

**THE CATHOLIC UNIVERSITY OF EASTERN AFRICA**



**DEPARTMENT OF CONTINUING PROFESSIONAL DEVELOPMENT, PROJECTS AND RESEARCH**

**LEGAL COMPLIANCE AUDITS FOR STATE CORPORATIONS**

**(9<sup>th</sup> to 13<sup>th</sup> APRIL 2018)**

**MOMBASA**

**SEMINAR PROGRAMME**

<b>DAY 1 Monday</b>		
<b>Time</b>	<b>Activity</b>	<b>Facilitator/Moderator</b>
<b>08.00am to 08.45 am</b>	<b>Arrival of delegates, registration,</b>	<b>Charles B G Ouma CUEA CPD</b>
<b>08.45am to 09.00am</b>	<b>Introductions, identifications of expectations and climate setting</b>	<b>Charles B G Ouma CUEA CPD</b>
<b>09.00am to 09.45 am</b>	<b>About Legal Audits/Why Legal Audits?</b>	<b>Charles B G Ouma CUEA CPD</b>
<b>09.45am to 10.15am</b>	<b>Why Compliance is an issue</b> <b>Case Study 1: Kenya Civil Aviation Authority</b> <b>Case Study 2: Kenyatta National Hospital</b> <b>Case study 3: Rebecca Nabutola</b>	<b>Charles B G Ouma CUEA CPD/ODPP/EACC</b>

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10.15am to 10.45am	Health Break	
10.45 to 11.15am	Structuring a Legal Audit	Charles B G Ouma CUEA CPD
11.15am to 11.45 am	Proposal writing for Legal Audits	Charles B G Ouma CUEA CPD
11.45am to 12.30	The Technical Bid/The Finance Bid	Charles B G Ouma CUEA CPD
12.30 to 01.00 pm	Evaluating Proposals	Charles B G Ouma CUEA CPD
01.00pm-02.00pm	Health Break	
02.00pm-03.00pm	Exercise 1: Participants make a presentation on a proposed Legal Audit on their respective organization	Charles B G Ouma CUEA CPD
<b>DAY 2 Tuesday</b>		
08.30am to 09.00am	Document Review	Charles B G Ouma CUEA CPD
09.00am to 09.45am	The Compliance Matrix	Charles B G Ouma CUEA CPD
09.30am to 10.00 am	Data Collection instruments	Caroline Obura
10.00 am to 10.30 am	Health Break	
10.30am to 11.00am	Data Collection Instruments (Questionnaires/Interview Schedules)	Caroline Obura

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10.45am to 01.00pm	<b>Exercise 2: Participants respond to a Request for Proposals</b>	<b>Charles B G Ouma CUEA CPD</b>
01.00pm to 02.00pm	<b>Lunch Break</b>	
02.00pm to 03.00pm	<b>Exercise 2: Participants respond to a Request for Proposals</b>	<b>Charles B G Ouma CUEA CPD</b>
<b>Day 3 Wednesday</b>		
09.00 am to 10.00am	<b>Compliance issues in Public Procurement</b>	<b>Mwaniki Gachuba</b>
10.00am to 10.30am	<b>Health Break</b>	
10.30am to 11.30 pm	<b>Compliance issues in Public Procurement</b>	<b>Mwaniki Gachuba</b>
11.30 am to 12.30pm	<b>Compliance issues in Public Procurement</b>	<b>Mwaniki Gachuba</b>
12.30pm to 01.00 pm	<b>Exercise 3: Participants prepare a Compliance Matrix for an audit on the Department of Public Procurement</b>	<b>Mwaniki Gachuba</b>
01.00pm to 0.00pm	<b>Health Break</b>	
02.00pm to 03.00pm	<b>Exercise 3: Participants prepare a Compliance Matrix for an audit on the Department of Public Procurement</b>	<b>Charles B G Ouma</b>

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<b>Day 4 Thursday</b>		
<b>08.30 am to 09.15am</b>	<b>The Inception Meeting and the Inception Report</b>	<b>Charles B G Ouma</b>
<b>09.15 am to 10.00 am</b>	<b>Work Planning and activity scheduling</b>	<b>Charles B G Ouma</b>
<b>10.00 am to 10.30 am</b>	<b>Health Break</b>	
<b>10.30 am to 11.30 am</b>	<b>Data collection and data analysis</b>	<b>Caroline Obura</b>
<b>11.30am to 12.00</b>	<b>Data collection and data analysis. A quantitative Approach</b>	<b>TBA</b>
<b>12.00 to 01.00pm</b>	<b>Exercise 4: Participants prepare data collection instruments for an audit on the Department of Public Procurement</b>	<b>Charles B G Ouma</b>
<b>12.30pm to 01.00pm</b>	<b>Health Break</b>	
<b>02.00pm to 03.00pm</b>	<b>Exercise 4: Participants prepare data collection instruments for an audit on the Department of Public Procurement</b>	<b>Charles B G Ouma</b>
<b>EVENING</b>	<b>DINNER at agreed venue</b>	<b>TBA</b>
<b>Day 5 Friday</b>		
<b>08.30 am to 09.00am</b>	<b>Risk Assessment in Legal Audits</b>	<b>Charles Ouma</b>

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<b>09.00am to 09.30am</b>	<b>The Legal Audit Report</b>	<b>Charles Ouma</b>
<b>09.30 to 10.00am</b>	<b>Project and time management for Legal Audits</b>	<b>George Agola</b>
<b>10.00am to 10.300 am</b>	<b>Health Break</b>	
<b>10.30 am to 11.30 am</b>	<b>Project and time management for Legal Audits</b>	<b>George Agola</b>
<b>11.30 am to 12.15 pm</b>	<p><b>Exercise 4: Participants prepare a gannt chart using an excel template</b></p> <p><b>Revisit and refine the work plan/activity schedule on the inception</b></p> <p><b>Revisit and refine the calculation of ‘man days’ on the technical proposal</b></p> <p><b>Revisit and refine the data collection schedule on the inception report</b></p>	<b>George Agola/Charles B G Ouma/Caroline Obura</b>
<b>12.15 pm to 01.00 pm</b>	<b>Plenary/Lessons Learnt</b>	<b>Plenary/Charles G B Ouma</b>
<b>01.00pm to 01.30pm</b>	<b>Wrap up: Evaluation</b>	<b>Charles B G Ouma</b>
<b>01.30 pm to 02.30 pm</b>	<b>Health Break</b>	
<b>02.00 to 06pm</b>	<b>Visit to chosen destination</b>	
	<b>COCKTAIL</b>	

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### GUEST PRESENTATIONS ON

- **Legal Risk Management**
- **Board issues**
- **Public Finance**
- **Public Service Management**
- **Administrative Justice**
- **Ethics and Integrity**
- **ICT Governance**

**ALL GUEST PRESENTATIONS TAKE PLACE IN AFTRENOONS CHOSEN BY THE GUESTS. PROGRAMME WILL BE ADJUSTED BY CONSENSUS TO ACCOMMODATE THE GUEST PRESENTATIONS**



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