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**EVALUATING THE ROLE OF THE WEALTH DECLARATION
SYSTEM IN FIGHTING CORRUPTION IN KENYA**

Ogada Imelda Aluoch

MPPM/ 48886 / 2016

**A DISSERTATION SUBMITTED IN PARTIAL FULFILMENT OF
THE REQUIREMENTS FOR THE DEGREE OF MASTERS IN
PUBLIC POLICY AND MANAGEMENT IN STRATHMORE
BUSINESS SCHOOL**

**VT OMNES
VNVM SINT**

OCTOBER, 2021


DECLARATION

I declare that this dissertation has not been previously submitted and approved for the award of a masters' degree by this or any other university. To the best of my knowledge and belief, the dissertation contains no material previously published or written by another person except where due reference is made on the project itself.

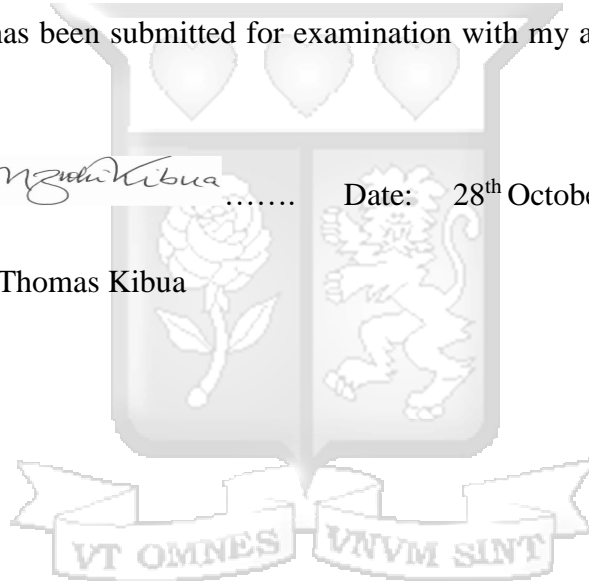
Signed by:  Date: 28th October 2021

Student: Ogada Imelda Aluoch

The dissertation has been submitted for examination with my approval as the University Supervisor

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Supervisor: Prof. Thomas Kibua



ABSTRACT

Recently, many developed and developing countries have embarked on a thorough re-evaluation of the role of government in their societies. Flowing from this, a redefinition of the political-administrative relationship has evolved, designed to ensure greater accountability and a greater devolution of power. Governance is concerned with structures and processes for decision-making, accountability, control and behavior at the top of organizations. This study sought to evaluate the effectiveness of the wealth declaration system and its role in fighting corruption in Kenya. The specific objectives that guided the study were:

To establish the compliance level of wealth declaration users in Kenya; Establish the enforcement outcomes of wealth declaration users in Kenya; Determine the awareness level of wealth declaration by users in Kenya; Investigate the effect of verification of declared forms on perceived corruption levels and to Assess the impact of the public disclosure policy on perceived corruption levels. The research was anchored on theory of reasoned action and institutional theory. The research design that was used for this is a mixed methodology which is both quantitative and qualitative. The target population for the study were enforcers and users of the wealth declaration system. These included independent offices, commissions, selected counties, and specific state departments. The study used purposive sampling to select ten (10) institutions and random sampling to select 10 employees in each of the institutions to form a sample size of 100. Data was collected using structured questionnaire. Data collected was cleaned and analyzed using SPSS version 25.0. The study found that public disclosure, compliance level and enforcement outcomes, awareness level of wealth declaration and verification of declared forms have positive and significant effect on the fight against corruption in Kenya. The study therefore concludes that although the asset declaration process has been ‘successfully enforced’ and that the compliance levels are high, the users (public officers) have been participating in the process as a formality and to avoid sanctions that come with non-compliance. The study recommends that Verification, Public disclosure and monitoring as tools for enforcement is what the Kenyan government should do to drive the purpose closer to its goal. The study also recommends that the government needs to amend the policy and legislation of the country to allow certain parameters like public disclosure to be legal so that the wealth declaration process can be more effective especially in fighting corruption. Likewise, the wealth declaration process should be automated for easier storage in a central depository system for ease of verification and ease of recognition and amendment of errors for accountability purposes

Keywords: *Wealth declaration system, corruption, public disclosure, compliance level and enforcement outcomes, awareness level, verification of declared forms*

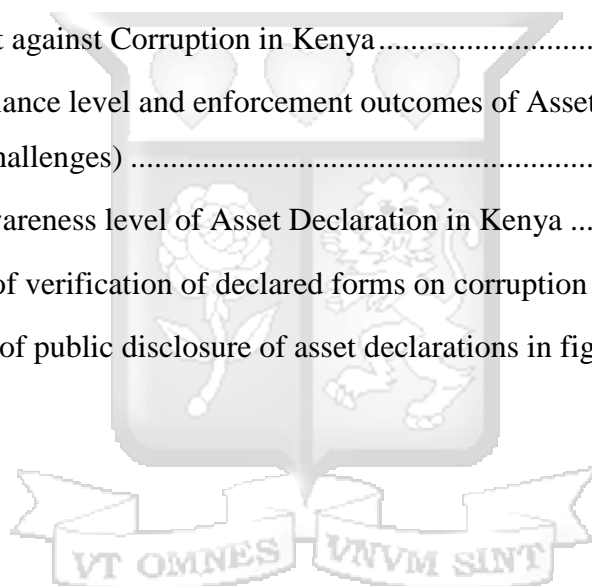
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ABBREVIATIONS

PSC- Public Service Commission

KRA- Kenya Revenue Authority

EACC -Ethics and Anti-Corruption Commission

DPP -Director of Public Prosecution

GOK- Government of Kenya

JSC -Judicial Service Commission

TSC- Teachers Service Commission

US -United States

AU -African Union

UN -United Nations

ACECA-Anti corruption and Economics Crimes Act 2003

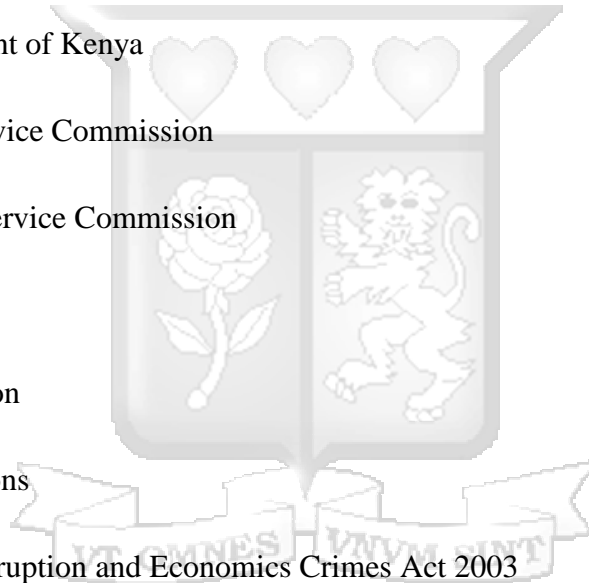
POEA-Public Officers and Ethics Act 2003

UNCAC-United Nations Convention Against Corruption

CPSB-County Public Service Board

CHRAJ-Commission for Human Rights and Justice

WD -Wealth declaration





CHAPTER ONE

INTRODUCTION

This study sought to evaluate the role of the wealth declaration system in Kenya since its inception in 2003 and assess whether it achieved its intended role. This chapter is comprised of five parts, it begins with the background to the study and moves to the problem statement, followed by the research objectives with a general and four specific objectives and corresponding research questions then the scope and significance of the study as conclusions.

1.1 Background to the Study

1.1.1. Corruption

According to Ogwang (2007) Corruption is not new, nor is it unique to any particular locality, country or region. On the contrary, it is a global phenomenon, with varying degrees of severity from one country to another. Corruption affects the poor disproportionately due to their powerlessness to change the status quo, and inability to pay bribes, creating inequalities that violate their human rights. It perpetuates discrimination, and contributes immensely to the violation of both civil and political rights, economic, social and cultural rights. Corruption spins a complex web in which the state quickly loses its authority and ability to govern for the common good, making it possible for critics to be silenced, for justice to be subverted, and for human rights abuses to go unpunished. (Ogwang, 2007).

Corruption in Kenya can be traced to Kenya's history. It hinders economic development, reduces social services and diverts investments in infrastructure, institutions and services. Corruption reflects a deficit in democracy, human rights and governance that negatively impacts on human security and the citizens of the state. (Portal, 2020)

It has devastating consequences such as wasteful spending, bigger budgetary deficits, greater economic inequality as well as unorthodox trading practices. (Portal, 2020).The

international community has increasingly been concerned with corruption and its negative impact on economic growth and poverty alleviation.

Kippra (2016) noted that after widespread globalization in the 90s there have been increased pressures globally for good governance especially in the public sector with the focus shifting from traditional public administration to new public management which introduced new reforms like legislation and institutions. (Kippra,2016)

Andvig (2000) says that corruption is a serious problem in Africa today. It has many faces namely, bribery, embezzlement, fraud, extortion, and other scandals both at the political and bureaucratic level (Andvig., 2000).

Transparency International's Corruption Perceptions Index (CPI) 2017 indicates that 143 out of 180 countries surveyed score less than 50 on the index, (out of a best possible score of 100) with 50 countries scoring less than 30, indicating rampant corruption. Out of the countries surveyed, only three African states, Botswana, Rwanda and Namibia, scored more than 50. Botswana was the highest ranked African country at 61, with Somalia at the rear with a CPI of 9 (Transparency International, 2013).

Botswana has indeed for a long time been preferred to Kenya as one of the few African countries with a relatively low rate of corruption. Kenya, on the other hand, is representative of a great many African states given that it is filled with a high prevalence of systemic corruption. (Ogwang, 2007)

The 2017 CPI ranked Kenya 143 out of 180 countries surveyed, with a score of 28 out of a possible 100. Notwithstanding the creation of an anti-corruption agency, and the adoption of legislation aimed at curbing the vice, corruption still continues unabated. According to the Transparency International Corruption Perception Index (CPI) surveys, Kenya has continued to score dismally falling below the midpoint of the scale of 0 (highly corrupt) to 100 (very lean) with the average score is 43. Indeed, of the 180 countries and territories that were ranked in 2020, Kenya has only improved a paltry 3 points from a score of 28 to 31 in 2020. This score puts Kenya at number 124 out of the 180 surveyed indicating endemic corruption.

1.1.2. Wealth Declaration

The Government of Kenya (2003) taking cognizance of the rampant corruption and pilferage of the public coffers, came up with the Public Officers Ethics Act, 2003, therein requiring public officers to file a statement of their wealth every two years. According to Transparency International, a wealth declaration entails a person's balance sheet and should cover wealth, from all homes, valuables, and financial portfolios, to liabilities, such as debts and mortgages, and all sources of income from directorships and investments to consulting contracts. It should also include gifts and sponsorship deals and any potential conflicts of interest such as unpaid employment contracts and participation in non-governmental organizations. (Transparency International, 2013).

Agyeman (2016) states that wealth declaration is strong derivative of awareness, accountability, validation, and transparency. The main aims of wealth declarations according to the Transparency International include 1) to increase transparency and the trust of citizens in public administration, by disclosing information about assets of politicians and civil servants that show they have nothing to hide 2) to help heads of public institutions prevent conflicts of interest among their employees and to resolve such situations when they arise, in order to promote integrity within their institutions and 3) to monitor wealth variations of individual politicians and civil servants, in order to dissuade them from misconduct and protect them from false accusations, and to help clarify the full scope of illicit enrichment or other illegal activity by providing additional evidence. (Agyeman, 2016). This study used compliance level and enforcement outcomes, awareness level of wealth declaration, verification of declared forms and wealth declaration disclosure policy to inform asset declaration regime in Kenya.

Razzante (2020) claims that compliance plays an important role in asset declaration. Thus, a well-managed organization should have a compliance policy supported by appropriate management systems to assist it in complying with its legal obligations and commitment to integrity. An anti-bribery policy is a component of an overall compliance policy. Credible wealth declaration regime helps to protect the private assets of public officials

from wrongful and extra-legal confiscation and protect public officials from undue suspicion, baseless allegations of wrongdoing, and all manner of calumny (Razzante, 2020)

Likewise, in systems where awareness of the purpose and use of declarations is not spread throughout the state apparatus, a centralized collection system is likely to be more favorable for developing a uniform handling of all declarations and professional skills in the use of disclosed data. Decentralized systems facilitate monitoring by superior officials/bodies of declaring persons, provided internal control and awareness of managerial duties to prevent corruption are well internalized. (Mpambije, 2016).

Asset verification also plays a key role in asset declaration regime, where digital verification of system-level properties has been emphasized. Trace alignment, monitoring, evaluation and transparent audit process, are important technique for verification of assets. Wealth declaration creates a genuine basis for countries to act on identifying, tracking, and recovering illicit wealth of public officials (Magazzeni, 2017). Agyeman (2016) indicated that a credible asset disclosure regime should have a verification process for the administering authority to examine the declaration forms. Having an independent institution or body for handling assets declaration is crucial for the successful and effective implementation of an assets declaration system. Different states use different institutions to oversee assets declaration by public officials. (Agyeman E. D., 2016)

In wealth declaration regime, top leaders are expected to publicly disclose information about their wealth. When this doesn't happen or if the figures don't seem to add up as is happening in certain countries like Nigeria, it can lead to both public unrest and political instability (Mpambije, 2016). Politicians and civil servants hold substantial power over the allocation of resources in their countries and the citizens who elect them, and who in effect pay their salaries through tax revenue collected from them. Public access to declarations multiplies their anti-corruption value, as civil society and journalists often play a crucial role by uncovering irregularities and triggering formal verification of declarations by anti-corruption/asset declaration agencies (Schlutz, 2016)

The wealth declaration regime, though not exhaustive, can be an important tool to prevent corruption in Kenya as has been in other countries through published articles and OECD

recommendations. Wealth declarations are one among many tools that can help prevent corruption, but they cannot deliver alone, especially if, tax systems are dysfunctional and law enforcement is weak. However, a well-designed and operational system of wealth declarations can be an important element in the overall anti-corruption and integrity system of Kenya. (OECD, Asset Declarations for Public Officials: A Tool to Prevent Corruption,, (2011))

Kenya vision 2030 under National Values and Ethics, identifies corruption, abuse of office and unethical practices amongst emerging issues and challenges that need to be tackled. Towards this, the plan was set to strengthen the institutional framework and capacity of the ethics and anti-corruption agencies to promote leadership, ethics, and integrity. The indicative budget for this being Kshs. 11.146 billion between 2013 and 2017. This was inclusive of enhancing mechanisms for filing, analysis and access to wealth declarations of public officers which are yet to be implemented to date (The second Medium Term Plan, 2013-2017).

The wealth declaration regime that the Kenyan government has today started in 2003 as an annual declaration. This was after the enactment of the public officers' ethics Act, 2003 and when the then new president, Mr.Mwai Kibaki came into power and initiated major public sector reforms. This stopped in 2007 and in 2009 the biannual declaration began which was passed when the Guidelines on Declaration of Income, Assets and Liabilities was enacted in 2009 that allowed declarations to be in three stages; Initial, biannual and final declarations. The public service commission was given the mandate to administer the wealth declaration forms through legal notice no. 76 of 2009 and the power was given to the commission secretary who then appointed various authorizing officers to administer in their specific departments (GOK, 2003).

Initially, the Public Service Commission secretary handled declaration forms of both public enterprises, ministries and all public servants but it eventually evolved as certain jurisdictions were separated such that PSC currently only handles certain public enterprises and ministries, the teachers report to Teachers Service Commission (TSC), Police to the National Police Service Commission NPSC, Judiciary to the Judicial Service Commission

(JSC), Parliament to the Parliamentary Service Commission (PSC), county staff to the County Service Board, the senate to the assembly and independent offices like the Office of the Auditor General (OAG) and the Kenya Revenue Authority (KRA) are custodians of their own forms. This has helped in terms of administering, handling, collection and storage of the forms as the whole process is fully manual.

1.1.3. Relationship between Wealth Declaration and Corruption

Gachigua (2011) talks of how Research and experiences from around the world have indicated that an effective income and wealth declaration regime can help prevent abuse of power, reduce corruption and increase public accountability, public trust in institutions and government legitimacy (Gachigua, 2011). Similarly, countries where wealth disclosure is combined with verification of and public access to declarations are significantly associated with perceived lower levels of corruption (Chêne & Kelso, 2008). For these reasons, asset and income disclosure has become a key global anti-corruption best practice, as evidenced by its inclusion in the UN Convention Against Corruption (UNCAC), which notes that: “Each State Party shall endeavor, where appropriate and in accordance with the fundamental principles of its domestic law, to establish measures and systems requiring public officials to make declarations to appropriate authorities regarding, inter alia, their outside activities, employment, investments, assets and substantial gifts or benefits from which a conflict of interest may result with respect to their functions as public officials.” (Afghanistan, 2009).

The UN Convention against Corruption (UNCAC), adopted in 2003 is the sole universal legal instrument designed to help the public and private sectors prevent and fight corruption globally. Similarly, in 2003, the African Union (AU) Convention on Preventing and Combating Corruption was adopted to address corruption in the public and private sectors. It represents a consensus on what African countries should do in the areas of prevention, criminalization, international cooperation and asset recovery (AU, 2003). In addressing corruption and good governance, Governments therefore agreed to take a multidisciplinary approach which included measures to prevent corruption through building transparent, accountable systems of governance, improving public integrity, strengthening the personal ethics of officials and the capacity of civil society and the media (Crime, 2004).

A great number of countries around the world including Ghana, Tanzania, Uganda, South Africa and Rwanda have introduced systems of wealth declaration for public officials in order to prevent or combat corruption. Many believe that wealth declarations can be a powerful tool in this regard. (OECD,2011). Therefore, in the current study, the goal was to shed more light on the current state of affairs surrounding wealth declaration system and its role in fighting corruption in Kenya.

1.2 Problem Statement

Corruption has been a major problem in Kenya for years and even more of an issue in the current regime, with an all-time high index point of 31 since 1996 and a global ranking of 124 out of 231 countries (Transparency International, 2020) Akech (2011) suggested that corruption in the Kenyan government is largely an institutional problem, rather than a cultural one. That is, corruption can be attributed to the predominance of arbitrary power, especially in the statutory (as opposed to constitutional) order. The Kenyan statutory order grants executive, legislative, and judicial actors' broad powers without establishing effective procedural mechanisms to circumscribe their exercise. In the absence of effective regulation, which is likely in most cases, legislation often aids the abuse of power and corruption. In other words, in the absence of penalty or sanctions, there is nothing to deter those who wield power from fraudulently enriching themselves and violating the law. Government actors often disregard the prescriptions of law, especially where they view legal requirements as hindering the attainment of short-term political objectives or other ends. Because law is dispensed with whenever it becomes convenient to do -so, a culture of impunity emerges where law ceases to be authoritative (Akech, 2011)

Further, the culture of corruption has grown roots in Kenyan society at large and become endemic. Institutions, which were designed for the regulation of the relationships between citizens and the State, are being used instead for the personal enrichment of public officials (politicians and bureaucrats) and other corrupt private agents (individuals, groups, and businesses) (Hope Sr, 2014). In Kenya, corruption results from a confusion of public and private interests that is specific to the neo-patrimonial logic in place since British colonization (Van Rij, 2021). Corruption persists in Kenya primarily because there are

people in power who benefit from it and the existing governance institutions lack both the will and capacity to stop them from doing so (Akech, 2011).

Taking into consideration everything that has happened since the introduction of the wealth declaration system in 2003, there have been no documented outcome of how the wealth declaration tool has assisted the country manage its corruption levels. There has also been no study to examine the wealth declaration system and its role in combating corruption in Kenya, this study therefore sought to fill the research gap by evaluating and assessing the existing wealth declaration system, its effectiveness and the role it has played in combating corruption since its inception

1.3. Research Objective

The main objective of this study is to evaluate the effectiveness of the wealth declaration system in fighting corruption in Kenya.

1.4 Specific Objectives

The specific objectives that will guide the study are

- i. Establish the compliance level of wealth declaration users in Kenya
- ii. Establish the enforcement outcomes of wealth declaration users in Kenya
- iii. Determine the awareness level of wealth declaration by users in Kenya
- iv. Investigate the effect of verification of declared forms on perceived corruption levels
- v. Assess the impact of the public disclosure policy on perceived corruption levels

1.5. Research Questions

- i. What is the compliance level of wealth declaration users in Kenya?
- ii. What are the enforcement outcomes of wealth declaration users in Kenya?
- iii. What is the awareness level of wealth declaration by users in Kenya?
- iv. What would be the effects of verification of declared forms on perceived levels of corruption?

- v. What would be the impact of public disclosure policy on perceived levels of corruption?

1.6 Scope of The Study

This study evaluated the effectiveness of systems put in place by the Kenyan Government in managing the wealth declaration regime. This included implementation of the legislative framework; effectiveness of inter-agency cooperation; and monitoring of the framework.

The examination of data on wealth declarations was the 2018/2019 cycle as well as two immediate cycles. It included all types of declarations; types of wealth declared and institutions responsible for implementation. It covered the main custodians of the wealth declaration forms, thus; Public Service Commission and their counterparts in the county which is the County Public Service Board, Independent offices and Commissions.

The variables included issues of compliance, verification, public disclosure, awareness and enforcement. Corruption was measured by the impact of implementation of the declaration framework on current corruption rates and emerging cases in the public sector. The study did not cover issues of individual declared forms

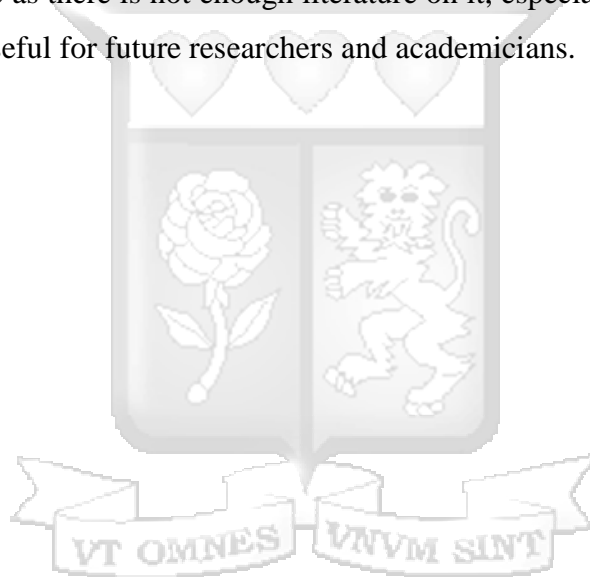
1.7 Significance of The Study

This study is significant because it helps to gain an understanding of the wealth declaration regime and determine its feasibility. It is also important because it aims to improve the current wealth declaration system by offering recommendations and in return help to assess how effective it has been so far in achieving its role of fighting corruption and what its impacts to the users have been.

This study therefore benefits all national and county public servants to know the importance of filling the forms, these include the legislature for policy making, executive for implementation and judiciary for monitoring and review as they are all stakeholders in the fight against corruption which they have not yet combated.

The study also benefits the policy makers and implementors specifically Parliament and the EACC, PSC and TSC since they are at the fore-front of implementing measures, policies and regulations towards fighting corruption in Kenya. The findings provide insights to them on the need to solidify and focus on best practices to boost the fight against corruption in Kenya.

Theoretically, the study adds values to the tenets of agency theory, theory of reasoned action and institutional theory. They were validated to have good and satisfactory testable hypothesis that guided the study. Therefore, the study adds great values and informs future scholars to adopt the same principles in such related studies. There is also a need to research more on this topic as there is not enough literature on it, especially in the Kenyan context which could be useful for future researchers and academicians.



CHAPTER TWO

LITERATURE REVIEW

This section highlighted the different experiences of wealth declaration from previous and existing research according to the variables identified in tandem with the research problem. It also included the conceptual framework at the end which visually shows the relationship between the dependent and independent variables and discuss the theories in which we discovered and developed the research problem.

2.1. Theoretical Perspective

2.1.1 Theory of Reasoned Action (TRA)

TRA was developed by Ajzen and Fishbein (1980). It comprises of three constructs known as: behavioral intention, attitude as well as the subjective norm. According to this theory, a person's behavioral intention is a component of the person's disposition about the conduct and subjective norms. Behavioral Intention is characterized as the person's motivation or expectation to conduct themselves in a certain way. Attitude on the other hand includes the different convictions about the results of playing out the conduct, while subjective norm relates to the apparent societal expectations from different people and the eagerness to conform to these expectations (Ajzen & Fishbein, 1980). To put it plainly, a person's willingness towards a certain behavior/conduct is anticipated by the frame of mind toward the conduct being referred to and how it is expected that other individuals would see them if the conduct is performed (Yzer, 2017).

The theory assumes that individuals behave rationally, and gather and analyze information systematically. It was also determined that based on this rational decision making, individuals would evaluate the risk of that action and decide on their next steps (Hale, Householder & Greene, 2002). Subjective norms are also under the influence of beliefs, therefore, an individual's beliefs about other individuals' expectations and the motivation to fulfil them are based on his/her subjective norms.

As such the theory has been deemed relevant to this study since it informs the voluntary behavior of the public officers to comply with the institutional policies. In the case of wealth declaration regime, a public officer refuses to declare his true wealth because of the theory of reasoned action, based on rational decision making and evaluation of the risk they decide to declare or not. Compliance, enforcement, Verification and disclosure are also informed by this theory because the choice to do so is established by the theory of reasoned action. Thus, the theory best links compliance, enforcement, verification and disclosure of users because the choice to declare and to do so truthfully in a transparent manner for all of a persons' wealth with the risk of verification and disclosure involved are based on this Theory.

2.1.3 Institutional Theory

Institutional theory, also known as institutionalism, uses country and government institutional characteristics, such as the pre-existing rule of law, well-defined anti-corruption norms, and independent anti-corruption institutions with enforcement powers, to explain corruption in the public sector. According to Scott in 2004, Institutional theory examines the processes and mechanisms by which structures, schemas, rules, and routines become established as authoritative guidelines for social behavior. In relation to understanding corruption, institutional theory brings in the social context and provides a taxonomy for understanding how corruption might become entrenched in organizations, in institutions and in society, despite the existence of an anti-corruption framework (Luo, 2005). This theory considers that corruption is influenced by the character, design and transparency of the political system and its institutions. At the same time, it acknowledges that the relationship between corruption, institutions, political systems, culture and gender is highly complex (Debski and others, 2018; Stensöta, Wängnerud and Svensson, 2015). A fair amount of research has focused on the relationship between political institutions on one hand, and, on the other, the prevalence and levels of corruption. This research is discussed in detail in Groop's study of 2013.

Related to this is the institutionalist view of political corruption that was developed by Thompson (1995) and Lessig (2018). This view stresses that while corruption can occur on an individual level, it can also be institutional in nature in cases where institutions are

structured in a way that makes them deviate from their original purpose. A paradigmatic example is private financing of political campaigns in the United States, as explained by Ceva and Ferretti (2017, p. 3) or kickbacks in a public procurement process.

In the USA, candidates that run for elections are allowed to receive financial support from such a diverse set of private sources as ordinary citizens, private corporations, and either cultural or religious groups. It may thus happen that, once elected, a politician who has received financial support from, say, a private company pushes forward some regulation that aims at reducing the fiscal pressure in the area where this company operates.

In this example, the combination of unlimited financial support and lack of transparency is an issue because even if candidates do not act illegally on the individual level, it is clear that the practice of private donation is susceptible to political corruption. It can thus be argued that the institution of democratic elections is corrupt since the institutionalized practice of receiving private funds for electoral campaigns makes the institution of democratic elections depend on the arbitrary influence of financial powers" (Ceva and Ferretti, 2017, p. 3). The institutionalist approach accordingly suggests that in the study of corruption we should focus on the bad barrel which means distorting institutional practices and mechanisms rather than concentrating on the individual misbehavior 'bad apples.' This theory works well for the wealth declaration regime because the study focuses on the 'bad barrel as opposed to looking at individual forms its best to focus on the system that is wealth declaration as opposed to a bad-apples. Thus, the theory best links the compliance level, enforcement outcomes and awareness of wealth declaration users as they are all institution related.

2.2 Review of Empirical Literature

2.2.1 Compliance levels of wealth declaration users in Kenya (success)

Razzante (2020) researched on the fight against corruption in Italy and indicated that it is a derivative of monitoring of compliance with the standards, entrusted to the Group of States against Corruption (GRECO), which also control the respect of the Criminal Law Convention on Corruption (CETS No. 173) and the Civil Law Convention on Corruption

(CETS No. 174). Compliance reports contain an overall conclusion on the implementation of all the recommendations, with the purpose to decide whether to terminate the compliance procedure in respect of a particular member. Thus, a well-managed organization should have a compliance policy supported by appropriate management systems to assist it in complying with its legal obligations and commitment to integrity. An anti-bribery policy is a component of an overall compliance policy. (Razzante, 2020)

Fanea-Ivanovici (2019) sought to investigate the link between fighting corruption and enhancing tax compliance through digitization. It was noted that fighting corruption and enhancing tax compliance through digital public services like the wealth declaration process represent key factors for increasing sustainable development in Romania. Therefore, using digital public services like wealth declaration leads to the increase of the level of tax compliance, because entrepreneurs will feel more confident and responsible and they will decide to better comply. Among the numerous tools developed to fight corruption the use of wealth declaration has recently been researched and there is still need for research in the Romanian economic environment. The use of digital public services increases their confidence in state institutions due to higher levels of transparency thus enhancing fighting corruption (Fanea-Ivanovici, 2019)

An overview of how the US system works in a study by Onn shows that the asset declaration system in the U.S. is a highly regarded model that has high compliance rates due to its comprehensiveness and transparency. The U.S. system is unique in its adoption of a multi-layered approach to efficiently address different branches of government. Wealth declaration requirements differ in scopes from the federal to local government, and in general, focus on high-level officials. Compliance and investigative functions are conducted by separate bodies. Annually, officials submit declarations to the agency that they work in for review. (Onn, 2015)

2.2.2. Enforcement outcomes of wealth declaration users in Kenya (challenges)

Agyeman (2016) argues that a credible and effective wealth declaration regime is an essential component of the ensemble of rules and structures necessary for democratic governance. He argues further that a credible wealth declaration regime is also good for

public officials. It helps to Protect the private assets of public officials from wrongful and extra-legal confiscation and protect public officials from undue suspicion, baseless allegations of wrongdoing, and all manner of calumny (Agyeman, 2016).

When advocating for the introduction or further strengthening of public officials' assets declaration regime, the Organization for Economic Co-operation and Development (OECD) and the World Bank advise that each wealth declaration regime must be tailored to the specific country that it serves and must engage local and international stakeholders to support the reforms. Accordingly, international actors should avoid promoting one-size fits-all, technical blueprint solutions, but rather engage domestic players to promote policy goals and to build national demand for reforms, to identify possible solutions in the local context, and to support sustainability of reforms (Agyeman, 2016).

Onn (2015), further goes on to state that the asset declaration system is successful due in part to a comprehensive anti-corruption system and effective joint efforts amongst the Civil Service Bureau, government agencies, the Independent Commission against Corruption and individual filers. The Office of Governance and Ethics and ethics officers act as a secondary reviewer that ensure completeness and potential for conflicts of interest but does not verify its accuracy. If conflicts are detected, the case is referred to the Office of the Inspector General, the Federal Bureau of Investigation, or the Public Integrity Section of the Department of Justice

According to transparency international in 2013 a well-defined wealth declaration regime serves to prevent, detect, investigate and prosecute corruption and abuse of power and its transformation into unexplained wealth. It can therefore be a tool for uncovering bribery and other forms of corruption such as nepotism, conflicts of interest and undue advantage. Published information on a person's asset allows civil society to hold leaders to account, especially If leaders are seen to live beyond their means, a wealth declaration can be a starting point for investigations. (Transparency International, 2013)

2.2.3 Awareness Levels of the wealth declaration Regime

Mir (2019) investigated the institutionalization of corruption and its impact on political culture in Jammu and Kashmir. Throughout history, it has been the inaction of those who could have acted, the indifference of those who should have known better, the silence of the voice of justice when it mattered most, that has made it possible for evil to triumph. The youth of the State is forced to look for avenues outside the state, as they are fed up with a cognitive network of corruption where the elite, bureaucratic and political class holds the control. This culture of corruption must be replaced with one where integrity, transparency and fight against corruption are seen as fundamental values. (Mir,2019)

Agyeman (2016) provided an analysis of the existing practice in wealth declaration in some countries in Europe, North America, and Africa (Ghana); that is the awareness of the legal frameworks, institutional arrangements, and policy objectives. The study argues that Ghana's assets declaration regime, as it currently exists, has been ineffective and incapable of combating corruption. The paper cited that in the early stages of implementing declaration systems, a major difficulty is making public officials aware of new requirements and achieving due respect for the need to accept them properly.

Ahmad (2019) sought to determine the influence of education in the fight against corruption in Indonesia. The study applied the quantitative method, using secondary data from the Indonesian Central Bureau of Statistics in 2016. This study found that there is currently no significant effect of the number of educated institutions, either individually or together in reducing corruption in Indonesia. Preventive action through developing anti-corruption education and community involvement, are important solutions in the fight against corruption (Ahmad, 2019)

A study by Mpambije (2016) showed that after increasing corruption scandals in the US, income and assets disclosure is now applied by almost all countries in the world. The very most rationale for income, assets and liabilities disclosure is to increase transparency among the public leaders from the judiciary, legislature and executive. It also shows that increased transparency leads to lower levels of rent seeking and conflict of interest which eventually lead to reduced corruption; help deter the use of public office for private gain

therefore no misusing public funds, whether financial or through other benefits to the self, family, or associates. In order to cultivate transparency through income and asset disclosure, Legal and Human Rights Centre, 2013 adds that as long as transparency is very important for the accountable government, then public leaders are required to be like people who live in glass houses meaning that all public actions except those clearly stipulated by law must be made public. Income and asset disclosure, if accurately handled reduces the possibility of public leaders to engage in corrupt practices. As long as people's interest is embedded to the public leaders, then if they abide by income and asset disclosure act, the practice leads to the increase citizen trust to the government organs (Mpambije, 2016).

In systems where awareness of the purpose and use of declarations is not spread throughout the state apparatus, a centralized collection system is likely to be more favorable for developing a uniform handling of all declarations and professional skills in the use of disclosed data. Decentralized systems facilitate monitoring by superior officials/bodies of declaring persons, provided internal control and awareness of managerial duties to prevent corruption are well internalized. (Mpambije, 2016)

2.2.4 Verification and its effect on corruption levels

Agyeman (2016) indicated that a credible asset disclosure regime should have a verification process for the administering authority to examine the declaration forms. Having an independent institution or body for handling assets declaration is crucial for the successful and effective implementation of an assets declaration system. Different states use different institutions to oversee assets declaration by public officials. The institutions that have been used include election management bodies, tax authorities, anti-corruption agencies, and parliamentary bodies. In countries where assets declaration systems are relatively new, an empowered autonomous body and a specialized body are advantageous compared to another system that employs self-monitoring.

Onn (2015) concluded that asset declaration systems are more effective if the monitoring and verification task is given to an independent body, separate from the body that enforces it. For example, Parliament may establish a Parliamentary Standing Commission, to

independently review assets declared by MPs where other branches of government can establish a similarly independent body to verify assets declared. (Onn, 2015)

Ngumbi(2020) mentions that an effective income and assets declaration regime can enhance the fight against corruption as it can control abuse of power and increase public accountability. Levels of corruption are perceived to be lower in countries where there are frameworks for disclosure of wealth and assets, subsequent verification and public access to the said declarations. Prevention of illicit enrichment through wealth declaration is realized through monitoring of periodic declarations by public officers through systemic analysis of the data collected from the declaration forms. This is a confirmation that wealth declaration systems accompanied with effective management can play a significant role in enhancing transparency and accountability and reducing corruption. (Ngumbi, 2020)

From the local perspective, apart from the laws put in place to govern the compliance levels and enforcement outcomes of the asset declaration regime, and the necessary roles to specific institutions like the PSC and EACC limited research data has been obtained about the regime itself and if it has achieved the purpose in which it was intended to achieve when being introduced. The researcher therefore evaluated how the wealth declaration system works in Kenya in terms of verification and what the users of the system think would work to enhance fighting corruption with a focus on verification as a monitoring tool to reduce corruption levels.

2.2.5 Impact of public disclosure in fighting corruption

In a study by Mpambije (2016), The accused, deliberating on the matter attested that though the Ethics Secretariat lawyers maintained that the secretariat is free and independent in discharging its duties, the High Court successfully managed to bar the secretariat from publicly interrogating someone on their declared wealth. Respect of court orders and observance of the rule of law is of paramount importance. But there were still ongoing debates concerning the matter in presence of the verdict of High Court on the matter, bearing in mind that the court is superior to this tribunal. This was an acid test of the weak law that the secretariat relies on. It showed greater weakness as to how free the body is relative to other state organs. (Mpambije, 2016).

Pop (2016) studied the Ukrainian law on asset disclosure; whether it is a threat to privacy or a powerful anti-corruption tool? It was noted that Ukraine is comparable with other countries in the region both in terms of the scope of the information declared and its approach towards public access. While public access can raise valid concerns, the benefits outweigh the costs and any interference with privacy rights in the declaration is proportionate to the public interest. Online disclosure of public declarations has been introduced in many countries and is essential if public servants are to be held to account. (Pop, 2016)

Ngumbi (2020) mention that an effective income and assets declaration regime can enhance the fight against corruption as it can control abuse of power and increase public accountability. Levels of corruption are perceived to be lower in countries where there are frameworks for disclosure of wealth and assets, subsequent verification and public access to the said declarations. Prevention of illicit enrichment through wealth declaration is realized through monitoring of periodic declarations by public officers through systemic analysis of the data collected from the declaration forms. This is a confirmation that wealth declaration systems accompanied with effective management can play a significant role in enhancing transparency and accountability and reducing corruption. (Ngumbi, 2020)

Pop (2016) in a world bank study on Ukraine, mentions corruption as a threat to national security undermining the well-being of citizens. Limitations on the privacy of public officials by requiring them to disclose their income, assets and liabilities serves the public interest. Studies have shown that public access to declared information is associated with lower levels of perceived corruption. Country experiences also indicate that public access can greatly increase the ability of disclosure system to deliver results. (Pop, 2016)

In Poland, the European court of Human Rights rejected the complain of member who refused to submit his wealth declaration claiming that the obligation to disclose details concerning his financial situation and property portfolio imposed by legislation was in breach of the law and it was an interference to the right to privacy but that it was justified and the comprehensive scope of the information to be submitted was not found to be

excessively burdensome. It argued that the public has a legitimate interest in ascertaining that local politics are transparent and online access eases access. (Pop, 2016)

Etxeberria (2021) sought to understand the determinants that affect such disclosure, reporting on anti-corruption mechanisms in an area of high economic importance. The study was based on quantitative data from the 96 large companies from 15 emerging countries included in the 2016 International Transparency Report. The paper argues that press freedom is a relevant institutional factor in reducing corruption in societies. (Etxeberria, 2021)

Schlutz (2016) conducted a quantitative analysis of the impact of financial disclosure regulation on national corruption levels. The study employed different panel data model specifications, and used this indicator to measure how the introduction of comprehensive financial disclosure systems impacted national corruption levels for 91 countries between 1996 and 2012. Based on data of the World Bank's Public Accountability Mechanisms initiative, it was noted that disclosure of income, assets and conflicts of interest can serve as powerful public accountability tools to draw attention to the abuse of public office, help prosecute corrupt offenders and create a culture of scrutiny in the public sector that deters corruption. (Schlutz, 2016)

The researcher greatly agrees with the authors that public disclosure in fact greatly contributes to the process of reducing corruption levels. This study investigated further this issue in the Kenyan context to see if the findings concur. However, there was a bill that was submitted to parliament in 2019, the lifestyle audit bill seeking to remove restrictions on Kenyans seeking to access information on wealth declaration of public officers in efforts to fight corruption which is still on debate in parliament.

2.3 Summary and Knowledge Gap

The wealth declaration process gained much popularity after the UNCAC and AU convention and ratification to participate in reducing corruption levels through such initiatives. Though there had been progress on introduction, compliance and enforcement of the process regionally, there have been scholarly arguments to support that public

disclosure, transparency and legislation have greatly contributed to wealth declaration being a success.

The review has also discovered that asset declaration is significant in fighting corruption. However, there are empirical gaps identified. These are indicated in the table below;

Table 2.3. Summary and Knowledge Gap

Author	Study	Research gap
Agyeman (2016)	Analyses the existing practice in the area of assets declaration in some countries in Europe, North America and Ghana	The study does not capture existing practice in Kenya
Onn (2015)	conducted an overview of how the US wealth declaration system works	The study does not capture wealth declaration in the Kenyan context
Fanea-Ivanovici (2019)	Fighting corruption and enhancing tax compliance through digital public services in Poland and Romania	The study does not capture tax compliance through digital public services and its contribution to wealth declaration in Kenya
Razzante (2020)	Researched on the fight against corruption in Italy and indicated that it is a derivative of monitoring of compliance with the standards, which also control the respect of the	The study does not capture the wealth declaration regime aspect on corruption in Kenya

	Criminal Law Convention on Corruption and the Civil Law Convention on Corruption	
Pop (2016)	Laura Pop on verification and public disclosure in Ukraine and Poland	The study does not capture effects of verification and public disclosure on ensuring effectiveness in Kenya
Mir (2019)	Investigated the institutionalization of corruption and its impact on political culture in Jammu and Kashmir	The research gap is that it only talks of corruption as part of an institution and does not recognize that wealth declaration can affect corruption
World Bank. (2016)	Studied the Ukrainian law on asset disclosure	Does not talk of asset disclosure in African context i.e.- Kenya
Ngumbi and Owiny(2020)	Study on why wealth declaration systems have largely failed in Africa and recommends reform measures to enhance their accountability objectives, drawing best practice from countries that have registered notable success.	The research gap here is the study does not link the variables to perceived corruption. But only talks about why the system is a failure in Africa

Schlutz (2016)	conducted a quantitative analysis of the impact of financial disclosure regulation on national corruption levels.	The study talks only of financial disclosure and not of the other variables i.e. compliance, verification and awareness
Etxeberria (2021)	sought to understand the determinants that affect such disclosure, reporting on anti-corruption mechanisms in an area of high economic importance.	How other measures like verification and compliance can still be anti-corruption mechanisms when used in wealth declaration

This study therefore, sought to research about whether the asset declaration process is effective enough to play its role of fighting corruption in the Kenyan context as there is no research on this topic therefore a gap.

The researcher greatly agrees with the scholars that verification and public disclosure in the declaration process greatly contributes in reducing corruption but they have not been clear on these issues in the Kenyan context to see if the findings concur or disagree.

Additionally, from the local perspective, apart from the legislation put in place to govern the compliance levels and enforcement outcomes of the wealth declaration regime, and the necessary roles to specific institutions like the PSC and EACC limited research data has been obtained about the regime itself, its purpose and the limitations of the legislation. This research therefore sought to cover the gap on how the wealth declaration system works in Kenya in terms of verification and disclosure laws and the opinion of the users of the system on what would work to enhance fighting corruption.

Further, the researcher agrees with Onn’s study on issues of legislation when addressing enforcement of the declaration system, that there is no one preferred law but that specific

countries should adopt what is best for them and what yields the best results in terms of reducing corruption. He also emphasis on transparency in declaration and monitoring as ways of enforcing and ensuring compliance to get the best out of the declaration system. Also, the use of a constitutional office that monitors as the best option for administering the wealth declarations. (Onn,2015)

Finally, all scholars have tried to link compliance levels, verification and public disclosure to lower corruption levels but none of the studies have focused on Kenya and the intended purpose of its wealth declaration regime, which was to reduce corruption. The Gap therefore exists where there is no local information on assessment of the role of the declaration process since its inception in 2003 and its performance in relation to corruption yet corruption has been at an all-time high with 31 index points according to Transparency International data in 2020. (Transparency International,2020). During this period, there has been no mention of the wealth declaration as a tool for fighting corruption albeit the introduction of the lifestyle audit bill that is yet to be passed. All this while budgeting and resource allocation from the treasury is done and public officers expected to comply with timely filling of the forms. Because of this, there is reason to research on this topic.

2.4 Conceptual Framework

From the conceptual framework below, it is expected that when assessing the assets declaration system, we will be looking at the following variables as independent. These variables as indicated on the figure below are compliance, awareness, public disclosure, verification and enforcement. The efficiency of the asset declaration regime assessed by the variables above will directly impact the levels of corruption.

Figure 1: conceptual model of the relationship between assets declaration and perceived levels of corruption



Source: Researchers' representation

Figure 2.1: Conceptual Framework

2.4.1 Operationalization and Measurement of variables

The fight against corruption is the act of reducing perceived corruption levels in the country. The measurement of corruption here was, wealth transparency and accountability of the declared forms; Financial openness and levels of conflict of interest by assessing user opinions through perception surveys and experience-based surveys then converting them into official statistics by using Likert scale and 3-point scales to determine the level of agreement on these issues.

Compliance is the ability to follow set laws and regulations. This was measured by the percentage of people who fill the forms at the time they are supposed to, ease of access of the forms and level of ease of filling the forms and measures of non-compliance. The Hypothesis expected from the relationship is that compliance levels affect perceived corruption levels positively.

Enforcement is the ability of the administrating agency to compel compliance with the laws. The target population should be aware of who or which institutions administer the public declaration forms and where they go after that and if they know the laws required to enforce this system.

Awareness is the amount of knowledge that the public has with regards to the wealth declaration process. It measured the level at which public servants know about the wealth declaration and what they know of it. The hypothesis expected from the relationship was that awareness levels impact corruption levels positively as it contributes to the effectiveness of the system

Verification is the analysis done after the forms have been filled. What was assessed was whether the information provided is correct. The first level would be to see whether the information provided is right, authentic and valid. This could be categories like clerical errors, incomplete records, authentic information etc. The second would be to assess from the users/enforcers whether verification would lead to reduced conflict of interest or increased wealth transparency in their opinion.

Lastly, Public disclosure is the act of making new or secret information known to the public. The forms filled should be made public in a platform that is safe to view in case there are issues of conflict of interest and also where no one can use it to attack a person without proof. What was assessed here was the viability of disclosure, whether it is safe, whether everyone should access it and whether reasons for access should be granted. This means that for someone to access the public records that ways should be created to allow for grant of access and keep track of accessibility.

Table 3.1: Summary of the Conceptualization of Variables

Variable	Definition	Measurement	Data
Fight against corruption	Perceived corruption levels; i.e. Financial openness; wealth transparency;	Likert scale of 1 to 3 where 3 agrees to fight corruption and 1 disagrees.3-point scale on means and	Qualitative and quantitative data

	accountability; use of public office for private gain (conflict of interest)	standard deviation on level of corruption	
Compliance level of wealth declaration in Kenya	Ability to follow set laws and regulations; i.e. measures of compliance or non-compliance	Percentages of Compliance or None compliance	Qualitative and quantitative data
Enforcement outcomes of wealth declaration in Kenya	Ability of the administrating agency to compel compliance with the laws i.e. Level of ease of filling out forms; ease of access to collection points; behavioral and institutional changes	Likert scale of 1 to 3 where 3 is excellent awareness and 1 is poor awareness level.3-point scale on means and standard deviation on level of awareness.	Qualitative and quantitative data
Awareness level of wealth declaration	Knowledge rates; sensitization rates; sensitization on importance; knowledge of filling out forms	Likert scale of 1 to 3 where 3 is excellent awareness and 1 is poor awareness level.3-point scale on means and standard deviation on level of awareness.	Qualitative and quantitative data
Verification of declared forms on perceived corruption	Incomplete forms; ambiguity of questions; accuracy and transparency of information; conflict of interest; Clerical errors and misspellings;	Likert scale of 1 to 3 where 3 agrees to verification and 1 disagrees.3-point scale on means and standard deviation on level of agreement	Qualitative and quantitative data
Public disclosure of wealth declarations on perceived corruption levels	Executive support; Viability of disclosure; enhanced integrity; awareness	Likert scale of 1 to 3 where 1 disagrees to disclose and 3 agrees on Disclosure. 3-point scale of mean and standard deviation to establish level of agreement	Qualitative and quantitative data

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter cover the following aspects: research design, population and sampling, data collection, data analysis, research quality and ethical consideration. Jupp.V (2006) defined research methodology as a philosophical stance of worldview that underlies and informs the style of research. (Jupp.V, 2006)

3.2 Research Design

A research design has been defined as a blueprint or detailed plan of how research is conducted starting from the formulation of the research questions and hypotheses to the reporting of research findings (Babbie, 2001). The study used a mixed methodology that is the quantitative and qualitative designs. These provide a simple and straightforward approach to the study of values, attitudes, beliefs, and motives (Kivunja & Kuyini, 2017). Descriptive and inferential statistics were used to analyze information from a representative sample of the population whose findings were used to represent the population.

3.3 Target Population

A research population is generally a large collection of individuals or objects that is the focus of a research study. That is, the total group of individuals from which the sample will be drawn (McLeod, 2014). The target population for this study were the enforcers and users of the wealth declaration system. These include all the public institutions in Kenya i.e. Ministries, Departments and Agencies; Independent offices and Commissions and State Corporations.

3.4 Sample and Sampling Technique

According to Polit and Beck (2010), sampling is defined as the process of selecting a proportion of the population to represent the entire population. According to Gay (1996), for smaller population less than 100 ($N < 100$), the entire population should be taken as a sample; if the population is about 500, 50% should be sampled; if the population is about 1500, 20% should be sampled and beyond a certain point ($N = 5000$), the population size is almost irrelevant and a sample size of 400 – 500 should be adequate. Likewise, Fowler (2013) assert that when the number of the population is too small, sampling is not possible and a census is advised. census allows for 100% representation (Parker & Gallivan, 2011; Moreno & Pizarro, 2007). (Moreno & Pizarro, 2007). For this study, purposive sampling was used to select the ten (10) institutions due to accessibility of information and proximity of the institutions. Machakos and Nyeri counties were selected due to their proximity, also due to the scanty literature conducted at county level regarding asset declaration and fight against corruption, the two counties were noted to have limited research on the case. The study sampled 10 institutions: thus, custodians of the wealth declaration form. From the ten (10) Institutions ten (10) respondents were randomly selected giving a sample size of 100. From the sample size selected. eighty (80) were users of the wealth declaration system and 20 were enforcers. This is because the enforcers were fewer, and they are the opinion leaders of wealth declaration and have insights of the effectiveness of the wealth declaration in Kenya. The sample population is as distributed in Table 3.1

Table 3.1: Sample

Wealth declaration system

Category	Institutions	Sample	
Users	Director of Public Prosecutions	10	
	Teachers Service Commission	10	
	Office of the Auditor General	10	
	National Cohesion and Integration Commission	10	
	Machakos county	10	
	Nyeri county	10	
	Judicial Service Commission	10	
	Kenya Revenue Authority	10	

Enforcers/administrators	Ethics and Anti-Corruption Commission	10
	Public Service Commission	10
		100

3.5 Data Collection

3.5.1 Data Collection Instruments

Semi-structured questionnaires were used as a data collection tool as it helps to collect both qualitative and quantitative data. Using Questionnaires systematically attempts to reduce potential bias inherent in other methods of data collection. Questionnaires were deemed as an appropriate method of data collection because 1) The time and energy required to administer is less 2) That there is an assurance for confidentiality and anonymity as subject names are not required so the data cannot be linked to a specific individual 3) Reduces bias as it is presented in a consistent manner. With these reasons we also administered questionnaires in the form of a checklist as they are easy to answer, can capture many questions at once and makes the respondent feel less pressured.

3.5.2 Data Collection Procedures

Administration was done to the specific contact people in the chosen institutions and public officers done through our sampling techniques. The researcher sought authoritative consent from the Strathmore University and the National Commission for Science Technology and innovation (NACOSTI). Due to the current prevalence of COVID-19 pandemic, data collection was aided by the use of google forms where the questionnaires were electronically emailed to the respondents as a way of adhering to the social distancing regulation due to COVID-19 pandemic. Data was collected over a period of thirty (30) days.

3.6 Research Quality

The researcher conducted a pilot study to test the validity and reliability of the research instruments. Creswell (2014) says that 1 -10% of the population sample is deemed an

appropriate sample in a pilot study. The subjects in the pilot project were not included in the real testing process to eradicate bias and duplication of information. The pilot study was done to 10 (representing 10% of 100) public officers in Nairobi County since the area is not in the list of the main study and serves to provide similar information for pre-testing.

3.6.1 Reliability of Research Instrument

This is the precision of analysis instruments to provide reliable results (Cronbach, 1951; Mugenda, 2009). The current study used the Cronbach Alpha coefficient with a threshold of 0.7 to test for reliability of the tool. Bartlett (2014) recognize that the Cronbach alpha helps in assessing the response that are scaled and since the questionnaire is primarily a Likert scale, the alpha is suitable. The alpha value of 0.7 and above of Cronbach is approved, and everything under the mark is left out (Miller, 2013).

3.6.2 Validity of Research Instrument

To improve the validity of the instruments, the researcher used guidance from supervisors from Strathmore Business School who assessed the relevance of the content in the tool. This involved the use of content and face validity. The recommendations were incorporated in the final questionnaire.

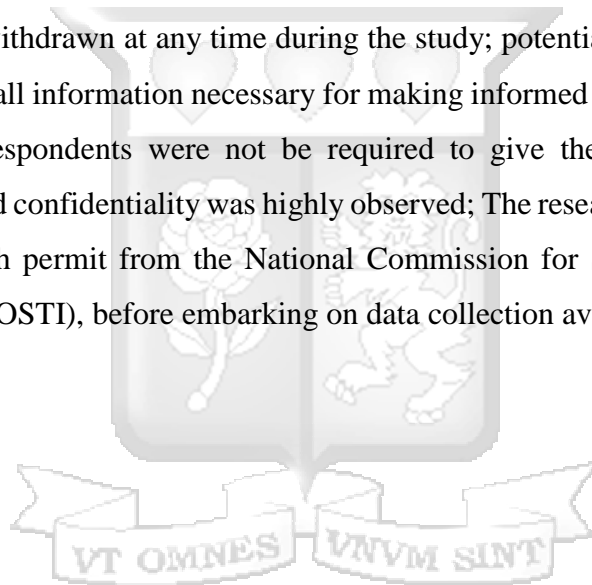
3.7 Data Analysis and Presentation

Qualitative and quantitative techniques were used and the responses were coded so that the details could be evaluated using SPSS tools. The quantitative information was analyzed using descriptive and inferential analytics. This analysis was aided by use of SPSS program (v.25.0). Descriptive statistics collected summary statistics including frequency and percentage distributions, measures of central tendencies (mean, medium or mode) and measures of dispersion (standard deviation, range or variance) while inferential statistics measured the causal relationship between compliance and enforcement levels and corruption (including regression analysis). The causality included the following: R^2 s, F values and beta coefficients at 0.05 significance levels coefficients were tested. The results

were then presented in form of tables and figures (graphs or charts). Qualitative data was analyzed using content analysis and presented thematically in prose form. The multiple regression model is shown in the following statistics:

3.8 Ethical Considerations

This research proposal was submitted for consideration to the Strathmore University Ethical Review Board, and subsequently approved, granting the researcher permission to proceed with the data collection. The approval letter is available in Appendix II. The researcher conducted the study in a manner minimizing any form of harm to the respondents. Consent was voluntarily given and the participants were informed that consent may be withdrawn at any time during the study; potential participants were given full disclosure of all information necessary for making informed decisions to participate in this study; the respondents were not be required to give their names on any of the questionnaires and confidentiality was highly observed; The researcher applied for and was granted a research permit from the National Commission for Science, Technology and Innovation (NACOSTI), before embarking on data collection available in Appendix III.



CHAPTER FOUR

PRESENTATION AND RESEARCH FINDINGS

4.0 Introduction

This chapter begins by presenting a descriptive analysis of the general information from the respondents. It is systematically arranged to comply with the specific objectives. The first section presents the findings on the response rate just as it was outlined in the questionnaire about either being a user or an enforcer while the second section gives statistics on the demographics. The next section delves into the objectives about the impact of political goodwill and public disclosure on the process. The fourth section analyses compliance and enforcement levels of the wealth declaration process highlighting the successes and challenges. The fifth section analyses the awareness levels while the last graphically analyzes on how the verification process would impact the wealth declaration process and this is in terms of clarifications, nature and type of clarifications and whether there would be an impact on corruption cases if analyses would take place.

4.1 Response Rate

According to Allen (2016) and also Rindfuss (2015), a response rate of above 50% is adequate for a descriptive study. A sample of 100 questionnaires were administered to the respondents. 80 of those respondents were the users of the system and 20 the enforcers. The questionnaires were properly filled and returned therefore representing 100% response.

4.2 Demographic Information

This section discusses the demographic characteristics of the respondents and the institutions.

Table 4.1: Demographics findings

Variable	Category	Count (n)	Percentage (%)
Type of Employment	Permanent and Pensionable	81	81.00%
	Contracted Employee	19	19.00%
	Elected Officer	0	0%
Role played in wealth declaration process	Enforcer	23	23.00%
	User	77	77.00%
Job Scale	Entry Level (10-8)	7	7.00%
	Medium Level (7-4)	65	65.70%
	Top Level (3-1)	27	27.30%

Source: Research Data (2021)

From the table 4.1, it is indicated that out of the 100 respondents, 81(81.0%) of the total respondents are employed under permanent and pensionable and 19(19.0%) are contracted employees. Most of the employees, 77(77.0%) play the role of User in the wealth declaration process while 23(23.0%) are the enforcers of the same process. Majority of the respondents at 65(65.7%) are on a Medium-level job scale followed by Top level at 27(27%) and finally Entry level with (7%)7. This indicates good statistics for obtaining information as most respondents have interacted with the system for some time.

4.3 Descriptive Statistics

4.3.1 The fight against corruption in Kenya

The respondents were asked to rate the extent to which they agreed with the statements on the fight against corruption in Kenya. The results are as shown in table 4.2.

Table 4.2: Statistics on the fight against corruption in Kenya

Statement	1	2	3	Total	M	Std Dev
There is reduced cases of conflict of interest with public officials	51	4	45	100	2.92	1.57
The assets acquired by public officers is lawful and through the proper legal channels	63	6	31	100	2.53	1.4
Accountability, transparency and openness have improved in the institutions	80	11	9	100	1.95	1.06

Officers placed in positions of power and trust use it to the advantage of the public rather than for self-interests	58	12	30	100	2.44	1.27
Public Officers act lawfully in attempting to influence the actions, policies, or decisions of government	61	7	32	100	2.48	1.4
Average					2.55	1.38

Note: 3=Agree 2=Not Sure, 1= Disagree, M= mean, STD Dev = Standard deviation

Table 4.2 show that 51% (51) of the respondents disagree that there is reduced cases of conflict of interest with public officials. Likewise, 63% (63) of the respondents indicated that the assets acquired by public officers is NOT lawful and through the proper legal channels. Similarly, 80% (80) of the respondents disagreed that accountability, transparency and openness have improved in the institutions. 58% (58) of the respondents indicated that officers placed in position of power and trust DO NOT use it to the advantage of the public rather than for self-interests and 61% (61) respondents disagree that public officers act lawfully in attempting to influence the actions, policies, or decisions of government. In summary, the average mean of the responses was 2.55 with a standard deviation of 1.38. On a scale of five points, this means that majority of the respondents indicated that the fight against corruption in Kenya is not yet optimized and is ineffective due to a large number of the sample disagreeing with the statements

4.3.2 Compliance level of Wealth declaration in Kenya

This section analyses where forms are collected before and after completion and the level of ease of filling the forms. It also asks about initial knowledge of the wealth declaration process, measures put to ensure compliance and monitoring changes since the enforcement of the system. It also focuses on sanctions enforced.

Table 4.3: Statistics on compliance levels of Wealth Declaration

Variable		Percentage
Where do you collect your wealth declaration forms from?	County Headquarters	2.0%
	Human Resources	92.0%
	Others	6%
Where do your completed forms go after filling them?	County Headquarters	6.0%
	Human Resources	92.0%

	Others	0%
Do you know what brought about the Asset Declaration process?	New Laws	31.9%
	Increased conflict of interest cases	14.9%
	Political goodwill	8.5%
	All the above	44.7%
What are the measures put in place to ensure compliance and in case of non-compliance in your organization?	Every employee to sign, collect and return the forms	78.7%
	No salary at the end of the month if non-complied	0.0%
	List of shame to be gazette if non-compiled	4.3%
	All the above	17.0%
What has been the behavioral or institutional change since the enforcement of the Asset declaration system?	Positive	38.5%
	Negative	18.7%
	No difference	16.5%
	Cannot tell since it started in 2003	26.4%

Table 4.3 on Compliance indicate that 92.0% of the employees collect and return the completed wealth declaration forms from the Human resource department while only 2.0% do the same from the county headquarters. The 6.0% responded that they obtain from other sources, majorly online sites. 31.9% responded that new laws brought about wealth declaration process while the majority 44.7% thinks that all the measures mentioned which are political goodwill, new laws and increased conflicts of interests brought about the declaration process. It is also noted that 78.7% respondents argue that every employee signing, collecting and returning the forms is the most significant measure put in place to ensure compliance. Generally, most respondents 38.7% alluded that the behavioral and institutional change since the inception of the Wealth declaration process has been positive.

4.3.2.1 Enforcement outcomes of wealth declaration

The respondents were asked to rate the extent to which they agreed with the statements on level of ease in filling out the forms towards the fight against corruption. in Kenya. The results are as shown in table 4.4.

Table 4.4: Statistics on the enforcement outcomes of wealth declaration

Statement	3	2	1	Total	M	Std Dev
Comment on ease of access to these offices	68	1	31	100	3.58	1.56
It is difficult and tiresome to fill out the wealth, declaration forms	87	0	13	100	4.2	1.22

What is the level of ease in filling these particular details in the form?	60	11	29	100	3.6	1.29
Enforcement regarding asset declaration process is 100%	64	7	29	100	3.57	1.42
There are measures put in place to ensure enforcement in your organization?	45	11	44	100	3.02	1.56
There is positive behavioral or institutional change since the enforcement of the Asset declaration system?	45	11	44	100	3.02	1.56
Average					3.5	1.44

Note: 3=Easy 2=Moderate 1= difficult, M= mean, STD Dev = Standard deviation

Table 4.4 show that 68% (68) of the respondents indicated that it is easy to access to these offices. Likewise, 87% (87) of the respondents indicated that it is not difficult and tiresome to fill out the wealth, declaration forms. However, 60% (60) of the respondents indicated that it is easy to fill in the particular details in the form. The results revealed that 64% (64) of the respondents indicated that enforcement regarding wealth declaration process is 100%. Additionally, 50% (50) respondents indicated that there are measures put in place to ensure enforcement in your organization. However, 50% (50) of the respondents indicated that there is positive behavioral or institutional change since the enforcement of the wealth declaration system.

In summary, the mean of the responses was 3.50 with a standard deviation of 1.44. On a scale of five points, this means that majority of the respondents agreed to the statements regarding enforcement outcomes of wealth declaration. These findings are consistent with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption. In a certain study from Ghana many of the challenges faced there included issues like lack of clarity on requirements to disclose, the absence of a legal requirement for the verification of wealth declarations, the lack of effective mechanisms of persecution, non-disclosure, the lack of political will in supporting the assets declaration regime, the lack of technical, financial and human resources required to implement the scheme, implementing bodies having inadequate powers to carry out their tasks in relation to collecting and verifying declaration and the absence of independence and autonomy in the

various agents. This can be confirmed by the study alluding to the fact that some of the challenges cited by users and enforcers of the system was legislative limitations especially in administering sanctions and enforcement.

4.3.2.2 Challenges/Areas of improvement in the Wealth Declaration process

Respondents were asked to suggest areas of improvement or challenges that they had faced with the asset declaration system. Out of the 100 respondents 70% of them indicated Institutional challenges and noted on areas of improvements such as; *Having a centralized agency as a depository of all declaration forms like in other jurisdictions; KRA should work together with other agencies when assessing /confirming assets* while 30% of them indicated technological Challenges as the problems being faced with the asset declaration system. Below are some examples of their responses.

Likewise, on Technological Challenges where the areas of improvement noted by 83% of the respondents were that *'the system is not real time like the tax system so the government takes long to know/track the filled forms'* and that *'the process should be linked to the KRA, lands, NTSA system ETC to capture revenues and assets /liabilities more accurately'* another was that *'the declaration process should be automated to save on paper/storage and for easier retrieval and verification.'*

On Policy/Legal challenges the remarks noted from 89% of the respondents included

'Strengthen political will; and Lack of formal enforcement procedures to ensure compliance at all levels of government; and Should be used as a mainstream process for fighting corruption by giving it more publicity and resources and that the law should be amended to include issues of disclosure and verification to be used in corruption related cases to avoid infringement of privacy rights'

For Procedural challenges, 76% of the respondents gave the following answers as areas of improvement and what they would like to be improved on moving forward. These were the challenges they had with the system. One respondent *Automate the process, ensure*

verification, reduce bi-annual declaration to annually; Automation for ease of analysis and enhancing confidentiality; Awareness creation, training/sensitization on how to fill the forms; Integrity is lacking and should be enhanced, privacy is a concern; Poor cooperation between the coordinating agencies; DIALs should be done by senior staff; The government should make public servants appreciate fully the importance of assets declaration through sensitizations; The wealth declaration forms should be user friendly, easier to fill and understand ; Asset declaration should adapt huduma number system where one is assisted in filling the forms ; Manual forms are a challenge to fill as they take long, can get lost, easy to make errors; there should be different categories of filing the forms according to the job group of the public officer.

4.3.3 Awareness level of wealth declaration on the fight against corruption in Kenya

The respondents were asked to rate the extent to which they agreed with the statements on their awareness level of asset declaration on the fight against corruption in Kenya. The results are as shown in table 4.5.

Table 4.5: Statistics on the awareness level of Wealth Declaration

Statement	3	2	1	Total	M	Std Dev
Rate your knowledge about the asset declaration system	30	12	58	100	3.25	0.96
Kindly rate the sensitization or training you have had about the purpose of wealth declaration forms	32	7	61	100	3.52	1.4
Rate the sensitization on the importance of wealth declaration in Kenya	34	11	55	100	3.31	1.56
Comment on the training of the proper method of filling out the wealth declaration forms?	29	9	62	100	3.21	1.11
Average				100	3.32	1.26

Note: 3=Good 2=Moderate, 1= Poor, M= mean, STD Dev = Standard deviation

Table 4.5 show that 58% (58) of the respondents indicated that they do not know about the asset declaration system. Likewise, 61% (61) of the respondents indicated that they are poorly sensitized and trained about the purpose of wealth declaration forms. Likewise, 55% (55) of the respondents are poorly aware about the sensitization on the importance of wealth declaration in Kenya. The results revealed that 62% (62) of the respondents indicated that

they are LESS aware about the training of the proper method of filling out the wealth declaration forms.

In summary, the average mean of the responses was 3.32 with a standard deviation of 1.26. On a scale of five points, this means that majority of the respondents did not agree to the statements regarding awareness level of asset declaration. The findings are in line with OECD reports which showed that, lack of support and/or awareness among officials – Especially in the early stages of implementing declaration systems, a major difficulty is making public officials aware of new requirements and achieving due respect for the need to meet them properly. Part of this problem can be a lack of or insufficient training and guidance (OECD, 2011). Also, in systems where awareness of the purpose and use of declarations is not spread throughout the state apparatus, a centralized collection system is likely to be more favorable for developing a uniform handling of all declarations and professional skills in the use of disclosed data. Decentralized systems facilitate monitoring by superior officials/bodies of declaring persons, provided internal control and awareness of managerial duties to prevent corruption are well internalized.

3.4 Statistics on Verification of declared forms

For verification, analysis was done on clarification of information given, nature of the clarifications and whether verification of the information would assist in fighting corruption. Representation from the graphs below show that 81% of employees argue that they have never been contacted to clarify on their submitted wealth declaration forms while 19% who responded being contacted revealed that it was due to clerical errors (69.0%) and incomplete forms (25.0%). They were asked further how the analysis of declared forms will assist in fighting corruption and 61.0% responded that there will be more transparency followed by reduced conflict of interest and accurate information at 19.0% and 16.0% respectively.

4.3.4.1 Clarity of information on submitted wealth declaration forms

Table 4.6: Statistics on Information clarity

Information clarity	Percentage
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Yes	19%
No	81%
Total	100

The respondents were asked to indicate if they have ever been contacted to clarify information on their submitted wealth declaration form. Figure 4.1 indicates that majority of the respondents (81%) indicated that they have never been contacted to clarify information on their submitted wealth declaration form.

4.3.4.2 Statistics on Verification of declared forms on corruption levels

The respondents were asked to rate the extent to which they agreed with the statements on verification of declared wealth declaration forms. The results are as shown in table 4.7.

Table 4.7: Statistics of verification of declared forms on corruption levels

Statement	1	2	3	Total	M	Std Dev
Clerical Errors such as misspellings etc. are alarmingly too many.	7	0	93	100	4.31	0.94
Most of the forms are incomplete	33	10	57	100	3.34	1.58
Questions on financial statements such as liabilities, assets etc. are not clear and some are ambiguous	11	32	57	100	3.9	1.23
There would be increased conflict of interest	15	11	74	100	4.21	1.31
The information provided would not be accurate	20	15	65	100	3.98	1.41
The level of transparency is high	5	81	14	100	3.16	0.83
Average					3.82	1.22

Note: 3=Agree 2=Not Sure 1=Disagree, M= mean, STD Dev = Standard deviation

Table 4.7 show that 93% (93) of the respondents agree that clerical errors such as misspellings etc. are too many. Likewise, 57% (57) of the respondents indicated that most of the forms are incomplete. Similarly, 57% (57) of the respondents indicated that questions on financial statements such as liabilities, assets etc. are not clear and some are ambiguous. 74% (74) of the respondents agreed that there would be increased conflict of interest cases if verification was to be done. Additionally, 65% (65) respondents agreed that the information provided would not be accurate. Besides, 81% (81) of the respondents were not sure whether the level of transparency would be high with verification

In summary, the average mean of the responses was 3.82 with a standard deviation of 1.22. On a scale of five points, this means that majority of the respondents agreed to the statements on verification of declared forms. These findings corroborate Ngumbi (2020) who mention that an effective income and assets declaration regime can enhance the fight against corruption as it can control abuse of power and increase public accountability. Levels of corruption are perceived to be lower in countries where there are frameworks for disclosure of wealth and assets, subsequent verification and public access to the said declarations. Prevention of illicit enrichment through wealth declaration is realized through monitoring of periodic declarations by public officers through systemic analysis of the data collected from the declaration forms. This is a confirmation that wealth declaration systems accompanied with effective management can play a significant role in enhancing transparency and accountability and reducing corruption. (Ngumbi, 2020)

4.3.5 Public disclosure policy of wealth declaration on perceived corruption levels

This section analyses the public disclosure situation in the wealth declaration process in Kenya. Amongst the questions included are the types of disclosures preferred and what that would mean for the public and support from the executive in the enforcement process.

4.3.5.1 Public disclosure of wealth declarations on perceived corruption levels

The respondents were asked to rate the extent to which they agreed with the statements on public disclosure of wealth declarations in fighting corruption. The results are as shown in table 4.8.

Table 4.8: Statistics on public disclosure of wealth declarations

Statement	3	2	1	Total	M	Std Dev
The asset declaration system is fully supported by the executive	51	4	45	100	3.08	1.57
Disclosure puts declarers at risk because their personal information is public	63	6	31	100	3.47	1.4
Public disclosure enhances officers' integrity	80	11	9	100	4.05	1.06
Disclosure creates awareness among the public	69	18	13	100	3.8	1.26
Disclosure makes public officers more accountable and reduce conflict of interest	45	11	44	100	3.02	1.56

Table 4.8 show that 51% (51) of the respondents agreed that the wealth declaration system is fully supported by the executive. However, 63% (63) of the respondents indicated that Disclosure puts declarers at risk because their personal information is public.80% (80) of the respondents indicated that public disclosure enhances officers' integrity. Additionally, the results also revealed that 69% (69) of the respondents agree that disclosure creates awareness among the public and 45% (45) respondents indicated that disclosure makes public officers more accountable and reduce conflict of interest.

In summary, the average mean of the responses was 3.5 with a standard deviation of 1.37. On a scale of five points, this means that majority of the respondents were in agreement with the statements regarding public disclosure of wealth declarations. These findings agree with Agyeman (2016) whose discussions were centered around how wealth declaration laws are likely to be rendered a failure due to lack of effective sanctions on officials who intentionally refuse to disclose, and the ambiguity over which entity is precisely responsible for exacting the sanctions or for prosecuting such failures. Sanctions for failing to disclose or for making false or misleading declarations need to be severe enough to have a deterring impact. In principle, the same sanctions should apply to non-disclosure and false declaration; otherwise, corrupt officials may refuse disclosure since the penalty for nondisclosure is less deterrent (Agyeman, 2016) and (Pop, 2016) studies on the Ukrainian law on asset disclosure, whether it is a threat to privacy or a powerful anti-corruption tool? It was noted that Ukraine is comparable with other countries in the region both in terms of the scope of the information declared and its approach towards public access. While public access can raise valid concerns, the benefits outweigh the costs and any interference with privacy rights in the declaration is proportionate to the public interest. Online disclosure of public declarations has been introduced in many countries and is essential if public servants are to be held to account.

Other comments on the reason as to why include: *Compliance is very high as much as publicity outside is very high and not enough resources and publicity given to it.* Other comments on disclosure include *Disclosure will cause an infringement on the right to*

privacy another said that *the law will have to be amended for disclosure to be allowed and exercised.*

4.4 Inferential Statistics

4.4.1 Correlation Analysis

The Pearson correlation coefficient was used to determine the association between the variables which is denoted by **r**. Correlation coefficients (**r**) range from -1 to 1. A 0 signifies that the factor is not associated to one another, but a value of ± 1 shows that the two parameters are in perfect association. The link between the two variables will get weaker, as the value of the **r** goes to 0. A + sign indicates a positive relationship and a – sign shows a negative link. The direction of the association is represented by the sign of the **r**. (Gogtay & Thatte, 2017).

Table 4.9: Correlation matrix between wealth declaration system and fighting corruption in Kenya

Correlations		Fight against Corruption in Kenya	Public disclosure of wealth declaration	Awareness level of asset declaration	Verification of declared forms	Compliance level	Enforcement outcomes
Fight against Corruption in Kenya	Pearson Correlation	1					
	Sig. (2-tailed)						
Public disclosure of wealth declarations	Pearson Correlation	.673**	1				
	Sig. (2-tailed)	0.000					
Awareness level of asset declaration	Pearson Correlation	.561**	0.105	1			
	Sig. (2-tailed)	0.000	0.297				
Verification of declared forms	Pearson Correlation	.641**	.330**	.529**	1		
	Sig. (2-tailed)	0.000	0.001	0.000			
Compliance level and	Pearson Correlation	.545**	.262**	.438**	.499**	1	
	Sig. (2-tailed)	0.000	0.009	0.000	0.000		
Enforcement outcomes	Pearson Correlation	.511**	.287**	.222**	.441**	0.469	1

Sig. (2-tailed)	0.000	0.009	0.000	0.000	0.00	0.00
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** Correlation is significant at the 0.01 level (2-tailed).

The results in table 4.9 above show that there is a positive and significant association between effectiveness of wealth declarations and the fight against corruption in Kenya ($r=0.637^{**}$, $p=0.000$). The strong r value of 0.637 indicates a value of greater than 0 which implies that effectiveness of wealth declaration as a linear variable has a positive association with the fight against corruption in Kenya. These findings agree with Agyeman (2016) whose discussions were centered around how wealth declaration laws are likely to be rendered a failure due to lack of effective sanctions on officials who intentionally refuse to disclose, and the ambiguity over which entity is precisely responsible for exacting the sanctions or for prosecuting such failures. Sanctions for failing to disclose or for making false or misleading declarations need to be severe enough to have a deterring impact. In principle, the same sanctions should apply to non-disclosure and false declaration; otherwise, corrupt officials may refuse disclosure since the penalty for nondisclosure is less deterrent (Agyeman, 2016).

The results show that there is a positive and significant association between awareness level of asset declaration and the fight against corruption in Kenya ($r=0.561^{**}$, $p=0.000$). The strong r value of 0.561 indicates a value of greater than 0 which implies that awareness level of asset declaration as a linear variable has a positive association with the fight against corruption in Kenya. The findings are in line with OECD reports which showed that, lack of support and/or awareness among officials – Especially in the early stages of implementing declaration systems, a major difficulty is making public officials aware of new requirements and achieving due respect for the need to meet them properly. Part of this problem can be a lack of or insufficient training and guidance (OECD, 2011).

The results also show that there is a positive and significant association between verification of declared forms and the fight against corruption in Kenya ($r=0.641^{**}$, $p=0.000$). The strong r value of 0.641 indicates a value of greater than 0 which implies that verification of declared forms as a linear variable has a positive association with the fight against corruption in Kenya. These findings corroborate the OECD reports that addressed the fact that various countries require various legislative requirements that suit the specific

country and that there is no one legal requirement of how asset declaration systems should be administered as long as they have been ratified and are endorsed by a country. Agyeman however emphasized the need for transparency in the declaration process to help reduce conflicts of interest and monitor wealth variations. The study also looks at how the administration/enforcement and verification process has been as a way of monitoring the declaration system (OECD, 2011).

The results also show that there is a positive and significant association between compliance levels of asset declaration and the fight against corruption in Kenya ($r=0.545^{**}$, $p=0.000$). The strong r value of 0.545 indicates a value of greater than 0 which implies that compliance level and enforcement outcomes of asset declaration as a linear variable has a positive association with the fight against corruption in Kenya. These findings are consistent with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption.

The results also show that there is a positive and significant association between enforcement outcomes of asset declaration and the fight against corruption in Kenya ($r=0.511^{**}$, $p=0.000$). The strong r value of 0.511 indicates a value of greater than 0 which implies that compliance level and enforcement outcomes of asset declaration as a linear variable has a positive association with the fight against corruption in Kenya. These findings are consistent with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption.

4.4.2 Regression Analysis

The study also sought to investigate the causal effect of wealth declarations on the fight against corruption in Kenya (perceived corruption levels). The findings represent the model of fitness, ANOVA tests and the regression of coefficients as shown in table 4.10.

Table 4.10: Regression analysis between wealth declaration and the fight against corruption.

Model of fitness						
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate		
1	.872a	0.760	0.750	0.301		
ANOVA						
Model		Sum of Squares	Df	Mean Square	F (statistic)	Sig.
1	Regression	27.265	4	6.816	75.328	.000b
	Residual	8.5960	95	0.090		
	Total	35.861	99			
Regression of Coefficients						
Model	Variable	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
		B	Std. Error	Beta		
	(Constant)	-0.319	0.169		-1.892	0.061
	Compliance level of asset declaration	0.137	0.052	0.158	2.626	0.010
	Enforcement outcomes of asset declaration	0.448	0.081	0.511	5.508	0.000
	Awareness level of asset declaration	0.248	0.047	0.321	5.226	0.000
	Verification of declared forms	0.237	0.071	0.219	3.335	0.001
	Public disclosure of wealth declarations	0.549	0.056	0.526	9.745	0.000

a Dependent Variable: Perceived levels of corruption in Kenya

b Predictors: (Constant), Compliance level and enforcement outcomes of asset declaration, Awareness level of asset declaration, Verification of declared forms and public disclosure of wealth declarations

The multiple regression model is shown in the following statistics:

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \beta_5 X_5 + e$$

$$Y = -0.319 + 0.137X_1 + 0.448X_2 + 0.248X_3 + 0.237X_4 + 0.549X_5 + e$$

Where;

Y= Perceived level of corruption in Kenya

X₁ = Compliance level of wealth declaration in Kenya

X₂ = Enforcement outcomes of wealth declaration in Kenya

X₃ = Verification of declared forms on corruption related cases

X₄ = Awareness level of wealth declaration

X₅ = Public disclosure of wealth declarations in fighting corruption

e = Error term assumed to be normal in distribution

The results in Table 4.10 indicates that effectiveness of wealth declarations affects the fight against Corruption in Kenya. This is evident, as shown by the R square value which 0.760. This implies that effectiveness of wealth declarations explains 76.0% of the fight against corruption in Kenya.

These results imply that the model is statistically significant indicating that effectiveness of wealth declarations affect the fight against corruption in Kenya (p = 0.000). This is further supported by the F statistic 75.328 where the value was greater than the critical value at 0.05 significance level, $F_{\text{statistic}} = 75.328 > F_{\text{critical}} = 2.463 (4, 95)$.

The regression analysis indicates that compliance levels of asset declaration have a positive and significant effect on the fight against corruption in Kenya ($\beta = 0.137$, $t = 2.626$, $p=0.010$). This implies that improvement in 1 unit of aspects related to compliance levels of asset declaration leads to an improvement in the fight against corruption (reduced level of corruption) in Kenya by 0.137 units (vice versa is true). These findings are consistent with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption. In a certain study from Ghana many of the challenges faced there included

issues like lack of clarity on requirements to disclose, the absence of a legal requirement for the verification of wealth declarations, the lack of effective mechanisms of persecution, non-disclosure, the lack of political will in supporting the wealth declaration regime, the lack of technical, financial and human resources required to implement the scheme, implementing bodies having inadequate powers to carry out their tasks in relation to collecting and verifying declaration and the absence of independence and autonomy in the various agents. This can be confirmed by the study alluding to the fact that some of the challenges sited by users and enforcers of the system was legislative limitations especially in administering sanctions and enforcement.

The regression analysis indicate that enforcement outcomes of asset declaration have a positive and significant effect on the fight against corruption in Kenya ($\beta = 0.448$, $t = 5.508$, $p=0.000$). This implies that improvement in 1 unit of aspects related to enforcement outcomes of asset declaration leads to an improvement in the fight against corruption (reduced level of corruption) in Kenya by 0.448 units (vice versa is true). These findings are consistent with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption. In a certain study from Ghana many of the challenges faced there included issues like lack of clarity on requirements to disclose, the absence of a legal requirement for the verification of wealth declarations, the lack of effective mechanisms of persecution, non-disclosure, the lack of political will in supporting the wealth declaration regime, the lack of technical, financial and human resources required to implement the scheme, implementing bodies having inadequate powers to carry out their tasks in relation to collecting and verifying declaration and the absence of independence and autonomy in the various agents. This can be confirmed by the study alluding to the fact that some of the challenges sited by users and enforcers of the system was legislative limitations especially in administering sanctions and enforcement.

Similarly, awareness level of asset declaration has a positive and significant effect on the fight against corruption in Kenya ($\beta = 0.248$, $t = 5.226$, $p=0.001$). This implies that improvement in 1 unit of aspects related to awareness level of asset declaration leads to an improvement in the fight against corruption (reduced level of corruption) in Kenya by 0.248 units (vice versa is true). The findings are in line with OECD reports which showed that, lack of support and/or awareness among officials – Especially in the early stages of implementing declaration systems, a major difficulty is making public officials aware of new requirements and achieving due respect for the need to meet them properly. Part of this problem can be a lack of or insufficient training and guidance (OECD, 2011). Also, in systems where awareness of the purpose and use of declarations is not spread throughout the state apparatus, a centralized collection system is likely to be more favorable for developing a uniform handling of all declarations and professional skills in the use of disclosed data. Decentralized systems facilitate monitoring by superior officials/bodies of declaring persons, provided internal control and awareness of managerial duties to prevent corruption are well internalized.

Also, the regression analysis indicates that verification of declared forms has a positive and significant effect on the fight against corruption in Kenya ($\beta = 0.237$, $t = 3.335$, $p=0.000$). This implies that improvement in 1 unit of aspects related to verification of declared forms leads to an improvement in the fight against corruption (reduced corruption levels) in Kenya by 0.237 units (vice versa is true). These findings corroborate the OECD reports that addressed the fact that various countries require various legislative requirements that suit the specific country and that there is no one legal requirement of how asset declaration systems should be administered as long as they have been ratified and are endorsed by a country. Agyeman however emphasized the need for transparency in the declaration process to help reduce conflicts of interest and monitor wealth variations. The study also looks at how the administration/enforcement and verification process has been as a way of monitoring the declaration system (OECD, 2011).

Lastly, the regression analysis indicate that public disclosure of wealth declarations has a positive and significant effect on the fight against Corruption in Kenya ($\beta = 0.549$, $t = 9.745$, $p=0.000$). This implies that improvement in 1 unit of aspects related to public

disclosure of wealth declarations leads to an improvement in the fight against Corruption in Kenya by 0.549 units (vice versa is true). These findings agree with Agyeman (2016) whose discussions were centered around how wealth declaration laws are likely to be rendered a failure due to lack of effective sanctions on officials who intentionally refuse to disclose, and the ambiguity over which entity is precisely responsible for exacting the sanctions or for prosecuting such failures. Sanctions for failing to disclose or for making false or misleading declarations need to be severe enough to have a deterring impact. In principle, the same sanctions should apply to non-disclosure and false declaration; otherwise, corrupt officials may refuse disclosure since the penalty for nondisclosure is less deterrent (Agyeman, 2016).



CHAPTER FIVE

DISCUSSION, CONCLUSION AND RECOMMENDATIONS

The purpose of this chapter is to show how the findings of this study add to the body of knowledge around the topic of the wealth declaration system. This chapter puts together the findings of the study while drawing comparisons from previous similar studies to find areas of agreement and areas in which the research differs with those carried out by other researchers. This chapter also includes conclusions and recommendations as well as limitations that the researcher incurred, and areas proposed for further research in the field.

5.1 Discussion

5.1.1 Find out the compliance level of Wealth Declaration in Kenya

The study finds that most of the respondents agreed that compliance level was high and that it is effective towards the fight against corruption in Kenya. The regression analysis indicated that compliance level of wealth declaration has a positive and significant effect on the fight against corruption in Kenya. This implies that improvement in aspects related to compliance level of wealth declaration leads to an improvement in the fight against corruption in Kenya (vice versa is true).

These findings are consistent with Onn (2015) who talks of how the US system works in a study by Onn shows that the asset declaration system in the U.S. is a highly regarded model that has high compliance rates due to its comprehensiveness and transparency. The U.S. system is unique in its adoption of a multi-layered approach to efficiently address different branches of government. Wealth declaration requirements differ in scopes from the federal to local government, and in general, focus on high-level officials. Compliance and investigative functions are conducted by separate bodies. Annually, officials submit declarations to the agency that they work in for review. (Onn, 2015)

5.1.2 Find out the Enforcement outcomes of Wealth Declaration in Kenya

The study finds that most of the respondents agreed that the enforcement outcome was high and that they are effective towards the fight against corruption in Kenya. The regression

analysis indicated that enforcement outcomes of asset declaration have a positive and significant effect on the fight against corruption in Kenya. This implies that improvement in aspects related to compliance level and enforcement outcomes of asset declaration leads to an improvement in the fight against corruption in Kenya (vice versa is true).

These findings agree with Agyeman (2016) who argues that, even though a wealth declaration regime has great potential for fighting the abuse of power and corruption by public office holders, its impact can be limited by shortcomings of the regulatory framework. Major flaws in legislation are likely to threaten the effectiveness of wealth declaration as a mechanism for fighting corruption. In a certain study from Ghana many of the challenges faced there included issues like lack of clarity on requirements to disclose, the absence of a legal requirement for the verification of wealth declarations, the lack of effective mechanisms of persecution, non-disclosure, the lack of political will in supporting the wealth declaration regime, the lack of technical, financial and human resources required to implement the scheme, implementing bodies having inadequate powers to carry out their tasks in relation to collecting and verifying declaration and the absence of independence and autonomy in the various agents. This can be confirmed by the study alluding to the fact that some of the challenges sited by users and enforcers of the system was legislative limitations especially in administering sanctions and enforcement. The findings are also consistent with the institutional theory in that compliance levels are affected by measures put in place by the institutions to achieve this high outcome.

5.1.3 Determine the awareness level of Wealth Declaration in Kenya

From the findings analyzed, majority of the respondents were not knowledgeable about the wealth declaration system and agreed that more sensitization needed to be done to improve the awareness levels of the public. They agreed that awareness level of wealth declaration affects the fight against corruption in Kenya. The regression analysis indicate that awareness level of asset declaration has a positive and significant effect on the fight against corruption in Kenya. This implies that improvement in aspects related to awareness level of asset declaration leads to an improvement in the fight against corruption in Kenya (vice versa is true).

The findings are in line with OECD reports which showed that, lack of support and/or awareness among officials – Especially in the early stages of implementing declaration systems, a major difficulty is making public officials aware of new requirements and achieving due respect for the need to meet them properly. Part of this problem can be a lack of or insufficient training and guidance (OECD, 2011). Also, in systems where awareness of the purpose and use of declarations is not spread throughout the state apparatus, a centralized collection system is likely to be more favorable for developing a uniform handling of all declarations and professional skills in the use of disclosed data. Decentralized systems facilitate monitoring by superior officials/bodies of declaring persons, provided internal control and awareness of managerial duties to prevent corruption are well internalized.

5.1.4 Investigate whether verification of declared forms cause an effect on corruption related cases

From the analysis majority of employees argue that they have never been contacted to clarify on their submitted wealth declaration forms. However, the majority of the respondents agreed that verification of declared forms on corruption related cases are effective towards the fight against corruption. The regression analysis indicates that verification of declared forms has a positive and significant effect on the fight against corruption in. This implies that improvement in aspects related to verification of declared forms leads to an improvement in p the fight against corruption in Kenya (vice versa is true).

These findings corroborate the OECD reports that addressed the fact that various countries require various legislative requirements that suit the specific country and that there is no one legal requirement of how wealth declaration systems should be administered as long as they have been ratified and are endorsed by a country. Agyeman however emphasized the need for transparency in the declaration process to help reduce conflicts of interest and monitor wealth variations. The study also looks at how the administration/enforcement and verification process has been as a way of monitoring the declaration system (OECD, 2011).

In the same literature from Malaysia institute of democracy and economic affairs, they concluded that wealth declaration systems are more effective if the monitoring and verification task is given to an independent body, separate from the body that enforces it. For example, Parliament may establish a Parliamentary Standing Commission, to independently review assets declared by MPs where other branches of government can establish a similarly independent body to verify assets declared. (Onn, 2015) This agreed with the responder's opinions as some mentioned that analysis would be better if done by a separate institution.

Countries with a longer tradition of wealth declaration by public officials have significantly lower perceived levels of corruption than countries with newer laws. Perceived levels of corruption are lower in countries whose declaration laws permit prosecution of the offending officials. Also, countries that verify officials' statements and give public access to officials' wealth declaration have significantly lower perceived levels of corruption than countries that do not verify declaration content. (Transparency international, 2013) Various researchers and scholars ascertained the importance of verification on reduced corruption and most of the findings were consistent with the reviewed literature on verification reducing corruption

5.1.5 Assessing the impact of public disclosure of asset declarations in fighting corruption

The study finds that most of the respondents believed public disclosure of asset declarations in fighting corruption impacts on the fight against corruption in Kenya. The regression analysis findings indicate that public disclosure of wealth declarations has a positive and significant effect on the fight against Corruption in Kenya. This implies that improvement in aspects related to public disclosure of wealth declarations leads to an improvement in the fight against Corruption in Kenya (vice versa is true).

Literature reviewed in the study highlighted that most countries place some limited restriction in access to ensure that such information is not used for anything mischievous. Some require an application to the receiving authority with stated reasons for use, plus a fee as in the case of the USA. In Romania, the information is published in the Internet page

of the legal entities responsible for policing the regime, or the official journal of Romania. In South Africa the contents of the declaration are kept in registers managed by the relevant receiving authorities including the Secretary to Cabinet in respect of members of the Cabinet. The register has a confidential and public part. The provisions are replicated for MPs and councilors at local government level. (Ghana center for democratic development, 2005)

These findings agree with Agyeman (2016) whose discussions were centered around how asset declaration laws are likely to be rendered a failure due to lack of effective sanctions on officials who intentionally refuse to disclose, and the ambiguity over which entity is precisely responsible for exacting the sanctions or for prosecuting such failures. Sanctions for failing to disclose or for making false or misleading declarations need to be severe enough to have a deterring impact. In principle, the same sanctions should apply to non-disclosure and false declaration; otherwise, corrupt officials may refuse disclosure since the penalty for nondisclosure is less deterrent (Agyeman, 2016).

They also agree with World Bank. (2016) findings on the Ukrainian law on asset disclosure; whether it is a threat to privacy or a powerful anti-corruption tool? It was noted that Ukraine is comparable with other countries in the region both in terms of the scope of the information declared and its approach towards public access. While public access can raise valid concerns, the benefits outweigh the costs and any interference with privacy rights in the declaration is proportionate to the public interest. Online disclosure of public declarations has been introduced in many countries and is essential if public servants are to be held to account.

According to the data collection and analysis on public disclosure most of the respondents agreed that 42% agreed that disclosure would help the asset declaration process to fulfil its mandate of fighting corruption because it would mean the public is able to access private information which would discourage conflict of interest and encourage accountability. Some of the most popular comments received from the fear of publicly disclosing information was that disclosure will cause an infringement on the right to privacy and that the law will have to be amended for disclosure to be allowed and exercised.

From these discussions it is clear that more research needs to be done on public disclosure, how to administer it; i.e., whether fully or partially, areas of infringing privacy rights; who will administer and what sanctions should be put in place on failure to disclose and also on the laws and policies pertaining to privacy rights. This will in turn help reduce conflict of interest and hence fight corruption

The research findings also resonate with the two theories used to inform this study; that is, the theory of reasoned action and the institutional theory as they inform a positive relationship and agreement between each of the variables and both theories.

For the theory of reasoned action, the theory assumes that individuals behave rationally, and gather and analyze information systematically. It was also determined that based on this rational decision making, individuals would evaluate the risk of that action and decide on their next steps. Despite the risk of disclosure and verification because of privacy right infringements and exposure this theory informs the decision to comply, verify and disclose based on rationality after gathering information that it in fact would lead to an effective declaration system that reduces corruption levels.

For Institutional theory the concept suggests that in the study of corruption we should focus on the bad barrel which means distorting institutional practices and mechanisms rather than concentrating on the individual misbehavior 'bad apples. This theory considers that corruption is influenced by the character, design and transparency of the political system and its institutions. At the same time, it acknowledges that the relationship between corruption, institutions, political systems, culture and gender is highly complex. The findings of this research greatly agree with this theory as it has depicted from its findings that the design of the wealth declaration system is what has been the problem therefore not achieving its intended outcome of fighting corruption. It goes on to show the relationship between the system and its relation to corruption and affirms its complexity but that a positive influence in the change of the system with the used variables can potentially reduce corruption levels and help in the fight.

5.2 Conclusions

The researcher addressed the four research objectives that had been identified. Based on both the literature, data collected and the analysis of the data, the WD system is not effective enough as an anti-corruption tool for combating corruption in Kenya. The existing wealth declaration regime is an anti-corruption policy failure. The general consensus as shown in this study and also agreed with the obtained literature, is that the legislative acts, policies and institutional frameworks need to be reviewed and amended to make the wealth declaration regime in Kenya more potent to combat corruption in the public sector

From the study it was also concluded that compliance and enforcement levels would basically translate to successes and challenges experienced in the administration of the wealth declaration system and from the respondents sampled it was concluded that most employees have an easy time in collecting filling and returning the forms as this has been the major compliance aspect handled with the allocated resources. Few of the respondents are aware of the origin of the wealth declaration process with only a few stating that they know it from the conventions. These are mostly the enforcers of the system.

Majority of the respondents think that executive support, introduction of new laws and increased conflict of interest caused the WD process to be introduced to the country as a tool for fighting corruption. Most respondents also think that the behavioral and institutional change since the WD was introduced has been more positive than negative and that compliance and enforcement levels have been established through the HR department signing, collection and return of forms and by using sanctions like withholding salaries and having a list of shame as a measure to ensure timeliness of every employee.

On awareness, out of the respondents engaged, mostly enforcers were aware that wealth declaration was used as a means of fighting corruption. Users were generally unaware that wealth declaration was introduced as a means of fighting corruption in Kenya. Most respondents were aware that they need to fill the WD form as a requirement and some had good knowledge about the process. Some needed sensitization of the purpose as most were filling it only as a formality. Most respondents agreed that more training needed to be offered on the process.

On verification the study concluded that, most of the respondents had never been contacted to clarify on submitted forms and that only a few of them had been contacted due to clerical errors and incomplete forms. Most of the respondents think that analysis/verification will allow for transparency within the public officers, and it will reduce conflict of interest and allow the users to give accurate information.

Out of the respondents contacted, very few people feel that the executive supports the wealth declaration process especially because they do not give it enough publicity to make the public aware that it is a tool used to fight corruption and because it allocates very minimal resources towards the cause. The results strongly provide evidence that extreme public disclosure would make the system more successful in disclosing conflict of interest

The research concludes that although the wealth declaration process has been ‘successfully enforced’ and that the compliance levels are high what came out was that apart from the enforcers who are aware of the purpose of the WD process, that the users (public officers) have been participating in the process as a formality and for fear of the sanctions that come with non-compliance. Verification and Public disclosure as tools of monitoring and enforcement are the best outcome to improve effectiveness of the system and to drive the purpose nearer to its intended goal of fighting corruption. These findings were consistent with the transparency international study of 2013 that said that countries with a longer tradition of wealth declaration by public officials have significantly lower perceived levels of corruption than countries with newer laws and that Perceived levels of corruption are lower in countries whose declaration laws permit prosecution of the offending officials. Also, countries that verify officials’ statements and give public access to officials’ wealth declaration have significantly lower perceived levels of corruption than countries that do not verify declaration content.

This can be enforced by changes in the policy and legal framework of the WD process in the country. An interesting part of the findings however was that respondents did not feel as if political goodwill is an aspect that would be needed to ensure that the WD process achieve its agenda of fighting corruption.

5.3 Recommendations

The researcher, based on the literature and subsequent responses from the study has a number of recommendations.

The first recommendation from the study is that the government needs to amend the policy and legislation of the country to allow certain parameters like public disclosure to be legal so that the wealth declaration process can be more effective especially in corruption related cases.

The second recommendation was that the whole WD process should be automated. This would allow for 1) easier storage in a central depository system 2) easy to verify or to do analysis on the data 3) easy to recognize and amend errors 4) easier to retrieve information on a person.

The third recommendation was to ensure cooperation within the cooperating agencies such that if there's a pending corruption case then the DPP can be able to effectively get information from the EACC with regards to the wealth declarations and also be able to link it with the KRA on cases where they can verify wealth through tax.

The fourth recommendation was to allow for segregation of duties within the WD process structure, so that senior public officials should let's say submit to one body, middle level to another and low incomers to another body. This allows for ease of retrieving information in case the information is needed.

Fifth, wealth declaration must be made a condition for accepting a position in the public service, and that the obligation to declare and the declaration period should be seriously considered, preferably before the contracts are signed or as a requirement in the contract.

Six, serious sanctions must apply to those who fail to comply with the wealth declaration laws. Sanctions should be explicit and severe and include criminal prosecution for falsifying extremely bad and deliberate errors or omissions.

Lastly, sensitize and train users of the system to know the reason behind this exercise, this includes sensitization on laws, the need to comply with them and their obligations as

officers. Not just to do it as a formality but to see the need for it to be done as a means of fighting corruption and conflict of interest.

5.4 Limitations

The study suffered a number of challenges including the data collection which was initially meant to be done before the start of the covid-19 pandemic. Because of this it was much more difficult to obtain public officers as most were working from home and gatherings and visitors were discouraged. This made it take longer than expected to gather data. This challenge was mitigated through use of emails to obtain the data albeit it taking a longer time than what was foreseen.

Another challenge was how the questionnaire was structured, there were no separate questionnaires for users and enforcers but only an option in the questions which maybe limited the study to similar questions on both the user and enforcer but the challenge was mitigated by the comments section which allowed either the user or enforcer to mention anything specific to their individual experiences as either one of the two

Lastly, another challenge that was experienced by the researcher was that there was very limited secondary data on studies done on the wealth declaration process in Africa and more specifically Kenya which made it a good research topic but also quite challenging in terms of theoretical and literature review as most literature were recommendations from organizations and not necessarily individual studies.

5.5 Areas for further research

The study focused on the national and county level with various independent offices and recommends that further research is done on state corporations who are deemed to be more organized. An important aspect of the research would also be to investigate whether top tier officials and state officers participate in this exercise and if not, what sanctions have been put in place for them to ensure this happens. Lastly a good topic of research would be to identify how the law can be amended to allow linking declared wealth declarations to corruption case

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APPENDICES

Appendix I: Ethical Approval Letter





Strathmore
UNIVERSITY

19th May 2020

Ms Ogada, Imelda
imelda.ogada@gmail.com

Dear Ms Ogada,

RE: Evaluating the Wealth Declaration System in Fighting Corruption in Kenya

This is to inform you that SU-IERC has reviewed and **approved** your above research proposal. Your application approval number is **SU-IERC0812/20**. The approval period is **19th May 2020 to 20th May 2021**.

This approval is subject to compliance with the following requirements:

- i. Only approved documents including (informed consents, study instruments, MTA) will be used
- ii. All changes including (amendments, deviations, and violations) are submitted for review and approval by SU-IERC.
- iii. Death and life threatening problems and serious adverse events or unexpected adverse events whether related or unrelated to the study must be reported to SU-IERC within 72 hours of notification
- iv. Any changes, anticipated or otherwise that may increase the risks or affected safety or welfare of study participants and others or affect the integrity of the research must be reported to SU-IERC within 72 hours
- v. Clearance for export of biological specimens must be obtained from relevant institutions.
- vi. Submission of a request for renewal of approval at least 60 days prior to expiry of the approval period. Attach a comprehensive progress report to support the renewal.
- vii. Submission of an executive summary report within 90 days upon completion of the study to SU-IERC.

Prior to commencing your study, you will be expected to obtain a research license from National Commission for Science, Technology and Innovation (NACOSTI) <https://oris.nacosti.go.ke> and also obtain other clearances needed.

Yours sincerely,

for: Dr Virginia Gichuru,
Secretary; SU-IERC

Cc: Prof Fred Were,
Chairperson; SU-IERC




Ole Sangale Rd, Madaraka Estate. PO Box 59857-00200, Nairobi, Kenya. Tel +254 (0)703 034000
Email info@strathmore.edu www.strathmore.edu

Appendix II: NACOSTI Permit

Permit No: **183689** Date of Issue: **20/June/2021**

RESEARCH LICENSE



This is to Certify that Miss. imelda Aluoch ogada of Strathmore University, has been licensed to conduct research in **Kajiado, Kiambu, Machakos, Nairobi** on the topic: **EVALUATING THE WEALTH DECLARATION SYSTEM IN FIGHTING CORRUPTION IN KENYA** for the period ending : **20/June/2021**.

License No: **NACOSTI/P/20/5334**

Applicant Identification Number: **183689**

Walter Kimani
Director General

NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION

Verification QR Code



Appendix III: Introduction Letter

Dear Valued Respondent,

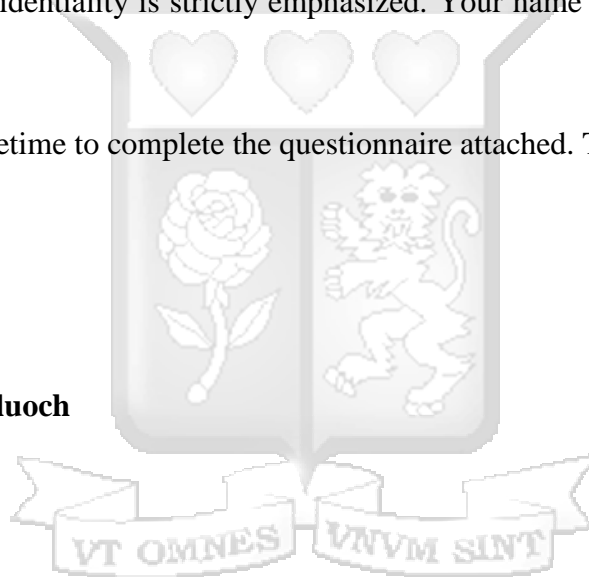
I am carrying out important research on evaluating the wealth declaration system in fighting corruption in Kenya. This is in partial fulfilment of the requirement for the award of the degree of Masters in Public Policy and Management at the Strathmore University Business School.

Attached is a questionnaire, please answer all the questions with your own true agreement to each. There are no wrong responses for any of these statements. This is an academic research and confidentiality is strictly emphasized. Your name will not appear anywhere in the report.

Kindly spare sometime to complete the questionnaire attached. Thank you in advance.

Yours Sincerely,

Ogada Imelda Aluoch



Appendix IV: Questionnaire

This study will assess implications of school disaster preparedness on fire disaster risk reduction in public boarding secondary schools in Nairobi County. You are requested to participate by filling this questionnaire. Kindly respond to the questions as honestly as possible. All information given will be treated with confidentiality and your kind cooperation will be highly appreciated. Do **NOT** write your name or that of your school to enhance confidentiality. Tick (✓) against the correct response using the scale provided for each question and comment where necessary.

Part A: Respondents' demographics

1. Type of employment

Permanent and pensionable Contracted employee

Elected officer 21 years and above year

2. What role do you play in the Asset Declaration Process?

Enforcer User

3. Job Scale

Entry level Medium level Top level

PART B: Fight against Corruption in Kenya

1. Indicate your level of agreement with the following statements relating to fight against corruption. **Note: 5=Strongly Agree 4=Agree 3=Not Sure 2=Disagree, 1=Strongly Disagree**

Statements	1	2	3	4	5
There is reduced number of corruption cases among public officials					
The assets acquired by public officers is lawful and through the proper legal channels					
Accountability, transparency and responsibility have improved in the institutions					
Officers placed in position of power and trust use it to the advantage of the public rather than for self-interests					
Public officers act lawfully in attempting to influence the actions, policies, or decisions of government					

Part C: Compliance level and enforcement outcomes of Asset declaration in Kenya (success and challenges)

4. Where do you collect your wealth, declaration forms from?
 County Headquarters Sub-County Headquarters Human Resource
 Other

5. Where do you collect your wealth declaration forms from?
 County Headquarters Sub-County Headquarters Human Resource
 Other

6. Do you know what brought about the Asset Declaration process?
 New Laws Increased conflict of interest cases Political goodwill
 All the above
7. What are the measures put in place to ensure compliance and in case of non-compliance in your organization?
 Every employee to sign, collect and return the forms
 No salary at the end of the month if non-complied

- List of shame to be gazette if non-compiled
- All the above

8. What has been the behavioral or institutional change since the enforcement of the Asset declaration system?

- Positive
- Negative
- No difference
- Cannot tell since it started in 2003

9. Indicate your level of agreement with following statements relating to compliance level and enforcement outcomes of Asset declaration in Kenya. Tick your answer in the box provided. **Note: 5= Very easy, 4=Easy 3=Moderate 2= difficult, 1=Very difficult**

Statements	1	2	3	4	5
Comment on ease of access to these offices					
It is difficult and tiresome to fill out the wealth, declaration forms					
What is the level of ease in filling these particular details in the form?					
Enforcement regarding asset declaration process is 100%					
There are measures put in place to ensure enforcement in your organization?					
There is positive behavioral or institutional change since the enforcement of the Asset declaration system?					

Part D: The awareness level of Asset Declaration in Kenya

10. Indicate your level of awareness to asset declaration in Kenya. Tick your answer in the box provided. **Note: 5=Excellent 4=Good 3=Moderate 2=Poor, 1=Very poor**

Statements	1	2	3	4	5
Rate your knowledge on the asset declaration system					
Kindly rate the sensitization or training you have had about the purpose of wealth declaration forms					
Rate the sensitization on the importance of wealth declaration in Kenya					
Comment on the training of the proper method of filling out the wealth declaration forms					

11. In what other ways have you been made aware about the asset declaration system?

.....

Part E: Effect of verification of declared forms on corruption related cases

12. Have you ever been contacted to clarify information on your submitted wealth declaration form?

Yes () No ()

13. If yes above, what was the nature of the clarifications?

.....

14. Indicate your level of agreement with the following statements relating to the effect of verification of declared forms on corruption related cases. **Note: 5=Strongly Agree 4=Agree 3=Not Sure 2=Disagree, 1=Strongly Disagree**

Statements	1	2	3	4	5
Clerical Errors such as misspellings etc. are alarmingly too many.					
Most of the forms are incomplete					
Questions on financial statements such as liabilities, assets etc. are not clear and some are ambiguous					
There is increased conflict of interest					
The information provided is not accurate					
The level of transparency is not open					

15. In your opinion what would analysis of the declared forms assist in the declaration process?

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Part F: Impact of public disclosure of asset declarations in fighting corruption

1. What type of disclosure do you think will make the system more successful in disclosing conflict of interest?

No disclosure () Full disclosure ()

2. Kindly indicate your level of agreement to the following statements in relation to the impact of public disclosure of asset declarations in fighting corruption: **Note:**

5=Strongly Agree 4=Agree 3=Not Sure 2=Disagree, 1=Strongly Disagree

Statements	1	2	3	4	5
The asset declaration system is fully supported by the executive					
Disclosure puts declarers at risk because their personal information is public					
Public disclosure enhances officers' integrity					
Disclosure creates awareness among the public					
Disclosure makes public officers more accountable and reduce conflict of interest					

3. Kindly indicate any other reason for public disclosure of asset declarations in fighting corruption

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Thank you for your cooperation