of 0 to 3. The survey therefore concluded that the level of corruption at the University was low. Only a few individuals engage in corruption in the University and most of those who engaged in corruption do so willingly. It was evident that the University Management was highly committed in fighting corruption and promoting sound ethical practices in the University. The management has also put in place effective corruption prevention measures in order to combat corruption in the University. Some of the measures include Integrity Committee, corruption prevention plan, sensitization, University codes of conduct, gifts register, anti-corruption boxes, e-mail & University website, telephone, conflict of interest register and taking action on officers found to be unethical or corrupt. The survey however noted that most of the respondents were not aware of telephone and e-mail reporting mechanisms. Most of the respondents also did not know the effectiveness of conflict of interest register. In regards to forms of misconducts experienced, it is evident that delays in service provision and lateness or absenteeism were experienced by most of the respondents a few times.

The survey recommends that the University should sensitize staff on the need to discharge their roles effectively and efficiently. Proper measures should also be put in place to ensure members of staff adhere to University code of conduct and improve service delivery. The University should also consider increasing service points in areas where customers experience delays. Staff should also be closely supervised and those found to be unethical or corrupt should face disciplinary action. Integrity Committee should also sensitize staff and other stakeholders on the corruption reporting mechanism and other measures put in place to prevent corruption and unethical practices in the University. The committee should also sensitize staff and other stakeholders on their role in fighting unethical practices and measures put in place to protect those who report the unethical behavior.

TABLE OF CONTENTS

	Page
FUNDAMENTAL STATEMENTS	i
FOREWORD	ii
EXECUTIVE SUMMARY	iii
LIST OF TABLES	vi
LIST OF FIGURES	vii
CHAPTER ONE: INTRODUCTION	1
1.1 Background of the Study.....	1
1.2 Objective of the Survey	2
1.3 Corruption Defined.....	2
CHAPTER TWO: METHODOLOGY	4
2.1 Research Design.....	4
2.2 Sampling Procedure.....	4
2.3 Sample Size	4
2.4 Data Collection Method	4
2.5 Data Analysis.....	4
CHAPTER THREE: SURVEY FINDINGS	5
3.1 Introduction.....	5
3.2 Response rate	5
3.3 Respondents Demography	5
3.4 Service Satisfaction and Corruption Perception of students and suppliers	6
3.5 Service satisfaction and Corruption Perception of Employees	16
3.6 Overall Corruption Index.....	24
CHAPTER FOUR: CONCLUSION AND RECOMMENDATION	26
4.1 Conclusion	26
4.2 Recommendation.....	26
APPENDICES	27

LIST OF TABLES

	Page
Table 3.1: Department or Section where Respondents Sought Services.....	7
Table 3.2: Forms of Misconduct Experienced.....	8
Table 3.3: Effectiveness of Corruption Prevention Measures in combating Corruption in the University.....	18
Table 3.4: Unethical behavior experienced when interacting with the Officers at the University.....	24
Table 3.5: Overall Corruption Index.....	25

LIST OF FIGURES

	Page
Figure 3.1: Gender of the respondents.....	5
Figure 3.2: Main occupation of the respondents.....	6
Figure 3.3: Bribe/unofficial payment or favors in order to get services.....	8
Figure 3.4: Reason for giving a bribe/favor.....	9
Figure 3.5: Service Satisfaction.....	10
Figure 3.6: Level of Corruption in UoEm.....	10
Figure 3.7: Basis of rating the level of corruption in UoEm.....	11
Figure 3.8: Change in Level of Corruption.....	12
Figure 3.9: Amount of Pressure Exerted In Order to Engage in Corruption.....	12
Figure 3.10: Spread of Corruption Among Categories of UoEm Employees.....	13
Figure 3.11: Initiation of Bribe.....	14
Figure 3.12: Action taken when there are delays while waiting for services.....	14
Figure 3.13: Awareness of anti-corruption reporting mechanisms in UoEm.....	15
Figure 3.14: Extent of leadership commitment in fighting corruption and promoting ethical practices in UoEm.....	16
Figure 3.15: Awareness Corruption Prevention Measures in the University.....	17
Figure 3.16: Awareness of the role of Integrity Committee in the University.....	17
Figure 3.17: Leadership Commitment in Fighting Corruption and Promoting Sound Ethical Practices in the University.....	19
Figure 3.18: Respondents Role in Fighting Corruption and Unethical Practices.....	20
Figure 3.19: Awareness of any Corrupt or Unethical Practices in the University.....	20
Figure 3.20: Change in Level of Corruption.....	22
Figure 3.21: Sensitization on anti-corruption prevention measures.....	23

CHAPTER ONE: INTRODUCTION

1.1 Background of the Study

The University of Embu (UoEm) was established in 2012 as a Constituent College of the University of Nairobi through the Legal notice No. 65 of June 17, 2011, becoming the successor of Embu Agricultural Staff Training Institute. On Friday, 7th October, 2016 Embu University College was awarded a Charter by H.E. President Uhuru Kenyatta. This marked the transition of the Institution from a Constituent College of UoN to a fully-fledged University.

The University has put in place a framework for ensuring a corruption-free working environment within its precincts. In this endeavor, the University is propelled by ideals enshrined in its vision, Mission, Strategic objectives and Core Values. These ideals and aspirations are only realizable within a framework of integrity and ethics, which creates a culture of zero-tolerance to any corruption practices. The University recognizes that all the stakeholders of the University are potential beneficiaries of corruption eradication, through efficient and quality services; improved infrastructure; fairness, justice and equity; respect for the rule of law; stability of policies, assurance of proper planning and sustained development; and improved personal safety and security of property.

To achieve the status of a corruption-free University, fighting corruption is the individual responsibility from where it spreads out to the groups and finally to the citizenry. This is due to the fact that it is only by changing ourselves that we can be able to effect changes on others. The desired change is one that bestows positive service delivery to humanity. Finally, the University Management is committed to the full implementation of this survey by allocating the necessary resources for training, establishment of corruption prevention mechanisms in every section, provision of avenues for reporting corruption incidences within the University and liaising with Ethics and Anti-Corruption Commission (EACC) on issues touching on corruption.

1.2 Objective of the Survey

The general objective of this survey was to assess the levels of corruption as perceived by employees, students and suppliers, their views on the challenges they encounter in search for the services and their suggestions on how the service delivery could be improved.

1.3 Corruption Defined

Corruption is defined as “**the misuse of Public Power for Private Gain**”. Forms of corruption are:

- **Bribery** - When payment is made for services that should be freely given.
- **Embezzlement** - when public Property/money is collected for private use.
- **Extortion** - When money, services, or other gains are demanded with threats.
- **Fraud** - When private gain is obtained through trickery.
- **Favoritism** - When benefits are obtained through personal relations between those with power and those seeking favors (Recruitment, Tenders, Admission or other services). It may include nepotism or gender discrimination.

1.3.1 Corruption Survey

The Leadership and Integrity Act of 2012 and the Public Officer Ethics Act of 2003 provide the foundation and environment for developing, implementing and sustaining a sound and effective integrity system across the public sector and eradicating corruption. The corruption eradication indicator in the Performance Contracts is expected to provide the basis for mainstreaming mechanisms for prevention and detection of corruption in public institutions.

The corruption eradication indicator entails fulfilling the following key measures:

- a. Formulation of an institutional Anti-Corruption Policy
- b. Operationalizing Corruption Prevention/Integrity Committees
- c. Developing Corruption Prevention Plans
- d. Developing a Code of Conduct
- e. Integrity Training
- f. Baseline survey on corruption perception

The Corruption survey seeks to monitor corruption levels in the institutions over time and to evaluate the impact of corruption prevention programmes. The survey is also expected to assess whether public institutions have complied with the requirement of establishing the structures. Finally, the data collected will be used to assess the effectiveness of the anti-corruption strategies put in place by institutions.

1.3.2 Key Corruption Indices

Corruption indices provide an assessment about the scope and the aspects of corruption in public institutions. The Survey output has measured the level of corruption, the magnitude of corruption and service delivery ratings within the University. To ensure that these measures are captured as required, focus and emphasis was placed on the following as guided by EACC.

- 1. Corrupt practices:** This is expected to establish the kind of corrupt practices that are taking place in an institutional setting -within its functional and service delivery areas. A clear understanding of the activities and actors/players involved in creating a situation for corrupt practices (the exercising of pressure) and the actual act of corrupt behavior generated.
- 2. Corruption Pressure:** This is expected to measure the degree to which the employees or customers are subjected to direct or indirect pressure to participate in corrupt practices within the institution. It accounts for cases in which the public officer shows they expect corrupt behavior from the customer. This will record cases when a customer is asked for money, gift, or favor in order to have a service provided or problem solved. It measures the level of potential corruption in this institution over a given period of time.
- 3. Magnitude of Corruption:** This will reflect the assessment of the spread of corruption in the institution. The assessment of the spread of corruption reflects the general social environment and prevailing outlook on corruption, as well as the related image of the institution. This will provide the level of corruption in the University.
- 4. Expectations about the Future of Corruption:** This will reflect the expectations about the capacity of the institution to curb corruption. Customers' expectations will reflect the degree of public confidence on the University in handling corruption.

CHAPTER TWO: METHODOLOGY

2.1 Research Design

The research employed quantitative survey design. This entailed gathering information using self-completion questionnaires distributed to the respondents.

2.2 Sampling Procedure

Purposive random sampling procedure was employed to draw a representative sample. A guideline for sampling process for the study developed, discussed and agreed upon by the Integrity Committee.

2.3 Sample Size

The survey targeted all UoEm students who were in session during the time of conducting the survey, suppliers who have participated in procurement processes in the University and University employees. The students sample size was derived from the total population size of 4,000 students, 100 suppliers and 277 employees. The study used a sample size of 200 respondents.

2.4 Data Collection Method

The primary data collection method for this survey was a self-administered questionnaire designed on a 5 point Likert scale. This was complimented by open ended questions for clarification during questionnaire collection. The self-administered questionnaires were developed by Integrity Committee in consultation with EACC.

2.5 Data Analysis

The data for this survey was analyzed on Ms Excel and SPSS Platforms. The open ended questions were tested for inter-rater reliability. The survey responses were analyzed and reported using descriptive statistics.

CHAPTER THREE: SURVEY FINDINGS

3.1 Introduction

This chapter discusses the response rate, respondent demography and descriptive findings.

3.2 Response rate

The number of questionnaire that was administered to the sampled respondents was 200. A total of 156 questionnaires were dully filled and returned. This represents a response rate of 78% which is sufficient to give the findings adequate credence and reliability.

3.3 Respondents Demography

This section outlines the demographics of the respondents targeted and from which the findings are based. Various characteristics of the population under study are presented in the succeeding section. This includes gender, education level and occupation of the respondents.

3.3.1 Gender of the respondents

The survey sought to find out the gender of the respondents. The finding shown in Figure 3.1 indicates that 56% of the respondents who filled the questionnaires were female while 44% of those who filled the questionnaire were male.

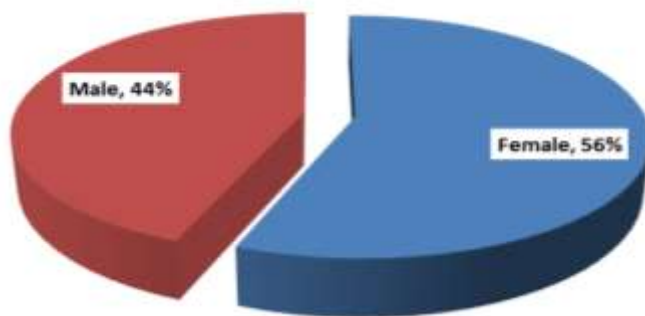


Figure 3.1: Gender of the respondents

3.3.2 Main occupation of the respondents

The survey sought to establish the occupation of the respondents. The results in Figure 3.2 indicate that 60% of the respondents were students, 25% were employees while 15% were suppliers.

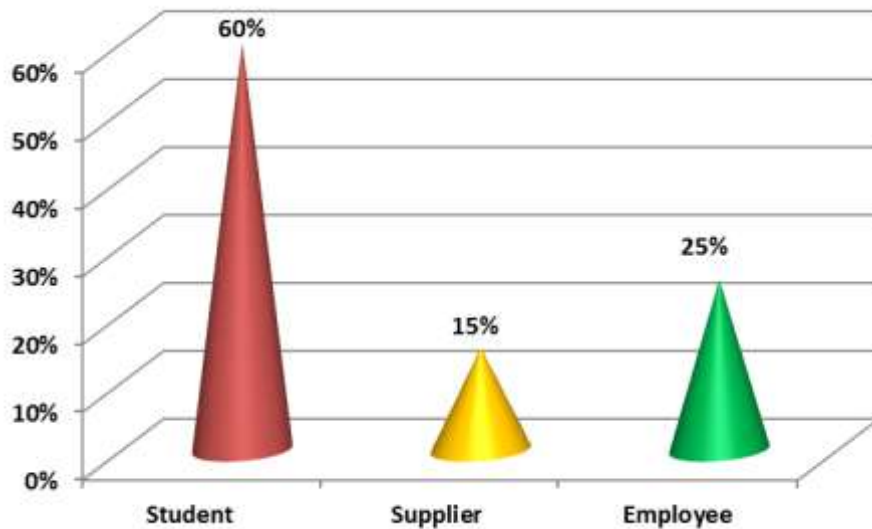


Figure 3.2: Main occupation of the respondents

3.4 Service Satisfaction and Corruption Perception of students and suppliers

This section presents the findings on service satisfaction and corruption perception of students and suppliers.

3.4.1 Department or section where respondents sought services

The survey sought to find out the departments/ section the respondents sought services. The results presented in Table 3.1 indicate that the respondents had sought services in 15 departments. It is evident that most of the respondent sought services from finance (42%) and procurement (30%). Some of the services sought by the respondents include payment of fees, unit registration, accommodation, catering, procurement and employment opportunities.

Table 3.1: Department or Section where Respondents Sought Services

Department/ Section where respondents sought service	% of respondents
Accommodation	2%
School of Education	4%
Biological sciences	2%
Dean school of Agriculture	2%
Estates	2%
Finance	42%
Catering	2%
Admission	2%
ICT	2%
Library	2%
Health Centre	2%
Procurement	30%
Reception	2%
School of Business	2%
Student Affairs	2%

3.4.2 Forms of Misconduct Experienced

The survey sought to establish how often the respondents had experienced certain forms of unethical behavior when interacting with the officers at the University. The results presented in Table 3.2 shows that most of the respondents indicated that they had never experienced the forms of misconducts cited apart from delays in service provision where majority 63% of the respondents indicated that they had experienced delays (33% a few times and 28% often). Majority (87%) of the respondents indicated that they had never experienced sexual harassment, 67% indicated that they had never experienced corruption/ criminal activities. Similarly, 63% of the respondents indicated that they had never experience abuse of power or favoritism on basis of ethnicity when seeking services. Most (57%) of the respondents indicated that they had never experienced any form of discrimination while 56% indicated that they had never experienced any conflict of interest and abusive or intimidating behavior. In addition, 50% of the respondents indicated that they had never experienced cases of lateness/ absenteeism in the institution.

Table 3.2: Forms of Misconduct Experienced

Form of Misconduct	Never	A few times	Often	Don't know
Delays in service provision	35%	33%	28%	4%
Discrimination	57%	13%	17%	13%
Putting self-interest before the public interest	56%	15%	22%	7%
Corruption/ Criminal activities (fraud, theft, embezzlement & bribery)	67%	15%	6%	12%
Abuse of power	63%	15%	15%	7%
Abusive or intimidating behavior	56%	13%	22%	9%
Sexual harassment	87%	4%	0%	9%
Lateness/ Absenteeism	50%	28%	19%	3%
Favoritism on basis of ethnicity while serving customers	63%	15%	11%	11%

3.4.3 Bribe/unofficial payment or favors in order to get services

The survey sought to establish whether the respondents gave a bribe, unofficial payment or a favour in order to get services at the place or office where service was being offered in the institution. The results in Figure 3.3 shows that majority (94%) of the respondents indicated that they had not given a bribe or favor in order to get services.

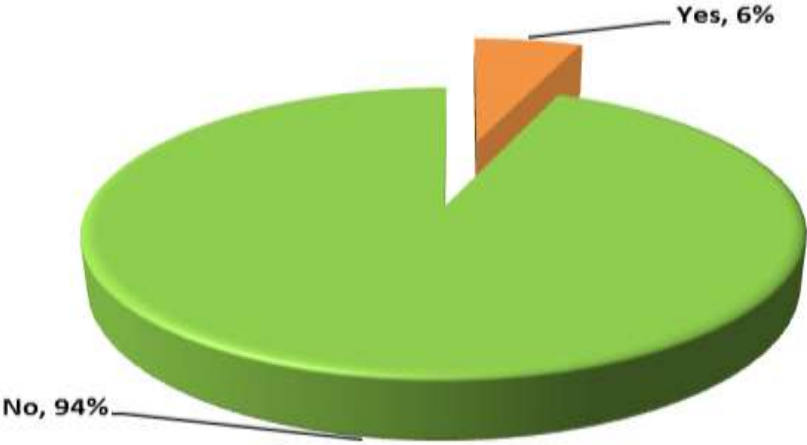


Figure 3.3: Bribe/unofficial payment or favors in order to get services

3.4.4 Reason for giving a bribe/favor

The survey requested the respondents who had offered a bribe or favor to indicate the number of times they had done so and the reason for giving a bribe or favor. The respondents stated that they had offered bribes or favors a few times due to the reasons presented in Figure 3.4. The Figure shows that majority (50%) of the respondents indicated that they gave a bribe to avoid delays in service delivery. A few (25%) of the respondents indicated that they usually offered the bribe or favor in order to obtain services while (25%) indicated that they offered the bribe or favor because it was demanded.

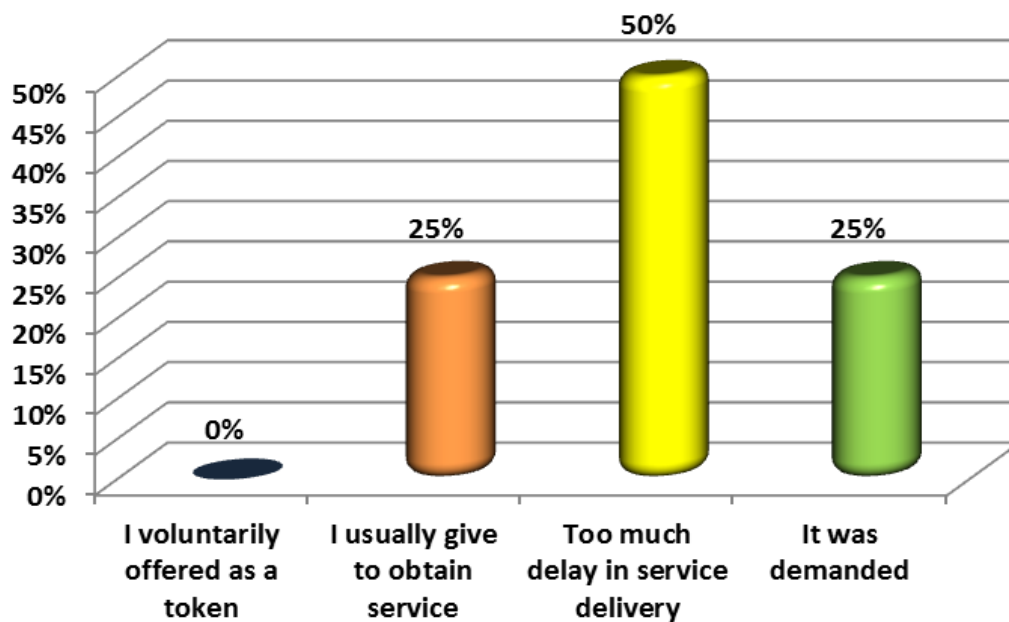


Figure 3.4: Reason for giving a bribe/favor

3.4.5 Overall Service Satisfaction

The survey sought to find out whether the respondents were satisfied with the services offered by the University. The finding in Figure 3.5 indicates that 17% of the respondents were very satisfied, 28% were satisfied while 22% were moderately satisfied. The results also indicate that 26% of the respondents were not satisfied while 7% did not commit themselves.

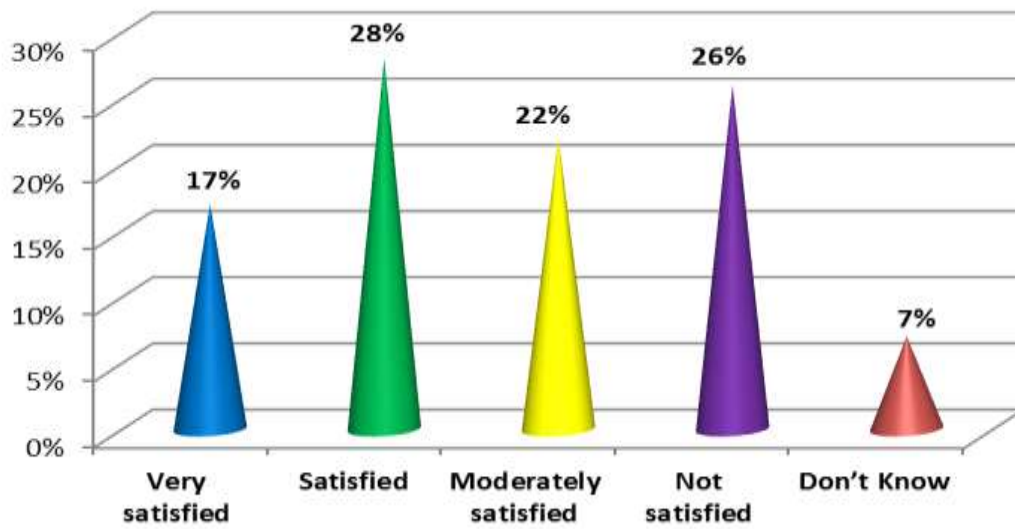


Figure 3.5: Service Satisfaction

3.4.6 Level of Corruption in UoEm

The study sought to establish the level of corruption in the University. The results in Figure 3.6 shows that 30% of the respondents rated the level of corruption in the institution as low, 28% rated as moderate while a few (9%) indicated that the level of corruption was high. However, 33% of the respondents indicated that they did not know the level of corruption in the University.

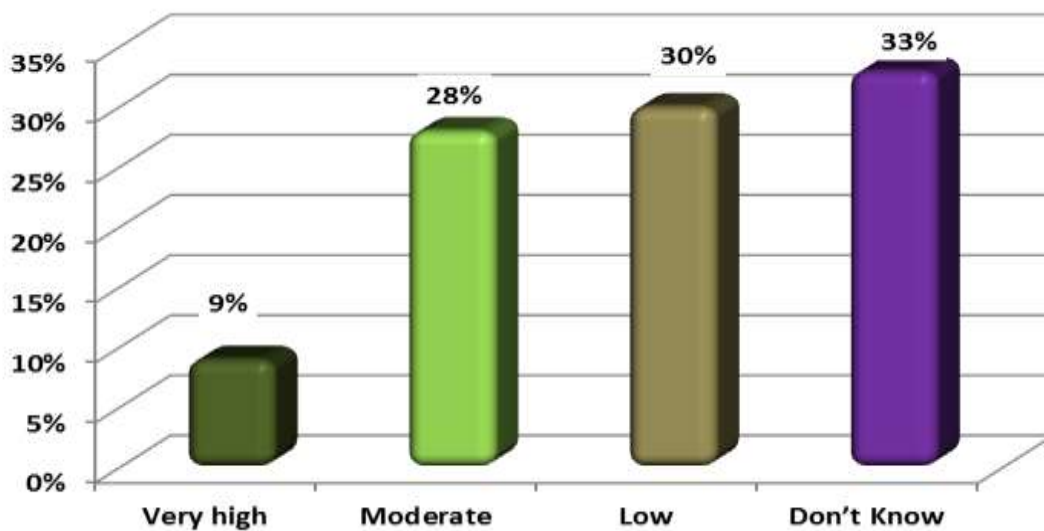


Figure 3.6: Level of Corruption in UoEm

3.4.7 Basis of Rating the Level of Corruption

The survey requested the respondents to indicate the basis they used in rating the level of corruption in the University. The findings in Figure 3.7 shows that majority (63%) of the respondents indicated that they rated the level of corruption based on their personal experience. A few (22%) of the respondents indicated that they based on information from the institution, 19% based on discussion with relatives and friends, 9% based on information from EACC while 4% based on information from place of worship.

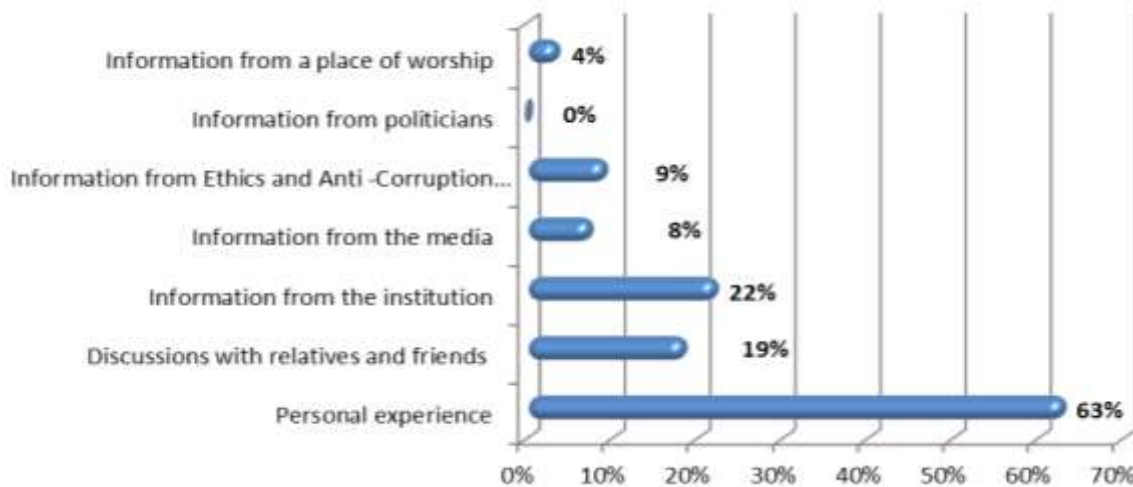


Figure 3.7: Basis of rating the level of corruption in UoEm

3.4.8 Change in Level of Corruption

The survey sought to find out how the level of corruption has changed in the University compared to two years ago. The findings in figure 3.8 shows that 26% of the respondents indicated that the level of corruption has increased, 13% indicated that the level has remained the same while 11% indicated that the level of corruption has reduced in the institution. However, 50% of the respondents did not know whether the level of corruption in the institution has increased, reduced or remained the same. The respondents who indicated that corruption has increased attributed the change to increased population in the University and tribalism. The respondents attributed the reduction in corruption level to top Management commitment to fight corruption and unethical practices. The respondents also attributed the reduction to anti-corruption measures put in place by the University, sensitization on integrity and internal controls.

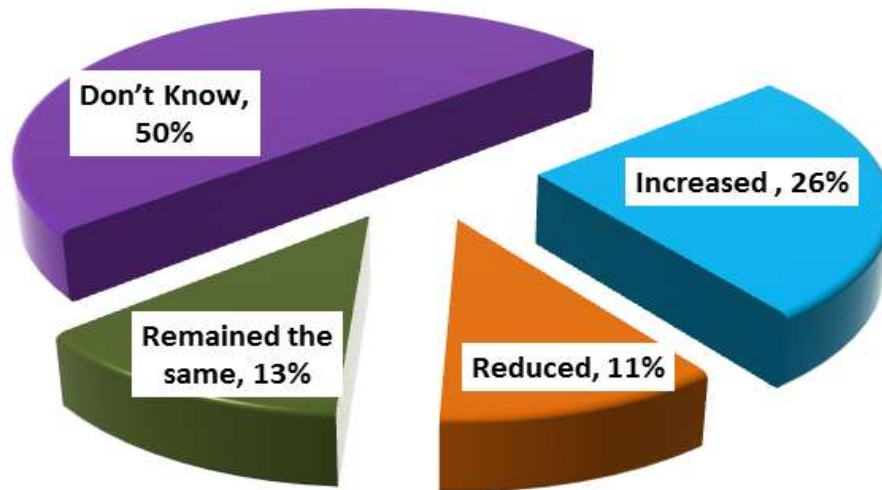


Figure 3.8: Change in Level of Corruption

3.4.9 Amount of Pressure Exerted In Order to Engage in Corruption

The study requested the respondents to indicate the amount of pressure exerted to them in order to engage in corruption. The results in Figure 3.9 shows that majority (88%) of the respondents indicated that no pressure at all had been exerted on them to engage in corruption. A few (6%) indicated that a fair amount of pressure was exerted on them, 4% indicated that a little pressure was exerted on them while 2% indicated that a lot of pressure was exerted on them in order to engage in corruption.

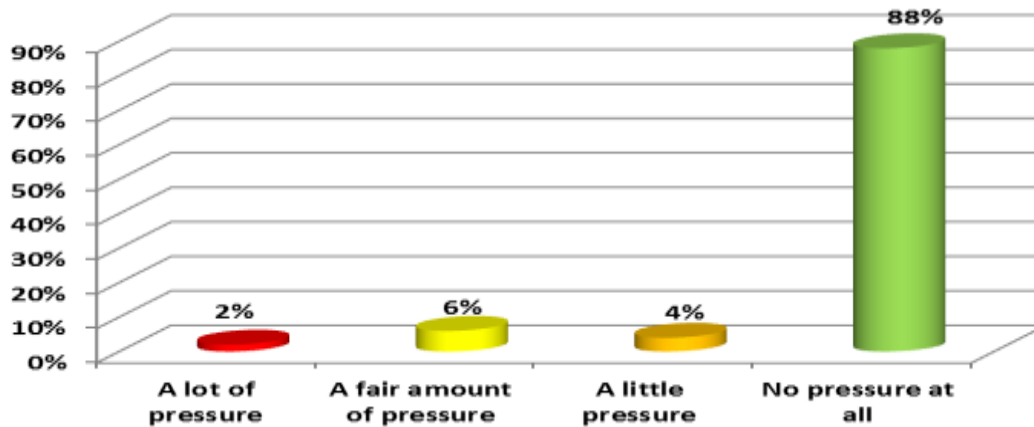


Figure 3.9: Amount of Pressure Exerted In Order to Engage in Corruption

3.4.10 Spread of Corruption Among Categories of UoEm Employees

The survey sought to establish how widespread corruption is among various groups of employees in the University. The results in Figure 3.10 shows that 30% of the respondents indicated that only a few officials are involved in corruption. The results also indicate that 19% of the respondents indicated that hardly any officials are involved in corruption. However, 51% of the respondents did not know how widespread corruption is in the institution.

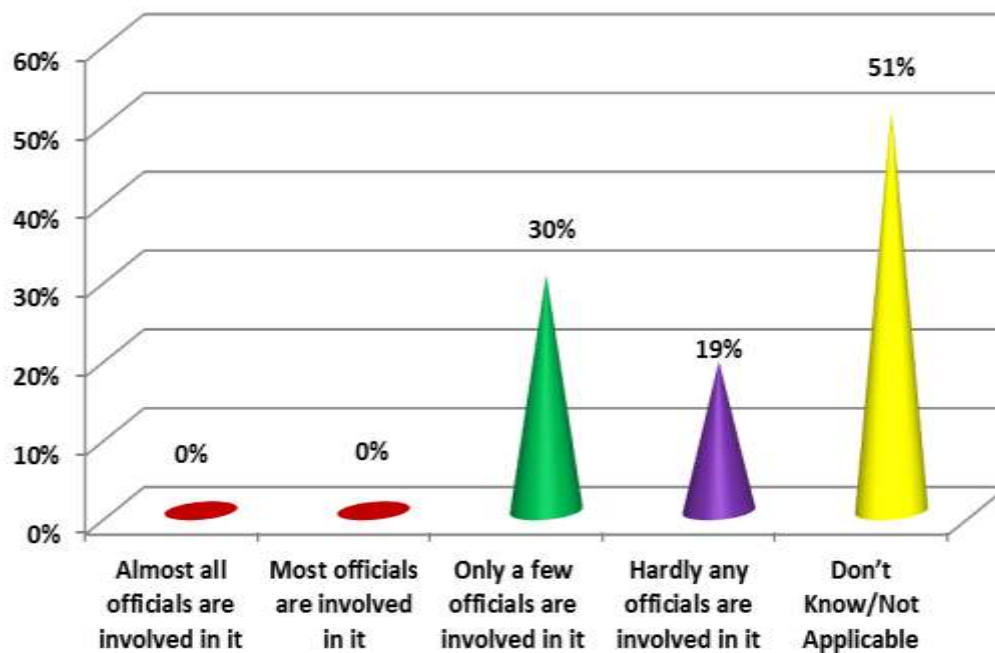


Figure 3.10: Spread of Corruption Among Categories of UoEm Employees

3.4.11 Initiation of Bribe

The survey sought to find out who usually initiates a bribe. The results presented in Figure 3.11 shows that 13% of the respondents indicated that a service provider indicates or asks for a bribe. The results also indicate that 7% of the respondents indicated that it is known before hand how to pay and how much to pay while 4% indicated that an individual offers a bribe on his/her own accord. However, 44% of the respondents had no opinion while 32% indicated that they did not know who initiates a bribe.

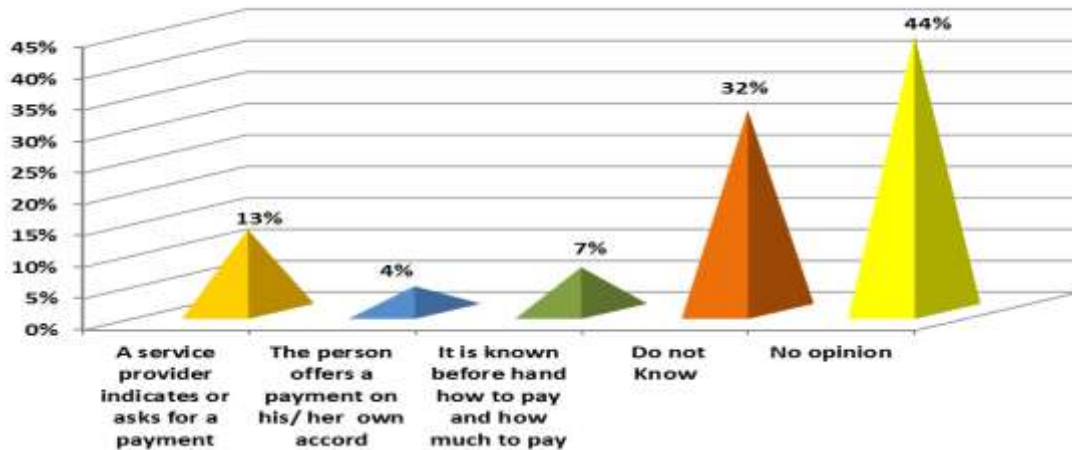


Figure 3.11: Initiation of Bribe

3.4.12 Action taken when there are delays while waiting for services

The survey sought to establish what the respondents would do if they experienced delays while waiting for services in the University. The findings in figure 3.12 shows that majority (56%) of the respondents indicated that they would lodge a complaint to the top management. A few (15%) of the respondents indicated that they won't worry, just wait until they are served while 13% indicated that they would do nothing and give up. The results also show that 7% of the respondents indicated that they would report to EACC. Similarly, 7% indicated that they would use influential people to help them while 2% indicated that they would offer a bribe or a gift to the officials.

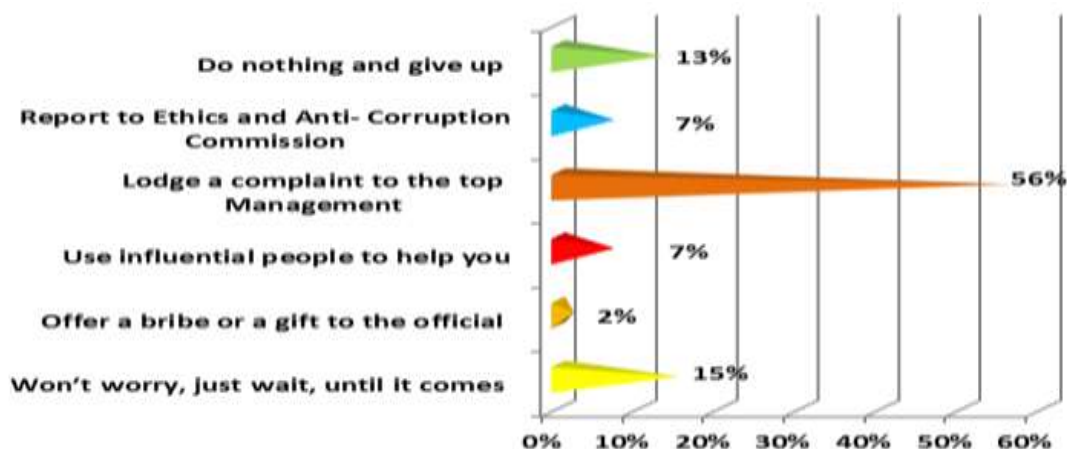


Figure 3.12: Action taken when there are delays while waiting for services

3.4.13 Awareness of anti-corruption reporting mechanisms in UoEm

The survey sought to find out if the respondents were aware of the various anti-corruption reporting mechanisms put in place by the University. The findings in Figure 3.13 shows that majority (72%) of the respondents indicated that they were aware of corruption reporting boxes. However, majority (70%) of the respondents indicated that they were not aware of telephone while 52% percent of the respondents indicated that they were not aware of email.

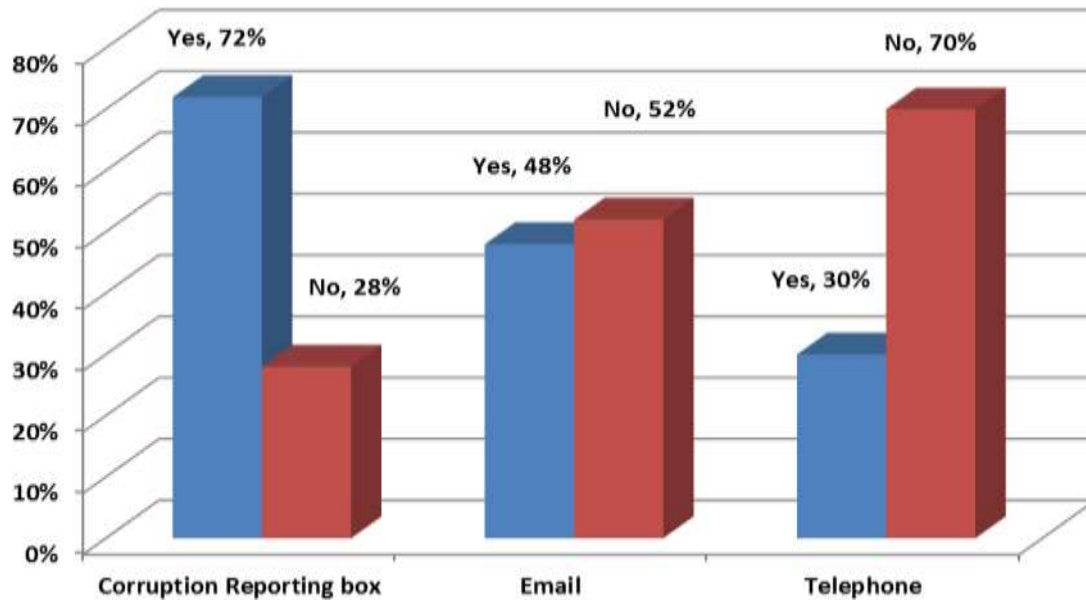


Figure 3.13: Awareness of anti-corruption reporting mechanisms in UoEm

3.4.14 Extent of leadership commitment in fighting corruption and promoting ethical practices in UoEm

The survey sought to establish the opinion of the respondents in regards to the extent of leadership commitment in fighting corruption and promoting sound ethical practices in the institution. The results in Figure 3.14 indicate that 33% of the respondents cited that the level of leadership commitment was moderate, 30% cited that the commitment was high while 17% cited that the leadership commitment was low. However, 20% of the respondents did not indicate whether the level of management commitment was high, moderate, sporadic or low.

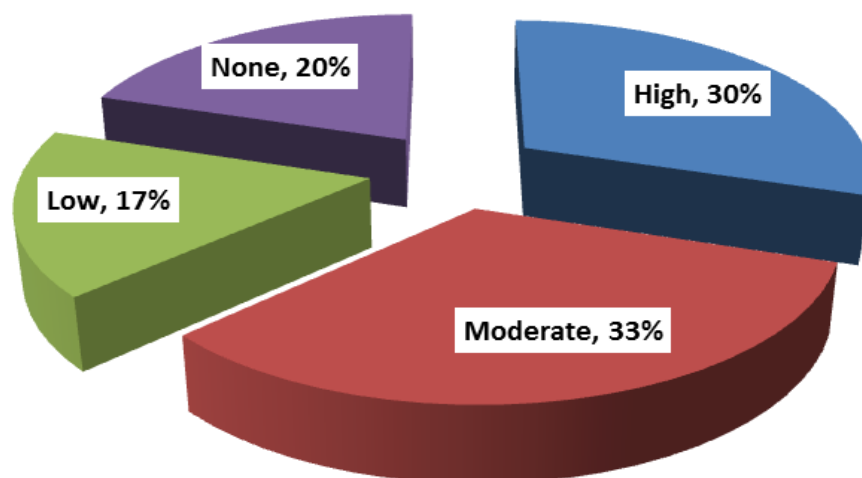


Figure 3.14: Extent of leadership commitment in fighting corruption and promoting ethical practices in UoEm

3.5 Service satisfaction and Corruption Perception of Employees

This section presents the findings on service satisfaction and corruption perception by the University employees.

3.5.1 Awareness on Corruption Prevention Measures in the University

The survey sought to find out if the respondents were aware of the various corruption prevention measures put in place in the University. The findings in Figure 3.15 shows that all (100%) of the respondents indicated that they were aware of University code of conduct.

Majority (95%) of the respondents further indicated that they were aware of staff sensitization on corruption and unethical conduct. Similarly, majority (87%) of the respondents was aware of integrity committee, 82% were aware of corruption prevention plan while 80% were aware of the chairperson and members of the integrity committee and gifts register. The findings also show that majority (80%) of the respondents were aware of gifts register and most (59%) of the respondents were aware of the existence of conflict of interest register.

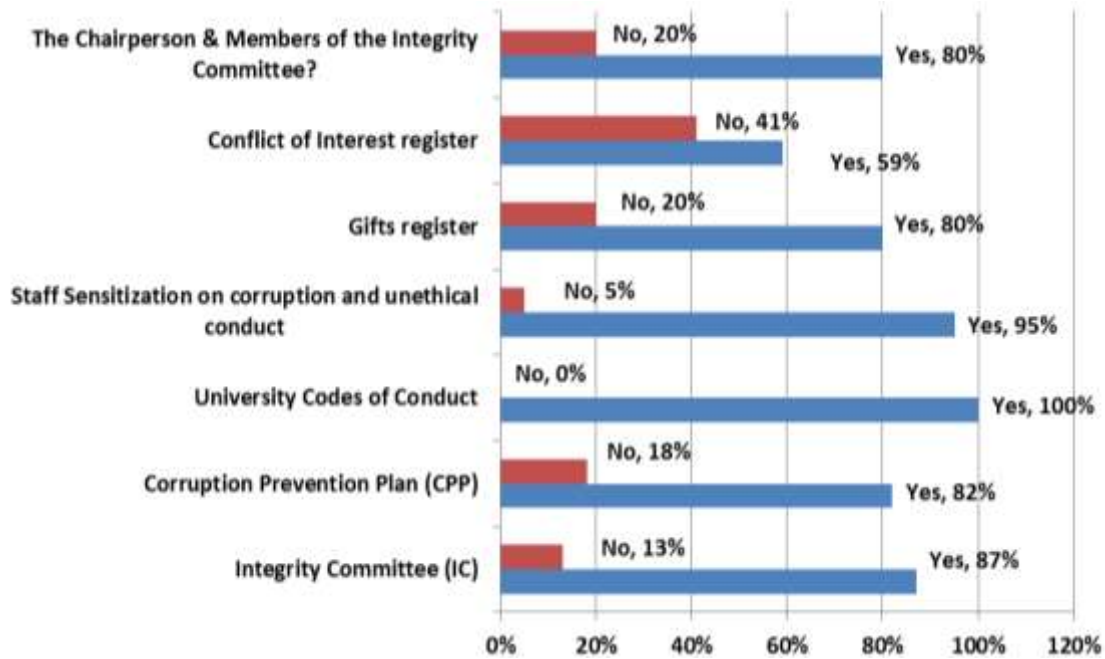


Figure 3.15: Awareness Corruption Prevention Measures in the University

3.5.2 Awareness of the role of Integrity Committee in the University

The survey sought to establish if the respondents were aware of the role of integrity committee. The results indicate that most (80%) of the respondents were aware of the role of the integrity committee.

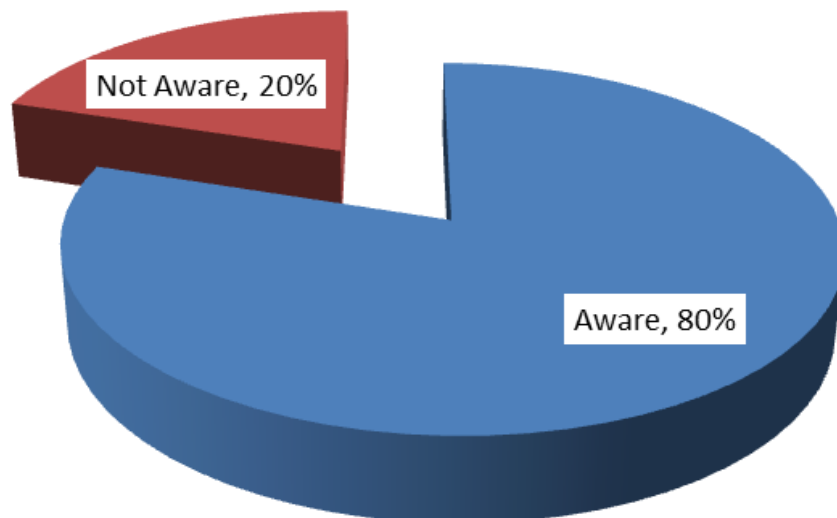


Figure 3.16: Awareness of the role of Integrity Committee in the University

3.5.3 Effectiveness of Corruption Prevention Measures in Combating Corruption in the University

The survey sought to establish the effectiveness of the various corruption prevention measures in combating corruption in the University. The results in Table 3.3 shows that majority (67%) of the respondents indicated that University Codes of Conduct was very effective while 64% concurred that staff sensitization on corruption and unethical conduct was very effective. Similarly, majority (56%) of the respondents agreed that action on officers found to be unethical and E-mail/University website were very effective. Most (54%) of the respondents also indicated that action on officers found to be corrupt was very effective. Most (51%) of the respondents indicated that integrity committee was moderately effective. Similarly, 49% of the respondents indicated that gifts register was moderately effective while 46% also indicated that corruption prevention plan was moderately effective. Other measures that were moderately effective are Anti-corruption boxes (39% very effective, 33% moderately effective), Telephone (36% very effective, 36% moderately effective) and Conflict of interest register (31% very effective, 26% moderately effective).

Table 3.3: Effectiveness of Corruption Prevention Measures in combating corruption in the University

Corruption Prevention Measures	Very effective	Moderately effective	Not effective	Do not know
Integrity Committee	39%	51%	5%	5%
Corruption Prevention Plan (CPP)	34%	46%	13%	7%
University Codes of Conduct	67%	33%	0%	0%
Staff Sensitization on corruption and unethical conduct	64%	31%	5%	0%
Gifts register	28%	49%	8%	15%
Anti-corruption boxes	39%	33%	10%	18%
E-mail & University website	56%	26%	10%	8%
Telephone	36%	36%	18%	10%
Conflict of interest register	31%	26%	15%	28%
Action on officers found to be unethical	56%	21%	3%	20%
Action on officers found to be corrupt	54%	21%	2%	23%

3.5.4 Leadership Commitment in Fighting Corruption and Promoting Sound Ethical Practices in the University

The survey sought to establish the opinion of the respondents in regards to the extent of leadership commitment in fighting corruption and promoting sound ethical practices in the institution. The results presented in Figure 3.16 indicate that most (64%) of the respondents indicated that the level of leadership commitment was high. The results also show that 28% of the respondents were of the opinion that the leadership commitment was moderate, 5% felt that the leadership commitment was sporadic while 3% cited that the leadership commitment was low.

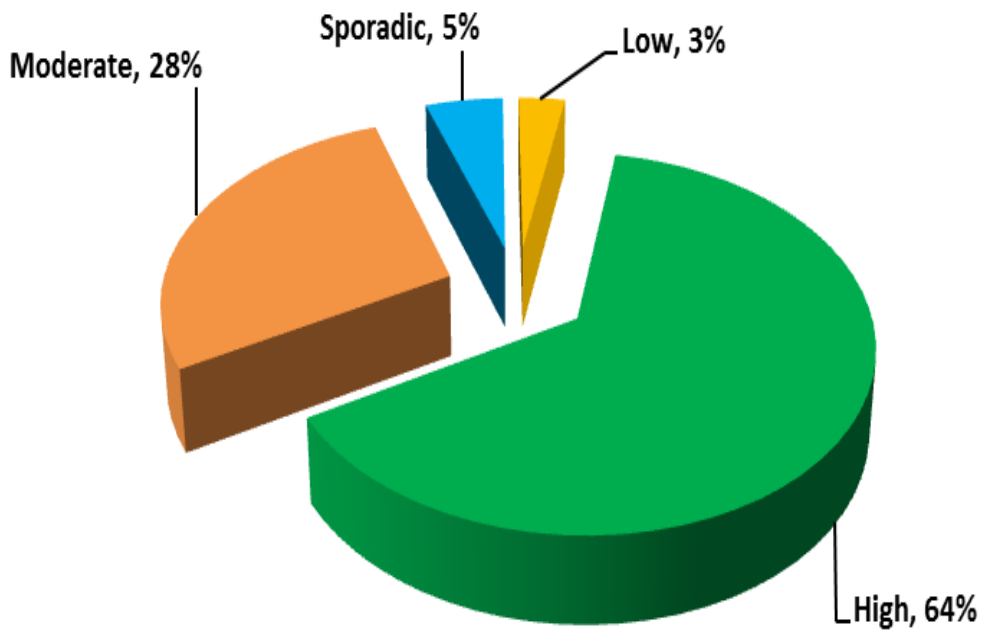


Figure 3.17: Leadership Commitment in Fighting Corruption and Promoting Sound Ethical Practices in the University

3.5.5 Respondents Role in Fighting Corruption and Unethical Practices

The survey sought the opinion of the respondents on whether they had a role in fighting corruption and unethical practices. The results in figure 3.17 indicates that majority (93%) of the respondents agreed that they had a role in fighting corruption and unethical practices.



Figure 3.18: Respondents Role in Fighting Corruption and Unethical Practices

3.5.6 Awareness of any Corrupt or Unethical Practices in the University

The respondents were requested to indicate whether they were aware of any corrupt or unethical practices at the University. The findings in Figure 3.18 shows that majority (74%) of the respondents indicated that they were not aware of any corrupt or unethical practices. A few (10%) indicated that they were aware of corrupt or unethical practices. However, 16% of the respondents indicated that they did not know whether there were corrupt or unethical practices in the institution or not.

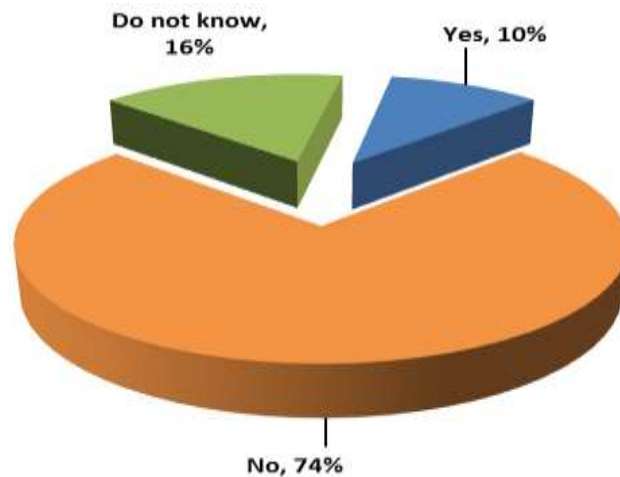


Figure 3.19: Awareness of any Corrupt or Unethical Practices in the University

3.5.7 Most Prevalent Types of Corruption or Unethical Practices in the University

The respondents who indicated that they were aware of corrupt or unethical practices in the University were requested to state the most prevalent types of corruption or unethical practices in the University. The results indicate that the following are the most prevalent types of corruption:-

- Embezzlement of funds
- Fraud
- Bribery
- Exam malpractices
- Procurement malpractices
- Recruitment malpractices
- Drunkard-ness
- Nepotism

3.5.8 Change in Level of Corruption

The survey sought to establish how the level of corruption has changed in the University compared to two years ago. The findings in Figure 3.19 shows that 47% of the respondents indicated that the level of corruption has reduced, 8% indicated that the level has remained the same while 3% indicated that the level of corruption has increased in the institution. However, 42% of the respondents did not know whether the level of corruption in the institution has increased, reduced or remained the same. The respondents attributed the reduction in corruption level to top management commitment in fighting corruption and unethical practices. The respondents also attributed the reduction to anti-corruption measures put in place by the University, sensitization on integrity and internal controls. The respondents who indicated that corruption has increased attributed the change to increased population in the university and tribalism.

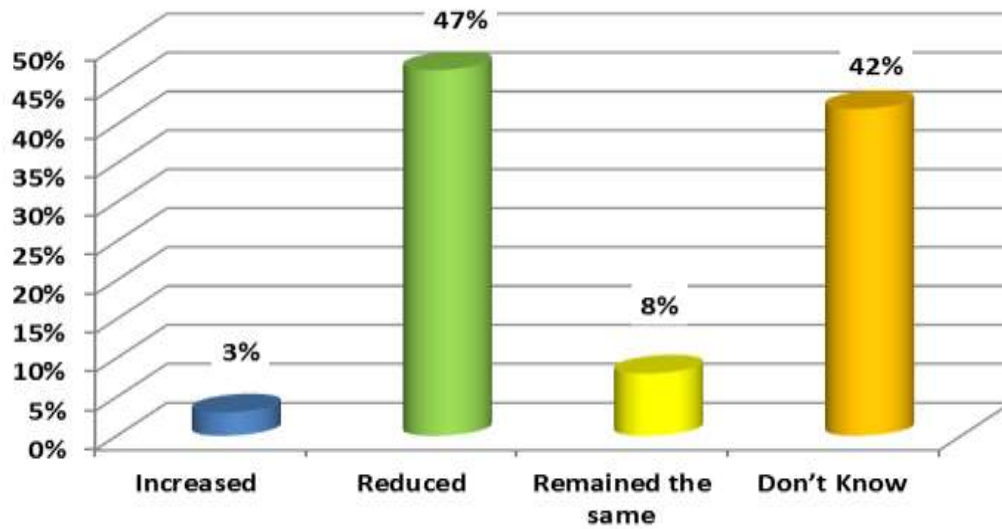


Figure 3.20: Change in Level of Corruption

3.5.9 Sensitization on Anti-corruption Prevention Measures

The survey sought to find out whether the respondents had been sensitized on anti-corruption prevention measures. The results in figure 3.20 shows that majority (90%) of the respondents indicated that they had been sensitized. The respondents further suggested the following areas to be included in future sensitization:

- Corruption reporting procedures
- Procurement malpractices
- Money laundering
- Exam malpractices
- Plagiarism
- Code of conduct
- Conflict of interest and gifts registers
- Legal and moral corruption
- More sensitization through posters
- Use practical areas within the University to sensitize

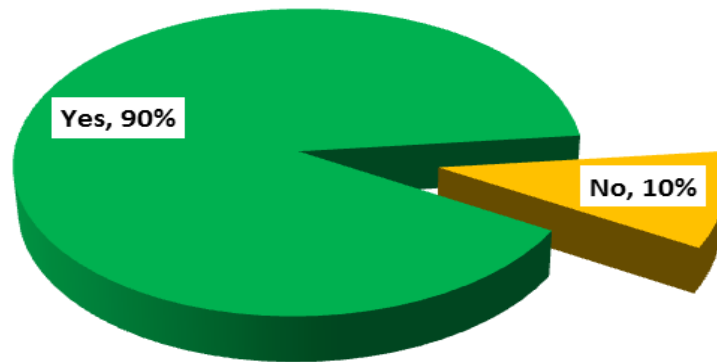


Figure 3.21: Sensitization on anti-corruption prevention measures

3.5.10 Unethical behavior experienced when interacting with the Officers at the University

The survey sought to establish how often the respondents had experienced certain forms of unethical behavior when interacting with the officers at the university. The results presented in Table 3.4 shows that most of the respondents indicated that they had never experienced the forms of misconducts cited apart from delays in service provision and lateness/absenteeism where 62% of the respondents indicated that they had experienced a few times. Majority (87%) of the respondents indicated that they had never experienced sexual harassment while 80% indicated that they had never experienced favoritism on basis of ethnicity while serving customers. Similarly, 64% of the respondents indicated that they had never experience abuse of power while 62% indicated that they had never experienced any form of discrimination. Most (59%) of the respondents indicated that they had never experienced any form of Corruption/ Criminal activities. The results also indicate that most (59%) of the respondents had never experienced abusive or intimidating behavior while 56% indicated that they had never experienced any conflict of interest.

Table 3.4: Unethical behavior experienced when interacting with the Officers at the University

FORM OF MISCONDUCT	Never	A few times	Often	Don't know
Delays in service provision	31%	62%	7%	0%
Discrimination	62%	31%	3%	4%
Putting self-interest before the public interest	56%	26%	2%	16%
Corruption/ Criminal activities	59%	26%	0%	15%
Abuse of power	64%	23%	3%	10%
Abusive or intimidating behavior	59%	33%	8%	0%
Sexual harassment	87%	5%	0%	8%
Lateness/ Absenteeism	26%	62%	12%	0%
Favoritism on basis of ethnicity while serving customers	80%	10%	3%	7%

3.6 Overall Corruption Index

The survey sought to find out the overall corruption index in the University. The findings are presented in Table 3.5 which shows that the overall corruption index stood at 0.78. This indicates that the level of corruption at the University is between low and medium levels.

Therefore on a score of 1 to 3 where

0= Corruption free,

>0-1= Low,

>1-2= medium,

> 2-3= high

A score of 0.78 will be considered to be at low level when put on a scale of 0 to 3.

Table 3.5: Overall Corruption Index

Factor	Scale (0-3)
Corrupt Practices	1.50
Change in level of corruption	1.13
Magnitude of corruption	0.30
Exerted Pressure	0.22
Average	0.78

The results in Table 3.5 indicates that corrupt practices which might include bribery, embezzlement, extortion, fraud and favoritism had the highest index at 1.50 followed by change in level of corruption at 1.13, magnitude of corruption at 0.30 and exerted pressure to engage in corruption at 0.22. This implies that most of those who engaged in corruption do so willingly. The magnitude or widespread also indicates that only a few individuals engage in corruption.

CHAPTER FOUR: CONCLUSION AND RECOMMENDATION

4.1 Conclusion

The level of corruption at the University was low. Only a few individuals engage in corruption in the University and most of those who engaged in corruption do so willingly. It was evident that the University Management was highly committed in fighting corruption and promoting sound ethical practices in the University. The Management has also put in place effective corruption prevention measures in order to combat corruption in the University. Some of the measures include integrity committee, corruption prevention plan, sensitization, University codes of conduct, gifts register, anti-corruption boxes, e-mail & University website, telephone, conflict of interest register and taking action on officers found to be unethical or corrupt. The survey however noted that most of the respondents were not aware of telephone and e-mail reporting mechanisms. Most of the respondents also did not know the effectiveness of conflict of interest register. In regards to forms of misconducts experienced, it is evident that delays in service provision and lateness or absenteeism were experienced by most of the respondents a few times.

4.2 Recommendation

The University should sensitize staff on the need to discharge their roles effectively and efficiently. Proper measures should also be put in place to ensure members of staff adhere to University code of conduct and improve service delivery. The University should also consider increasing service points in areas where customers experience delays. Staff should also be closely supervised and those found to be unethical or corrupt should face disciplinary action. Integrity committee should also sensitize staff and other stakeholders on the corruption reporting mechanism and other measures put in place to prevent corruption and unethical practices in the University. The committee should also sensitize staff and other stakeholders on their role in fighting unethical practices and measures put in place to protect those who report the same. In addition conflict of interest to be incorporated in all agenda of the University meeting and two additional conflict of interest register be opened and maintained in the offices of Registrar Academic, Research & Extension (ARE) and Registrar Planning, Administration & Finance (PAF).

APPENDICES

Appendix I Supplier/ Students Questionnaire



UNIVERSITY OF EMBU

CORRUPTION BASELINE SURVEY (SUPPLIER/ STUDENTS) 2016/2017

The University of Embu (UoEm) is carrying out a baseline survey to establish corruption perception index. The purpose of this survey is to find out the perception of Customers, Students /Employees towards Corruption at UoEm. We are therefore kindly requesting you to fill in all sections of this questionnaire. All questions should have only one answer. Do not indicate your name.

1. Gender of the respondents:

- a. Male
- b. Female

2. Education Level:

- 1. Primary education
- 2. Secondary school
- 3. Tertiary College
- 4. University
- 5. Other (specify).....

3. Main occupation of the respondent:

- 1. Student []
- 2. Supplier []
- 3. Other (specify).....

4. Department/section where you sought service in the University.

.....

5. Which service did you seek?

.....

6. How often, if ever, have you experienced the following unethical behavior when interacting with the Officers at the University? Please tick as appropriate.

FORM OF MISCONDUCT	Never	A few times	Often	Don't know
Delays in service provision				
Discrimination				
Putting self-interest before the public interest				
Corruption/ Criminal activities (fraud, theft, embezzlement & bribery)				
Abuse of power				
Abusive or intimidating behavior				
Sexual harassment				
Lateness/ Absenteeism				
favoritism on basis of ethnicity while serving customers				

7. At the place or office where service was being offered, did you give a bribe/unofficial payment or a favour in order to get the services

1. Yes [] 2. No []

8. If yes to above question (8), how many times did you give a bribe/ favour.

.....

9. What made you give?

- 1. I voluntarily offered as a token []
- 2. I usually give to obtain service []
- 3. Too much delay in service delivery []
- 4. It was demanded []
- 5. Others (specify).....

10. Overall, Were you satisfied with the services offered

- 1. Very satisfied []
- 2. Satisfied []
- 3. Moderately satisfied []
- 4. Not satisfied []
- 5. Don't Know []

11. How would you rate the level of corruption in this institution today?

- 1. Very high []
- 2. Moderate []
- 3. Low []
- 4. Don't know []

12. When rating the level of corruption in this institution, what do you base your assessment on? **(Tick those that apply)**

- 1. Personal experience
- 2. Discussions with relatives and friends
- 3. Information from the institution
- 4. Information from the media
- 5. Information from Ethics and Anti -Corruption Commission
- 6. Information from politicians
- 7. Information from a place of worship
- 8. Other(Specify) -----

13. Compared to 2 years ago, how has the level of corruption changed in the institution?

- a. Increased []
- b. Reduced []
- c. Remained the same []
- d. Don't Know []

14. What would you attribute your answer in 14 above to:

.....

15. How much pressure was exerted on you by public officers of this Department to engage in corruption?

- 1. A lot of pressure []
- 2. A fair amount of pressure []
- 3. A little pressure []
- 4. No pressure at all []

16. In your own assessment, how widespread is corruption among the following groups (categories of employees) in this University/Department?

- 1. Almost all officials are involved in it []
- 2. Most officials are involved in it []
- 3. Only a few officials are involved in it []
- 4. Hardly any officials are involved in it []
- 5. Don't Know/Not Applicable []

17. Who usually initiates a bribe (**read the options and tick as appropriate**)

- 1. A service provider indicates or asks for a payment []
- 2. The person offers a payment on his/ her own accord []
- 3. It is known before hand how to pay and how much to pay []
- 4. Do not Know []
- 5. No opinion []

18. What would you do if you experience delays while waiting for the services in this institution?

1. Won't worry, just wait, until it comes []
2. Offer a bribe or a gift to the official []
3. Use influential people to help you []
4. Lodge a complaint to the top Management []
5. Report to Ethics and Anti- Corruption Commission []
6. Do nothing and give up []
7. Other (Specify) -----

19. Are you aware of the following anti-corruption reporting mechanisms in the University?

Corruption Reporting Mechanisms	Yes	No
a. Corruption Reporting box		
b. Email		
c. Telephone		
d. Others		

20. Tick (√) in the table below the extent of leadership commitment in fighting corruption and promoting sound ethical practices in this institution

Level of commitment	Tick(√) as appropriate
High	
Moderate	
Sporadic	
Low	
None	

21. Please suggest ways of improving the fight against corruption in the University

.....

.....

.....

.....

.....

.....

.....

.....

.....

Thank you for taking time to fill in this questionnaire

Appendix II Employee Questionnaire



UNIVERSITY OF EMBU

CORRUPTION BASELINE SURVEY (EMPLOYEE) 2016/2017

The University of Embu (UoEm) is carrying out a baseline survey to establish corruption perception index. The purpose of this survey is to find out the perception of Customers, Students /Employees towards Corruption at UoEm. We are therefore kindly requesting you to fill in ALL sections of this questionnaire. All questions should have only one answer. Do not indicate your name.

SECTION I: BACKGROUND

1. Kindly tick your gender

- a. Male
- b. Female

2. Are you aware of the following in the University?

Corruption Prevention Measures	Yes	No
Integrity Committee (IC)		
Corruption Prevention Plan (CPP)		
University Codes of Conduct		
Staff Sensitization on corruption and unethical conduct		
Gifts register		
Conflict of Interest register		
The Chairperson & members of the Integrity Committee?		

3. What is the role of Integrity Committee in the University?

.....

.....

.....

.....

4. How effective have the following measures of Corruption Eradication in combating corruption in the University? (Tick appropriately)

Corruption Prevention Measures	Very effective	Moderately effective	Not effective	Do not know
Integrity Committee				
Corruption Prevention Plan (CPP)				
University Codes of Conduct				
Staff Sensitization on corruption and unethical conduct				
Gifts register				
Anti-corruption boxes				
E-mail & University website				
Telephone				
Conflict of interest register				
Action on officers found to be unethical				
Action on officers found to be corrupt				

5. Tick (√) in the table below the extent of leadership commitment in fighting corruption and promoting sound ethical practices the university.

Level of commitment	Tick(√) as appropriate
High	
Moderate	
Sporadic	
Low	
None	

6. Do you think you have a role in fighting corruption and unethical practices?
- a. Yes
 - b. No

7. Are you aware of any corrupt or unethical practices at University of Embu?
- a. Yes
 - b. No
 - c. Do not know

8. If yes to question 7, state any three most prevalent types of corruption at UoEm

- a.
- b.
- c.

9. Compared to 2 years ago, how has the level of corruption changed in the institution?

- e. Increased
- f. Reduced
- g. Remained the same
- h. Don't Know

10. What would you attribute your answer in 9 above to:

.....
.....

11. Have you been sensitized on anti-corruption prevention measures?

- a. Yes
- b. No

12. Please suggest areas that should be included in the future sensitization

.....

.....

.....

.....

.....

.....

13. How often, if ever, have you experienced the following unethical behavior when interacting with the Officers at the University? Please tick as appropriate.

FORM OF MISCONDUCT	Never	A few times	Often	Don't know
Delays in service provision				
Discrimination				
Putting self-interest before the public interest				
Corruption/ Criminal activities (fraud, theft, embezzlement & bribery)				
Abuse of power				
Abusive or intimidating behavior				
Sexual harassment				
Lateness/ Absenteeism				
favoritism on basis of ethnicity while serving customers				

14. Please suggest ways of improving the fight against corruption in the University

.....

.....

.....

.....

.....

.....

Thank you for taking time to fill in this questionnaire



UNIVERSITY OF EMBU

P.O. BOX 6 - 60100

EMBU, KENYA

TEL: (+254-20) 2444136

EMAIL: vc@embuni.ac.ke, info@embuni.ac.ke

WEBSITE: www.embuni.ac.ke