

PROCEEDINGS

**1st INTERNATIONAL CONFERENCE
ON SOCIAL SCIENCES AND HUMANITIES, ICSH 2014
*4-7 June 2014, Gaborone, Botswana***

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European Scientific Institute, ESI (publishing)

Impressum

Bibliographic information published by the National and University Library "St. Kliment Ohridski" in Skopje, Macedonia; detailed bibliographic data are available in the internet at <http://www.nubsk.edu.mk/>;

CIP - 31/36(680)(062)

COBISS. MK-ID 96906250

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PROCEEDINGS:

International Conference On Social Sciences And Humanities, ICSH 2014

(1 ; 2014 ; Gaborone) Proceedings.

/ 1st International Conference On Social Sciences And Humanities, ICSH 2014,

4-7 June 2014, Gaborone, Botswana.

European Scientific Institute, ESI, 2014.. - (645 p.) : ilustr. ; 28 cm

Kocani, Republic of Macedonia

Email: contact@eujournal.org

Printed in Republic of Macedonia

ISBN 978-608-4642-23-7

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A COMPARATIVE ANALYSIS OF HUMAN RESOURCE POLICIES AND PRACTICES ON EMPLOYEE PERFORMANCE AND SUSTAINABILITY OF HOTEL ORGANISATIONS IN BOTSWANA

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Abstract

The main aim of this study is to identify current human resources management (HRM) policies and practices at two prominent hotels in Gaborone. To achieve this aim, a mixed method approach in data collection and analysis was adopted. Questionnaires and interviews were administered to a sample of fifty four employees who were purposively selected from the two hotels. In addition, interviews were held with five senior level managers at the respective hotels. Major findings reveal that the majority of the employees were not satisfied with policies that address employee reward systems. However most lower level operational staff perceived that their own goals, attitudes and perceptions could be maximized by receiving recognition for best performance, striking a balance between personal and business aspects, avoiding personal interests on the job and fostering increased communication between management and employees. Furthermore it was found out that employees supported company policies that ensured that employee efforts are supported by management. This study, in conclusion emphasizes the need for hotels to exercise fair reward and motivation systems for their staff.

Keywords: Employee performance, service excellence, human resources management practices

Introduction

The main thrust of hospitality provision is guest satisfaction through service excellence. However hospitality organizations, such as hotels, have always focused on the result of customers' desires; that is service excellence, paying lesser attention on employees' needs, not realizing the key fact that employees are the key to service excellence (Valerie et.al 1990).Hotel employees, often work long hours, are paid meagre salaries and have very few incentives to motivate them thus threatening performance and hence the achievement of service excellence in the hospitality industry (Atkinson & Williams 2003). The existence of service excellence rests on the ability, competence and motivation of organizational employees.Khandekar and Sharma (2005) concur that an organisation's competitive advantage is determined by human resource capabilities. These capabilities can be dependent on effective human resource policies and practices.Armstrong (2003) also emphasises that an effective human resource strategy is one that helps organizations develop its employees and provide them with suitable opportunities and better working conditions so that their optimum contribution is ensured.

This paper therefore sought to assess hotel organizations' approach to human resource practices that encourage employees' performance. This paper, based on the premise that effective human resource policies and practices should have favourable impact on employee performance, is limited to the human resource policies and practices of the food and beverage sector of two hotels in Gaborone. These hotels are comparatively of dissimilar organizational structures.

Literature Review

HRM policies and practices in the hospitality industry

It is the view of Armstrong (2009) that human resources practices can make a direct impact on employees' characteristics such as engagement, commitment, morale, motivation and skill. If employees have these characteristics it is probable that organisational performance in terms of productivity, quality and delivery of high levels of customer service will improve, thereby improving financial results as reflected in Figure 1

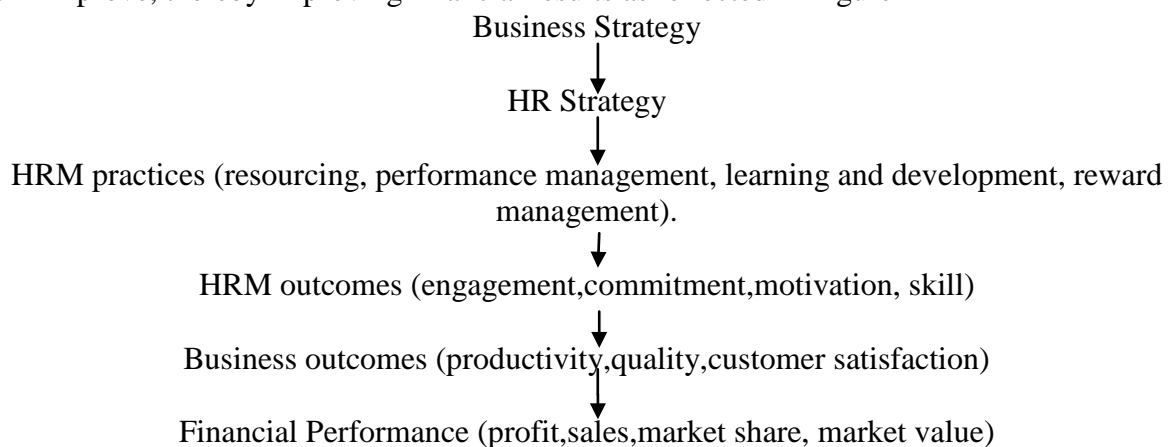


Figure 1: Impact of HRM on organisational performance, Armstrong (2009):143

Figure 1 clearly highlights the direct relationship between human resource management outcomes and business outcomes. Similar studies have confirmed the impact of human resources practices on business performance. Some of these studies were able to draw correlation between the increased quality of human resources practices and increased business success. For instance, in a case study by Nickson (2000) of Bridge in the World, a travel agency in the United States, attracting and retaining good staff was a big challenge. The company's profit margins were being eroded because of a hemorrhage in staff, with 40% leaving within 15 months of starting. With the introduction of a new incentive scheme and a Bridge in the World sabbatical, the threshold on sales bonuses was raised. The company's annual staff turnover rate reduced to 32%, well below the sector's average. In addition, company profits increased.

In another study by Woods (1989) in the United States as well, annual staff turnover in the hotel sector was running at 51.7% for front line employees. This was attributed to low pay and limited employee development programs (Woods, 1989). In such circumstances the challenge is for managers to recruit and retain well motivated employees. Armstrong (2003) supports the notion that organisations are able to attract and retain the most capable staff through offering pay and benefit packages that are more attractive than those of their competitors. The hotel environment is dynamic and highly competitive such that competitive advantage is needed. In such cases it is important that managers ensure human resources alignment. Human resources alignment is a vital process that advances organizational accountability. By defining, maintaining and assessing human resources management goals

and measures, communicating them throughout the organization and using the information to make management decisions, organizations are able to ensure that the management of human resources contributes to mission accomplishment and that managers are held accountable for their human resources. In addition, Fuller (1998), Armstrong (2007) and Bratton (2007) all affirmed the need to align employee needs with the organizational demands. There is need to have an attempt to accommodate employee concerns e.g. flexibility about taking time off, a better workplace design in order to make it conducive for work. Alignment of human resources needs with company objectives also facilitated openness. Schuler and Jackson (1999) suggested that in order to facilitate openness, organisations need to make the relevant information available to employees. Such a policy is worthwhile, since it is a critical part of attaining successful job person fit. In addition the employee is empowered and this boosts the morale of the employee. "Employee empowerment is an essential managerial means that can be used to obtain competitive advantages from human resources in the new millennium", (Yeh- Yun Lin, 2002 p 533). Holp (1994) also postulated that empowered employees are happier and more productive in the workplace as they fulfil self-actualisation needs. On the other hand, working with a workforce not well trained can compromise service quality. A key aspect of the choices within the staffing activity or any other human resources activity is that different choices stimulate different role behaviours which have negative or positive effects towards service excellence. It is therefore important to be able to attract, develop and retain high quality employees. (Popescu 2012) suggested that even in the future, the trend for hospitality industries will focus on talent management. Thus recognition of talent from employees, harnessing and developing it could also result in service excellence. Therefore hotels should empower employees so that they are motivated to act on its vision and objectives.

Methodology

A sample of employees and managers were purposively selected from two hotels in Gaborone. The first hotel, called A in this study, is a five star establishment that offers full service and is located out of town in a quiet neighborhood. The second hotel referred to as B, is a two star graded facility that offers limited service, is located in the middle of town and is in close proximity to a public transport parking facility. The two hotels have different markets and activity. Hotel A caters for a high end type of market. The hotel also has a casino and a conference center. Whilst Hotel B also has a casino it serves a low income to medium income type of market. Open and closed ended questions were administered to selected employees in questionnaire-interview sessions. The questions addressed common practices and policies associated with human resource issues such as working conditions and policy formulation. In addition, interviews were held with five managers at the respective hotels and each interview lasted about twenty to thirty minutes.

Results

Twenty five questionnaires were distributed to employees at Hotel A and 24 to employees at Hotel B. Of the 59 dispatched questionnaires only 29 questionnaires were successfully completed, giving a response rate of 72.5%. Interviews were held with five managers each from the hotels.

The data showed that the majority of the respondents (40 %), were aged between 26-30 for both managers and employees. Those aged 31-35 years represented 31% of the respondents. The age ranges of 20-25 and 36-40 both were represented by 14% of the respondents. Those aged 41+ comprised of 6.8% of the sample. Finally, 8.2% of the respondents did not respond to this question in particular. The results generally indicate that most of the respondents were below 40 years, corresponding to a study by World Travel and

Tourism Council (WTTC, 2000) which also realized that the hospitality industry employed a large number of young employees.

The majority of the respondents (58 %), from both hotels were at supervisory positions. These were mainly kitchen chefs (35%), restaurant supervisors (13 %) and senior stores persons (10 %). In addition the sample comprised of lower level employees that is, waiters (40%) and cashiers (2%). The five managers interviewed were mainly food and beverage managers (40%), Executive Chefs (40%) and a Restaurant Manager (20%) from Hotel A.

Company Policies on working hours

Whilst fifty seven percent of the employees in Hotel A disagreed to the question that the HR policies at their hotel for working hours was designed in a way that favored both employees and the company, A higher percentage (80%) from hotel B was noted. Upon further probe in one of the open ended questions, a number of employees (18%) from Hotel B expressed dissatisfaction with the long hours they worked, noting that they did not receive compensation for the extra effort they expended. Some indicated that the sub policies on working hours worked to the favour of the company. For instance one waiter indicated that *'we work longer shifts at times, but it seems this is good for the company as they make profits from the people we serve. We do not even receive extra pay for such hours'*. One other respondent, a cashier, indicated that this was even worse during busy periods *'when we leave very late in the evening after making sure that we have balanced our cash floats'*. In contrast, responses from management showed that 43 % of those in Hotel A and 40% of those in Hotel B strongly agreed that company policies were designed in a way that favored the employees and the company.

Employee Effort

The evidence from the survey showed that support of employee efforts by management was not prioritized as 53 % of the employees in Hotel A indicated that management did not support their efforts while 70% of the employees in Hotel B indicated the same. However from the management survey, 79 % agreed that they supported employee efforts while 21 % were not in favour of supporting employee efforts. Upon further interviews some of the employees suggested that their own goals, attitudes and perceptions could be maximized by getting recognition for best performance (10%), striking balance between personal and business aspects (3%), avoiding personal interests on the job (2%) and increased communication between management and employees (2%).

Policy Formulation and Communication

The study revealed that 60 % of the employees from Hotel A were involved in policy formulation of the organizations while only 43% of the employees from Hotel B were involved. According to Baron et al. (1999) employees must be involved in the formulation of strategic goals of the organization if long run effectiveness is expected. Seventy two percent of the managers agreed that company policies were well communicated to employees, 14% were not sure while 14% disagreed. Managers, mostly from Hotel A indicated that they continuously communicated with their subordinates through e- mails and on notice boards. Other managers went on to suggest that employees were always encouraged to approach management on their concerns, either personal or business related.

In contrast, 80% of employees from Hotel B argued that policies were not properly communicated. In interviews, some of the employees (78%) indicated that though open, communication was mainly top to bottom and they did not have a word about work related issues. In addition most employees mentioned that most policies were kept confidential by

senior managers. Most of the employees further went on to indicate that agreements between management and employees were not always honored and employees felt that they were not able to express their views openly. On the contrary 70% of the managers in hotel A indicated that agreements between them and employees were always honored, they had open door policies, and employees were able to express their views openly. In addition through the interviews, 60% of the managers in Hotel A indicated that they ensured a system of continuous feedback with their employees and always informed their employees of changes in policies.

Generally employees from both hotels felt dissatisfied as they perceived that the policies were very much biased towards company goals thus leading to poor employee morale. Armstrong, (2000), postulated that in order to be able to achieve competitive advantage, it is imperative that company policies be designed and implemented in a way that favors both the employees and the company. In addition Douglas et al., (1999) reiterated that failure to satisfy employees can lead to sabotage, absenteeism, and negligence or compromised service delivery that could disrupt the achievement of service excellence. Furthermore company policies should ensure that employee efforts are supported by management. In order to achieve competitive advantage there is need for changing attitudes, values, beliefs, employer-employee relationships and ways of doing things within an organisation.

Reward system and Motivation

The study revealed that 72% of the employees from both hotels were not happy with the reward system. Sixty percent of the managers agreed that the reward system was fair while 40 % disagreed. Most of the employees felt that only the managers decided how much one will get and when. According to Douglas et al., (1992) compensation and benefits are part of a total compensation system. Remuneration involves all forms of pay or rewards given to employees and arising from theory environment. These can be direct benefits e.g. wages, salaries, commissions, bonuses or indirect payments such as medical aid. In Hotel B there was no reference used for awarding grades and there was no formal policy in place for employee benefits such as work related insurance and compensation. In addition 25% of the employees indicated that they got recognition when deserved, 35% of the employees were not sure, while 40 % indicated that they did not get recognition when they deserved it. However upon further interviews, the managers from Hotel A, reiterated that they gave employees food allowances, transport allowances and uniform allowances, this in part a recognition that employees are valuable. Managers from Hotel B indicated that they do not give their employees staff uniforms and were not really vigilant in rewarding employees. Stoner (1991) emphasized the importance of remunerating employees adequately. There is therefore need to recognize employee efforts to have better results.

Conclusion

Generally the current HRM policies and practices at the two hotels were not thorough (well effective) as they were not bringing about the best performance from the employees. It emerged that most employees expressed poor motivation and low morale. However it was noted that the HRM policies and practices of Hotel A are more established than those of Hotel B, most probably because it is more established and caters to a more sensitive market that relies more on excellent service; notwithstanding the fact that Hotel B needs to improve on most of its HRM policies and practices, especially those associated with reward and recognition. HRM policies and practices that could be adopted by Hotel B for instance could include a fair rewards system and recognition of employee efforts. In addition, employees must be empowered to contribute towards policy formulation and decision making.

Although this study has highlighted some of the shortfalls of existing human resource practices by two hotels in Botswana, it is important that future research establish empirical links between employee performance and policy. It could also be useful if comparative analyses are also undertaken amongst other hotels in the vicinity to note if such outcomes are attributable to organizational design and size.

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MICRO-CREDIT BANKING AS A POVERTY ALLEVIATION TOOL

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Abstract

The total world population is 7.093 billion of them 1.29 billion do live with absolute poverty (PPP below \$1.25). Around 4 million of people die cause of starving and malnutrition and 25 million without treatment/year. 100 million is homeless and further 100 million is hidden homeless. Around 200 million is unemployed. Of them 75 million that is 13% of the total figure is between the ages of 15 and 24 [IMF-2012]. If dramatic changes are not happened in the world job markets and young jobless is remain stable, its impact would be very devastative for the forthcoming world.

Keywords: Poverty, Micro-credit banking

Introduction

For global peace & affluence in today's world stricken with hunger, homelessness, diseases & woe, tremendous poverty has to be removed to ensure the fundamental rights which include the rights of foods, cloths, shelters, education and treatment. International aid, which is joke to the impoverished, has deepened the problems rather than alleviate a bit. To pave the way for first and foremost task is either to create direct employment or create condition to create employments. Micro-credit banking, which on one hand create direct employment and on the other hand patronize borrowers to create small scale production lines or enterprises to create employments & bring financial sustainability, is one of the most remarkable options to alleviate global poverty.

Microcredit & its impact on socio-economic lives

Microcredit is a financial innovation that refers to various kinds of small loans & financial services meant for the impoverished borrowers who are currently operating businesses or aspiring to introduce businesses or simply unemployed to introduce businesses or financial activities to improve living standard. The borrowers of micro credit usually lack of collateral, steady employment & variable credit history, thus fail to qualify for regular bank loan.

«Money, says the proverb, makes money. When you have got a little, it is often easy to get more. The great difficulty is to get that little» -Adam Smith

«Low income individuals are capable to lifting themselves out of poverty, if given access to financial service»-Dr. Muhammad Yunus

Over the above concepts microcredit evolved first in 18th century and got momentum only after the establishment of 'Grameen Bank' in Bangladesh by Prof. Muhammd Yunus in 1976. As of 2013 microcredit activities are manipulated in about 50 countries around the world.

But the impact of microcredit on poverty alleviation is highly a debated issue. Since its introduction, microcredit has not had very positive impact rather has led many borrowers into debt trap or leading suicide or selling organs [Milford, 2010 & Kathrin, 2012]. 1&2

A study conveyed by Wastover & Khandaker noticed that among six representatives, five found no evidence that microfinance reduced poverty [Wastover & Khandker, 2008]. 2

Kathrina Hartman, the Journalist told about trapping in debt of a woman whom she met in 2012 Kurigram district in Bangladesh. The rural women who were the borrower of microcredit told her about the brutal methods of enforcing debt repayment, including the forced sale of cattle, house utensils and lands. In order to be able to repay loan, newly indebted men and women even sold their kidneys, as discovered by the police in summer 2011. In order to repay the loans children are dropped out of school to earn money and food expenditures are cut down significantly.

Why Micro-credit doesn't work?

It is a fact that microcredit borrowers, who don't have necessary requirements to receive loan from the formal bank, are marginal and disadvantaged inhabitants of the society. They don't know how to receive loan, how to invest the capital effectively for well return on investment, how to produce units and how to marketing. Most often the money, borrowed by the micro-credit borrowers are invested either in less profitable or non-profitable sectors fail to earn a well return to repay the loans' capital [Milford, 2010 & Kathrin, 2012]. 1 & 2

Suppose, if you somewhere meet a man who is blind and deaf and direct him to go to a certain destination where he will get proper maintenance, he will never reach the destination rather lose the former shelter if you don't convey him to.

Like the blind and deaf microcredit borrowers will be dropped into debt trap or driven into loan cycle if the borrowers are not apt patronized by the lender from credit receiving to profit making.

How Micro-credit will succeed?

To reach its poverty alleviation goal, Microcredit policies are needed to be implemented and managed effectively & services are needed to be designed to meet the need of clients. Thereby not just only clients but also their family and the wider community will be benefited.

When loans are associated with an increase in assets, when borrowers are encouraged to invest in low risk income generation activities and when very poor are encouraged to save; the vulnerability of the poor people is reduced & improved of the poverty situation [Hulen & Mosley, 1995]. 3

So, together with credit providing, proper patronization of borrowers by the lender in the sectors including effective investment, producing units, marketing portfolios could bring the desirable changes.

If microcredit activities encourage and patronize borrowers to resolve easy accessible regional raw materials into commercially valuable products, it will be doubly effective. On one hand commercial production industry will be established with huge economic potentiality and on the other hand commercial raw material industry will be accomplished more effectively, those will bring massive development for local, national and world economy.

Proposed Project

Creation of microcredit bank & investment strategies to create direct employment and create condition to create employments patronizing microcredit borrowers to create small scale production lines or enterprises by microcredit banking, microcredit loan and other relevant entrepreneurial activities.

Target is to encourage and patronize borrowers to establish regional raw materials based production industries. Moreover, other potential sectors where there are rooms available to develop will also be promoted, e.g., poultry farming, fisheries, milk processing,

packaging & marketing etc.

For sustainable development of a nation, education standard needed to be promoted to create talented human capital, the nation will discover its own ways to develop. For this prospect we'll establish preparatory & primary schools with computer labs, internet access & libraries.

Method

The project will be manipulated by the name "MPFW (Mission for Poverty Free World) Microcredit Bank" with the slogan "Poverty Free World for Global Peace"

Instead of manipulating the project's activities over the entire country all together, we'll divide the country into several regions according to the geographic location. Every region will be divided into many small branches and developed the branches one after another gradually.

A branch will be selected and activities will be operated for numbers of years till annihilating poverty and transforming the branch into self-dependable & improving the quality of living.

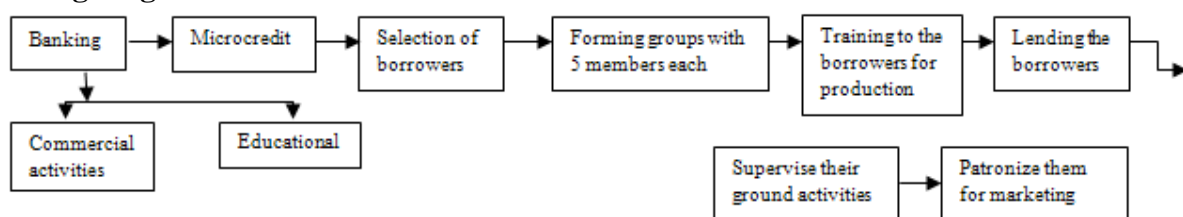
Aim is to produce commercially valuable products by easy accessible regional raw materials. So, we'll remark the regional raw materials of the region where we'll initiate the project's activities and invent the most effective ways to produce commercially valuable products.

We'll select the borrowers & train them to be skilled producers or entrepreneurs. Credit will be given to the borrowers to introduce small scale production lines or enterprises when they will be sufficient skilled to go to the production lines. We'll patronize them to marketing their products.

We'll open & operate selling centers throughout the country by the brand name "MPFW Bank's Green Product" with the slogan "Be Green to Save the Globe".

We'll buy the production from the producers (borrowers) & sell them in project's run selling centers. The production will also be offered to other retailers who are offering same products we are producing & offering. The producers are also free to marketing their products.

Loan giving structure



Pay back

Loan will be paid back with 10% annual interest rate. Loan pay back will be started after a month of their receiving loan as they will start receiving revenue from their portfolios at that time. Total loan of a borrower will be paid back with 12 installments during a year. Borrowers also can open saving account in the bank and deposit for the rainy day.

Implementation

The project will be implemented first in Bangladesh. Total population of Bangladesh is 180 million. Off them 50% is between the ages 14 & 30 years old and 55% is unemployed. 40% of the population lives below the baseline of poverty [\$1.25/day, World Bank, est. 2012]. Off them 25% do live with extreme poverty [\$1/day, World Bank, est. 2012].

Poverty, epidemic, famine and hardship of life are the common phenomenon in Bangladesh though there are huge potentialities and lots of rooms to change through promoting handicraft, SMEs and various forms of micro-industrial, small scale commercial & entrepreneurial activities. Through microcredit banking, microcredit loan & effective entrepreneurial activities, the project will pick all of the potential sectors up into account to develop.

Instead of initiate the project's activities over the entire contrary all together; we'll divide the country into four regions (South-West, North-West, South-East & North-East) and initiate the ground activities in the South-West region first. We'll divide the region (South-West) into 2500 small branches and pick a branch up and manipulate the activities till annihilation of poverty and promoting the standard of living. Then rest of branches gradually.

We'll remark the regional raw materials of the reasons and take initiative to invent the most effective ways to produce commercially valuable products by the regional raw materials.

If jute and bamboos are available and cheap in the selected branch like most of the areas of Bangladesh, we'll produce shoes, vanity bags, and shopping bags by jute and jute's garments thereafter and souvenir, toys and household products by bamboos. If the area is surrounded by grasses, we'll introduce dairy firming and small scale dairy products industries. If the area is surrounded by water, we'll go to fisheries and poultry farming. If the area possesses no physical resources but mud, we'll produce attractive souvenirs, ornaments and households things by mud.

Women, almost half of the total workforces of Bangladesh but 85% of them are unemployed. Keeping a vast population unemployed, sustainable development of a nation can't be expected. So target is to empower the women through involving them in financial activities.

Ground Activities

The ground activities of the project will be initiated on 1st of March 2014 from the village Jaduboyra, a branch in South-West region of the project's planned geographic location.

Target is to transform the village Jaduboyra as a poverty free self-dependable village by 2015.

Jaduboyra is a village of 4sq. Kilometers & 6124 inhabitants. Among them 500 are students, 20 government employees, 50 in NGOs & other sectors, 800 are farmers and vast majority of 1660 are unemployed. The total workforces are 2530 of them 98% are marginal farmers.

Like most of the rural inhabitants of Bangladesh duelers of the village Joduboyra cultivate their lands yield crops and live on it around the year. But agriculture in Bangladesh completely depends on natural climate. If weather is hostile, for example, drought, heavy rainfall or flood, either crops are destroyed or cultivation of land is not commenced in time, hardship of living is started.

Every year 'Monga', a seasonal food crisis, snatch numbers of lives of the village during the months December-January that is when farms are not cultivated and inhabitants don't have work at hands or other alternative to survive.

Like most of the areas of Bangladesh, arable lands of the area are very fertile for jute. Every year farmers cultivate jute but they don't get sufficient market value of it

Besides, huge livestock including lactescent are also physical asset of the area. Inhabitants use milk of their cows either for household purposes or sell it in the villages' markets at very cheap price.

As the village Jaduboyra is thrived with jute like most of the areas of Bangladesh,

primarily, we'll produce summer & winter shoes, shopping bags and vanity bags by jute and research to produce more innovative products to keep up pace with global demand through project's R&D center.

Moreover, we'll launch other entrepreneurial activities including poultry farming, fisheries and milk processing, packaging and marketing for rapid and sustainable development.

We'll establish necessary numbers of preparatory and primary schools with up-to-date curriculum. Educational institutions would be accomplished with computer labs, internet access and libraries.

In next couple of years (from 2013- 2015) the village Jaduboyra, the first targeted branch, will be changed for poverty free self-dependable village & standard of living. By the time five preparatory schools and a high school, five fisheries and five poultry firms will come under full operation. 500 direct jobs will be created through banking and other entrepreneurial activities. Further 500 small scale production lines, which will create employments for another 1200 employees. 1700 families will come out from the tremendous poverty. Poverty will be removed and massive changes will be brought in socio-economic living then activities of the project will be extended to other branches with the same message and mission.

Conclusion

Microcredit banking is one of the most useful components to alleviate the world poverty. But it doesn't work it-self. Effective strategies and proper implementation is indispensable to bring the desirable consequences.

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TRANSFRONTIER CONSERVATION, LIVELIHOODS AND SUSTAINABLE TOURISM- A REVIEW OF COMMUNITY PERCEPTIONS OF THE VALUE OF THE GREAT LIMPOPO TRANSFRONTIER CONSERVATION AREA (GLTFCA)

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Abstract

The study examines community perceptions about the utility of the Great Limpopo transfrontier tourist destination in developing livelihoods and facilitating community participation in the tourism industry. The study indicates that the level of community satisfaction with the Transfrontier initiative is at its lowest since its inception. The community perception of the economic value of the GLTFCA to both household and community level was rated lowly. The findings confirm that as households become more satisfied with the performance of GLTFCA they are more likely to participate in tourism related activities. It is also observed that an increase in perceived GLTFCA economic value to households increases the participation of the community in sustainable conservation and tourism. What it all adds up to is that to improve the overall rating of the GLTFCA by the community there is need to increase community participation in tourism enterprise through partnerships with both the private and public sector. There is need for the GLTFCA management to engage in activities that improve livelihoods sustainability as these will increase the perceived economic value of GLTFCA at household level.

Keywords: Transfrontier tourist destination, transfrontier conservation area, sustainability, community participation

Introduction

The conservation of natural resources and biodiversity is increasingly becoming a matter of global concern with transboundary management of wildlife resources gaining special attention (Bhatasara et al., 2013). Transboundary natural resource management is a process of cooperation across national boundaries that aim to enhance the management of shared or adjacent natural resources to the benefit of all parties in the area (IUCN, 2002; Duffy, 2006; Ali, 2007; Chimhowu, Manjengwa, and Feresu, 2010). As early as 1932, the first international peace park was established between Canada and the United States to commemorate the respective countries' natural and cultural links (IUCN, 2002; Ali, 2007). It has been noted that around the world, more than 130 transfrontier arrangements have been established, including some 400 protected areas in 98 countries thereby representing nearly 10% of the World's total protected area network (Zbicz and Green, 1997). Southern Africa has also witnessed its member countries merging their interests on transboundary conservation efforts giving birth to the Kgalagadi Transfrontier Park between Botswana and South Africa, the Lubombo Transfrontier Conservation Area between Swaziland and Mozambique and the Great Limpopo Transfrontier Park involving Mozambique, South Africa and Zimbabwe (IUCN, 2004). This drive towards transfrontiers has facilitated the

creation of significant opportunities for international collaboration and fostering understanding and peaceful cooperation (Hamilton et al., 1996). It has further been noted that in Southern Africa as in many other global transboundary arrangements the local people are an integral component of parks and protected areas (Dutton and Archer, 2004). It was therefore the intention of this study, to get the understanding of communities about how the transfrontier initiatives have transformed community livelihoods, bearing in mind that for a long time in Southern Africa conservation initiatives have tended to exclude the local communities (Gandiwa, 2012, Bhatasara, 2013; Dutton and Archer 2004). Critical areas of enquiry were centred on whether the Great Limpopo transfrontier conservation area had provided the rural people within the transboundary environment with a real means of subsistence and livelihoods transformation.

In as much as transfrontier conservation areas could be panacea to achieve sustainable development through protecting southern Africa's fragile environments and generating the much needed funds to improve the lives of the rural poor, the transfrontier initiatives are littered with implementation pitfalls. Previous research into the transfrontier initiatives in southern Africa have noted serious governance complexities leading to the needs of the poor being sacrificed (Bhatasara et al., 2013). As these highly political projects take shape, conservation and development policy progressively shifts from the national to global arenas and the local communities most affected by TFCA formation tend to disappear from view (Andersson et al, 2013). In transfrontier studies conducted in TFCAs in northern Gonarezhou National Park (GNP), Gandiwa, 2013 has observed an escalation of the human-wildlife conflict with the promulgation of transboundary conservation programmes. Notable is that human-wildlife conflict are particularly evident near protected areas where human and wildlife requirements tend to overlap. These conflicts can be manifested through various forms, including carnivores attacking and killing livestock or humans, decimation of crops and disease exchange between livestock and wildlife, and carcass poisoning (Thirgood et al. 2005, Madden, 2008). The severity of the human-wildlife conflict could be downplayed if the affected communities receive direct benefits and compensation from their conservation efforts. The researcher hypothesizes that community participation in the lucrative tourism industry in the Great Limpopo transfrontier conservation area could lead to sustainable conservation and communities' development.

The flagship transfrontier tourism destination, which was the focus of this study, is the Great Limpopo transfrontier tourism destination, encompassing Gonarezhou National Park (GNP) in south east low veld in Zimbabwe, Kruger National Park (KNP) in South Africa and Limpopo National Park (LNP) in Mozambique. It is one of the largest transfrontier tourism destinations encompassing vast wilderness areas in South Africa, Zimbabwe and Mozambique. This conservation area is considered to have great capacity for biodiversity conservation and opportunities for sustainable tourism while also providing employment opportunities for poor people in the developing countries. It can be noted that the creation of the Great Limpopo Transfrontier Conservation Area (GLTFCA) has preserved large areas of aesthetically valuable landscapes across sub-Saharan Africa, which now form the cornerstone for the tourism industry and an important ecological resource base (Andersson *et al*, 2012). However there is also a growing concern that the transfrontier conservation area has been converted into administrative conservation management units (Saarinen, 2013). The purpose of this research was therefore to establish the extent to which the GLTFCA has fulfilled its development objectives, particularly focusing on the communities affected by the creation of the GLTFA. The aim is to establish the local community perception of the value of the GLTFCA to their household and community respectively. This is important to establish, as it relates to how the communities will cooperate and participate in GLTFCA programmes to enhance its overall sustainability.

Transfrontier conservation and sustainable tourism

Transfrontier initiatives in Southern Africa have a number of objectives which include, “developing frameworks and strategies whereby communities can participate in, and tangibly benefit from the management and sustainable use of natural resources that occur within the Transfrontier Park (Peace Parks Foundation, 2006). The Great Limpopo Transfrontier Conservation Area (GLTFCA) claimed its social legitimacy on the justification that local communities living in or close to the conservation area will participate and benefit economically through tourism (Spierenburg et al, 2008). One of the motivations for the GLTFCA is the potential to derive revenue through nature based tourism. Arguably, the creation of the GLTFCA has helped to expand the wilderness areas for tourism development. However indications on the ground and multi-disciplinary examinations of how the GLTFCA has fared on the communities tourism development front leaves a lot of question marks about the effectiveness of transfrontier arrangements in promoting tourism development and regional economic integration of all involved.(Mabunda 2004, Spenceley 2006, Zimbabwe Tourism Authority 2010, Muboko, 2011). On the contrary most of researches on the GLTFCA have unearthed increasing human-wildlife conflict (Muboko, 2011), and sidelining of local communities in most the GLTFCA developmental programmes (Gandiwaet al, 2013). The establishment of transfrontier conservation programmes in southern Africa are coming against a background of the success of Community Based Natural Resource Management Programmes (CBNRM). CBNRM was a popular policy tool that advanced the role of local communities and people in natural resource management (Saarinen, 2013). Under the CBNRM model, the communities were considered as able to manage the resources they are depended on and had direct control over the uses and benefits of wildlife resources. In Zimbabwe many projects were sustained through the CBNRM and Communal Area Management Programme for Indigenous Resources (Campfire) (Chiutsi et al, 2011). Similarly in Botswana, the CBNRM model was used as a good example that successfully promoted ecotourism development in the country and local communities had come together to form trusts to oversee activities such as photographic safaris from which they were able to realise benefits attributable to tourism(Chipfuva and Saarinen ,2011)

Admittedly the successes of the previous resource management models like CBNRM were observed to differ significantly across countries and even from community to community (Arntzen et al, 2003). These variations were attributed to lack of capacity by local communities, lack of knowledge about tourism industry dynamics and serious governance problems which resulted in inequitable distribution of tourism income (Chiutsi and Mudzengi, 2012).

Methodological Issues Involved

The study was mainly a mixed methods study exploiting both the qualitative and quantitative approaches. This study was an empirical investigation of the Sengwe community in south east low veld Zimbabwe and is part of the GLTFCA. The Sengwe community is adjacent to the Great Limpopo Transfrontier Park (GLTP), which is a major transfrontier park and an important tourist attraction. The Sengwe community is geographically located at the centre of GLTFCA and is mainly referred to as the Sengwe corridor. The proximity of the Sengwe community to the GLTP leads to the assumption that the local people there would have some experience with tourism and its impacts. Therefore issues of livelihoods sustainability through tourism entrepreneurship and conservation are quite relevant to this community. Three wards mainly ward 13, 14 and 15 were purposively sampled due to their proximity to the GLTP and previous participation in Communal Area Management Programme for Indigenous Resources (CAMPFIRE). The campfire history is largely lauded as a positive turning point in the conservation and rural development discourse in Zimbabwe.

One methodologically useful aspect of conducting this research using a case study approach was the opportunity to integrate participant observation, documentary analysis and interviews with key stakeholders in the community. This multi-faceted approach allowed the use and triangulation of multiple sources of data and enabled the researcher to present objective evaluations of transfrontier initiatives with respect to community participation and economic contribution of the GLTFCA to livelihoods. Triangulation allows a combination of data collection techniques on the same study area. Saunders *et al.* (2007) argues that through triangulation the researcher improves the quality of the research by getting and seeing data from different perspectives. The methodology used to gather information for this study included semi-structured interviews and literature review from secondary sources. The residents answered open-ended and closed interview questions about their household and community level perceptions of the utility of the GLTFCA in sustaining livelihoods.

Results

The study reveals that community level perceptions of the utility of the GLTFCA in sustaining livelihoods and its economic value to the transboundary community is negative. The low rating of the GLTFCA was noted as significant from both a household and community level perspective. The key drivers of this negative perception are mainly poor governance of the GLTFCA programmes, lack of direct economic benefits to household and community level, threats of livelihood displacement, restricted access to natural resources and lack of clear guidelines for community participation in transfrontier tourism enterprises. Community participation in tourism business is generally viewed as critical for communities to support conservation initiatives in the GLTFCA. As such we run a regression model as shown in Table 1 to determine key drivers for communities to undertake Community Based Tourism Enterprises (CBTEs).

Table 1: Key drivers of community participation in tourism enterprise

Key drivers/determinants	Coef.	Std. Err.	t	P>t	Beta
Resident time in transboundary area	0.002606	.0015107	1.73	0.087	0.127396
Satisfaction level	0.039221	.0213927	1.83	0.069	0.150585
Impact of GLTFCA to community	-0.01838	.0263351	-0.70	0.486	-0.0609
Community involvement	0.020607	.0225712	0.91	0.363	0.075615
GLTFCA economic value	0.220944	.0671725	3.29	0.001	0.303533
Cash from cultural exhibitions	0.126206	.0589232	2.14	0.034	0.183297
Cash from community displays	-0.04467	.0661674	-0.68	0.501	-0.06174
Harvesting medicines	0.012441	.0802781	0.15	0.877	0.017195
Harvesting wild fruits	-0.03679	.1282468	-0.29	0.775	-0.04526
Harvesting wild vegetables	-0.14995	.1166818	-1.29	0.201	-0.18015
Harvesting fish	0.049306	.0971438	0.51	0.613	0.059955
Harvesting insects	-0.0783	.0861215	-0.91	0.365	-0.0994
Harvesting wild trophy	0.002393	.0634388	0.04	0.97	0.003095
_constant	-0.0411	.1346809	-0.31	0.761	.

Using the correlation procedure a number of social, economic and demographic variable were tested for relationship with household participation in CBTEs. Variables that emerged to be significantly related to household participation in CBTEs were then included in the regression model to find if they can explain variation in household participation in CBTEs. The model results presented above showed that at 90% confident level resident time in transboundary community, level of satisfaction with GLTFCA, perception of GLTFCA

economic value to household, getting cash from cultural exhibitions were the causes of households to undertake CBTEs.

An increase in the resident time for household heads leads households to participate in tourism business. Also as household become more satisfied with the performance of GLTFCA they are more likely to participate in tourism business enterprise. Model results also show that an increase in perceived GLTFCA economic value to households increases the participation of households in tourism business. It also improves the perception of households about the utility of the transfrontier initiative. In addition when households get cash income from cultural exhibitions they tend to then undertake tourism business. What it all adds up to is that to increase community participation in tourism enterprise there is need to ensure permanency of residence, engage in activities that increase the perceived economic value of GLTFCA and involve households in cultural exhibitions. Activities that increase community level of satisfaction of the performance of GLTFCA should be undertaken as a way of encouraging households to participate in different tourism businesses.

The study further reveals that the dominant livelihood sustainability strategies for households have remained predominantly crop farming and livestock rearing as compared to tourism. These findings contradict the earlier assertions and recent literature on transboundary resource management which indicated a paradigm shift towards tourism as a key livelihood and poverty alleviation strategy in transboundary areas (Peace Parks, 2006). The local communities have not received benefits from transboundary tourism and therefore are likely to continue to engage in household level activities which bring them direct benefits like crop farming and livestock rearing. Communities also pointed out livelihood displacement as a major threat to them, as wildlife has continued to be a menace to crops, livestock and people. Lack of compensation against wildlife induced losses has also contributed to the negative perception of the GLTFCA by the local communities, thereby diminishing the utility the GLTFCA to the residents.

Conclusion

The study examined community perceptions about the utility of the Great Limpopo transfrontier tourist destination in developing livelihoods and facilitating community participation in the tourism industry. The study indicates that the level of community satisfaction with the transfrontier is at its lowest since its inception. The community perception of the economic value of the GLTFCA to both household and community level was rated lowly. The findings confirm that as households become more satisfied with the performance of GLTFCA they are more likely to participate in tourism related activities. It is also observed that an increase in perceived GLTFCA economic value to households increases the participation of the community in sustainable conservation and tourism. What it all adds up to is that to improve the overall rating of the GLTFCA by the community there is need to increase community participation in tourism enterprise through partnerships with both the private and public sector. There is need for the GLTFCA management to improve governance and engage in activities that increase the perceived economic value of GLTFCA at household level. The three countries involved in the transfrontier initiative need to formulate an integrated framework for community involvement in transfrontier activities. There is need for improved information dissemination about transfrontier opportunities and challenges to the affected communities. The negative perception needs to be managed so that communities do not continuously feel sidelined from the opportunities associated with transboundary resources.

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THE ROLE OF FINANCIAL SERVICES IN GHANA'S OIL AND GAS INDUSTRY: THE CASE OF OPERATOR EXTRA EXPENSE INSURANCE

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Abstract

The strike of crude oil in Ghana has a concomitant spark of the role of other sectors in the economy towards the realization of the benefits that ought to spawn from this naturally endowed resource.

The financial services sector, in this connection, insurance, is automatically stimulated to play no mean role in providing insurance services to cover the risks associated not only with the mainstream germane activities of extracting the oil and gas but also other ancillary services that support the exploration, development and production of black gold

This paper discusses the role of operator extra expense insurance in the oil and gas economy, which inter alia covers the extra expenses oil companies may have to incur to control wells out of control or experiencing blowouts or kicks

Keywords: Insurance, blowout, kick, control of well, hydrostatic pressure

Introduction

Insurance provides the security which is necessary to guard against the dangers of the means of production, potential losses or damage to personal or collective property and risks which threaten man's capacity to work. In fact, the development of any commercial or industrial activity depends on the ability to take on or pursue some continuous activity which is not hampered by fear of sudden interruption caused by accidental loss of materials or equipment utilized in that activity.

The normal oil and gas operator cannot afford to take risks which may wipe out his assets or capital. Therefore when he acquires a lease of an oil field, he must also buy immunity from the results of the dangers of the oil well exploding and getting out of control, pool or hydrocarbon fire, flammable vapor cloud explosion, pressure vessel explosion, leakage of flammable toxics or pollutants and associate liabilities to third party injuries and property damage. Technological developments in the oil and gas exploration and production coupled with increasing geographic diversity, increasing global warming and sub-sea difficulties create greater exposures to bigger risks and as such continue to sensitize oil and gas companies of the need to have immunity in the shape of insurance against these ever increasing perils. The BP oil spill in the Gulf of Mexico in April 2010, the Chevron oil spill in Brazil in November 2011 and the capsizing of an oil platform in Russia due to bad weather on the 18 of December 2011¹ are all critical pointers to an oil and gas operator of the essence of insurance in the business.

As an integral part of the financial services industry, the principal functions of insurance is to collect premiums, invest part of the premiums and pay claims. The investment of insurance premiums is made possible by the very nature of insurance contracts which characteristically, provide a time lag between the receipt of premiums from insurance

policyholders and the payment of claims. This provides a leeway for insurance companies to invest and grow premiums collected from clients for the payment of future claims.

Thus, the oil and gas operator needs security for his assets and no security can be regarded as good security unless it is insured, and safely so. Again, credit is the lifeblood of industry and commerce but security is the foundation of credit and insurance an essential of security. The need for security increases as the amount of resources increases and hence insurance becomes more and more imperative. Insurance, a veritable and integral aspect of the financial services industry, is therefore critical to high-value, high-volume industries such as oil and gas and as such its importance in this connection cannot be overemphasized.

Conceptual framework

The financial services industry covers a broad spectrum of organizations that are involved in the management of financial resources. It is made up of numerous financial institutions that provide financial products and services to the public. Financial institutions include Banks, Savings and Loans Institutions, life and health insurers, property and casualty insurers, security brokers and dealers, private and state pension funds, and financial companies.

Banks accept deposits and create credits through the intermediation between lenders and borrowers as well as offer their customers numerous professional services such as dealing in securities, exchanging foreign currencies, providing corporate advice, arranging leasing, organizing international trade finance and offering risk management services. The stock brokerage, an investment dealer in the securities of a firm who, inter alia, liaises between buyers and sellers(institutional and retail investors) of securities to consummate investment transactions² in both the primary and secondary financial markets, plays no mean role in the financial services industry.

Insurance is a financial arrangement that redistributes the costs of unexpected losses. It is the pooling of fortuitous losses by the transfer of risks such as premature death, ill health, disability, personal liability, theft and destruction of property from a party called insured to another called insurer, the insurer agreeing to compensate the insured for such losses and to provide other financial benefits on their occurrence or to render services connected with such risks³. Pooling, the spreading of losses incurred by the few over the entire group so that in the process average loss is substituted for actual involves the grouping of large numbers of exposure units so that the law of large numbers can operate to provide an accurate prediction of future losses. Pooling therefore implies the sharing of the losses of the entire group and the prediction of future losses with accuracy based on the law of large numbers⁴. Insurance contracts always involve risk transfer from the insured to the insurer who characteristically, is in a stronger financial position to pay the loss than the insured.

Ghana's financial services sector can be congealed into three main categories namely banking and finance (which includes non-bank financial services and forex bureau,) insurance and financial and capital markets. The Ghana government's aim of revamping its financial services sector through the Financial Sector Strategic Plan (FINSSP) in 2003, has provided, inter alia, countless investment opportunities for the emergence of a plethora of universal, investment and development banks, insurance and reinsurance companies, mortgage finance institutions, venture capital and leasing companies, hire purchase and export finance companies, mutual funds, investment trusts and savings and loans companies⁵. This has contributed to annual increments in total assets of the banking industry and in 2008 this was 46.2% compared to 38.1% in 2007 a year earlier⁶.

The regulatory and supervision of the players in the financial services industry geared towards strengthening and injecting sanity into it, is captured under FINSSP II with institutions such as Bank of Ghana, Securities Exchange Commission, ARB Apex Bank, the

Ghana Cooperative Credit Union Association and the National Insurance Commission playing central roles in this connection. Banks, nonbank financial institutions and forex bureau operate within the legal framework of the Bank of Ghana Act, 2002, Act 612, Banking Act, 2004, Act 673 and the Financial Institutions (Non-Bank) Law, PNDC Law 328. The Securities Exchange Commission governs the securities industry within the framework of the Securities Industry Law of 1993, PNDC Law 333. As a miniature central bank under the supervision of the Bank of Ghana, the ARB Apex Bank supervises rural and community banks in Ghana, itself being regulated by various Acts of parliament and legislative instruments including the ARB APEX Bank Regulation, 2007 (L.I .1825).

The government of Ghana has passed a number of laws to ensure the success of the financial sector reforms to wits The Long Term Savings Act, 2004, Act 679, Venture Capital Fund Act, 2004, Act 680, Insolvency Act, 2006, Act 723, Credit Reporting Act, 2006, Act 726, Insurance Act, 2006, Act 724 and Pensions Act, 2008, Act 766.

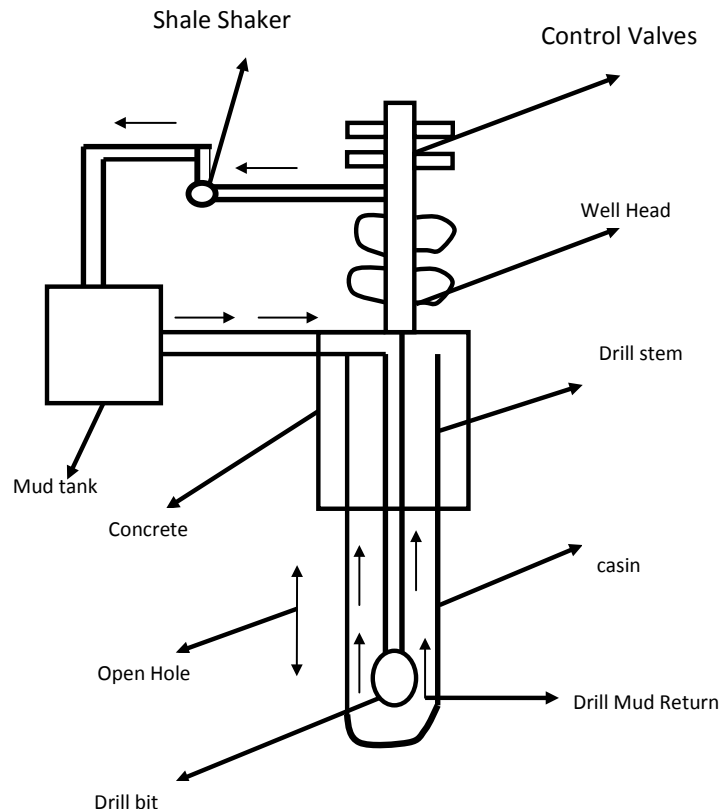
Ghana's National Insurance Commission, the sole regulator of insurance business in the country is obliged by statute to perform a series of functions stipulated under 2(2) of the Insurance Act,2006 as follows:

- To license insurers and insurance intermediaries who transact insurance business in Ghana.
- To approve and set standards for the conduct of insurance business and insurance intermediary business.
- To encourage the development of and compliance with the insurance industry's codes of conduct.
- To approve, where appropriate, the rate of insurance premiums and commissions in respect of any class of insurance.
- Provide a bureau to which complaints may be submitted by members of the public for resolution.
- Arbitrate insurance claims referred to the commission by any party to an insurance contract.
- Recommend to the Minister of finance proposals for the formulation of policies for the promotion of a sound and efficient insurance market in Ghana.
- Supervise and approve transactions between insurers and their reinsurers.
- Undertake sustained and methodical public education on insurance.
- Take action against any person carrying on insurance business or the business of insurance intermediaries without a license.
- Maintain contact and develop relations with foreign regulators and international associations of insurance supervisors and maintain a general review of internationally accepted standards for the supervision of insurers and insurers intermediaries.
- Supervise, regulate and control compliance with the provisions of the Insurance Act, 724, made under it and any other enactment relating to insurance.

Oil and gas operations are essentially categorized into exploration, drilling, production, transportation, refining, processing and marketing⁷. Exploration, the search for reservoir of oil, drilling, the penetration of a productive formation after the casing is set and production, the bringing of the well fluids to the surface⁸ are the activities in oil and gas operations that throw up risks against which Operator Extra Expense insurance cover has to be effected.

Oil wells may be either on land or under water, offshore in the oceans. Thus, petroleum occurs in certain geologic formations at varying depths in the earth's crust and in

many cases elaborate, expensive equipment is required to get it from there. The crude or unrefined oil is typically collected from individual wells by small pipelines. At the bottom of the drill stem in the diagram below is the drill bit which drills the hydrocarbon rock and dislodges it so that drilling fluid can circulate the fragmented materials back up to the surface.



Operator Extra Expense Insurance

This is a specialized policy available to oil or gas well operators that covers the cost of regaining control of a well that has gone wild⁹, a wild well being a well that has blown out of control and from which oil, water or gas is escaping with great force to the surface¹⁰. To prosecute drilling or production, it is important that the well be put under control first and the finance needed to do this is provided by the Operator Extra Expense Insurance. Although cover for controlling a wild well may be provided also by an Energy Exploration and Development (EED 8/86) policy, the Operator Extra Expense Insurance is essentially the policy form that has gained considerable currency lately, providing coverage for the expenses incurred in controlling an oil or gas well experiencing a kick or blowout.

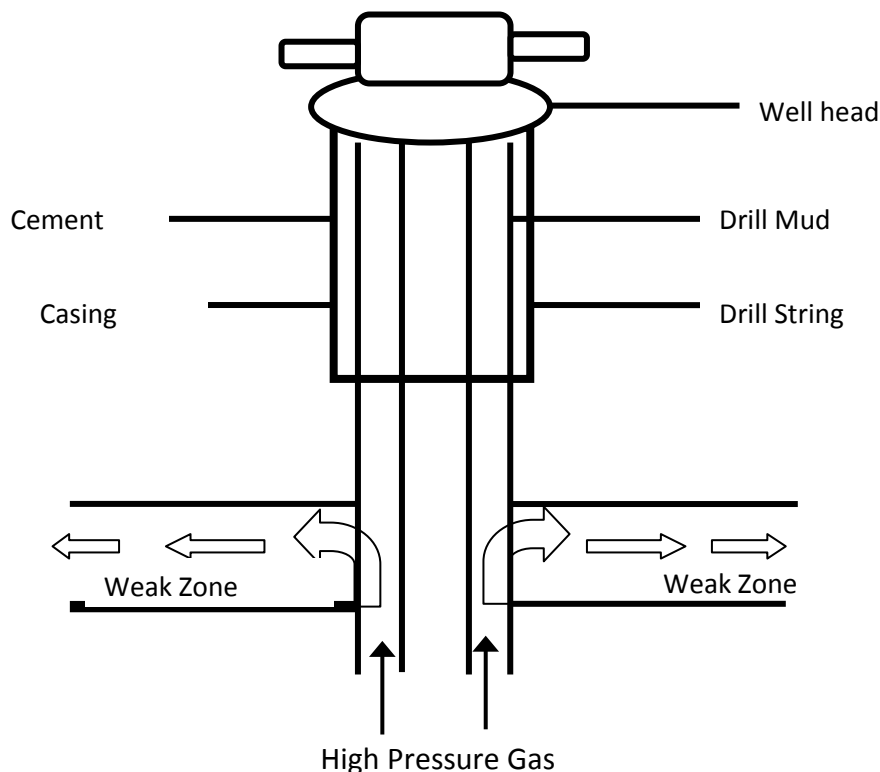
Technical Aspects

A proper understanding of the meaning and coverage provided by this policy exacts a comprehension of certain terminologies. A blowout is an uncontrollable flow of gas, oil or other well fluids into the atmosphere or into an underground formation. A Blowout may occur when the formation pressure exceeds the pressure applied to it by the column of drilling fluid and rig members fail to take steps to contain the pressure.¹¹. In other words, a blowout is a condition in which a well builds up sufficient pressure at the bottom of the hole and causes a sudden, forceful eruption or explosion which cleans out the well and causes it to go out of control. The implication is that a well experiences a blowout when the hydrostatic pressure of the drilling fluid(mud, water) being exerted downward is thrown into disequilibrium by the pressure exerted upward from below by the oil, gas or water in the

wellbore. Hydrostatic pressure is the force exerted by a body of fluid at rest. It increases directly with the density and the depth of the fluid and in drilling, the term refers to the pressure exerted by the drilling fluid in the wellbore¹². A well is therefore under control when the hydrostatic pressure is balanced such that necessary operations may be performed in the wellbore, the converse being the well out of control in which case the hydrostatic pressure becomes imbalanced due to gas, oil and saltwater penetrations such that operations may have to be stopped and the drilling fluid weighted up to regain control of the well. The expenses incurred in weighting up the drilling fluid is covered under an operator extra expense insurance.

Before a well blows out, it kicks. In other words, precedent to a blowout is a kick, that is an entry of water, gas, oil or other formation fluid into the wellbore during drilling, workover or other operations¹³. It occurs because the pressure exerted by the column of drilling or other fluids in the wellbore is not great enough to overcome the pressure exerted by the fluids in a formation exposed to the wellbore. If immediate steps are not embarked upon to either control the kick or kill the well, a blowout ensues.

Quite apart from a blowout occurring above the ground surface, it could also take place underground in a situation where the pressure from the wellbore forces the formation fluids to penetrate a weaker zone in the neighborhood of the formation, an implosion rather than an explosion. The following diagram that shows the configuration of an oil and gas well depicts succinctly an underground explosion.



The interpretation of what constitutes a blowout and wells having gone out of control could be a source of dispute between insurance companies and operators of oil and gas wells and this may end up in courts for judges' interpretations and final judgments. Where the insurance policy document does not explicitly define a blowout or 'well out of control', judges are apt to favour the operator in their judgment. In the US case *Creole Explorations Inc Vs Underwriters at Lloyd's*(1964)¹⁴, in which the policy document did not expressly define a blowout or well out of control, a well insured under the policy was alleged to have experienced a blowout in 1958 by the assured or operator. The supreme court adopted a

definition for blowout which was in favor of the operator as: ‘a blowout occurs whenever pressure from the formation overcomes hydrostatic pressure exerted by the mud column and forces formation fluids to the surface’. In another case, Sutton Drilling Co. Inc Vs. Universal Insurance Co, the policy document patently defined a blowout as: ‘ a sudden uncontrollable expulsion of drilling fluid, gas, air, oil or water, from within the well erupting above the earth’s surface and resulting in the well completely out of control and rendering the use of any blowout preventer equipment inoperative or ineffective’.

To forestall potential ambiguities and disputes that may spawn from the interpretation of blowout or well out of control, most Operator Extra Expense Insurance policy define blowout thus:

‘sudden, accidental, uncontrollable and continuous expulsion from the well and above the surface of the ground of oil, gas or water due to encountering subterranean pressures and resulting in the well getting completely out of control’¹⁵.

One realizes therefore that from insurance standpoint, a well is considered out of control when there is a continuous, unintended flow from the well of drilling fluid, oil, gas or water above or below the surface of the ground which cannot be promptly stopped by the use of the blowout preventer, and or storm chokes, wellheads, or safety valves installed in or on the well or which cannot be stopped by weighting up the drilling fluid or by the use of other conditioning materials in the well. Also, if the flow cannot be stopped by safely diverting it into production, the well is deemed out of control.

A well is deemed to have been brought under control if the flow stops, is stopped or can be safely stopped or can be safely diverted into production. Again, if the operator can resume hitherto operations such a drilling, deepening, servicing, working over, completing or reconditioning the well, it is deemed to have been brought under control. Apparently, this calls for incurrence of expenses and this is in the realm of operator extra expense insurance.

Basic Cover

The policy covers expenses incurred by an operator in regaining control of an oil or gas well or wells being drilled which become wild or get out of control resulting in a blowout. The policy is generally not a physical damage one but rather seeks to reimburse oil and gas operators for expenses they may incur to regain control of wells that may experience blowouts. Well(s) insured include oil and gas, injection or disposal wells while being drilled, deepened, serviced or worked over, completed or reconditioned, well(s) while producing, shut-in, plugged and abandoned. The insurer, subject to the policy’s limit of liability, terms and conditions, agrees to reimburse the insured for actual costs and expenses incurred by the insured in regaining or attempting to regain control of any well insured under the policy which gets out of control including any other well(s) that get(s) out of control as a direct result of a well insured under the policy getting out of control until the well(s) is (are) brought under control.

The expenses reimbursable under the policy include cost of materials and supplies required, the services of individuals or firms specializing in controlling of wells, directional drilling and similar operations necessary to bring the well(s) under control, including associated costs and expenses incurred at the direction of regulatory authorities to bring the well(s) under control.

The basic policy also covers re-drilling costs, where the well is lost as a result of a blowout. This covers the costs to re-drill the well to the depth at which control was lost and is limited to 130% of the original drilling cost¹⁶. Insurers reimburse insureds only for such costs and expenses as would have been incurred to restore or re-drill a well had the most prudent and economical methods been employed. No coverage is provided for restoration or re-drilling of any well whose flow can be safely diverted into production including by

completing through drill stem left in the insured well or through a relief well(s) drilled for the purpose of controlling a well. The insurer will also not reimburse the insured for costs and expenses for drilling below the depth reached when the well became out of control in respect of producing or shut-in wells or below the geologic zone from which the well(s) was (were) producing or capable of producing.

Another segment of the basic policy is cover for pollution resulting from the well(s) including costs of cleanup. This part is essential since many countries have stringent laws respecting pollution and the policy pays where the operator incurs strict liability which means a claimant only has to prove that pollution has resulted without reference to the negligence of the operator. The insurer pays for the cost of remedial measures and or damages for death or bodily injury and or loss of or damage to or loss of use of third party property caused directly by seepage, pollution or contamination arising from wells insured under the policy. Also covered here is costs of or any attempt at removing, nullifying or cleaning up seepage, polluting or contaminating substances emitted from wells insured, including the cost of containing or diverting the substances. Costs and expenses incurred in the defence of any claim or claims resulting from actual or alleged seepage, pollution or contamination resulting from wells insured.

Additional Cover

Quite apart from what the basic cover provides, the insured has the option of purchasing additional coverage offered by the E.E.D form which includes underground blowout, making wells safe, deliberate well firing, extended re-drill, evacuation expenses and care, custody and control of drilling equipment. These find expression in endorsements attached to the basic policy.

The role in the financial services industry

Financial risk management is essential to all commercial investments and the oil and gas sector is no exception. The instrument of risk management which include insurance, reinsurance and other risk transfer instruments ensure the transfer or deflection of certain kinds of risk away from investors and lenders and thereby minimizing the cost financing projects, including oil and gas projects.

After a hard days' work while resting at home in the evening, it would be disheartening for an executive of an oil and gas company to be telephoned only to be told by the oil and gas well drilling contractor or operator that the well has begun experiencing a kick or a blowout. The anguish, agony and anxiety to know what next will become of the well throughout the night to daybreak as will be experienced by this company executive may reach its apogee in the absence of an operator extra expense insurance. With this insurance, however, one is assured that at least the extra expenses that may have to be incurred to keep the well under control for drilling or operations to proceed are reimbursable by the insurance company that issued this policy. Herein lies the essence of the policy in the financial services economy.

At least the oil and gas company has some security or immunity against the risks that could result in the stoppage of work. Thus, the confidence, guarantee and entrepreneurial spirit to source loans from financial institutions for the purposes of embarking on oil and gas exploration, development and production is not sublimed by the absence of security in the shape or character of insurance, and in this connection, operator extra expense insurance. In other word, the operator has confidence that his exposure to potential financial loss is well taken care of by this policy.

Again, financial institutions require Operator Extra Insurance to be effected by oil and gas operators or contractors as a conditionality or precondition to the granting of credits for

oil and gas exploration, development and production. The policy plays an essential role in ensuring that an appropriate oil and gas finance structure is attained through the deflection of risks deemed unacceptable away from investors and lenders to the insurer. In fact, revenue exposure is of supreme concern to investors and lenders as far as the financing of oil and gas projects is concerned and as such are always interested in circumspectly reviewing risks and insurance covers against the risks before inserting clauses in lending contracts and the operator Extra Expense insurance satisfies this review completely.

The policy plays an important role in the oil and gas business through the provision of financial protection against a kick or blowout of a well. Cover for the ability to re-drill a well and continue operation in the aftermath of a blowout is provided by this policy to forestall loss of income or revenue, the flow of income being of supreme importance to a financier since the ability of the oil and gas operator to repay a loan with interest hinges on the ability to continue operations to completion without let from kick or blowout.

It is therefore patent that the Operator Extra Expense insurance is necessary to assuage the real and imaginary risks of investors in their appraisal of the riskiness of oil and gas projects for the purposes of granting credits. The risks, as may be perceived by a prudent investor constitute the bargaining chip culminating in the insertion of conditions in lending agreements. Allied to this is that an Operator Extra Expense insurance goes a long way to reduce an operator's costs of capital and augments his liquidity by minimizing the financial blows associated with the risk events of kick and blowout.

Conclusion

Insurance generally, and Operator Extra expense insurance in particular, plays no mean role in the financial services economy and as such must not be trifled with in our strike of oil. But then, there is a current dearth of expertise in the financial services industry in Ghana equipped with the knowledge and experience in the operational risks of the oil and gas sector to facilitate lenders' evaluation of risks in the business. In fact, a lack of understanding of operational risks in the oil and gas business constitutes a critical hurdle to the oil and gas operator in the acquisition of both loans and insurance from the financial services industry. Insurers and financiers restrict poorly understood oil and gas operations or processes with loaded premiums and restrictive lending terms respectively. The need for capacity building in the financial services industry to ensure proper risk appraisal and the development of appropriate risks transfer instruments to handle risks in oil and gas projects in Ghana cannot therefore be overemphasized.

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CHALLENGES OF ACCESS TO MARKETS AND OPPORTUNITIES FOR SMALL, MEDIUM AND MICRO ENTERPRISES (SMMEs) IN BOTSWANA

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Abstract

Small, Medium and Micro Enterprises (SMMEs) are the backbone of most economies of the world. SMMEs provide a means for economically empowering the economy of every nation. However, Botswana SMMEs contribute only 35% to GDP. Gross Domestic Product (GDP) is the value of a country's overall output of goods and services at market prices excluding net income from abroad (Business Dictionary, 2014). GDP demonstrates well doing of a country in terms of productivity.

In the past decade there has been an on-going debate on SMME development and SMMEs' contribution to Botswana. The debate has involved SMMEs significance towards employment creation, poverty eradication, and economic diversification. However, SMMEs face tremendous challenges that threaten their survival and growth. The challenges include lack of or limited access to markets, financial inadequacies, limited management skills, poor work ethics and lack of competitiveness.

This study explores how SMMEs are negatively affected by lack of markets. Since the advent of the world financial crisis in 2008, Botswana SMMEs have struggled to market their products because their major market was the government. Unfortunately the government due to constrained resources has frozen some projects to reduce spending. Hence, most SMMEs in Botswana went out of business. In this study, the researcher reviews what other countries have done to deal with the same challenge of lack of markets. It is hoped that the findings from experiences of Ghana, and Brazil and from literature within Botswana will help SMMEs in Botswana to successfully diversify their market and survive in business.

Keywords: SMMEs, Challenges, Opportunities, Access, Markets

Introduction

SMMEs are critical to economic development of any country, Botswana in particular. They contribute towards Gross Domestic Product (GDP), employment creation, poverty eradication and economic diversification. However, in Botswana, SMMEs face challenges that threaten their survival, chief of which is lack of markets. This study will therefore focus on what other scholars have found out pertaining to solving the challenge of lack of markets for SMMEs.

The study considers background information, aim of study, objectives of the study, a brief literature review, empirical literature & findings, recommendation, conclusion & references.

Back ground information

Botswana is strategically located in the centre of the southern Africa region with total market size of approximately 200 million people (Republic of Botswana, 2012). The Republic of Botswana is an African country located toward the southern tip of Africa. The

population in 2014 is 2,052,556, up from 2013's 2.04 million (World Population Review, 2014). Small, Medium and Micro Enterprises (SMMEs) are the backbone of the majority of the world's economies; and based on that Botswana Government is highly concerned with developing entrepreneurship especially among youths (Rhodes, 2012). In the past decade there has been an on-going debate on SMME development and SMMEs' contribution to Botswana. The debate has involved SMMEs significance towards employment creation, poverty eradication, and economic diversification.

However, SMMEs face tremendous challenges that threaten their survival and growth (Jefferis, 2010). The challenges include access to markets, financial issues and competitiveness (Centre for the Development of Enterprise, 2013). The main problems of SMMEs include lack of funding, lack of expertise, lack of innovation, no or poor planning, and poor management, lack of business acumen, Poor and or no record-keeping on the performance of business, poor quality products, no or inadequate marketing, and lack of market. Access to markets seems to be a major foundational concern among SMMEs. For that reason, this research concentrates on SMMEs Access to markets (Stanbic Bank Botswana, 2012).

While a lot of effort has been put by the government and other stakeholders such as banks to finance SMMEs to help them succeed; it should be noted that no matter the amount of funding, if an SMME has little or no access to markets, failure is imminent as business success comes through sale of products or services.

In Botswana SMMEs have been credited with employment creation – bearing in mind that each year Botswana produces thousands of graduates that do not have ready employment; citizen empowerment, increase in GDP, increase in tax revenue to the government – which in turn translates into development of the whole country, and it keeps youths busy there by reducing idling and mischief (Republic of Botswana, 2014). In 1998 there were approximately 56000 SMMEs. Currently, unemployment in the country stands at 17.8% (Republic of Botswana, 2010). Such statistics can be reduced if SMMEs access markets, make profits, grow and play a part in hiring unemployed people.

Majority of SMMEs have depended on the government as their sole customer for a long time. However, with the advent of the world financial crisis since 2008 to date, the government of Botswana, among other developing nations, has been advised by The World Bank and IMF to cut down on their spending. The government then decided to suspend a number of projects resulting in SMMEs without a market for their products. Therefore, alternative markets for SMMEs; both current and future SMMEs are a must if the private sector is to make impact in Botswana. Moreso, the influx of cheaper foreign products particularly from Asia on the Botswana market has brought stiff competition for local SMMEs (IMF, 2013; World Bank, 2012).

Aim of study

This study aimed to assess the current challenge of access to markets by SMMEs in Botswana and explore possible practical solutions for markets access.

Objectives of the study

The specific objectives of the study are:

1. to assess the current state of access to markets by SMMEs in Botswana
2. to explore how successful SMMEs in Brazil and Ghana access markets
3. to find out how struggling SMMEs can benefit from other SMMEs successful in Botswana and surroundings
4. to come up with practical solutions to challenges of access to markets faced by SMMEs in Botswana

5. to conclude and make recommendations for SMME development in relation to market access

Theoretical literature review

The researcher consulted print and online journals, textbooks, Botswana Government Reports, Non-Governmental Organizations, global and Other Reports available on internet to gather information on challenges of SMMEs; particularly lack of access to markets.

Importance of SMMEs in General

SMMEs play a major role in many economies. Botswana is a country with very high reliance on government sponsorship and tenders. Many SMMEs depend for business by tendering to the government because the economy has for a long time been skewed towards the public sector. Although the government of Botswana has started privatizing national corporations, a lot still needs to be done. The government is now majoring on empowering the private sector through financing and mentoring SMMEs (Republic of Botswana, 2010). Therefore, evidence gathered in Botswana for SMMEs will go a long way to support national agenda by creating solutions to SMMEs (BIDPA, 2012).

SMMEs Current State of the Field

Botswana has put a lot of effort to boost economic productivity by empowering SMMEs, particularly those that are run by citizens with 100% ownership. Citizen empowerment has started many SMMEs support organizations to help fund, train, advise, mentor and uplift entrepreneurs. However, the success rate of SMMEs is relatively low considering their GDP contribution of about 35% compared to other countries such as Ghana with upto 70% contribution to GDP. Above all, SMMEs are expected to work towards poverty reduction (Botswana Citizen Economic Empowerment Policy, 2012; Republic of Botswana, 2012).

According to BIDPA (1998) in Botswana, the SMME policy distinguishes between the following:

Micro-enterprises(informal sector): employ one or two people and up to 6 people.

Small enterprises:they have less than 25 employees.

Medium enterprises: have between 25 and 100 employees.

According to BIDPA (1998) Employment in Botswana by type of employer was distributed as shown in Figure 1 below:

Organization	Percentage Employed	Sub-divisions
Government	36%	
Large firms	32%	
SMMEs	32%	Micro 14%; Small 14%; Medium 4%

Source: BIDPA, 1998

Figure 1: Employment in Botswana by Type of Employer

As shown in Figure 1 above, about 36% of employees are employed by government while large firms and SMMEs equally share 32% of employees apiece. The 32% of employees in SMMEs fall into Micro SMMEs 14%, Small SMMEs 14% and Medium 4%.

Although the current figures this day are higher than the BIDPA survey of 1998, the definitions of SMMEs seem to remain the same. The trend in Botswana is such that most SMMEs are owned by citizens while most large enterprises are owned by foreign investors and the government. It follows that for more growth of the economy, SMMEs need more support to avoid failure.

Current Challenges of SMMEs in Botswana

In Botswana, it is said that SMMEs contribute 75% of formal sector employment (Republic of Botswana, 2010).

The SMME Policy document identifies the following as constraints:

- Lack of access to finance;
- Lack of entrepreneurial skills;
- Bias of the education system against self-employment;
- Lack of business start-up training;
- Shortage of business premises;
- Excessive government laws and regulations;
- Lack of information on government assistance programmes;
- Lack of marketing skills;
- Lack of data on SMMEs; and
- Inherent biases against SMMEs

(BIDPA: 2012).

Another major challenge of SMMEs is lack of access to markets. In developed economies, private sector takes a leading role in offering the market for the SMMEs. SMMEs are a ready market, through the vertical and horizontal linkages. Over 90% of businesses in Botswana, however, rely on government for market. But businesses can learn to be self-reliant. For example, cattle farmers buy their feeds and vaccination from retailers like Agri-Chem, and then they sell the cattle to butcheries, supermarkets, meat processors and, ultimately, the product reaches the consumers. Such an example testifies to the aforementioned vertical and horizontal linkages, and yet many SMMEs fail to realize this. Moreover, SMMEs should be knowledgeable about government efforts to support and diversify the economy. This includes the Economic Diversification Drive pioneered by the Ministry of Trade and Industry and which all SMMEs should make an effort to learn more about (Modisane, 2009).

Opportunities for SMMEs pertaining Access to Markets

An Opportunity is described as an exploitable set of circumstances with uncertain outcome, requiring commitment of resources and involving exposure to risk (Business Dictionary Online, 2014). There are vast opportunities of access to markets for Botswana SMMEs. Instead of relying on the government for market, SMMEs need to explore markets in terms of private sector companies, members of the public and international markets (Republic of Botswana, 2012).

If SMMEs in Botswana can exploit the market opportunities available in Africa as a whole, there will be no challenge of failure to sell. Africa is a rising giant. The current boom in Africa where the whole world is investing vastly in the continent is proof enough that Botswana SMMEs have great opportunity (World Bank, 2012).

Essence of Globalization to SMMEs

Globalization can be defined as the worldwide movement toward economic, financial, trade, and communications integration. It implies the opening of local and nationalistic perspectives to a broader outlook of an interconnected and interdependent world with freetransfer of capital, goods, and services across national frontiers (Business Dictionary Online, 2014). Botswana SMMEs need to acquaint themselves with the opportunities availed by the world being a global village. Instead of depending on trying to sell products to 2 million people in Botswana, SMMEs are challenged to learn more from organizations such as Botswana Exporters' & Manufacturer's Association of Botswana and United Nations (Republic of Botswana, 2012).

According to Forstater, MacGillivray, and Raynard (2006) SMEs seeking to enter international supply chains, social and environmental conditions face a big challenge, which increasingly must be met in order to gain to market access. Access to international markets for imports, exports and investment is a key factor that enables economic growth. In the past 10 to 20 years, international trading regimes have been liberalized with the lowering of several tariffs and the lifting of non-tariff barriers, the most recent being the removal of quotas on textile and apparel trade between WTO members.

However, it is not easy for firms to enter the international market. SMMEs could possibly start with neighboring countries before going continental or overseas. By so doing they gain experience which helps when doing business with bigger firms overseas. In Botswana, majority of SMMEs have not yet taken advantage of globalization. This is largely due to fear, lack of information, barriers to trade and less use of internet by local traders (World Trade Report, 2012; Africa Economic Outlook, 2012).

Empirical literature& findings

For the purposes of this study, empirical literature mainly on Botswana, Ghana and Brazil were consulted. However, further studies on the current research, in the near future (after publishing this paper) a questionnaire shall be dispatched to about 300 SMMEs in Botswana asking them their experience pertaining access to markets, challenges faced, impact of the situation, and suggestions for solving the challenge. About 10 successful SMMEs shall be interviewed to get ideas on how they deal with the challenge of lack of markets. Nevertheless, in this paper recommendations and conclusions are drawn from empirical literature only due to time constraints.

The information here is based on comparing Botswana to two other nations that have developed better in terms of private sector, particularly SMME development. These two nations are Ghana and Brazil. Lessons are derived from the steps taken by such countries to help SMMEs deal with the challenge of lack of access to markets. Botswana shall be recommended the strategies that those countries have used which hopefully can help local SMMEs to thrive.

Botswana Experience of SMME Challenges and Opportunities of Lack of Markets Challenges for Botswana SMMEs

Many Botswana SMMEs struggle with market. For instance, majority of beef farmers depend on Botswana Meat Commission (BMC) as market for their produce. BMC sells mainly to The European Market (EU) which is a major source of foreign currency for the nation. However, sometimes the EU condemns Botswana meat whenever there is a foot and mouth disease for cattle. This negatively affects SMMEs involved in beef farming as their market temporarily shutdown once in a while (Republic of Botswana, 2012).

Botswana, with a growing population and a slowdown in economic growth, unemployment levels keep rising. According to the 2011 census, Gaborone, the capital city of Botswana has a population of approximately 202 000 people. The surrounding areas of Gaborone up to 100km radius constitute the bulk of Botswana population. Looking at the rising unemployment of about 18% it suggests more and more people looking to run businesses as SMMEs. Unemployment rate decreases with age. Those aged from 15 to 19 have the highest unemployment rate at 41.4 percent followed by those aged from 20 to 24 years at 34.0 percent. However, the small population is a restricting factor as the market is small (Republic of Botswana, 2012; World Fact Book, 2014).

Another challenge for SMMEs is the vast distance between districts and cities. Botswana has a small population of about 2 million people yet the land is a massive area of 600,370square kilometers. Long distances between cities and villages make it difficult and

costly for entrepreneurs to travel to the market to sell products. For instance, farmers in Maun growing tomatoes have found it hard as their market of South Africa proved an expensive option. This resulted in the SMMEs losing out as produce rotted (Republic of Botswana, 2012; IMF, 2012; Sunday Standard Newspaper, 2012).

Opportunities for Botswana SMMEs

SMMEs can capitalize on the slight population increase in 2014 of 2,052,556, up from 2013's 2.04 million (World Population Review, 2014). Botswana SMMEs can also strategize to take advantage of the southern Africa region's total market size of approximately 200 million people (Republic of Botswana, 2012; LEA, 2014).

Africa is a huge market for Botswana SMMEs. "Over recent years, African countries account for six out of the ten countries experiencing the fastest growth" (The Economist, 2011).

Africa's economic boom has a lasting trend and Botswana SMMEs need to take advantage of it. Given that Africa's economic boom is based on such structural geographic and demographic factors as rising exports, improved conditions of trade and steadily increasing domestic consumption. These are all reflected in some very positive economic indicators: External debt for the African continent has fallen from 63% of GDP in 2000 to 22.2% this year (2012), while inflation in Africa now averages 8%, down from 15% in 2000 (Europe's World, 2012; World Trade Organization, 2012; Africa Economic Outlook, 2012).

Botswana is advantageously located in Sub-Saharan Africa. Foreign investors have demonstrated a real desire to participate actively in African growth, which helps to explain the rapid progress of the capital investment sector. From 2008 to 2011, sub-Saharan Africa received on average 4.4% of all the funds received by developing countries around the world, and 3.1% of investment spending. In 2011, 67% of potential investors interviewed said they now considered Africa attractive, and half of them planned to invest in sub-Saharan Africa before 2013 (Europe's World, 2012; World Trade Organization, 2012; Africa Economic Outlook, 2012).

Ghana's Experience of SMME Challenges and Opportunities of Lack of Markets

Ghana was chosen for this study because it is a developing country with a democracy similar to Botswana and SMMEs in Ghana contribute about 70% to GDP compared to Botswana SMMEs that contribute a mere 35%. Micro and small businesses in Ghana account for about 70% of all enterprises, and the private sector in Ghana (mainly composed of SMEs) contributes about 40% to Gross National Income. 92% of companies registered are SMMEs. The SMMEs provide about 85% of manufacturing employment (Ghana Statistical Service, 2012; World Trade Organization, 2012).

Challenges of Ghana's SMMEs

SMMEs in Ghana have not always obtained the required support from concerned Ministries, Departments and Agencies as well as the Banks, Financial Institutions and other bigger corporate entities. This lack of support is a handicap to developing competitiveness locally and globally. Ghana SMMEs face other challenges such as the absence of adequate and timely banking finance, limited capital and knowledge, non-availability of suitable technology, low production capacity, ineffective marketing strategies, lack of capacity to identify new markets, constraints on modernisation & expansions, non availability of highly skilled labour at affordable cost, bureaucratic delays and the complex maze of rules in following up with various government agencies to resolve problems (Government of Ghana, 2013).

Opportunities of Ghana's SMMEs

SMMEs in Ghana have catalytic impacts on economic growth, income and employment. Small businesses however thrive because larger public companies create opportunities through forward and backward linkages, and governments serve as effective institutional support for creating market access and providing a conducive environment. SMEs with their flexible nature have a better adaptability to changing market conditions, making them better suited to withstand cyclical downturns (Ghana Statistical Service, 2012).

Another major opportunity for Ghana SMMEs is brought by Ghana's market size that is growing and opportunities within Africa are looking attractive for SMMEs in manufacturing, food processing, pharmaceutical, IT and agro and service sector, among others, transportation difficulties discounted. Ghana has a population of approximately 25 million people according to the 2012 census (Government of Ghana, 2013).

Capacity Development Centre [CDE] a cutting-edge knowledge-based and transmission entity, organize training programs and international level promotional activities, research, survey and interactive meetings for the enhancement of knowledge of SMMEs in Ghana. CDE helps SMMEs with: Business Management skills, export & trade promotion, technology upgrades, joint ventures and technology transfers, contract manufacturing tie-ups, international collaborations and alliance, marketing, branding and promotion, connectivity with potential business partners, market development, surveys and research, mergers and acquisitions and the setting up of new enterprises in Ghana and abroad (Government of Ghana, 2013; Chan, 2014).

Ghana has great potential as a car manufacturing country, possibly even electric cars. The growth potential of gas liquefaction continues to be the talk of the town as the queues at gas stations increase. Whatever the product, there is someone in Ghana at this moment discussing how to make it locally. The potential of the overall industrial sector in Ghana is unimaginable. The service industry carries opportunities for Ghana SMMEs: management level education facilities (i.e., nursing, finance, etc) to meet the growing need in the country's private sector. Medical services fail to provide high quality care, leaving foreigners and some locals to travel outside the country for specialized medical care. Information and communications technology (ICT) services are inadequate to meet the growing various needs of private sector businesses from SME to oil & gas (Davis, 2012; Government of Ghana, 2013).

Brazil's Experience of SMME Challenges and Opportunities of Lack of Markets

Brazil was chosen for this study because it is a developing country with a booming economy from which Botswana SMMEs can learn business strategies. According to Ortman (2012) Brazil, the largest country in both South America and the Latin American region is a powerful economy and home of global challenger companies, such as Embraer, Marcopolo, and Natura. Brazil is one of the most promising emerging markets, Russia, India, South Africa and China, which together form the "BRICS countries."

The population of Brazil is approximately 198.7 million (World Bank, 2012). According to Endeavor Brazil, an organization working to promote high-growth entrepreneurship in the Brazil, young businesses play a crucial role in Brazil's economic and social future. Currently, small and medium size-enterprises (SMEs) are responsible for 96% of the jobs in Brazil and comprise 98% of all companies in the country (Ortman, 2012; World Trade Organization, 2012).

Challenges of Brazil's SMMEs

According to Häner (2012) challenges of SMEs in Brazil stem from globalization. These include increased competition and low cost products imported from the Asian

countries that threaten SMEs internal market. Another similarity is the economic crisis in 2008/2009 that affected SMEs causing a stall in the growth of the number and employment of SMEs, a decrease in exportations, difficulties to obtain credit and shortages of working capital. Furthermore, Brazilian SMEs suffer from a high bureaucracy, continuous tax changes and poor business management (Federal Republic of Brazil, 2012; Chan, 2014).

Opportunities of Brazil's SMMEs

One of Brazil's secret recipes is that she *has a way of working around things*. No matter what problem or challenge Brazilians face, they always have a way to figure it out, solve or bypass it. This flexibility, detached of all narrow-minded thoughts, is in Brazil essential to survive in turbulent times (Häner, 2012). This characteristic helps Brazilian SMEs to tackle the problem of lack of access to markets especially during this economic crisis. It has also helped Brazilian SMEs to drive the economy into becoming one of the fastest growing emerging markets in the world against all odds.

However, the Federal Republic of Brazil can improve policywise. Brazil's Ease of Doing Business rank in the World Bank's Doing Business project is 129 out of 183 economies. Starting a business there takes 120 days. Brazilian entrepreneurs also face a complex tax system and difficulties in access to finance. Moreover, entrepreneurship education is lacking, according to Endeavor Brazil. They point to statistics suggesting that less than 10% of Brazilians aged 18–64 received any type of entrepreneurship education. The federal government can put policies that promote ease of doing business. This will boost SME success (Ortmans, 2012).

Recommendations

Take advantage of Africa's Domestic Market

Botswana like other Sub-Saharan African countries has enjoyed relations with Europe and North America. However, SMMEs should take advantage of the African booming economy as a market as the developed world struggles with financial crisis and cut their spending. Africa has become more conducive for business, for instance, the time needed to obtain an export licence has fallen from an average of 230 days in 2005 to 212 days in 2010, and the time it takes to enforce a contract has fallen by nearly a month over the same period. The emergence of Africa's domestic market will also encourage the diversification of national economies that will become less vulnerable to global shocks because they will be less dependent on exporting primary raw materials and so less exposed to world price fluctuations. Apart from the usual South African market, Botswana SMMEs should consider exporting products to some of Africa's fastest growing economies: Malawi, Zambia, Ethiopia, Angola, Nigeria and Sudan (Europe's World, 2012; African Economic Outlook, 2012).

Botswana SMMEs should make use of the fact that Sub-Saharan African countries are turning more and more towards partnerships with other countries in their region. Intra-regional trade now represents around 15% of sub-Saharan African trade, compared to only 7% in 1990. In 2010, South Africa as the regional powerhouse was alone responsible for 4% of sub-Saharan imports and 6% of exports (Europe's World, 2012).

Government to put policies for markets access

Botswana government is applauded for efforts so far in supporting SMMEs through funding, training, mentoring and otherwise. However, it is recommended that she should put policies that help SMMEs to access Africa's domestic market. This can help to secure international partners, joint ventures and international collaborations as done by Ghana's Capacity Development Centre [CDE].

Developing an entrepreneurial spirit

Botswana government has promoted an entrepreneurial spirit in high schools for years now through Junior Achievement Botswana (JAB). However, a lesson can be taken from Brazil where the entrepreneurial spirit is much higher than in Botswana. JAB should be available to all students not just as a club. JAB should also be introduced to Primary school students to let them catch the entrepreneurial spirit earlier on.

Introduce Entrepreneurial Studies in the School Curriculum

With the high level of unemployment, Botswana needs to introduce entrepreneurial studies in the curriculum of both primary and secondary schools. This will support the Vision 2016: *An educated and informed society, a prosperous, productive and innovative society with a diversified economy and full employment*. Currently, business subjects such as Business Studies, Commerce, Home Management, Food & Nutrition, Art & Design, Design & Technology, Accounting and Economics are not core subjects in secondary schools. A consideration should be made to make Business Studies a core subject from Junior Certificate. This is hoped to equip all students with basic information for starting and running a business.

Conclusion

Little research has been published on SMME challenge of lack of access to markets in Botswana. Therefore the empirical literature in this paper adds to the body of knowledge on challenges faced by SMMEs and the opportunities thereof. The literature findings are hoped to better inform current and future SMMEs on how they can diversify their market options. This includes how SMMEs can take advantage of globalization and the African domestic market. In turn when SMMEs become financially stable, this will create more jobs for youths, and reduce unemployment levels. Furthermore, a successful private sector will pay more taxes which will go to the government; resulting in booming economy. More research on access to markets shall entail field research to further explore Botswana SMMEs opportunities of markets.

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RESTRUCTURING AS A PART OF COMPANY CRISIS MANAGEMENT

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Abstract

Company crisis management. Company bankruptcy. Causes of company bankruptcy. Solution of bankruptcy. Bankruptcy and restructuring. Informal restructuring and restructuring under supervision of the court. When to execute restructuring. Restructuring in the Slovak republic compared to restructuring in the Czech republic. Comparison of advantages and disadvantages of restructuring proceedings conditions in the Slovak and conditions in the Czech Republic. Differences restructuring proceedings in the Slovak Republic and the Czech Republic.

Keywords: Company crisis management, restructure

Introduction

Currently the competition is steadily increasing, the competitiveness of enterprises in the market is being reduced, the conditions for business become more difficult and companies are getting into troubles that can have various causes. Businesses should be aware of still more and more increasing pressure from competitors and adapt their business to the surrounding conditions. Still more and more companies get into complex financial problems and many of them eventually go bankrupt. Every day there is an increasing number of companies in financial troubles, they get into bankruptcy, in the better cases they undergo restructuring; however, it does not have to be guarantee of the company's survival in the market, a lot of restructurings end in the late conversion to bankruptcy. As there have been an increasing number of companies becoming bankrupt, the solution of which is bankruptcy or restructuring, we consider this issue being very current. According to Ďurica and Husár (2008), traditionally it has been alleged that bankruptcy law is an essential part of any rule of law in the countries with a market economy.

This article deals with bankruptcy, its root cause, possible solutions in the Slovak and Czech conditions. We used a method of comparison where we examined the restructuring of the Slovak legal conditions in comparison with the Czech conditions; in particular we focused on restructuring process and the differences in its application and duration in Slovakia and the Czech Republic. Inconsiderable part of our contribution consists of the determination of the time when and why a company should undertake the restructuring process. The entire article deals with the advantages and disadvantages of the differences in the legal processes in Slovakia and the Czech Republic. In the article we discuss different features in the procedures of restructuring as well.

Bankruptcy of a company in the Slovak and Czech conditions

Every business should look for new sources of its growth, seek to increase competitiveness what often requires intensive research and development. Businesses often do not have much space to invest and many of them are subsequently under pressure from

competitors, unable to remain competitive on the desired level, the conditions of existence in the market are getting worse, their market share is decreasing, revenues are decreasing etc. All these problems that can have various causes are reflected in the formation of financial difficulties, a culmination of which may be the decline of the company which may represent the insolvency of the debtor or prolongation. It is then difficult for the company to create and maximize profit in the long term and it has liquidity problems gradually.

Problems in the company which may cause the company bankruptcy may vary. These can include: difficulties in manufacturing connected with high costs, outdated technological procedures and equipment, manufacture of unsatisfactory quality etc. Furthermore, there may be a problem with the sale (high competition, low demand for products, lack of marketing), in sales and distribution (excessively high transport costs), in financial area (high debt, lack of liquidity, low profitability, increasing interest rates, high wage costs, insufficient management level) and other. Often there come problems because of lack of management. Even according to the known U.S. company Dun and Bradstreet Inc., as many as 98% of business failures are caused by incompetent business management. In particular, this concerns the lack of experience in the field of business area, management experience, in manufacturing, sales, finance and management negligence (Kolb, DeMongs, 1998). Many problems that ultimately cause the bankruptcy are also caused by the so-called overtrading or overstating. Overtrading is a large quantity of unreasonably and improperly closed transactions that lead to losses. Entrepreneurs carry their business more than it is appropriate, forgetting a very important need in their company - the need for working capital. If the business does not provide a sufficient financial resources, whether their own or others, sooner or later it will become insolvent, what can lead to the existential problems of the company.

According to the law on bankruptcy and restructuring, the debtor is bankrupt if it is insolvent or prolonged. Insolvent is the one who is unable to fulfill at least two financial obligations to more than one creditor within 30 days overdue. Extended is the one who is obliged to keep accounting according to a special regulation, has more than one creditor and the value of its liabilities exceeds its assets. As reported by Pospíšil (2012), there are three essential ways how to address the bankruptcy of a debtor, namely:

- bankruptcy, which is a liquidation process where creditors recover debts from a debtor who is insolvent. The debtor does not continue in their business - it is a process of monetizing the debtor's assets and the satisfaction of the claims of its creditors. A trustee determines whether a businessman is bankrupt and when he got into it.
- an informal restructuring that takes place after the agreement with the creditors, informal ways of resolving insolvency of the debtor apply here
- Formal restructuring that takes place under judicial control and proceeds according to clearly defined procedures specified by the law on bankruptcy and restructuring.
- Debt relief (for individuals)

The first difference between the Slovak and Czech modification, what may be considered as an advantage too, is in the definition of bankruptcy where the Czech law adds a definition of imminent bankruptcy, which the Slovak law lacks - the imminent bankruptcy occurs when regarding all the circumstances we can reasonably assume that the debtor will not be able to properly and timely perform a substantial part of its financial obligations. It is useful to use liquidity indicators here that tell us about the entrepreneur's ability to meet their obligations properly and on time, i.e. its ability to pay. According to Kotoučová (2010), the concept of imminent bankruptcy was introduced in order to prevent the negative consequences associated with the later finding of bankruptcy. The advantage in the Slovak case law is an extension of the definition prolongation from 1.1.2013 which states that in defining the prolongation it should be based on accounting or report of the expert who is prior

to accounting. In both jurisdictions the prolongation may be just corporate entity or individual as an entrepreneur. Schelleová (2007) explains this as well saying that the general extension for individuals who are not and have never been entrepreneurs should not have a practical significance, because the prolongation definition shows that this can only be for people who have an obligation to keep accounting. Czech law also defines prolongation as insolvency and it appoints situations where the debtor is unable to meet its obligations, among which it specifies that the debtor is insolvent (bankrupt) if it fails to comply its obligations for more than three months overdue. This period is compared to the 30-day period in the Slovak law declared more sophisticated since 30 days overdue is little to assess whether the debtor has been insolvent for a longer period. The method of resolving insolvency or imminent decline in the Czech Republic means:

- Bankruptcy
- Reorganization
- Debt relief
- Special methods of resolving insolvency which the law provides for certain subjects or certain cases types

Slovak and Czech laws have some features in common too. First of all it was the dissatisfaction of both parties with the old arrangement of law and in both countries the major amendments to the Act were acceded. Another common feature is the actual length of the bankruptcy process. In both countries, these processes are quite difficult, we cannot talk about the very simplicity, and that is also the reason for their long duration. Last but not least it is the orientation of the Law on the interests of creditors and debtors. In both cases, based on past experience, where the position of the creditors in the bankruptcy process was highly weak, the law is oriented to the creditors and approaches to protecting the interests of creditors and strengthens their position.

Restructuring versus Insolvency act

In Slovakia, the bankruptcy law is governed by the Act on bankruptcy and restructuring no. 7/2005 Z.z. as amended. In the Czech Republic a bankruptcy solution is managed by Act no. 182/2006 Coll. on bankruptcy and ways of its solution (the Insolvency Act). The structure of the Act on Bankruptcy and Restructuring compared to the Czech law on bankruptcy and ways of its solutions (Insolvency Law) is diametrically different. Slovak law is divided into 8 sections including bankruptcy, restructuring and debt elimination. Each part addresses the bankruptcy by the chosen method of submission of the proposal to the completion of the process.

In the Czech law, the bankruptcy solution begins with submitting insolvency proposal, no matter which way the bankruptcy will be addressed. Subsequently the so-called insolvency management or insolvency process starts which begins on the date when the insolvency proposal will come to materially competent court. This new adaptation of the Czech Law teamed way of resolving insolvency while the old update addressed bankruptcy or settlement procedures separately - similarly the Slovak law is governed like that and the process of bankruptcy, restructuring and debt relief is addressed separately. The proposal may be submitted by the debtor or creditor. The debtor is obliged to submit the proposal immediately after he learned of his bankruptcy in the form of insolvency, in case of liquidation and if it is prolonged. As regards to the condition of insolvency, we see this as a disadvantage of this matter because many business owners often fall into insolvency which may not be long-term and gradually get out of it. Therefore, the Slovak law restricts the obligation of the debtor and orders the debtor to submit a proposal only if it is prolonged. A new aspect in the Czech act after major amendments is the possibility of an insolvency proposal in the case of imminent bankruptcy, what the case law in Slovakia is unfortunately

missing. We consider this a very sensible step by the Czech lawmakers because the ability to submit a proposal and to restructuring earlier than the debtor bankrupts is of great benefit to the debtor and increases the likelihood of successful restructuring. The sooner the restructuring process proceeds the greater the chances for its successful management. In this case, the person qualifying to submit a proposal is only the debtor to avoid pressure from creditors to debtors to submit the proposal and finally, only the debtor has relevant information about their economic situation which the creditor does not have access to and is not able to assess in real debtor's financial situation. During this process, the debtor is significantly restricted to dispose freely with their property, should it be a big intervention in the structure of assets.

The creditor has the right to submit an insolvency proposal if he refers he has a matured claim against the debtor. If the debtor does not agree with that proposal, he has the right to submit a proposal for a moratorium. The moratorium gives the debtor the opportunity to score with the creditor before the court decides on bankruptcy and to avert bankruptcy by their own forces. During the period of moratorium court must not issue a decision on bankruptcy. It is a kind of protection for the debtor and the opportunity to avert bankruptcy, if he is able to cope with the creditor. The moratorium lasts for such period as it is specified in the proposal but not more than three months. The possibility of a moratorium is considered to be a huge advantage in the Czech law compared to the Slovak one because if the creditor in Slovakia proposes for bankruptcy or restructuring and bankruptcy trustee determines that the debtor is in bankruptcy, the debtor has no chance to deal with creditor, the bankruptcy proceeding begins which can no longer be avoided. If the court finds out that the debtor is insolvent, it shall issue a decision on bankruptcy and creditors can submit their claims within the time fixed by the court - at least 30 days, no more than two months. In our opinion, it is not a very good solution that the bankruptcy is decided by court. Yet it is largely financial - economic issue, not legal and it is the extra work for the court and prolongation of insolvency process. In Slovakia bankruptcy is determined by a trustee (unless a proposal for bankruptcy or restructuring was not submitted by the debtor because if so, it automatically takes the view that the debtor is insolvent). A debtor may appeal against the decision of the bankruptcy. If a bankruptcy is certified, a court has no reason to change this decision. Insolvent Court, together with the decision of a bankruptcy, joins a decision on how to deal with bankruptcy – announces a bankruptcy, if the debtor is excreted in reorganization or debt elimination, permits reorganization, if the debtor shall submit a reorganization plan which had been agreed by creditors (or method will be decided later if it is not previously mentioned cases). The court may decide on the method of resolving insolvency on the basis of the creditors' meeting, where creditors vote on the method of resolving. In the field of bankruptcy law, we will in the article continue to deal with particular restructuring, common features between the Slovak and Czech restructuring but also differences between them.

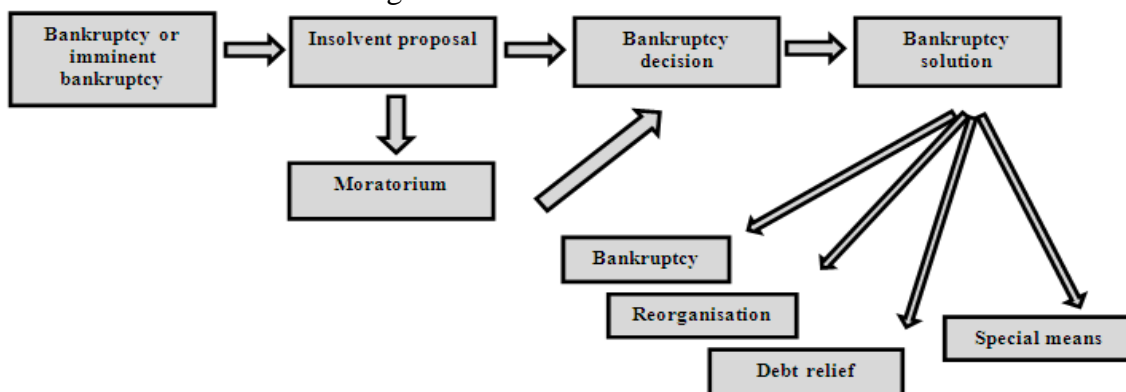


Fig. 1. Process of insolvency management in the Czech republic

Restructuring of company

Each company should constantly check their current situation through the financial and non-financial indicators that characterize them either in a positive or negative light. For a company it is important to remember and then define the time when it is appropriate to restructure, for the restructuring not to be useless. To set the appropriate period for restructuring, it is important to distinguish between informal and formal restructuring because from the financial - economic point of view, the formal restructuring should follow the informal one, representing various internal business processes which improve a company financial situation. The basic aim is to reverse the bad financial condition of a company and consequently avert bankruptcy but many businesses do informal restructuring as prevention against the threat of future problems. If a company fails to successfully restructure informally, a formal court-supervised restructuring follows. Basic features of a formal restructuring are defined in the Act on Bankruptcy and Restructuring.

The appropriate time for formal restructuring is if a company failed to eliminate its stagnation in the market by the restoration measures, it no longer makes profit and its financial problems are getting more serious. It is a first impulse to make the company realize it is necessary to do the restructuring measures not to be led to bankruptcy and for the restructuring not to be useless in the end. The basic situations in a company that tell us about the need to apply informal restructuring measures we consider:

- Change of the trends in the business sector
- Decrease of the market share
- Decreasing profitability
- Secondary insolvency
- Increasing the debt
- other

If a company fails to improve the unfavorable situation that is constantly getting worse, it's time for a formal restructuring which represents a radical solution in case of a company bankruptcy. Among the basic situations in a company with the need to apply a formal restructuring measures we include:

- Long-term inability to adapt to changing trends in the business sector
- Reduction of market share to a minimum
- Reduction of income to a minimum, the threat of reporting losses
- Initial insolvency
- Extremely high debt
- Prolongation
- Pressure from creditors on the company

In this case a company has serious financial problems that are transformed into the high insolvency, creditors are putting high pressure on business, many of them want to recover their claims in enforcement proceedings and the company is unable to reverse the unfavorable situation on time. In this case, time plays a very important role and the later the company realizes its unfavorable situation, the harder it will carry out the restructuring. Some businesses often do not see or do not want to see the adverse developments in their business, underestimate the situation and see a formal restructuring as the last solution without previously carrying out any restoration measures or informally restructuring. In such cases, many times the formal restructuring is unnecessary and the company finds itself bankrupt which is a liquidation process, the debtor's business ends and there is a monetization of the debtor's assets and satisfaction of its creditors.

For the success of the restructuring, the right attitude and cooperation of all actors concerned are necessary. A statement of the European Commission in the EU's approach to

the restructuring is very concise: "Restructuring can become an essential part of economic progress only when structural changes correctly predict where the companies can take corrective action quickly and effectively manage the necessary changes and where public authorities help create the right conditions" (the European Commission, 20 June 2011).

Comparison of restructuring in Slovakia and the Czech Republic

In general, entrepreneurs should avoid bankruptcy. Many times, however, they get into such financial problems they become insolvent. If the entrepreneur finds out he is bankrupt or in the worst case, he is already bankrupt, he has the opportunity to restructure. The common feature of restructuring in the Slovak and Czech conditions is a common thought and common goal of restructuring: to avert bankruptcy and subsequently ensure company recovery, not least to provide the opportunity to the entrepreneur to continue their business. Compared to bankruptcy, restructuring is a non-liquidation process, the entrepreneur continues its business and gradually relieves the debt. For all restructuring processes the executions are stopped by law enforcement which can be regarded as protective elements of the debtor. As reported by Ďurica (2010), the common feature of all restructuring processes is to provide protection of debtors from creditors. Many creditors see the provision of such protection negatively, they would rather prefer bankruptcy, but often do not realize that this protection is their protection as well because the satisfaction of their claims in restructuring should be always higher than in bankruptcy.

Restructuring in Slovakia

The solution of bankruptcy may be restructuring or bankruptcy. The law does not know any other solution of the company bankruptcy. In the Slovak conditions, the restructuring process is defined by law No.7/2005 Coll on Bankruptcy and restructuring. In Slovakia, by 2005, the institute of arrangement was used, taken from Austrian and German law but it was not certified. Although this law has been in force since 2005, economic entities in Slovakia started getting to know the restructuring in 2009 when they realized the effects of the economic crisis which has been the cause of serious financial problems of entrepreneurs. There are several stages of restructuring proceedings in Slovakia:

- 1) Delegate a trustee administrator to develop a restructuring review– if the debtor finds out he is threatened by bankruptcy or is in bankruptcy in the form of insolvency or indebtedness, he can solve this situation either submitting a proposal for bankruptcy or for the authorization of restructuring. If he decides for the latter option, he instructs the trustee of bankruptcy court to prepare a restructuring report. If the debtor shall instruct the trustee before his bankruptcy with this task, at a time of imminent bankruptcy, the probability of positive report is higher as well as is the probability of the success of the restructuring and the fulfillment of its core objective - company recovery. The trustee determines the financial and business situation of the debtor, on the basis of which he assesses whether the restructuring makes sense and if the economic conditions for the proposal for restructuring are fulfilled. In this part of the report, it is especially important to evaluate the liquidity indicators that tell us about the debtor's solvency and debt ratios which inform us about the capital structure. This first stage is essential in the restructuring process because it depends on the judgment whether the trustee recommends the restructuring or not, the court is then governed by this recommendation and decides on authorizing or rejecting the restructuring. Trustee may recommend restructuring only if the following conditions are met: the debtor carries on business, the debtor is threatened by or already is in bankruptcy, the preservation of a substantial part of the debtor's business operations can be reasonably

assumed. In the case of authorization of restructuring a greater extent of creditors' satisfaction as by the bankruptcy declaration can be reasonably assumed. This difference of satisfaction can be considerable - creditors who have their assets secured by a lien, can get about 70 % while in bankruptcy it is only approximately 40 %.

2) Proposal for the authorization of restructuring– As stated correctly by Āurica (2010), a restructuring procedure is a specific type of civil procedure which can only be initiated on proposal. A debtor or creditor who appointed a trustee to develop a report has the right to submit the proposal. In practice, courts more often face the proposal by the debtor himself.

3) Start of a restructuring procedure– If the court finds out that the proposal for the authorization of restructuring meets the statutory requirements, no later than 15 days following proposal receipt, it is decided to initiate restructuring proceedings, otherwise the proposal is rejected in the same order. With this decision the impacts of initiation of this proceeding are connected, including for example ban of the execution start on the debtor's property and all initiated executions are stopped. This effect is considered to be very advantageous to the debtor because he has a chance to make business without any limitations and problems and even more satisfy claims of its creditors. Other effects include: limiting the debtor's business on standard legal acts, where other legal acts may be exercised only with the agreement of the trustee, protection against a creditor, which protects the debtor from the individual enforcement of their claims apart from a restructuring proceeding and so to destroy the entire proceeding. These effects include also impediment of *litispendens* where this barrier prevents the start of other restructuring procedure for the same debtor.

4) Authorization of restructuring– If the statutory conditions for the authorization of restructuring are fulfilled, the court decides by order on the authorization of restructuring no later than 30 days from the restructuring proceedings. Otherwise it stops restructuring proceedings in the same order. The judge must examine the accuracy of content in the report. We cannot agree with this because as rightly pointed by Āurica (2010), the report is processed by expert in order to assess the financial situation of the debtor to recommend the restructuring or not. It would be more appropriate if the court reviewed the content, trustee competence and timeliness of the report processing only formally.

5) Beginning of restructuring– starts with the authorization of restructuring

6) Assets registrations– in this stage, creditors register their assets that are secured or unsecured by a debtor. If the trustee finds out that the registered asset is doubtful, he shall deny the registered asset in doubt.

7) Creditors meeting convocation– is convened by a trustee, its meaning lies in the opinions of the individual creditors while a creditors' committee is selected, which will continue to work with the debtor.

8) Working out the restructuring plan– Based on the current economic situation of the debtor, the formation of a restructuring plan follows. If a debtor submitted a proposal for restructuring, the plan is prepared and submitted by him, if a plan is proposed by creditor, a plan is drawn up for approval by a trustee. In our view, a better alternative of the plan processing is by the debtor because he knows his best financial and economic situation and his business opportunities. When developing the plan, predictive financial analysis (*ex ante*) in the financial terms of is very important which predicts a financial crunch of the company for the company not to be in financial difficulties in the future. The plan must be drawn up so as to ensure the highest satisfaction of creditors. The requirement of reality and sustainability have to be fulfilled which means that the degree of satisfaction of claims shall be determined

reasonably. The restructuring plan consists of a descriptive and binding part. As Pospíšil (2012) correctly explains, the descriptive part of the plan includes mainly detailed explanations of binding part, and binding part of the plan includes precise definition of individual rights and obligations that are scheduled to occur, change or disappear. Descriptive part of the plan is mainly economic in nature and includes a description of the procedures which achieve the objective of restructuring. Binding part is of a legal nature, shall include all claims of creditors, if their rights should change, appear or disappear.

9) Proposal and approval of the plan – Proposal must be submitted for approval to the creditors' committee which will decide on approval of the plan within 90 days of the authorization of the restructuring plan and subsequently the plan is being approved by the court. Trustee shall convene the approval meeting where before the voting itself, the plan submitter responds to all questions. Subsequently, the voting on the adoption of the plan follows. To adopt the plan, it is necessary for each group of secured claims voted in favor of adoption of the plan, and that each group voted for adoption by the majority of voters. It is important to note that the group, in which no creditor voted, is automatically considered to be a group which agrees with the plan. We know a group of secured claims and unsecured claims, a group of property rights of shareholders, the group claims of the plan intact claims. If a creditors' committee rejects the plan or if the plan fails to comply, the trustee asks the court to declare bankruptcy and restructuring conversion for bankruptcy occurs. If the trustee fails to do so, the court will make it ex offo. Reasons for conversion are in our legal conditions very strict and failure of a single duty may lead to restructuring fall into bankruptcy, therefore a restructuring plan should be drawn up to be really fulfilled.

10) Confirmation of the plan by court – if there are any reasons for rejecting the plan, the court, on a proposal of plan submitter confirms and approves the plan within 15 days of receipt of the submission. In that order, the court shall also decide on the termination of the restructuring under court supervision and may subsequently lead to economic recovery of debtor. The court may reject a plan for a variety of reasons, for example creditors do not approve the plan for cheating, if it finds out that the plan is in contrary to the interests of creditors and there would be no satisfaction of claims as much as in bankrupt or higher degree, or because of the above-mentioned conversion to audit.

11) End of restructuring – As mentioned in the 9th step, the court issues a ruling on completion of the restructuring, all suspended proceedings are stopped and the function of the creditors' committee and trustee functions extinct.

The end of restructuring means its completion only by formal part and the implementation of the plan follows. In the binding part of the plan supervisory management may be provided which is tasked to serve as a control over the debtor and the implementing the plan and the business of the debtor. This function is performed by a trustee who has been defined in the binding part of the plan. The scope of his work results from this part of the plan. After full delivery of the plan the supervisory trustee shall publish in the Journal of Business a finish of supervisory management activities. These moment lapses function of monitoring trustee and supervisory management.

Restructuring in the Czech Republic

In the Czech Republic restructuring is governed by the Law no. 182/2006 Coll. About the bankruptcy and ways to solve it (the Insolvency Act), as amended. In 2008 there was a major amendment to the Act and for the first time introduced the concept of reorganization. Since it could not be bind to the previous case law and legislative provision, the concept of

reorganization came of the U.S. Bankruptcy Law of 1978, which was modified according to European legislation - the German and Austrian adjustments. In the Act there is a new institution which should help the economic operators to assist in the continuation of the company and continue their business. Czech law has common as well as different features from Slovak adjustments. Czech law precisely defines what reorganization is. In the Slovak case law, the definition of restructuring is missing.

Another major difference is when the restructuring or reorganization is permitted. In Slovak conditions restructuring review mentioned above is very important, whereby a trustee either recommends a restructuring or not, the court will be usually inclined to the opinion, and then allows or denies a restructuring. In Czech conditions it is different, by the definitions of reorganization law clearly defines the conditions under which reorganization is permissible - if the debtor's total turnover for the last financial year amounted to at least 100 million Czech crowns or if the debtor has at least 100 employees. If, however, the debtor presents to a court reorganization plan adopted by at least half of the creditors, previous condition does not apply. Here we see a strong pro-creditor orientation and empowerment but also a great limitation for the debtor. In our view, it is questionable whether the determination of these conditions was correct because they significantly weaken the position of the debtor by the fact that the debtor with smaller turnover or a small number of employees cannot reorganize until the reorganization plan is approved by creditors. It is a debtor's huge limitation. The following situation may occur: Company A has a turnover of over one million Czech crowns; Company B has a smaller turnover. At the same time, company A has huge debts, high amount of outstanding commitments while Company B is insolvent but its financial problems are of easier character as in the case of company A. Creditors were presented a restructuring plan but they decided not to agree with it and reorganization plan was not approved. By law, company A has the right to reorganize irrespective of the nature and seriousness of its financial problems because it has a turnover of over one million Czech crowns while company B does not get this chance, if there were not the legal conditions, perhaps it would get out of their financial problems thanks to reorganization and could continue to exist in the market which would ultimately have a positive impact on the overall economic environment. Thus, this company has been declared bankrupt and the debtor can no longer continue its business, there is a sellout of assets, the relative satisfaction of the creditors and the company ceases to exist. Another problem in this restriction is that the turnover criterion is defined generally for all sectors. But sales largely depend on the industry in which the debtor operates. As well, there may occur a situation we mentioned above because it can happen that some business in the steel industry has a high turnover and more serious financial problems such as a business e.g. in the food sector where the turnover is much lower. The law certainly did not look at the economic aspect of the matter. Therefore, we believe that the determination of these conditions should take into account all economic aspects and on the basis of their assessment to determine the optimal conditions for admissibility reorganization. Reorganization process in the Czech conditions is as follows:

- 1) *Submitting a proposal for authorization of reorganizing* – to submit the proposal is the right of debtor as well as creditor, similarly as in Slovakia. At the same time the proposal is submitted if all the above mentioned conditions are fulfilled and we can reasonably assume that the reorganization will be allowed.
- 2) *Decision about the proposal for authorization of reorganizing* - the court shall follow the same way as when deciding on a solution of bankruptcy as we mentioned above, so makes a decision of authorizing or refusing together with the decision of the bankruptcy or the individual decision or on the basis of decision of the creditors who issued the order on the creditors' meeting where the matter was discussed. A court will refuse the reorganization if it is revealed that the submitter has a dishonest intention or if the

proposal is not approved by the creditors, if the approved is on the creditor meeting, otherwise the reorganization is accepted. Authorizing decision has essentials, including challenge to the debtor to present a restructuring plan within 120 days, which represents another difference between the Slovak and Czech act adjustment, in Slovakia this period is only 90 days which is a disadvantages for the debtor in comparison to the Czech legal act. At the same time he may reasonably request for an extension of 60 days. Similarly as in Slovakia different groups of creditors are created here who vote about rejection or confirmation of a reorganization plan.

- 3) *Creation of reorganizing plan* – the debtor has a preferential right to draw up a plan unless the creditor meeting yielded to a solution in which creditors expressed their disapproval. In Slovakia, if the debtor submitted a proposal for restructuring, the plan is presented and drawn up by the debtor, if the plan is submitted by a creditor; it is presented and drawn up by the trustee.
- 4) *Specification of the way of reorganizing* – the Slovak law lacks ways how to carry out restructuring, in the Czech Republic, these methods are defined in the Act, for example forgiveness of certain debt to the debtor by the creditor, the sale of assets, merge of debtor and other. All these methods that are to be made are set out in the plan.
- 5) *Discussion and acceptance of the plan on creditors' meeting* – similarly like in Slovakia, as was already mentioned, the plan is voted according to established groups of creditors. Then the court decides on the approval, which plan to approve, if it complies with the law and if the creditors adopted the plan. Otherwise, the court rejects the plan. If the plan is approved, then there is mere fulfillment of the plan.
- 6) *Plan fulfillment* – the fulfillment is controlled by a trustee and creditors' committee.
- 7) *The end of reorganization* – either by conversion to bankruptcy or successful plan fulfillment which is the end of reorganization. The reorganization conversion to the bankruptcy may occur in different cases, e.g. if the debtor himself submits a proposal for, if the person creating the plan fails to stop it, if the court did not approve the plan, if the debtor fails to comply reorganization plan properly and timely, etc.

Conclusion

Causes of financial problems result from insufficient liquidity, high debt, failure of financial management, overtrading which causes losses in the company etc. A company can solve financial problems formally or informally. Such company should primarily use informal procedures because they are associated with lower expenditures. However, the company often cannot handle this and falls into bankruptcy. The most appropriate and least painful solution for bankruptcy is a formal court-supervised restructuring.

Slovak and Czech adjustment of resolving insolvency have common and different features as well. Both countries have acceded to the major amendments to the Act, because the previous Law on Bankruptcy has not worked in any country. Therefore the amendment of the Act took place which introduced a new institution - the restructuring, reorganization in the Czech Republic, which is another way of how to deal with bankruptcy. Common feature is to avert bankruptcy and then proceed to the company recovery. The basic difference is the method of its solution - Slovak law is divided into several sections, including bankruptcy, restructuring and debt elimination. Each part addresses the bankruptcy by the chosen method from submission of the proposal to the completion of the process. In the Czech law, the solution begins with submitting insolvency proposal, no matter which way the bankruptcy will be addressed. Then insolvency management comes, as unified management, in which the court decides on bankruptcy and then it is solved by the chosen way we visualized in Figure number 1.

In conclusion we can say that from a financial point of view it is essential that in comparison with the bankruptcy, by restructuring a business continues, and the company does not expire and it gradually restructures and the debt is being relieved. For the success of the restructuring, the right attitude and cooperation of all stakeholders concerned are necessary. Restructuring can become an essential part of economic progress only when structural changes correctly predict where the companies can take corrective action quickly and effectively manage the necessary changes, and where public authorities help to create the right conditions. Both countries have their advantages and disadvantages of restructuring and bankruptcy procedures. In the Czech Republic we consider moratorium to be a great advantage, what we lack. In our opinion, every debtor should be able to cope with the creditor before the bankruptcy or restructuring occurs and thus avert bankruptcy. Another advantage is the precise definition of how to deal with the reorganization. In Slovakia, this definition is missing. In the Slovak conditions, we consider advantages to be e.g. way of decision on bankruptcy, where the court is governed mainly by restructuring advice which is made by the trustee of insolvency on the basis of his recommendations the court authorizes restructuring.

As mentioned earlier, the two systems and procedures of restructuring have a common goal, namely to avert company bankruptcy to continue in business and gradually the debt is being relieved. If the company is forced to carry out the restructuring, it is advised to do so as soon as possible because the sooner the process begins, the greater the likelihood of a successful restructuring. It should also supervise the fulfilment of the restructuring plan because failure to complete even a single duty may result in a conversion for bankruptcy of the company, thus ending a debtor's business and monetization of his assets and the gradual satisfaction of creditors follows.

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PROFESSIONAL ACCOUNTANTS' PERCEPTIONS OF SERVANT-LEADERSHIP: CONTEXTS, ROLES AND CULTURES

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Abstract

The study takes *servant-leadership* and attempts to find if there is an equivalent concept in *management*. The research design is positivist. An instrument that measures distinct leader, manager and professional role preferences is used to check the discrete operation of three contexts among a sample of members of the accountancy profession. The instrument is derived from contextualising pre-developed and pre-tested servant-leadership measuring instruments. Items from the role preference map instrument are added together with demographic details to come up with a *meta-instrument* adapted for the study. After validating it through pilot-testing, the instrument is applied in real-world research. The research was conducted among a sample of professional accountants in 28 countries. The research found clear and reliable *servant-leadership*-type behaviours exhibited across the three discreet roles and contexts of leader, manager and professional. Servant-leadership is a type of leadership that is theorised to be humanistic and spiritual rather than rational and mechanistic. Management practice on the other hand needs rationality and contains some mechanistic elements in typical management functions like coordinating and controlling. The implication is whether servant-leadership attributes can be exhibited if professional accountants contextualise themselves as leaders, managers or professionals. This approach is new in its treatment of *servant-leadership* in this fashion. A further original approach is the use of the accountancy profession. Additional implications relate to how professional accountants trained from a global common syllabus by a professional body that is looking to infuse more strategic and 'soft' skills in their syllabi for training professional accountants.

Keywords: Leadership, servant leadership, organisational culture

Introduction

The aim of the study is to investigate perspectives of professional accountants on leadership and management through the concept of servant-leadership in order to inform the training of professional accountants.

The objectives of the research are;

Review current literature on management and leadership, focusing on *servant-leadership* to investigate a possible equivalent to *servant-leadership* in *management*.

To determine the nature of the relationship between pre-developed servant leadership scales when they are applied within discreet leader, manager and professional contexts and roles. The objective is guided by the premise that there could be an equivalent to *servant-leadership* in *management*, stemming from professional training in management, personal managerial dispositions and contexts. An ancillary objective is to determine which preferences for the leader, manager and professional roles, that professional accountants' exhibit.

The third objective is to investigate specific cultural and demographic dimensions influencing accountants' perceptions of servant-*leadership* when specific servant-leadership instruments' questions are framed within the roles and contexts of leader, manager and professional.

Leadership and management

It is useful to outline a brief history of management and leadership theory so as to contextualise current theories in these areas. Proceeding from the early 1960s, one of the first writers to systematically outline and lament the proliferation of a 'jungle' in management thought and theories was Koontz (1961). The 'management theory jungle' that Koontz outlined is probably akin to the 'particle zoo' in theoretical particle physics. Koontz argued that *general* management writing from experienced practitioners such as Fayol, Mooney, Alvin, Brown, Sheldon, Barnard and Urwick can hardly be dismissed by even the most academic worshippers of empirical research a priori or 'armchair as these discerning practitioners distilled decades of experience. Even though they may have done this without questionnaires, controlled interviews or mathematics, much can be learnt from their observations. Koontz outlined the 'management theory' jungle as arising from schools of thought. These schools are outlined below (Table 1) and the major source of entanglement, according to Koontz is semantics. The inability or unwillingness of management theorists to understand each other, misunderstanding of principles, the a-priori-assumption and maybe most importantly, differences in definition of management as a body of knowledge cause confusion.

On definitions, Koontz notes that 'management' has far from a standard meaning. For example, he considers that it may mean getting things done through and with people and asks seemingly rhetorical but quiet searching questions. Some of these questions are whether street peddlers, parents, mob leaders could be considered as managers if the entirety of human relationships are considered. Other questions relate to whether management as field could be equal to the sociology and social psychology (p.183). Koontz offers some approaches to clarification of management theory. These are meant to assist to untangle this jungle and are outlined below (Table 1). One of suggestions made is that theory must recognise that it is part of a larger universe of knowledge and theory. This advice situates management theory and probably avoids compartmentalisation of management as a body of knowledge since it appears that management borrows from other fields of knowledge and other theories.

A useful way to consider leadership and management theories is presented In Table 1 below; (adapted from Koontz 1980, Witzel, 2012; Peaucelle and Guthrie, 2012;Head, 2011; Weisbord, 2011; Phipps, 2011),

Table 2: Broad classification of theories of leadership and management

Leadership Theories	Management Theories (a. Koontz, 1961, 1980)
Trait Theories	Management Process School
Behavioural Theories	Empirical or 'Case' School
Content Theories	Human Behaviour School
Contingency Theories	Social Systems School
Situational Theories	Decision Theory School
	Mathematics School

The classification of management theories has been adapted here from Koontz's original 'management theory jungle' (Koontz, 1961) which was later revisited into a further eleven distinct approaches as below. Koontz noted that the 'jungle' would get more dense

and impenetrable but also expressed hope that moves and progress towards a unified and practical theory of management would be made.

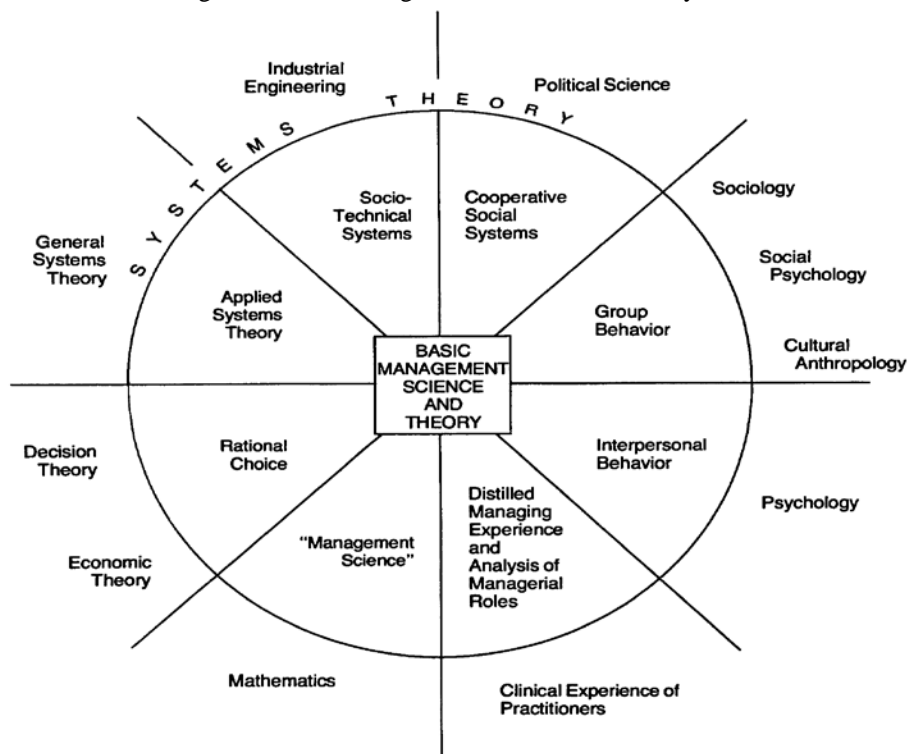
It is problematic to place servant-leadership in any class of leadership theories since it seems to have elements of each of the theories outlined. Other research has even found relationships between servant-leadership and modern leadership theories of transformational leadership, transactional leadership and leader-member exchange (LMX) theories to a lesser or greater degree (Barbuto and Wheeler, 2006).

Koontz, (1980) later revisited this classification of management theories or schools and according to him they had more than doubled to eleven. The additional eleven approaches are (1) the empirical or case approach, (2) the interpersonal behaviour approach, (3) the group behaviour approach, (4) the cooperative social systems approach, (5) the sociotechnical systems approach, (6) the decision theory approach, (7) the systems approach, (8) the mathematical or 'management science' approach, (9) the contingency or situational approach, (10) the managerial roles approach and (11) the operational theory approach, (Koontz, 1980: p.176).

The classification of leadership theories above is modelled on classifications by among others (Witzel, 2012; Peaucelle and Guthrie, 2012; Head, 2011; Weisbord, 2011; Phipps, 2011). These management historians have looked at the wide span of leadership and management thought, history and theories covering long periods of time. It does appear as if at some point leadership and management seem to have become separated, with the emergence of '*leadership guru*' type of literature and '*one minute manager*' type of publications vying for space on the bestseller lists and in popular imagination.

Koontz (1980) however in particular, later revisited his 'management theory jungle' essay and put management theory and science at a focal and central point feeding from various fields of knowledge as in Figure 1 below.

Figure 1: Basic Management Science and Theory



(Koontz, 1980; p.182)

Figure 1 above depicts the centrality of basic management science and theory that borrows from various fields. This is one among the four steps (integration of management

and other disciplines; Koontz, 1961; p.186) that Koontz advocated for disentangling the (original) management theory jungle.

A different path for negotiating the jungle is suggested by Lemak (2003). This is based on underlying assumptions of three management paradigms, the classical, and behavioural and systems approaches. Differentiation is achieved along; units of analysis, source of motivation, human nature, focus on managerial attention, ultimate objective and the role of the manager. Unit of analysis is a consideration of whether theory is analysing an individual, work group or subsystem/ systems. A consideration of source of motivation is a look at whether one assumes that the economic needs, social needs or the survival of a system is a primary goal in theory evaluation. Managerial attention looks at whether one looks at observable behaviour, cognition or interrelatedness. The ultimate objective looks at whether efficiency, social justice or the transformation of inputs to outputs is a primary concern. Under the classical approach, the role of the manager is that of a planner-trainer, while under the behavioural approaches the manager's role is that of a facilitator team builder. Under the systems approach, the manager role is that of a synthesizer-integrator. These six assumptions make it easier to understand and teach the management discipline and also attempt to answer Koontz's (1961) plea to bring a classification method to the field. Lemak argues that the fundamental ideas in management are often taken for granted.

Table 3: Negotiating a path out of the management theory jungle

	Classical	Behavioural	Systems
Prominent authors	Taylor, Fayol, Gantt, & the Gilbreths	Mayo, Follett, Roethlisberger & McGregor	Katz and Kahn, Kast and Rosenzweig, Thompson
Unit of analysis	Individual	Work group	System/subsystem
Source of motivation	Economic needs	Social needs	Homeostasis survival
Human nature	Rational	Emotional	Natural law
Focus on managerial attention	Observable behaviour	Cognition	Inter-relatedness
Ultimate objective	Efficiency	Social justice	Transformation of inputs to outputs
Role of the manager	Planner-trainer	Facilitator team builder	Synthesizer-integrator

Lemak, 2003, p.1315

The best path out of the management jungle he proposes; is best discovered by using the most knowledgeable guides, the authors of seminal works in the discipline (p.1324). Lemak warns about making value judgements about each paradigm without regard to the historical context from which they come. This counsel is also offered by Dye, Mills and Weatherbee (2005) who show, using Abraham Maslow (of the hierarchy of needs fame), that management theory, be it mainstream or critical, does a disservice to the potential of the field when it oversimplifies to a point where a given theory or theorist is misread because insufficient context, history and reflection are missing from the presentation/dissemination.

Work that proceeds this way includes the treatment of Fayol, Taylor and McGregor (Head, 2011; Weisbord, 2011; Phipps, 2011; Peaucelle and Guthrie, 2012). Lemak's (2003) criticism of Koontz (1980) is that a typology using six or 11 approaches is confusing, cumbersome and not very useful. A final warning by (Lemak, 2003) is that these terms (classical, behavioural and systems), though simple, straightforward and not new in management textbooks, therefore do not represent the chronological listing of theories under their namesakes in most textbooks. They are also not all-inclusive, though representative, and particularly for teaching, that all would benefit from reading the original works, and not relying on someone else's interpretation of them (Lemak, 2003; p.1321). The ideas proposed by Koontz (1980) echo the suggestions of different theorising approaches suggested by Suddaby, Hardy and Huy (2011). With the map in Table 3 below Suddaby, Hardy and Huy (2011), advocate that blending among non-contiguous domains is suggested. It has been

proposed that ‘blending concepts that are very different from or even clashing with one another exhibits high creativity’ (p.243), for example Crane, (2013) on modern slavery as a management practice.

Table 4: Map of Theorising Approaches

Map of Theorizing Approaches		
	Theorizing within one literature	Theorizing across multiple bodies of literature
Theorizing with implicit assumptions of the literature	<ul style="list-style-type: none"> • Problematisation 	<ul style="list-style-type: none"> • Combining epistemologies • Metaphorical bricolage
Theorizing with explicit constructs of the literature	<ul style="list-style-type: none"> • Contrasting • Practical rationality • Inductive top-down theorizing 	<ul style="list-style-type: none"> • Blending

Suddaby, Hardy and Huy (2011), p. 241.

Four blending approaches to theorising are suggested by Suddaby, Hardy and Huy (2011) which are; (1) focusing on dissimilarities among similar domains (for example how is managing different from leading), (2) highlighting seemingly dichotomous concepts that are, in fact, mutually implicated (for example organisational resistance could be a form of organisational compliance); (3) using counterfactual reasoning, where the conventional logic is inverted (for example exploring how activists help organisations, whereas consultants work against organisations; or (4) using anomalous reasoning, comparing disparate and unrelated domains on the basis of similarity (for example organisations versus slavery) (p.243-244). However, they caution that the blending process is very challenging and risky.

In work attempting to define what leadership is, Bolden (2004) asserts that though it may appear fashionable to distinguish leadership from management, evidence indicates that this distinction is misleading. Bolden considers; Bennis and Nanus (1985), who suggest that managers ‘*do things right*’ whilst leaders do ‘*the right thing*’; (Grint, 2005) who proposes that management is concerned with ‘*routines and the predictable*’ while leadership is concerned with the opposite, ‘*the novel and the unpredictable*’; and Kotter (1990) who concludes that ‘*management is about coping with complexity*’ while ‘*leadership, by contrast, is about coping with change*’. Kotter (1990) further asserts that ‘leadership is different from management, but not for the reason most people think. Leadership is not mystical and mysterious’ (p.1). While further asserting that leadership is not necessarily better than management, or a replacement for it, but that ‘rather leadership and management are two distinctive and complementary activities and that both are necessary in an increasingly complex and volatile business environment’ (p.1), Kotter (2001) considers a military analogy and concludes that ‘no one has figured out how to manage people effectively into battle; and that they must be led’ (p.4). Bennis and Nanus’(1985) maxim has been criticized as attempting to resurrect the traditional distinction between facts and values by demonizing management; thus (doing) ‘*things right*’ reduces to competence or technical mastery, whereas ‘*the right thing*’ implies desirable ends, purposes or values, or, as canonizing leadership while demonizing management, Gronn (2010).

Bendixen and Burger (1998) review the socio-culturally diverse work of Trompenaars (1993), Lessem (1993), Quinn (1991), Hofstede (1991), Khoza (1993) and Handy (1991) to come up with a qualitative basis for four worlds sharing generic philosophies namely empiricism, rationalism, idealism and humanism and derive five distinct management philosophies; (1) rational management, (2) entrepreneurial management, (3) clan management; (4) market-oriented management and (5) educated versus experienced management that have varying degrees of influence on management and organisational effectiveness.

The diversity of the work reviewed covered: national, organisational and professional culture (Trompenaars 1993); the quantitative economic performance division of the world into Western, Eastern and Third World (Lessem 1993); the competing values model based on modes of information processing (Quinn 1991); power distance and uncertainty avoidance's four organisational typologies – village market, the family, the pyramid of people and the well-oiled machine (Hofstede, 1980); *Ubuntu's* communal convivial spiritual management philosophy (Khoza,1993) ; and, the four gods of management – Zeus, Apollo, Athena and Dionysus (Handy 1991).

The combinations of the way the philosophies are embraced by managers result in a hierarchy of management cultures; (1) grey managers, (2) clansmen, (3) developmental managers (4) free marketers, (5) professional managers and (6) holistic managers operating on continuum of either management experience or management education as they strive for effectiveness (Bendixen and Burger, 1998; see Figure 3 below)

Figure 2: Hierarchy of management cultures



Adapted from Bendixen and Burger (1998)

On the extremes, grey managers are said not to subscribe to any particular philosophy and are not very effective while on the opposite end a small group of managers strongly utilize all five management philosophies and are highly effective. Managers can then progress from gray to holistic via either the management education or management experience route, with clansmen adopting a strong clan management philosophy while not embracing any other philosophy resulting in retrogression on the effectiveness scale. 'The holistic approach to management, embracing the full span of management philosophies, is clearly indicated as being the most effective' and through this the authors empirically tested and found support for the proposition that 'management and organizational effectiveness are dependent on management philosophies' (Bendixen and Burger, 1998; p.109).

In the context of this research, a holistic approach to, which stems from the view that accountants have some management training and education and also gain experience in management and leadership implies that some leadership skills could be picked up from managerial and leadership experience the application of which skills can be tested to check whether it makes learned management and acquired leadership skills could be deemed to be equal

Servant leadership

Servant-leadership appears as a paradox as it denotes apparently contradictory concepts. If a leader is the person who leads or commands a group, organization, or country and a servant is a person; (1) who performs duties for others or who is (2) a devoted and helpful follower, (Oxford, 2011), then servant-leadership is an apparent oxymoron.

Management-mastery, while initially appearing as non-contradictory (when considered with the first meaning of mastery) could mean comprehensive knowledge of

management and appear somewhat contradictory or tautological (when considered with the second meaning of mastery) if mastery means control or superiority over someone or something, which managers exercising management (controlling things or people) are defined to be performing. The archaic meaning of management as trickery or deceit appears to be exercised, at least in modern times by at least some managers or management of companies or organisations (refer Enron and other corporate scandals - Amernic and Craig, 2004; Chandra, 2003; Adler 2002 in Blass and Weight 2005).

The literature considering the terms servants and masters on their own offers some insight into questions around servant-*leadership* and any possible equivalent in *management*. However, the pervasive influence of culture, in whichever form conceptualized and defined again complicates the matter. There can be a '*management culture*' in much the same way as there can be a '*leadership culture*'. The management or leadership cultures have to be contextualized in the wider socio-economic-political spheres. Servant-hood and mastery do not adequately explain servant-*leadership* and any possible equivalent in management.

Role Preferences

Boyatzis, (1993) argues that there are three growth modes throughout careers and life. These are the performance, learning and development modes. Each stage can be differentiated by some underlying themes. The themes are; theory (underlying each mode); intent, preoccupation, key abilities and that there is a best measurement methodology for each. Even though the framework could be criticized for not acknowledging the emerging theories on the need for identification of followers' as crucial in leadership and management, since not all people can either be professionals, managers or leaders, the framework is nevertheless useful in the management and leadership debate.

Boyatzis' purpose is to show that many people in leadership positions have the competencies characteristic of effective leaders, but do not provide leadership for their organisations. This suggests that they are choosing not to use the competencies they possess, and instead enact the role of leader or manager or professional (that is individual contributor). The intent of job mastery through performance versus the intent of fulfilment of purpose or calling appears to echo some servant leadership principles. This is despite the fact that such people, even though they are professionals in their own right, could be 'followers', rather than just professionals, managers or leaders.

Table 4: Growth modes in Career and Life (Boyatzis, 1993; p.4)

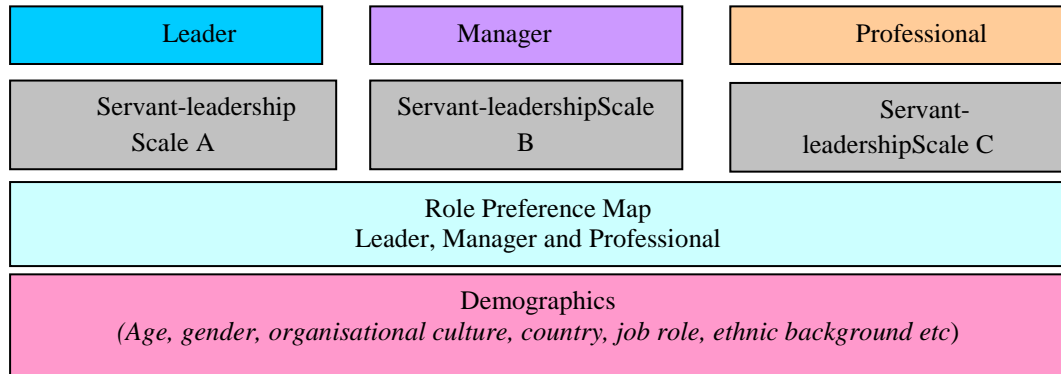
Three growth modes throughout career and life			
Theme	Mode		
	Performance	Learning	Development
Theory underlying this mode	Theory of effective job performance	Theory of learning	Theory of adult development intent
Intent	Job mastery	Expanded experience, variety/ novelty	Fulfillment of purpose or calling
Preoccupation	Success	Generalizability	Perpetual human/ social dilemmas
Key abilities	Situation specific, behavioural skills	Learning skills, self-image, and contingent values	Traits and core values
Best measurement methodology	Behavioural observation (e.g. simulation, critical incident interviews)	Self-report (e.g. adjective checklist, Q sort)	Interactive and interpretive methods (i.e. the respondent is involved in assessing and interpreting the meaning of the measures)

Conceptual design of the study

The conceptual design of the study is to test servant-*leadership* behaviour among accountants using three servant-*leadership* scales framed from the context of a leader,

manager and professional contexts to test whether there will be significant differences in the servant-leadership behaviour reported. This is supported by an instrument that asks the role preferences between leader, manager and professional as distinct and separate roles. This is all underpinned by demographic items that might account for any differences in the reported behaviour. Graphically, the conceptual design of the study can be depicted as in the Figure 1 below.

Figure 1: Conceptual design of the study (own)



Findings

The findings in this research build further on the initial work by Gande and Jones (2013).

- Servant-leadership was measured with a 23-item servant leadership survey developed by Barbuto & Wheeler (2006). The internal consistency was excellent with a Cronbach's alpha of 0.881. This is denoted as Scale A in the conceptual design above.
- Servant-leadership was measured with a 30-item servant leadership survey developed by van Dierendonck and Nuijten (2010). The internal consistency was excellent with a Cronbach's alpha of 0.862. This is denoted as Scale B in the conceptual design.
- Servant-leadership was measured with a 28-item servant leadership survey developed by Liden et al (2008). The internal consistency was excellent with a Cronbach's alpha of 0.920. This is denoted as Scale C in the conceptual design above.
- Role preferences were measured with 60-items from the Role Preference Map developed by Boyatzis (1993) – developed with Boyatzis and Burruss (1989). The overall internal consistency was outstanding at 0.948.
- Organisational culture was measured as options from four (4) organisational culture types Cameron & Quinn (2006) in Lincoln (2010). The internal consistency as measured by Cronbach's alpha was high at 0.965

Table 5 shows the mean values, standard deviations and intercorrelations of the major variables included in the current study.

Table 5: Descriptives and intercorrelations

n=125	M	SD	1	2	3	4	5	6	7
Servant leadership	90.94	1.011							
Role preference - <i>leader</i>	30.62	6.93	-.218						
Role preference - <i>manager</i>	26.35	6.12	-.278	.781					
Role preference - <i>professional</i>	26.59	6.43		.780	.769				
Organisational culture - <i>clan</i>	2.18	1.00							
Organisational culture - <i>adhocracy</i>	2.26	1.00					.897		
Organisational culture - <i>hierarchy</i>	2.23	1.00					.934	.857	
Organisational culture - <i>market</i>	2.23	0.97					.907	.795	.851

** Correlations significant at the 0.01 level (2-tailed) and at the 0.05 (2-tailed)

Factor analysis using the Principal Component Analysis Extraction Method was attempted in SPSS, and only cases for which organisational culture was described as *market culture* were used in the analysis phase. This was a check of whether a new servant-leadership factor might be developed from this particular study. Ten (10) components were extracted and a pattern matrix ran against all the servant-leadership items. The rotation method used was Promax with Kaiser Normalisation. The rotation converged in 22 iterations still using only cases for which organisational culture was described as *market culture* in the analysis phase. The final component correlation matrix is shown below. Even though the initial objectives were not to identify which factors could result in a new instrument for measuring servant-leadership, the ten (10) components extracted in Table 51 below are illustrative. The market culture emerged among the four cultures used with 10 components with correlations with high correlations.

Implications for training of professional accountants

Research commissioned by the Association of Chartered Certified Accountants (ACCA) in 2012 labelled Accountancy Futures Academy. ACCA's aim is to offer qualifications to people seeking rewarding careers in accountancy, finance and 'management' (ACCA 2012) supports this further. The research was a study on drivers for the future. The report, *100 Drivers of change for the global accountancy profession*, compiled in collaboration with Fast Futures Research, identified 100 drivers of change for accountants over the next 5 to 10 years. These were reduced to a 10 key strategic imperatives for businesses and the profession. They are meant to effectively weather volatility and shocks while allowing the profession and business to reap benefits of existing opportunities. Recommendations identified a clear set of implications and priorities, with five imperatives for business and the five for the accountancy profession. Among the five imperatives for the accountancy profession, two echo the finding of this research. These are; (1) establish trust and ethical leadership, and (2) embrace an enlarged strategic and commercial role (ACCA 2012). Establishing trust and ethical leadership is linked to the professional stewardship highlighted in this research. Embracing an enlarged strategic and commercial role for accountants is linked to professional accountants moving beyond the technical and professional role of accountancy to more strategic and management functions. If this is accomplished while at the same time establishing trust and ethical leadership, it means accountants of the future might be called upon to exhibit the 'professional stewardship' highlighted by this research. At the time that this research was written up, efforts to canvass the comments of ACCA regarding how these imperatives that are linked to the findings of this research will be incorporated into ACCA's mission and its training of future accountants were being pursued.

Conclusion

Management and leadership research requires critical evaluation, not only in terms of content, but also in terms of its theoretical and philosophical underpinnings. Critical evaluation of a research design is likely to be tempered by professional background in addition to overriding research philosophy. Thus what could pass as acceptable knowledge might appear to be determined by whether one identifies themselves as an academic or as a professional, that is, whether as a practitioner of either management or leadership.

The overall result from the findings which is that servant-leadership behaviour is apparent even when questions are framed within specific leader, manager and professional contexts can be interpreted within the context of the literature as discussed in chapter two. Two concepts from the literature lend themselves easily to this. These are Birnik and Billsberry's (2008) different forms of management and Bendixen and Burger's (1998)

hierarchy of management cultures. One concept says there is a hierarchy of management cultures that differs in levels of effectiveness depending on which route between management experience and management education is taken towards a most effective 'holistic manager'. The other concept is that different forms of management exist that differ in low to high levels of self-interest or altruism.

Servant-leadership behaviour was evidenced across the three roles, perspective and contexts of leader, manager and professional, using three different servant-leadership scales with high instrument reliability. Given that servant-leadership has altruism and stewardship as some of its lynchpin characteristics (Barbuto and Wheeler 2006; Reed, Vidaver-Cohen and Colwell, 2011) and whilst recognising the fact that the servant-leadership behaviour reported was self-reported, according to Birnik and Billsberry's (2008) different forms of management this might mean that the accountants in this survey exhibit either altruism or righteousness specifically as managers. The difference between these particular forms of managers stems from the degree of self-interest.

If the accountants have high levels of self-interest then the servant-leadership behaviour reported, at least under the manager context, could be termed to be evidence of righteous management. If however, the servant-leadership behaviour reported from the manager context is free from self-interest, then according to Birnik and Billsberry (2008) then the accountants might be exhibiting altruistic management tendencies, which in part support the research question that servant-leadership behaviour could be evident in certain managerial behaviour. This means that promoting servant-leadership as a distinct theory or concept without contextualizing it from the manager or the additionally from the professional framework in this case, further promotes leadership at the expense of good and desirable manager behaviour that is in part altruistic (Birkinshaw 2010; Gosling & Mintzberg 2003). Such a management style echoes the call by Le Texier (2013) for a return to *care*. Care characterised the early meaning and origins of the word of the word 'management' and its practice and is rooted in the familial origins.

The features of servant-leaders from research and theory are characteristics that organisations require from their managers and professionals for the good of the organisations and for society as a whole. Servant-leadership should therefore be overly promoted at the expense of good management, as other theorists have cautioned (Gronn 2010; Nienaber 2010; Birkinshaw 2010; Nienaber and Roodt 2008; Gosling and Mintzberg 2003). If the self-reported behaviours are genuine, objective and free from self-interest, the warnings by theorists (Gosling and Mintzberg 2003; Gronn 2010), that leadership and management may be equal and complementary and that their separation is unnecessary and the need to temper the promotion of servant-leadership as another leadership theory that further promotes leadership at the expense of management need to be heeded.

Servant-leadership literature was reviewed in the broad context of leadership and management. When leadership and management are considered as complementary, the current state of theory and research does not seem to indicate that there is an equivalent to servant-leadership in management. Empirical findings however show that there is a high preference for servant-leadership when measuring instruments are adapted to leader, manager, and professional contexts. There is a distinct preference for the roles of manager, leader and professional among a set of practising professional accountants that were respondents in this research. As a theory, servant-leadership as a theory appears to have equivalence in management and in preferences regardless of demographic variables of gender, age, organisational culture, years qualified, ethnicity, overall career experience, business category, organisation size, job category, years in role, or country.

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IMPACTS OF PENSION REFORMS ON THE KENYAN PENSION INDUSTRY

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Abstract

The emergence of full-fledged reforms in Kenya from the introduction of the Retirement Benefits Authority in 1997 has rekindled hopes among the ageing population in Kenya. These reforms are geared towards creating good social welfare conditions for Kenyans.

The Kenyan Pension industry remains a significant growth area which needs structural changes in management and governance in order to meet the ever changing scheme member needs. This is what forms the basis of the NSSF Act 2013.

In this study the effect of the NSSF Act contribution rate has been examined through use a Contribution rate model. Additionally, Kenyans' perception towards the yet to be implemented NSSF Act has been observed by use of questionnaire analysis.

These reforms are directly linked to the general economic growth of the country. The study asserts that the set 6% contribution is sufficient to meet the welfare conditions of Kenyans. This has been supported by majority of the stakeholders (scheme members, administrators and fund managers among others) however; good implementation strategies need to be put in place in order for the public to realize the good effects of the same.

This study therefore seeks to identify the main social welfare reforms put in place, as well as find out the effects and challenges towards implementation of these reforms on the performance of the industry with a critical theoretical look at the NSSF Act 2013.

Keywords: Pension Reforms, retirement, Contribution rate, social security, poverty

Introduction

Over the past three decades, the living condition of older persons in Kenya has deteriorated. This is as a result of the erosions of their economic power, changes in the family structures and roles, particularly on the care of older members of the immediate family unsustainability of the pension schemes and inability of government to fulfill her expected role in the care and support of older persons in the community (Reynaund, 2000). Worldwide older persons are regarded as vulnerable group, hence, it has been accepted that older persons, the children and women are in dire need of government attention. This is because poverty affects this class of people than any other categories in contemporary world especially in developing countries. Various efforts by various successive regimes in the country to address the needs of older members of the society have proved abortive. We have seen several organizations coming in to rescue the situation. A good example could be World Health Organization which helps supply food for this unfortunate group of individuals. However, the emergence of full-fledged reforms on introduction of Retirements Benefits Authority (RBA) in 1997 has rekindled the hope of older persons especially because the

regulatory body has been keeping a close check on retirement programs in Kenya to ensure the pension industry operates with high levels of efficiency.

Kenya being a British colony has adopted so much from the British system of saving. Among many includes the formation of the National Social Security Fund (NSSF), which is similar to the state pensions of the United Kingdom (UK). In addition, the setting up of occupational pension funds in Kenya is borrowed from the UK (Mghali, 2003).

Ginneken (1998) Refers to social security as benefits that the society provides to individuals and households through public and collective measures to guarantee them a minimum standard of living and to protect them against low or declining living standards arising out of a number of basic risks and needs. Whereas pension benefits are only paid to an individual or his family on the basis of that person's employment record and prior contributions to the system, social security schemes incorporate welfare, of which financial assistance is extended by the state to persons who qualify on the basis of need. Social security is thus a social insurance program. For our case in Kenya we have NSSF.

The question of how to use social policies to link successful economic development with effective poverty reduction is at the core of contemporary political debate especially the fact that social security sector is one of the key players in the pension industry. The social security after retirement concerns for the Kenyan work force is a factor that leads to growth of the pension industry. This has been so because a large task force of the Kenyan population is increasingly being employed in the private sector which has designated occupational pension schemes for the employees. There is need to replace income after the active working years for a person who has been used to a pay check at the end of every month. Reforms to improve the efficiency of the social security sector are therefore highly needed. A vast understanding about the operations and implications of these laws is highly needed thus the basis of this report. The dilemma of efficiency of these reforms with regards to the pension industry is a big question to all stakeholders. The NSSF Act 2013 being one of the biggest impasses to Kenyans has elicited a lot of industry reactions from all corners. The Act proposes a raft of measures that aims at enhancing the old age financial security in Kenya.

The purpose of this research is to evaluate the impact of reforms on both private and the social security system in Kenya.

The specific objectives are to:

1. To identify the main reforms put in place for the Kenyan pension industry with a critical look on the NSSF Act 2013.
2. To identify the possible impacts of these identified reforms.
3. To identify the challenges towards implementation of these reforms.

Since the above developments are very crucial, it therefore calls for high level of professionalism and technical skills to evaluate the impacts of the bill before it is implemented; this is because the proposed changes in the bill tend to change the whole pension industry operation mechanism. The changes in the regulatory environment also mean that the sector has to change significantly to comply with the new requirements. This therefore must have a significant impact on the performance of the pension industry in Kenya.

Section 1 summarizes the background study, Section 2 presents an overview of previous work together with case studies of some other countries which have had pension reforms, Section 3 summarizes the contribution rate model, Section 4 describes the analysis of data followed by a discussion of the research findings and finally section 5 gives discusses research findings which are based on the objective of analyzing the impacts of pension reforms. Highlights about study limitations and recommendations for practical and further research are also given.

Related literature

The need for reforms in social security is a question being impressed by many countries around the world. The OECD Secretary-General Angel Gurría asserts that “Further reforms are needed that are both fiscally and socially responsible. We cannot risk a resurgence of old-age poverty in the future. This risk is heightened by growing earnings inequality in many countries, which will feed through into greater inequality in retirement.” This struggle to meet the above addressed issue is the main reason as to why many countries are reforming their pension industry.

Some of the theories in support of pension reforms include the permanent income hypothesis by Friedman, (1957) which investigated pre-and post-retirement living standards in “straightening out the consumption stream”. It hypothesized that individuals base their consumption on a long term view of an income measure, perhaps a notion of lifetime wealth or a notion of wealth over a reasonably long horizon. The basic hypothesis posited is that individuals consume a fraction of this permanent income in each period and this is the average propensity to consume would equal the marginal propensity to consume.

The lifecycle hypothesis by Modigliani, (1963) deals with economic decisions on retirement saving in particular the rationalization of an individual’s income in order to maximize its utility over his lifetime. It stated that households accumulate savings during their working careers up to their retirement, and de-accumulate wealth thereafter. This type of saving behavior enables households to smooth their marginal utility of consumption over the lifecycle. Their achievement laid primarily in the rationalization of the idea in to a formal model which they developed in different directions and integrated within a well-defined and established economic theory. This model assumes the following assumptions about human behavior. They are forward looking across the span of their lifetimes; they can predict the financial resources they will have over their lifetime, they understand something about the financial resources they will need in successive periods of their lives, they make informed choices about the use of their financial resource.

Other investigators have found that delegation of authority within the pension industry to the agents may result in the agent taking actions that are not in the principal’s best interests (i.e., that are acts of self-interest on the part of the agent) but which are unknown to the principal. The goals of agency theory are to constrain agents from acting improperly and to provide them with incentives to act appropriately. The goal conflict problem results when the principal and the agent have different goals and it is difficult (and/or expensive) for the principal to monitor the agent’s behavior (to ensure appropriate behavior) (Eisenhardt, 1989). The source of the conflict can be the self-interest of the agent or simply different attitudes toward risk.

Some of the recently realized reforms worldwide include the Chilean model of pension reform of 1981 replaced an earlier pay-as-you-go (PAYGO) and public pension system with a new compulsory system of individual funded and privately managed pension accounts based on Defined Contribution (DC) principles was credited for linking old age social security with the facilitation of macroeconomic growth. World Bank personnel in particular suggested that the Chilean case proved that a shift of pension provisions from the public to the private sector and from PAYGO to DC would maintain social protection while increasing economic growth via the deepening of financial markets (World Bank, 1994). The Chilean reform proved to be much less successful than was originally assumed. Although the Chilean system succeeded in making a large share of workers formally subscribe to individual funded pension accounts, the level and length of contributions and subsequent expected pension payments remained on average quite low (Feldstein, 1998). In fact, the system delivered poverty pensions rather than old age security to most contributors. In reaction to the coverage gaps of the funded system, the former center-left Chilean

government decided to phase in a new public and tax-financed basic social pension system in order to provide additional income for current and future pensioners with very small funded pensions (Riesco 2009).

Secondly came the Nigerian 2004 reform which was inspired by the experience of Chile, an economically more advanced country, Nigerian policy-makers attempted to replicate the 1981 Chilean pension reform Orifowomo 2006; Casey, 2009. Before the 2004 reform in Nigeria, the formal private sector was covered by a pay-as-you-go pension scheme, the Nigerian Social Insurance and Trust Fund (NSITF). However, its scope and coverage were more limited than those of public sector schemes. Only some larger enterprises offered access to the scheme and, since its foundation in 1994, the NSITF's accumulated capital and pension payouts were low while administrative costs were high (ILO 2006). The resulting pattern of pension provisions was highly fragmented, and the available data suggest that only 10 percent of the Nigerian workforce (about 4.8 million out of about 48 million) belonged to the Formal employment sector, out of which about 3.7 million also belonged to a pension scheme (Casey, 2009). The main draw-back being the implementation challenges.

In the same year (2004) we also had the UK pension reform. This reform also stipulated that all employers were obligated to offer a qualifying workplace pension scheme and automatically enroll eligible employees with an increase in contribution rates. (Taylor-Gooby, 2005).

On the Kenyan scenario Odundo, (2003) report on Supervision of public pension funds in Kenya he points out some of the loopholes in the Kenyan social security system. He points out the fact that the fund is faced with numerous challenges that are deeply entrenched in the operations of the scheme and which negatively impact investment returns. One of the main challenges is the fact that our investment profile is characterized by a lack of diversity: an overwhelming 72 percent of assets far greater than the recommended 30 percent are held in real property. Returns from these assets are low, and liquidating them would offer little relief since the property market is depressed and the likelihood of recovering costs is poor. Further Odundo, (2003) points out the fact that NSSF Kenya is faced with poor record keeping. This has led to delays in determining benefits precipitating a US\$100 million unallocated suspense account.

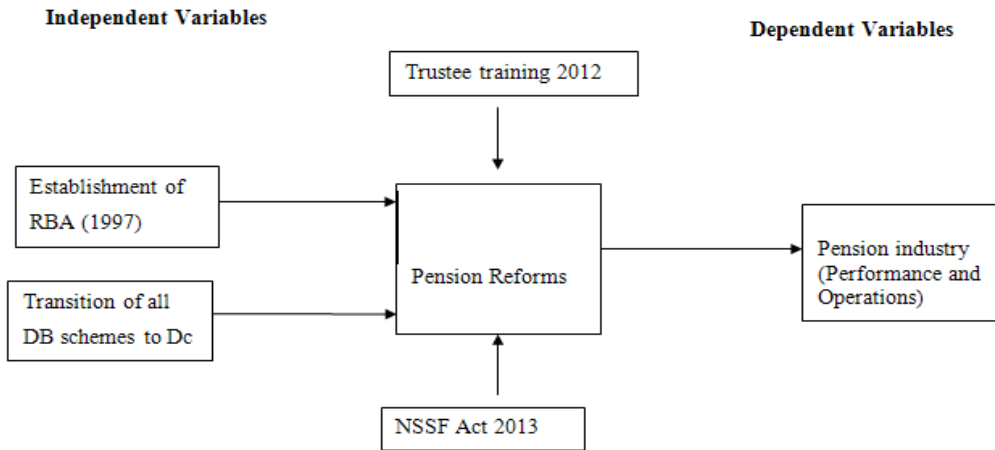
The afore mentioned issues have led to a number of strategies being put in place to try and better the operations of NSSF first the Retirement Benefits Act has been introduced in part to address these issues by requiring the adoption of international fund management practices. Also on the part of management the introduction of the trustee training requirement in 2011 is also a big step that will ensure that the scheme funds are managed appropriately. On the regulations part, RBA also calls NSSF to be compliant with its regulations as the regulator of all retirement benefits schemes in Kenya. The above concerns have also led to the major pension reform in Kenya; the proposed 2012 NSSF bill.

More authors include Fultz, (2006) who also assesses the impact of pension reforms by comparing pre- and post-reform replacement rates, but includes a fuller treatment of the possible effects of this decline in generosity on poverty rates.

Conceptual Framework

Kenya has so far had a number of pension reforms. Below is a pictorial representation of the different reforms that have so far been implemented in Kenya.

Figure 1: Different pension reforms



Methodology

Contribution rate model

Model Definition

The objective of a pension model is to evaluate the financial viability of a pension scheme or pensioner to confirm the income and expenditure that should remain in force over a definite period of time or make recommendations on the necessity to revise the contribution rate to maintain a sustainable benefit (Latulippe, 1997)

Model Assumptions

Assume:

1. salary amount S
 2. Interest rate r
 3. Salary increase rate e
 4. Assuming an individual would like to maintain a given lifestyle after retirement his/her salary is expected to increase constantly at a rate r^s .
 5. Monthly effective will be $r^m = (1+r^s)^{1/12} - 1$
- A mortality table will then be prepared from the principle;

$$q_x = 1 - P_x$$

Table 1 below shows values used for the specific assumption;

Table 1

Assumed Age of Entry	25
Assumed Retirement age	60
age of the ,member at date of valuation	30
Rate of pension accrual	80
Rate of Pension Increase	5.00%
Assumed annual salary growth	1.50%
Interest Rate	18%
Inflation Rate	7.36%

Table 2

Male Percentage	67%	
Female Percentage	33%	
Salary level	Min	Max
Males	\$4,011	\$14,815
Females	\$4,411	\$11,024

Dollar - Kshs Conversion Rate	90
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The model also incorporated mortality assumption; that is the Association of Kenya Insurers (AKI) tables were used.

Model Specification

The main objective was to determine the appropriate contribution rate that the individual can use to contribute an amount that will be able to sustain him/her during the retirement period. This was by use of a contribution rate model whereby a hypothetical situation of an average earning Kenyan was considered.

All the contributions were accumulated to age 60 years and the expected pension benefits discounted to age 60 years, using excel functionalities. An appropriate standard contribution rate that can make the difference between the individual contributions and his/her benefits equal to zero such that he/she does not under or over contribute was calculated. The model was meant to give an approximate estimate of the appropriate contribution rate to help compare with the proposed 6% in the proposed bill.

The model made use of the following pension standard contribution rate formulas;

Attained Age Standard Contribution Rate (AASCR)

$$AASCR = \frac{\frac{(R-X)S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-X} \times a'_R}{S \times a_{\overline{R-X}|}} \quad (1)$$

Where:

R= Assumed Retirement Age

X=Age of member at date of valuation

S= Salary at date of valuation

A= Rate of pension Accrual

E= Assumed annual earning (salary) growth

I= Discount Rate

a'_R = Value of Annuity payable from age R (Allowing for any spouses pension and pension increases)

$a_{\overline{R-X}|}$ = An annuity to determine the present value of all future earnings (Allowing for the timing of contributions and salary increases)

Entry Age Standard Contribution Rate (EASCR)

$$EASCR = \frac{\frac{(R-E)S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-E} \times a''_R}{S \times a_{\overline{R-E}|}} \quad (2)$$

Where:

E=Assumed Entry Age

$a_{\overline{R-E}|}$ =An annuity to determine the present value of all future earnings for a new entrant.

a''_R =Value of annuity payable from age R, Based on Assumed Proportion of males and females in the scheme (Allowing for any spouses pension and pension increases)

Projected Unit Standard Contribution Rate (PUSCR)

$$PUSCR = \frac{\frac{1 \times S}{A} \times \left(\frac{1+e}{1+i}\right)^{R-X} \times a'_R}{S \times a_{\overline{1}|}} \quad (3)$$

Where:

$a_{\overline{1}|}$ =an annuity to determine the present value of earnings over the next year (Allowing for the timing of contributions and salary increases)

Current Unit Standard Contribution Rate (CUSCR)

$$CUSCR = \frac{\frac{1 \times S \times (1+e)}{A} \times \left(\frac{1}{1+i}\right)^{R-X} \times a'_R + (CUAL \times e)}{S \times a_{\overline{1}|}} \quad (4)$$

Where:

$$CUAL = \frac{P \times S}{A} \times \left(\frac{1}{1+i}\right)^{R-X} \times a'_R \quad (5)$$

Data analysis, discussions and findings**The data**

Data was obtained from self-administered questionnaires, completed by 50% of respondents from different pension schemes in Kenya. Secondary data was obtained from various researches done on the Kenyan pension industry.

Data Analysis and findings

The main aim of the contribution rate model was to establish if 6% contribution is a good rate for Kenyans since this is the most crucial part of the act which has created tension in the industry.

From the four funding methods of valuation of pension standard contribution rates the 6% line graph seems to be the average for all the four methods. This implies that the stated contribution rate in the act could be fair and is not lean on any particular individuals.

The six per cent deduction is not to be imposed on employees immediately but will be increased gradually over the next five years. Employers will also be required to match the deduction by every employee.

An average employee changes jobs at least seven times during his or her working life. Under the current law, he can access up to 75 per cent of his pension contribution.

Attained Age Method

In Attained Age Standard Contribution Rate (AASCR) method, the model targets a stable level of contribution which can then be adjusted as appropriate with adjustment in the model parameter (age, salary retirement etc.) The model assumed that benefits are expected to be paid over the expected future membership of the beneficiary thus will accumulate to the value required to provide the benefits that are expected to accrue. The model results for different corresponding salary increases and interest rates are as shown below.

This method gave a total contribution rate of 10.33%. This is to mean 5.16% employer contribution and the same rate also applies to the employee contribution. The deviation between the model result (5.16%) and 6% percent could be as a result of other extra scheme expenses like the regulatory levy and scheme administrative expenses. 6% could be a good contribution rate according to Attained age method. *See Figure 2 and Table 3 on the appendix.*

Entry Age Method

The calculation for Entry Age Standard Contribution Rate (EASCR) is similar Attained age Standard Contribution Rate above. The only difference is that for this method the calculations are performed at the beginning of the member's service period. In this case the entry age assumption (25 years) was used. The method gives a total contribution rate of 11.6% as highlighted below. This is to mean 5.8% employer contribution and the same rate also applies to the employee contribution. These results are on average in agreement with 6% in the NSSF Act. *See Figure 3 and Table 4 on the appendix.*

Projected Unit Method

In this method the Projected Unit Standard Contribution rate (PUSCR) was calculated by getting the present value of all benefits that will accrue in the year following the valuation date, by reference to service in that year and projected final earnings divided by the present value of all members earnings in that year. In this case the standard contribution rate is based on a one year time period. The method gives a total contribution rate of 11.92% as highlighted below. This is to mean 5.86% employer contribution and the same rate also applies to the employee contribution. These results are on average in agreement with 6% in the NSSF Act. *See Figure 4 and Table 5 on the appendix.*

The Current Unit Method

The Current Unit Standard Contribution Rate (CUSCR) was modeled by getting the present value of all benefits that will accrue in the year following the valuation date by reference to service in that year and projected earnings at the end of the particular year *Plus* the present value of all benefits accrued at the valuation date in respect of members in service, multiplied by the projected percentage increase by the projected percentage increase in earnings over the next year divided by the present value of all members earnings in that year. *All divided by* the present value of all member`s earnings in that year. *See Figure 5 and Table 6 on the appendix*

Different stakeholders' perspective about Impacts of pension reforms in Kenya

Scheme Members concerns include expressed fears that whereas there is an opt-out clause in the Act, it could prove hard for companies to get the necessary waiver to run their own schemes. Stakeholders are of the opinion that the requirements for applying for the waiver are expressly provided for, as is the timeline for any inquiry. Besides, the application will be made directly to the Retirement Benefits Authority (RBA) and thus NSSF will have no role in it.

As the country moves towards implementing the proposed reforms, the NSSF will be expected to operate three funds the current provident fund, the new pension fund and a new provident fund.

Fund Managers - A higher contribution as expressed by some respondents means an additional expense on employers and may affect the new employment – thus erasing the need to create about one million jobs promised by the Government. Fund managers are of the opinion that the new law will enable the NSSF to be professionally managed by external fund managers thus promising better returns for members. Once the law is in place a lot of people who have been left out under the current scheme will come on board. Indeed, if an emerging economy like Kenya wants to foster 'sustainable and inclusive growth' fight poverty and reduce inequalities, the Government needs to provide a social safety net for its population.

Otherwise, if that is not done people will fall back into poverty again and again because of substantial income reductions due to social risks, including sickness, unemployment and old age. But how will a country like Kenya, which struggles with an increasing informal sector, non-registered and some mobile population, establish social safety nets such as a pension system for a billion-plus population? Pension reform is one of the most difficult challenges in Kenya's economic reforms which require innovative public policy solutions primarily at the national government level

The old provident fund will be given five years to settle its dues to members, after which it shall be closed down. East Africa has been looking for ways to reform its pensions sector.

NSSF Perspective -NSSF research justifying the need for NSSF's transformation depicts that only 3.1% of elderly in Kenya above the age of 55 had reported receipt of any pension. Such statistics, pointed out confirm the growing need for NSSF to transform into a statutory national pension scheme to stem the growing incidences of poverty amongst the elderly which is currently much higher than the national average incidence of poverty.

Factors other than the ones indicated as determinants in the questionnaire that affect the performance of the pension industry in Kenya?

From the respondents some factors other than the determinants already identified came out strongly as some of the other factors which may influence the financial performance of the schemes.

The trustees considered the global economic conditions as crucial in determining how the Kenyan economy is going to perform. They cited the recent 2008-2009 global financial crisis which affected the general world economy .This crisis also shrank the gains which had been made by the retirement benefits schemes as most investments incurred losses.

The respondents also deemed it important to analyze the political situation in the country before investing in any sector. They gave an example of the post-election violence and how it affected the stock market negatively affecting the schemes financial performance.

The long term strategies adopted by the scheme determine the strategies to be adopted by the fund managers in investing the schemes funds. This goes a long way in delivering good returns to the scheme.

The trustees cited the government regulations as some of the factors which affect the performance of retirement benefit schemes. Some regulations cited was where the government allowed deferred members to withdraw some of their benefits before retirement. This occasioned losses in some schemes' since the funds had been locked up in long term investments.

From the questionnaires it was clear that already 86.5% of the sample data are registered members of NSSF. Of which 23% are satisfied with NSSF services. Some of the reasons given for satisfaction include the fact most people are aware of the tax benefits pegged on their NSSF contributions. Some of the positive aspects highlighted include the fact that all employees including self-employed persons can participate in the social security. Article 43(1) (e) of the Constitution states that every person has the right to social security. There are also various tax incentives such as exemption from the payment of stamp duty of any benefit or the refund of any contribution. Benefits payable by the Fund or from a contracted-out scheme are also generally exempted from income tax and contributions are also made tax-deductible expenses. Provision is also made for Reciprocal Arrangements with countries both within and outside of the East African Community. The provisions that exclude contributions from attachment, including in bankruptcy proceedings, are commendable for their intention to insulate the retired against poverty. Most of the respondents are confident that NSSF will benefits will do help them meet their retirement needs.

On the other hand, some of the reasons given for those who are not comfortable with the act include their past bad experience with the old NSSF scheme. Respondents pointed out the fact that the act has several negative provisions that would impact on the retirement benefits industry and increase unemployment. It came out clear that the act re-establishes a statutory fund with no clarity as to whether it is to take the form of a trust or a body corporate and the reference to "pension" schemes rather than "retirement benefit" schemes limits the opt-out option to pension schemes. The NSSF Board of Trustees is set up as a body corporate thereby causing confusion and ambiguity as to whether the Fund is established as a statutory

fund or as a trust. Furthermore, the NSSF Board comprising two principal secretaries, seven cabinet secretaries and a managing trustee appointed by the Board will be largely appointed by the Government. The Bill makes occupiers of premises liable to inspection and any employer, servants and agents of such occupier, and any employee, shall be required to furnish a Compliance Officer all such information and documents for inspection. This is notwithstanding Article 31 of the Constitution that grants natural and corporate persons the right to privacy including the right not to have their person, home or property searched; information relating to their family or private affairs unnecessarily required or revealed. The Second Schedule to the Bill provides for the compulsory transfer of members from the old provident fund to the new fund, but prohibits the transfer of assets, including members' contributions, to the new fund.

Misappropriation of funds and mismanagement of investments come out clear from most of the respondents. According to the report by Auditor General, NSSF may have incurred up to 76.5% of contributions on administration fees. It is on this premise that the act has attracted scrutiny and criticism from most of the stakeholders.

Transparency of the act is one of the major concerns raised by the respondents. It is clear that stakeholder education is needed as most of the respondents as much they are so emotionally negative about the bill they seem not to understand the key aspects of this bill. Most of the respondents were not able to clearly state what the bill states. One thing that came out clear is that most respondents are aware of the increase in contribution rate though they cannot really explain how the increase is to be incorporated. With lack of awareness, most stakeholders pointed out the fact that the Bill risks creating greater confusion in the retirement benefits sector. As part of a solution for the same the respondents are of the opinion that there awareness sessions should be organized in order to enlighten the public.

60% of the respondents are both members of NSSF as well as private pension. Members are fascinated with the tier 11 option of opting out as this will help grow their private pension. Specifically the private pension administrators are of the opinion that this will help grow their industry as most of their trusted members will go for the opting out option. It is of concern to them that this provision of contracting out of regulations referred to in the Fourth Schedule, are yet to be prescribed and therefore employers cannot benefit from the said provisions. The CEO of RBA in his reports said that though the Bill has room for employers with sound benefit schemes to opt out of the mandatory NSSF contributions, the conditions for opting out have not been well defined under the proposed law. This is what brings tension to private pension holders as they are not sure if the provision may be made not to be in their favor hence stands a chance to lose out.

The opt-out provision of the NSSF Act 2013 is evidently a blessing as indicated by private pension scheme members. Members are of the opinion that in opting out one may use the opportunity to set up a private pension scheme account, take advantage of contributions beyond Tier 2, which are available to all members of private pension schemes as well as diversify your retirement savings investment strategy. Some of the reasons given as to why they want to remain in their private schemes included:

- Increased transparency on reporting and investing
- Ease of accessing account statements
- Ease of managing contributions beyond Tier 2
- Ease of managing third party pension transactions, such as mortgage guarantees.
- Ease of accessing pension benefits upon attaining retirement age
- Portability of the pension scheme

Impacts of Pension Reforms on the Kenyan Pension Industry 5

Summary, Conclusions and Recommendations

Summary

Positive aspects of the NSSF Act

The NSSF Act 2013 does not necessarily claim private pension scheme to lose. There will still be money. Private schemes will continue to receive Tier II contributions if they are contracted out of NSSF, in addition to any extra contributions made by members. The accrued balances over the previous years will also continue being invested. Further, companies that do not have private schemes are allowed to contribute Tier II deductions to either personal or umbrella schemes that have contracted out of the NSSF. The graduated nature of the new mandatory pension scheme means that in the second year, NSSF will calculate the 6 per cent deduction on 100 per cent of the national average earnings. In the third year, the Upper Earnings Limit will be two times the national average earnings. In the fourth year, it will be three times average earnings, and in the fifth year, the upper earnings limit will be capped at four times the national average income. The reason for this is to ensure contributions move with the economic times. So the figure contributed will vary, depending on what the national average earnings will be then. However, for Tier I contributions, lower earning limits have been fixed at Sh6,000, Sh7,000, Sh8,000 and Sh9,000 from 2014 to 2017, respectively.

Concerns about the Act

Some of the fears include the fact that NSSF is taking the risk of taking what people earn today and ensuring they are better off a few years down the line requires prudent investment, which is something many analysts and workers fear NSSF cannot do. "Restructuring the NSSF scheme is something to welcome, especially for those workers without private pension schemes, who are in the majority. The higher the amount they contribute, the better the benefits they get. But NSSF must sort out its governance issues. Further, the provision that employees cannot access their pension until they reach retirement age is set to be particularly unpopular with the younger generation of workers who regularly change jobs. If you get the money when you retire, you could die soon, and the family you leave behind will find it difficult to get your benefits. Having that money now is much better.

Increased Responsibility to NSSF Stakeholders

The NSSF ACT 2013 which has replaced the NSSF ACT (Cap 258) has introduced new responsibilities for the employer with respect to NSSF contributions. The execution of these tasks calls for caution because of the implicit cost of error within the provisions of this new law. In addition to the existing financial and administrative roles under the old NSSF ACT, the introduction of Tier I and Tier II categories of contributions imposes operational and fiduciary responsibilities on the employer. These are new roles and fiduciary responsibilities can often by omission lead to adverse outcomes. The financial responsibilities are increased because the employer now has to pay more money to the benefit of the employee.

In addition the employer has to ensure contributions are remitted promptly particularly to avoid incurring heavy penalties as implied in the provisions of this new Law. It is primarily also the duty of the employer to now manage the remittance of Tier II contributions and where there is contracting out, the employer is to operate the separation of Tier I and Tier II contributions. This duty is important because of the need for competitive investment performance on Tier II over Tier I.

Small differentials in investment returns carried over several years can have very large implications on the final value of pension benefits. Moreover based on precedents

elsewhere in many cases the accurate reporting of both Tier I and Tier II contributions by the employer is an important factor in mitigating employment compensation and benefits disputes whenever they have occurred.

Some of the proposals are that the NSSF Board first addresses the key administrative and governance issues within the organization prior to implementing any radical changes. Further, the structured scheme ought to embrace a competitive market driven economy and not a dominant monopolistic tendencies which are against the law. Following the above concern about the implementation process, stakeholders are of hope that the recent postponement of the implementation date from 1 Jan 2014 to 31 May 2014 will help put things in place.

The Act by adopting a wide definition of employee and employer compels every person in any form of employment to join the scheme. APAK is concerned that this may lead to a Monopolistic Universal Pension (albeit an occupational scheme in set-up) scheme without the critical Government's contribution for every citizen using tax which is a crucial component to any scheme providing "Universal Pension Benefits for all citizens in a country". The ILO Convention provides that universal schemes be funded by the state and are not contributory therefore in essence the Act shall be in contravention with internationally accepted industry best practice.

This mandatory membership of persons to the scheme violates Article 36(2) of the Constitution that safeguards a person's right not to be compelled to join any association of any kind. It is therefore noteworthy that all citizens and not just a few members of NSSF should be accessing state funded social security albeit in the long-term.

Integration of NSSF ACT and third Parties

Various stakeholders in the pension sector propose the development of the National Social Security Policy with the NSSF being one of the pillars with its role confined to providing cover to the vulnerable sector of the society as envisioned by article 43(1) (e) of the Constitution or managing the scheme as a scheme of last resort for members (employees) without any membership in any occupational retirement scheme or leave NSSF to be one of the occupational pension/provident schemes for employed persons who do not subscribe to any other scheme registered under the RBA Act.

This approach will also be in line with the models adopted by other East African States who have liberalized their pension sector with the 1st Pillar Schemes offering just but a safety net for the vulnerable in the society. As such, persons already enrolled in a pension scheme ought not to be compelled to join the scheme (NSSF) as this would amount to a violation of their rights. Tanzania has adopted a similar approach where the NSSF Tanzania is under the supervision and regulation of the Tanzania Regulatory Law and operates as just but one of the many occupational retirement benefit schemes and competes with other statutory and non-statutory funds. NSSF Kenya should not if it seeks to unlawfully tout the NSSF Board as a judge/regulator of all other retirement benefit schemes.

It is important to separate and respect the regulatory role of the Retirement Benefits Authority as mandated by the RBA Act No. 3 of 1997 with the mandate of the NSSF. Applications ought to be heard and determined by the RBA as the independent oversight authority. It is the Association's submission that Reference Scheme Test has not been outlined in the said schedule and that the RBA ought to be empowered to set and adjudicate which schemes meet universal criteria. The NSSF cannot be the Judge and Jury in its own case. The RBA Act clearly empowers the Authority to independently regulate the activities of retirement benefit schemes. The Cabinet Secretary in charge of matters of Social Security ought NOT to assume the role of the Authority.

The Tier I, II & III fund system should be well outlined and made easy to understand the nature of the scheme as provided for in the Act. APAK recommends that a

simple illustration of the scheme be adopted to avoid the scheme being subject to different interpretations thereby causing confusion in the industry.

Limitations to the Study

The research experienced a number of constraints while undertaking the research. The major limitation was the limited literature available on similar work done in Kenya. Most of the literature references were from western countries such as, United States and European countries that had carried out various studies related to this one.

Lack of adequate resources (time, finances) meant that the researcher was limited to a few areas of research. The lack of resources meant the researcher could not be able to reach to all the service providers of a pension scheme to be able to get a feedback from them on the determinants of schemes financial performance.

The respondents felt they needed to be thoroughly educated on the area of study before they could fill the questionnaire. Some of the trustees expressed the concern that they did not have data for their schemes since most of the data was with the appointed service providers.

There was a poor response in terms of filling in the questionnaires. Out of the sample population only 50 % filled the questionnaires even after numerous follows by email and phone calls. This reduced the sample population though it was still representative.

Conclusion

Reforms will always be welcome. I laud efforts by the forces driving the changes in NSSF. We support especially the drive to at least ensure that the benefits that NSSF provides to Members at their retirement are meaningful and if this is the only way Members can secure their retirement, so be it. For employers who have adamantly refused to allow their Members to enjoy the benefits of having their own occupational retirement benefits schemes, the new Fund will at least create a platform that will allow worker feel like their retirement welfare is at last secure. The current move to conform NSSF to the provisions of the Retirement Benefits Act is also long overdue and should be encouraged. It is hoped that investment returns will continue to increase as the administration costs reduce or at least arrested.

However, we must reiterate the need for NSSF (at least in the mutated form) will be fully compliant with the Retirement Benefits Act and more so that its management will be required to accept the complete oversight of the Retirement Benefits Authority. This will inject professionalism, transparency and accountability

There is therefore a need to engage all the stakeholders in the pension's industry/sector so as to allow them air their views on the Act and have their contributions incorporated. This is in line with good Corporate Governance and industry best practice.

It is further opined that consequent to the Bill, the RBA Act No.3 of 1997 ought to be amended to provide that all employers must enlist their employees in a retirement benefit scheme of their choice or the NSSF. This is in line with international best practice industry standards. Consequently, the Retirement Benefits Authority (RBA) should be mandated to FULLY oversee the activities of NSSF in accordance with the provisions of the RBA Act;

The Pension Industry seeks a fair competitive environment where each player is given a freehand to offer service to members in the retirement industry.

According to the ILO, Universal Pensions are basically 1st Pillar social assistance measures formulated and funded by the state. A major element of the scheme is "Government or State Funding' through taxation measures so as to avail social security benefits to ALL persons and not just persons in employment. The social assistance is most critical to persons who cannot afford to support themselves and usually takes the form of social programmes

such as Income Support or un- Employment Support, housing, medical aid etc. to persons who are vulnerable to a society. This is the basis of the Act.

Suggestion for Further Research

The present study should be replicated to include pension scheme members in other regions of the country to find out whether the same results will be obtained. The sample size should also be increased to get a more representative sample and make better conclusions.

The study should also be replicated to include Kenyans working in the informal sector and find out if they save for retirement and how they save, either through personal pension plans or by saving in the bank.

The study can be carried out to include those who have already retired or who are above the age of 60 years as this study was limited to those below 60 years of age.

A broader research could be carried out to measure the impact of a reform on an individual's total net worth. This study would require greater resources and would require at least 3 years in order to educate individuals and measure the impact.

A study could also be carried out to determine what role policy makers can play, if any, to increase efficiency in the pension industry.

Policy Recommendations

Based on these research findings the following are the recommendations to the various stakeholders.

The trustees of pension schemes should engage the services of a professional consultant to draft policies to guide the investment manager on the investment strategy of the scheme. This policy should take cognizance of the age structure of the employees and the various risk appetites for the employees. This will help in matching the assets and the liability profile for the scheme.

The trustees should also have a risk mitigation policy in place. The various inherent risks should be identified through consultative forums to identify them and also mitigate their effects. The trustees should also have a trustee liability cover to reduce their risk in case of any litigation issues which may arise.

There should be a policy in place to guide the government in policy making. The process should be consultative to ensure that the interest of the stakeholders is considered in making the regulations.

Policies with regard to NSSF investment strategies should be put in place in order to realize good return from expected increase in fund as a result of increase in contribution rate.

Information sessions and seminars should be conducted in order to enhance member education before implementation of the Act in June. This will help reduce levels of misconception among scheme members and employers.

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Appendix I: Questionnaire

Questionnaire on the impacts of reforms on the kenyan pension industry

Section one: general information

1. Are you a member of NSSF Kenya?

Yes

No

2. Do you have a private pension scheme?

Yes

No

3. At what rate do you contribute to your private pension schemes?

4. Is your retirement benefits scheme registered by Retirement Benefits Authority?

Yes

No

Section two: Pension reforms

5. In general, what are the main elements that have been addressed in the recent reforms of the pension system in Kenya?

6. If any, how do are these elements likely to affect operations of your scheme?

7. Do you support the proposed increase in the rate of contribution in the proposed bill (6%)? Please explain?

8. Using a scale of 1-5 to represent the level of agreement where 1 represents totally disagree and 5 represents totally agree indicate your level of Agreement with the issues addressed in the bill by ticking the most appropriate box as related to the following statements?

	1	2	3	4	5
The proposed 6% is good and will translate into an increase in members benefit.					
The proposed bill will benefit the private sector.					
The bill is consistent with the Kenyan constitution					
NSSF investment strategies are good					

9. What are some of the aspects of the bill you agree with and should they be implemented? Suggest any improvements to issues you don't agree with.

10. What improvements should be done to improve the bill and improve the performance of the pension industry?

Is the proposed bill inconsistent with any other regulations within the pension industry? Please explain

MANIFESTATIONS OF SERVICE CULTURE AMONG STREET VENDORS IN BOTSWANA

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Abstract

In the non-western developing world, where the majority of the world's street vendors can be found, service culture is under-researched. For instance, although street vendors are entrepreneurs, it is not always clear how or to what extent they value customers. Nor is it self-evident what kinds of service culture prevail in street vendors' business, or how such culture supports service improvement. Using a qualitative approach, involving a sample of 30 street vendors who were interviewed and observed, this research described the basic characteristics of the service culture practices and values among street vendors in micro-enterprises. The study found that unique service cultures prevail among street vendors, ranging from humane clues evidenced in practices and values in encounters with customers and interaction with each other, to mechanic clues evidenced in the orchestration of their physical environment. A major contribution of this study is in showing that understanding the characteristics of the service culture in terms of practices and values provides useful insights for service quality improvement in street vending. The study made various recommendations for informal sector development.

Keywords: Street vending, Service culture, Service encounters, Botswana

Introduction

In the non-western developing world, where the majority of the world's street vendors can be found, service delivery culture is under-researched. For instance, a search for studies on street vendor service culture in developing country results in two papers, one by DR1 (2007) and another by Brown and Rammidi (2012). Although street vendors are entrepreneurs, it is not always clear from any of these studies as to how vendors value customers, or sustain good relationships with them. Nor is it self-evident from any of the research done what kinds of service culture prevail in street vendor enterprises.

Historically, though, street vending has been couched in an informal socialisation and has been characterized largely by a product culture – with no meaningful attention to service delivery (Muiruri, 2010; Renaut, 2004). In many developing countries, street vending is associated with customer harassment, physical assault, crime, security risks, health and environmental problems (Jimu, 2004; Muiruri, 2010; DR1, 2007). The association of street vending with aggression and confrontation give the impression that street vending is not a place where customers can expect high quality service experience.

However, with the growing importance of street vending as an economic activity in many developing nations globally, street vendor service delivery practices need close monitoring – much the way it is emphasized in the formal business sector (Davis, Gautam &

Bhat, 2012; Gronroos, 2007). Empirical studies lend support to the notion that service delivery quality is inherently linked to the service culture that dominates the business (Schneider & Bowen, 2009; Davis, Gautam & Bhat, 2012; Gronroos, 2007). This claim may be true for informal enterprise as much as it may be for formal business endeavours. Furthermore, street vending is a growing business in many developing countries. In Botswana, for example, street vending and other forms of informal sector development activities are being encouraged to promote self-reliance. In other words, street vending is being legitimised and encouraged as a strategy to boost socio-economic development and transformation in communities where poverty and unemployment exist, and where a need exists to promote social justice in terms of gender and other variables (Jima, 2004; ILO, 2002; Muiruri, 2010). Forecasts of street vending activities project growth in the market segment served by street vendors in African countries such as Botswana (CSO, 2011). Clearly, street trading is growing in its profile and significance and the quality of the services delivered by street vendors need to do likewise.

If street trading is to remain a viable sector with a sustainable future, street vendors will need to be more responsive to customer service priorities. It will also need to take more initiative to deliver high quality services in a consistent way, and make a shift from a product to a service cultural orientation. The service culture may hold the key to a better understanding of ways to influence the quality of service delivery in street vending (Gronroos, 2007). Through improvement in service culture, street vendors may be able to promote a positive public perception of their business, certainly in Botswana. Policy support for street enterprise may be enhanced through the framing of a better understanding of service culture characteristics among street vendors. Informal business development policies of economic development agencies in many developing countries (e.g., Citizen Entrepreneurial Development Agency in Botswana) (Letebele, 2012) may be strengthened to include technical advice that focuses on informal business management support in terms of leveraging service culture to create value for the business and to drive a service mindset.

Thus, although service culture is pivotal in street vending enterprise, it is not self-evident as to the kinds of service culture that prevails in street vendor business, or how insights into such service culture may create the necessary awareness for change to deliver better service. This research describes the basic characteristics of the service culture practices and values among street vendors in enterprises. A major contribution of the study is showing that understanding the characteristics of the service culture in street vending provides useful insights for service quality improvement in street enterprises.

The paper begins with an overview of street vending, services, and culture. The whole question of the nature of street vending is discussed, along with the notion of service and business culture. Influences on business culture are discussed, followed by the methods that framed for the investigation. The paper rounds off with the results and conclusion.

Service culture and street vending

The term 'service culture' requires a discussion of both the concept 'service' and 'culture'. The term service is much less contested than culture. Service is generally understood as actions taken to create intangible and insubstantial value for customers (Gronroos, 2007). This implies that after customers have been assisted either by a self-service or full-service process, they feel better off than before. Thus, the value in service is linked to customer satisfaction (Vargo & Lusch, 2008). On the other hand, 'culture', as a concept, has been theorised by both Schein (2009) and Hofstede (Hofstede & Hofstede, 2005). To Hofstede and Hofstede (2005), culture is a group's mental programming. Alternatively, to Schein (2009) and others (see Hofstede, 1984; Martin, 2002), culture is the integrated pattern of learned behaviours of a group, evidenced through shared ceremonies, thoughts, languages,

knowledge, beliefs and values. Both require learning, which gets developed overtime as the group deals with its own internal integration and survival problems (Schein, 2009). Schein's view of culture guides this study as it has greater relevance to street vending because of its emphasis on social learning as a mechanism to transmit culture (Bandura, 1986).

One of the lessons we can extract from the definitions of 'culture' is that street enterprise as a whole constitutes a business culture because as a collective force, street vending has distinct membership. *Street vending* is understood as an 'illegal' working entity, characterised by roadside or sidewalk location, with self-made stalls or tents, mobile carts, or open air display of merchandises (Muiruri, 2010). This collective scenery gives street vending uniqueness. Secondly, the everyday vending practices that reflect "how vendors do things around here" (Deal & Kennedy, 2000:1) affirms street vending as culture. The latter is important because the everyday micro level vending practices provides the most powerful expression of culture. These perspectives about street vending, as culture, have guided the way governments view street vending (see Muiruri, 2010; ILO 2002; Jimu, 2004).

Although street trading is steeply product based, vendors do provide services alongside the products that they trade. For many street vendors, service delivery constitutes only part of their overall business activities. Several studies support this observation. Boseo, Lee, Olson and Severt (2011) revealed that out of eight street food vendors (meal product) they investigated in the USA, five had some form of "host" who directed guests throughout their experience (service). The most commonly reported services provided by these street food vendors were attention to ambience, the setting and clearing of the tables, and the etiquette of meal serving (Boseo et al, 2011).

Likewise, vendors of perishable goods in North America offer services that range from attention to vendors' own personal hygiene to the handling, storage and display of their fruits and vegetables (Bonnin, 2006). In many African countries, street vendors provide services in the form of considered assistance and support (Muiruri, 2010). But it may not be the case that all street vendors show regard to the delivery of service (or quality service). Walsh (2010) found that in parts of Vietnam, and the Greater Mekong Sub-Region, most work in the informal sector offers little in the way of value-added activities. DR1 (2007) maintains that in Dominica some street vendors are more hard pressed with concerns about their survival than with the delight of customers. While the normative services that a street vendor provides may be influenced by the nature of the vending business, these contrasting case studies suggest that there may be a driving force underlying how customers are offered services.

Clearly, then, in street vending, service culture is an atmosphere, comprising both intangible and tangible actions of service, aimed to create value for customers (Bowen, Schneider & Kim, 2000). It is reflected in shared customs, knowledge, values, beliefs and assumptions.

Manifestations of service culture

Discernible aspects of service culture: Service cultural practices

Schein (2009) argues that [service] culture variables exist at three levels, namely: artefact and behaviour, espoused value, and basic assumptions. Alternatively, Hofstede and Hofstede (2005) maintain that culture manifestation at two different levels of depth, namely practices (i.e., symbols, heroes, and rituals) and core values. Both Schein and Hofstede and Hofstede views are similar. Symbols represent cultural practices, expressed through words, pictures, gestures and objects, which carry meaning. Whereas heroes are individuals, with characteristics valued in the culture, rituals represent collective activities in which cultural group engages (Hofstede & Hofstede, 2005). The way we greet or pay respect to others is an expression of rituals. These correspond to artefacts and behaviours, which are discernible

aspects of service culture because they are audible and observable patterns of a group (Schein, 2009).

In business, cultural practices may be demonstrated in various forms, including through observable policies (regarding giving good services to customers), procedures and behavioural norms during service encounters (Hoang, Hill & Lu, 2010; Ostrom et al, 2010). It may also be demonstrated through the elements of the service environment (Boseo et al, 2011), and through individual level factors such as the personal characteristics of service providers (Schein, 2001; Vella, Gountas & Walker, 2009). Each of these has been area of focus in previous research.

In a service situation, service practices start unfolding the moment service providers and recipients are drawn into an encounter. Price, Arnould and Tierney (1995) refer to this encounter as ‘the moment of truth’. Both discernible and indiscernible elements of service culture converge. In service relationship, service culture practices may be evident in three areas: the service duration, affective content, and spatial proximity (Price et al, 1995). Previous research found that time spent in service encounter impacts on service practices. Service culture in which there is extended duration (more than few minutes) in the service encounter results in service transactions that resemble relationship between friends, compared to the brief duration in which the transaction is business specific (Noone Kimes, Mattila, & Wirtz, 2009; Price et al, 1995; Mohr & Bitner, 1991). Price et al (1995) demonstrated that extended service encounter duration results in shared feelings of intimacy, empathy, and self-revelation. But it has the disadvantage of developing into a service culture in which there is frequent errors and obstacles from environmental and inter- and intrapersonal sources (Siehl, Bowen & Pearson, 1992). Thus, time in the encounter may be a marker of service culture practice.

Another variable of service culture practice is the affective content of service delivery. ‘Affective content’, Price et al (1995) maintain, is the emotional arousals inherent in service encounters. In street vending, emotional content may exist in varied ways in service practices. But the nature of this content depends on whether the encounter is high- or low- affect context. Siehl et al (1992) suggest high-affect contexts are produced in extended encounter duration. Service encounters characterised by high-affect context provide customers with not just functional benefits (e.g., easy access to inexpensive goods) but also affective benefits (e.g., chats, laughter, and stories shared in the encounter) (Price et al, 1995; Noone et al, 2009). A service culture devoid of high-affect encounters exhibits practices that are low in functional or affective benefits. Thus, what gets talked about, how it is talked about, and the vending location contribute to the quality of the affective aspect of service culture.

The encounter between service provider and recipient may be remote, relatively near (e.g., separated by a stall), or intimate (e.g., in direct contact). Proximity between service provider and customer contributes to the nature of the service culture that develops (Noone et al, 2009; Siehl et al, 1992). When people are spatially close, they develop feelings of attachment (Kitayama, 2002). Most street enterprises are loosely coupled entities, operated by a single vendor, with family member assistance, but the spatial network distance between vending stalls, especially in urban areas in developing countries, is sometimes so close, almost zero (Muiruri, 2010). In Botswana, many street enterprises are found at the bus and train stations in the city and towns. The network distance between any two vending service points in Botswana varies from less than one-half meter in the Central Business District to three meters in the suburban and peri-urban areas, or further apart in rural areas. Close proximity may permit diffusion of service culture by virtue of vendors’ interactions and social learning through observation and modelling (Klein & Kozlowski, 2000).

Indiscernible aspects of culture: Cultural values and assumptions

Cultural values and basic assumptions are less discernible than artefacts/behaviours. Both behaviours and core values are shaped by our basic assumptions (Schein, 2009). However, as standard of behaviours, cultural values can be inferred from behavioural norms. Salzmann (2007) maintains that in many businesses, employee conduct is guided by beliefs related to enthusiasm, interest in customers, flexibility, and relationship (anticipation, connection; liveliness; knowledgeability). Lytle, Hom and Mokwa (1998) studied cultural values as they relate to 'giving good services' and found empathy as a key value. Poulin (2010) proposes nine core cultural values, which he argues contribute to service culture development. These include truth telling, promise-keeping, respect, loyalty, discipline, empowerment, flexibility, quality assurance, and results. Clearly, service culture values may vary from context to context but where shared meanings manifest, they create communities out of individuals. This suggests that although street vendors operate as isolated business entities, they may be 'glued' together as a community by cultural value they share in service delivery.

National culture may penetrate business culture (Salzmann, 2007; Schein, 2001), and this is true of street vending. In the African context, national cultural values such as 'botho', 'ubuntu', collectivism, masculinity, and cooperation may influence service culture practices among street vendors. This penetration may be possible because cultural values are transmissible and are carried by people. A vendor, who observes customer loyalty resulting from trust between a neighbouring vendor and her customers, may be motivated to adopt similar service value. The modelling of values from the individual to the group equates to a bottom-up process (as opposed to top-down process) of culture development (Klein & Kozlowski, 2000).

Furthermore, basic assumptions represent the deepest level of service culture (Schein, 2009). Basic assumptions are intangible and cannot be observed directly, but can be merely inferred from our actions (Inglehart & Baker, 2000). Inference may be drawn not just from patterns of communication but also from the way information is processed and communicated, and use of physical space. BCL (2013) isolates three basic assumptions that govern everyday business transactions, including street vending transactions. One of these assumptions is that human nature is essentially good vs. human nature is essentially evil; another is that people are born equal vs. people are born unequal. The final one is that the world is governed by rational laws vs. the world is governed by arbitrary laws. Hofstede and Hofstede (2005) add another basic assumption to those mentioned by BCL. Hofstede and Hofstede maintain that in national culture, a basic assumption is that individuals are supposed to take care of themselves and their immediate families only and in-group is supposed to take care of its members. The basic assumptions in street vendors' service culture may be anchored in their national culture (BCL, 2013).

In a service encounter guided by the assumption that human nature is essentially good, there will be a high level of 'trust' (as opposed to distrust) in service encounter relationships (BCL, 2013). Furthermore, in African societies, national culture is grounded in collectivism culture (as opposed to individualism) (Hofstede & Hofstede, 2005). In contrast to individualist cultures, collectivist cultures tend to be high-context in its communication style and holds expectations of group protection. Thus, in communication, the message is often 'vague, indirect, and implicit'. Loyalty is given in return for protection. The assumption of care and protection suggests any violation of the expectation associated with collectivism norms may lead to miscommunication and distrust during service encounters.

Botswana culture offers a case in point. There are several ways in which Botswana (people of Botswana) traditionally react in service delivery interaction. According to Botswana customs, service delivery begins from as early as the customer draws near to the

business establishment and carries on until the customer departs. The whole encounter process is expected to be intertwined with a display of humane characteristics: make eye contact, relax face muscles, acknowledgement of customer(s) from a distant, and possibly conversation unrelated to business. In all of this, the nature of the service provider-customer interaction is expected to be unhurried, with courtesy or norms of behaviours exhibited throughout encounter.

Street vending in Botswana

Aside from the cultural issues, Botswana has made considerable economic progress, which has earned the country acclaim as one of the leading African economic success stories. Despite this, there are just not enough jobs for everyone seeking formal employment in Botswana. Unemployment and its related outcomes such as poverty remain a challenge in rural and urban areas in the country (Brown, 2005). In 1991, it was estimated that 21 percent of families in Gaborone were below the poverty datum line (PDL) compared to 55 percent national average (Hope, 1997: 24). One special aspect, though not unique to Botswana, is that many citizens have turned to the informal sector, and street vending in particular, as a means to earn a living and mitigate poverty.

Street vendors are the most conspicuous informal economic actors in major cities and towns in Botswana. A cursory survey shows street vendors are located along the roadways, in and around shopping malls, supermarkets, industrial escarpments, in the vicinity of car parks, bus and train stations, and by the wayside of residential premises. Many can also be found in strategic location in rural communities. These people are not philanthropists, but rather are serious entrepreneurs trading one thing or another, ranging from the perishable (e.g., juices, cooked meals, sweets, fruits and vegetables) to the non-perishable (e.g., music discs, clothes and shoes, cell phone chargers and repairs, airtime cards and mobile phone services). Many of the goods and services they trade could be accessed from nearby retail outlets but street vendors provide added competition due to their accessibility and affordability. Furthermore, although many street vendors in Botswana are self-employed and are the sole-owner of their enterprise, an emerging reality is that formal retail businesses have joined the sector by using their staff to trade items on the street. In a study of urban informal sector profiles, linkages and constraints in Francistown, Butale (2001) acknowledged the existence of street vending, but hinted that much of street vending was a spill over of non-street formal production and distribution of goods.

Street vending has a central role to play in the socio-economic development of Botswana, in so far as self employment and the minimization of social problems associated with unemployment are concerned. It has been acknowledged that street vendors, and actors in the informal sector in general, are crucial to the development of the economy and the attainment of the long-term vision of Botswana, the Vision 2016, which envisions a Botswana which is prosperous and hospitable (Presidential Task Force, 1997). Local authorities continually embark on zoning of areas for vendors and many vendors have conformed to these requests to trade in designated areas. But many urban leaders and planning agencies tend to be compassionate towards street vendors even when they set up business in undesignated areas. Thus, though urban planning agencies still tend to look upon the vendors as an impediment to the designed development of cities and towns, street clearing exercises, destroying stalls and confiscating supplies are less commonplace. This atmosphere allows street enterprise to flourish.

In sum, street vending is a service linked to socio-economic goals. Service is clearly embedded in culture. It can be deduced from the foregone analysis that service culture may manifest at different levels, ranging from overt practices to the intangible ones. Several forces may influence how service cultures manifest, many stemming from broad national culture

factors to individual level characteristics such as attitudes (Salzmann, 2007; Erez & Gati, 2004;). The nature of the service context also plays a role (Johansson, 2013). In the African context, there has been little attempt to explore the service culture among street vendors and how this manifests in practices. Botswana is one African country where street vending enterprise is growing (CSO, 2011; Jimu, 2004). The country was chosen as a case to explore the following key issues: (a) The basic characteristics of the service culture practices and values among vendors in street enterprises; and (b) The implications of the service culture for service quality enhancement in the informal business context.

Theoretical Framework and Methodology

This study is informed by two theoretical perspectives. First, the resource-based view of enterprise (Yang, 2008). The resource-based view looks at service culture as a resource and considers service culture as a valuable and unique characteristic that can give a business some advantages over its rival (Yang, 2008). In other words, it holds that as the quality of services leads to better outcomes, and as the need to survive in a fiercely competitive business environment becomes more and more a priority, service culture becomes a valuable resource. As a fiercely competitive business (DR1, 2007), street vending activities lend themselves well to the resource-based perspectives. Street vendors' stories can provide insights into their perspectives about service culture as a resource, and how such a resource can sustain their business, including its use to encourage themselves to go the extra mile to serve customers.

Service culture may develop from either a micro or macro level. Thus, Klein and Kozlowski's (2000) multi-level theory of culture also inform this study. It argues that service culture develops, either through top-down processes (macro) or bottom-up processes (micro). Bottom-up processes begin at the individual level, and through dynamic interactions and social learning, the transfer of culture occurs and gains stable properties over time. By contrast, the top-down process of culture development occurs through high-level societal or institutional level changes. The bottom-up process is most pertinent in this study as it can help with understanding how service culture emerges from individual street vendors into a group cultural characteristic. The resource based perspectives and the multi-level theory have inherent qualities that make them well suited to provide explanations to the research problem expressed in this paper.

Methods

Given that the aim was to understand manifestations of service culture among street vendors, a qualitative approach was adopted. This approach lends itself well to the interpersonal interaction required to access service culture issues. The sources of information for this study were personal interviews and participant observation. Use was made of semi-structured interviews, accomplished through face-to-face meetings with the street vendors. For these reasons, the study was exploratory. Street vendors in the city and towns within the Greater Gaborone areas of Botswana (the main municipality) were used as participants because these vendors provide a good expression of the vending cultural mix in general. The Greater Gaborone area includes six divisions. In order to spread the sample population over a wide area of the municipality, the area was sub-divided into six zones: Gaborone City Centre (main mall market area), Gaborone Railway Station, Gaborone Bus Station, BBS Market area, Mogoditshane Choppies/Spar area (Molepolole road), and Gabane town Bus Rank. Purposive sampling in each zone allowed a typical cohort of street vendors, with a good understanding of the topic of the study, to participate.

Sample

The key to sample selection is an updated list of the target population. The Central Statistics Office (CSO) in Botswana estimates that about 7,000 informal business enterprises operated in the Greater Gaborone area of Botswana in 2011 (CSO, 2012). About 2500 of these are street vendors. Given that the study was designed within an interpretivist paradigm, where the focus was to understand the meaning of participants' responses, 30 street vendors (comprising 25 females and 5 males) were purposively selected as sample. The main sampling criterion was trading on the street, stall type, and years trading on the street, regardless of the merchandise type. On average, the vendors were involved in street trading for about 5 years. The majority (53.3%) of the vendors operated from temporary stalls, while others (17%) operated from portable devices (e.g., vehicles; mobile cart) and still others (29.7%) from permanent stalls/kiosk. Most of the vendors (63.3%) traded non-perishable goods.

Instrument and Procedure

Two different methods were used to collect data, namely face-to-face interview and participant observation. The semi-structured approach was adopted in order to keep a degree of consistency in the questions that respondents were asked, and a degree of flexibility in the interview exercise to have respondents relate their stories. During initial meetings with the street vendors, the exact nature of the study was explained to them and a date and time set for the interview. The interviews were conducted at the home of street vendors, on their recommendation. Interviews were conducted using the Setswana version of the Street Vendor Culture Interview Guide (SVCIG), developed by the researchers after consulting the literature and similar instruments.

To familiarise themselves with the themes of the interview, the participants were given the SVCIG a week before the face-to-face conversation. Being semi-structured, the interview guide covered a range of themes such as vendor demographic characteristics; service culture practices and norms; service culture values and assumptions; influences that led to the particular service culture; and views of service culture as a resource. Probe questions were used if initial responses were uninformative. The key to improve the credibility of the interview data is being able to interact with the verbatim of participants. Thus, interviews were mechanically recorded with participants' permission.

In addition, participant observation was used to understand the behavioural and attitudinal aspects of service culture during the vendor–customer service encounters. Attitudinal, verbal and non-verbal service behaviours were observed. One research assistant was posted per vending site to make observations. Although the participants were informed about the observations, they were unaware of the person assigned to make the observations. Observing discreetly minimized interference in the natural street vending settings, thereby ensuring the process was naturalistic. The data sources improved the credibility of the study.

Qualitative data treatment techniques including thematic content analysis, which involved coding and categorising the data to make sense of its meaning, were used to analyse and interpret the results. Descriptive statistical techniques such as frequencies and percentages were used to summarise the demographic data. Low inference descriptors were used as themes in the analysis, which along with the multiple data sources and peer review, contributed to improve the trustworthiness of the data. Two major shortcomings impinged on the information collected from the vendors. First, their apparent lack of trust as demonstrated in their initial unwillingness to talk freely to the researchers; they held the view that the researchers were agents of the state who came to persecute them; and, second, their general expectation of a reward to participate and share their information. While this made it difficult to gain their cooperation and to share their time, their non-withdrawal after being informed

that issuing reward violates the research ethics implies that they understood and voluntarily participated.

Findings

Several issues emerged consistently from the stories shared in the interviews. Most notably: (a) the participants acknowledged being providers of services to their customers, and recognised the importance of, and held strong belief in, treating customers as a priority; (b) all acknowledged having their approach to serving customers; (c) for many, service meant 'customer satisfaction, helping, non-discrimination – providing service to each customer in the same way'. The street vendors felt a sense of importance in what they do. For instance, many talked of the joy, enthusiasm and sense of self-reliance, as well as the need to survive – as features of their experience and the reasons they were involved in street enterprise. These sentiments emerged as themes in the service encounter interactions.

Practices and values in the service encounter interactions

Valuing customer: It was apparent from the interviews and the subsequent participant observations that street vendors valued their customers. The appreciation was expressed in various ways, one of which was the customer 'priority treatment'. But street vendors also valued their street enterprise. The service delivered to customers was greatly influenced by the way in which street vendors felt about their business and clients. This point was well captured in the views of one participant:

I am motivated [to work hard] by factors of life because when you are self-employed you expect a lot from the business; that you can be able to help yourself, your kids and your parents... I tell myself that I want to help myself so that I can be able to provide for my needs... as a result, I have to give attention to my customers because without them, I don't have a business; and without this business, I have nothing...this is how I survive; and others are depending on me [Mpho].

Even as street vendors pursued success in their business, they did not become disconnected from their customers. They clearly did not treat their customers with ambivalence, or took them for granted. A feature of the treatment of customers was valued empathy. This treatment of customers, and the acknowledgement of their central role in the survival of their business, appeared to help street vendors stay in-tune with the service needs and experiences of their clients. Previous research in the formal business setting supports the customer first approach adopted by street vendors (Russell, 2012; Noone Kimes, Mattila, & Wirtz, 2009). Noone et al (2009) assert that a fundamental success factor in business is to treat customers with respect and put them first. Russell (2012:1) concluded from his work among SMMEs that, "...to feel served, customers require undivided attention and focus'. The street vendors appeared to clearly understand these requirements. The sentiment was evident among vendors, regardless of the nature of the merchandise they traded.

One of the obvious benefits of valuing customers in a business is that it reduces the chances to be rude, careless or to take a long time to assist them. Competition can be fierce among street vendors, especially among street entrepreneurs in city areas (DR1, 2007). In an environment where a customer is able to easily turn to a different service provider, there is very little margin for errors in the way customers are treated. Street vendors cannot afford to be rude, careless or to take a long time to deliver service to clients. The investment of time and attention to customers as norm is acknowledgement of the need to 'survive' in the business as vendors.

Investing time in service encounter relationships: At the heart of a service is the encounter, i.e., the point of interface and interaction between the server and the served. The duration of this encounter is one of the many elements in the relationship. The contents of the

interaction and the proximity of the parties in the interaction make up the other elements (Price, Arnould & Tierney, 1995). For street vendors in this study, location, i.e., doing business within or outside the city had an influence on service encounter duration. Service encounters were most frequent among street vendors in the city centre (i.e., Central Business District, Main Mall Shopping area, Railway and Bus Stations). This is understandable as the city had the highest population density, and was the wealthiest urban centre, with direct links by road and rail networks to other economically important towns in the country and the South Africa Development Region.

The rate of service encounters declined sharply with distance from the city centre. As distance increased from the city centre, street vendors in this study noticeably spent much more time in interaction with each customer. Table 2 shows the location of the street vending businesses, the relative distance between locations, and the average time – which ranges from 1.15 minutes to 1.75 minutes – that vendors spent in encounters with customers ($r=0.9517$, $p=0003$).

Table 2: Locations of street vendors by average time spent with customers

Location of street vending business (study area)	Distance from city centre (km)	Average time spent with customers (mins)
City Centre (inclusive of Gaborone Main Mall Shopping area; Railway and Bus Stations)	0	1.15
BBS Market area	5	1.23
Mogoditshane Choppies/Spar area (Molepolole road)	8	1.28
Gabane town Bus Rank area	25	1.75

$$r= 0.9517, p=0002$$

The correlation between the distance and the average time duration shows a strong positive linear relationship, which is statistically significant at the one percent level of significance, with three degrees of freedom. Compared to those located outside the city centre, street vendors located in the urban centre had relatively brief encounters with customers. This was largely a result of the number of customers on hand to serve, and work/school related time constraints on many urban customers, than anything else. Short encounter constrained the time vendors have with customers to personalize their relationship or foster and build strong ties. However, it has its benefits. Previous research illustrates for instance that brief service encounters minimises the chance of service script interference, which often impedes mutual understanding (Price et al, 1995; Mano & Oliver, 1993). Among street vendors, the short service encounters motivate vendors to be transaction specific, thereby minimising the chance of emotional dissonance (Aziz, 2008). Thus while street vendors locate their businesses in strategic areas often characterised by steady pedestrians and vehicular traffic flows in order to make themselves, in terms of proximity, easily accessible to consumers, such decisions meant that they had to also deal with the reality of a short time frame in which to give service to their customers, who are generally on-the-go.

However, service culture practices among street vendors distant from the city centre reflected extended or long service encounter interaction. Typical comments from these vendors reflected their experiences:

“...When a customer gets to my stall, I start by greeting them and then I serve them... from there, I try to socialize with them (customers)... I also try to convince them to buy other things from me...” [Thato].

“...The first thing when a customer arrives, I ask them what services they want...The most important thing is to show a customer love; by love, I mean giving customers a smile, so they can see that this vendor is not in a fight (angry mood) and as customers they can be ‘free’ (and relax). I ask customers if service is according to what they want... I modify accordingly... I accompany my customers as they leave... I explain to them that this is where they can

always find me if they need my services... I even offer my cell phone number so they can contact me..." [Gaone].

Observations of street vendors distant from the city centre revealed their service encounters were never transaction specific. In many of the interactions and through sentiments expressed in the encounters, the interface more resembles boundary opening transactions, which transcend commercial relationships. Boundary opening business transaction is nested within the framework of friendship, and is associated with empathy, collegiality, and active emotional involvement. Consequently, it provokes self-revelation. In this kind of transaction, the service provider is actively involved emotionally, and the encounter is characteristic of a relationship rather than a mere transaction (Price et al, 1995). Among the street vendors located outside the city centre, more time was spent in their interaction with customers. Their interaction with customers began from as early as when the customer draws near to the transaction point and carried on until the customer departed. This exchange provided a mutual platform in which respect and other social values associated with service were expressed. Significant amount of time and emotional energy gets invested in extended encounters, which many scholars argue support the long term growth of the enterprise since it is more likely to result in boundary opening transactions (Price et al, 1995; Hoffman & Kelly, 2000; Mohr & Bitner, 1991).

In the Botswana context, extended service encounter feeds naturally into the socio-cultural psyche of Botswana. The 'oral tradition' is highly valued in Botswana. Thus, there is a tacit expectation that service encounters should transcend transaction communication boundaries. Of course, for practical reasons, this is not always feasible, which may result in tension. Traditionally, the encounter is expected to be unhurried, thereby giving time for discussion and the showing of courtesy (Brown, 2005). This suggests there is more time for the vendor and the customer to display their feelings and to develop friendship in the unhurried atmosphere. When the unhurried expectation is breached, it runs the risk of being interpreted as abrupt and disrespectful. The investment of time in service encounters is more aligned with national cultural expectations.

Courtesy practices and emotional labour: An overwhelming 'sentiment' this study heard throughout the interviews was, "...when customers get to my 'stall' I greet them, and after we exchange greetings I ask them how I may help..." Good manners and politeness were key features of street vendor service practices and culture. These humane cues were intertwined with others, including the show of respect, thank you practices, and responding promptly to customers due to strong competition. Street vendors expressed sentiments that conveyed authentic commitment to appreciating their customers:

"[The customers] buy with respect and I sell to them with respect..." [Ompatile].

"...I do not discriminate [against or between] customers; I treat all customers with respect [and] I know they too are helping me to survive... I never argue with customers; if they buy and later complain that an 'orange' is rotten, I just peacefully replace it... [Tabisa]

"...I say thank you... If I don't have what [my customer] want I refer them to my neighbouring vendors..." [Gao].

Consistent with expectation, especially among street vendors outside the city, courtesy manifested at different transition points during service encounters, notably at the point of arrival of customers, during service request, and at departure.

Courteousness helped to build alliance and friendship network. Street vendors in both the city centre and in areas away from the city showed courtesy to customers, not just for its own sake but also to leverage it as a resource. It contributed to the maintenance of their customer base. Furthermore, through the 'humane service culture' treatment they experience, existing customers' word-of-mouth diffusion contributed to the attraction of new customers.

Thus, inflows of customers form network of clients, based on acquaintances, and the friends in the network were leveraged at times to build and further expand the customer base by attracting new ones. One participant who lived the experience, remarked, “...*We rely on our regular customers to tell their friends, and friend’s friend, about us... that is why we try to please our customers*” [Stella].

Courtesy was a significant part of street vendors’ emotional labour. Hochschild (1983) defines emotional labour as managed feelings; the use of one’s emotional energy to enhance the emotional state of others. Street vendors had to not just deliver a functional benefit, as in the case of vendor Tabisa who replaced a ‘spoilt orange’ to minimise complaint, but also had to communicate emotional benefits and be a ‘friend’. Street vendors spoke about service practices where they loan their regular customers goods because the customers had no hard cash:

“...If you want to retain your own customers, you must understand that they don’t always have money; some are working... when they are cash stranded at mid-month, they come and they say they don’t have money... you just have to assist... you know they will pay month end; you must still ensure they are satisfied even when they come without money...” [Vasco].

Previous research confirms that service providers do offer customers emotional benefits (Noone et al, 2009; Arnould & Price, 1993). For street vendors, it included trust, empathy, and feelings of cooperation. Like in Vasco’s case, several examples where customers had desires for emotional benefits were mentioned during the interviews.

Street vendors made themselves both a focus of positive affect, “...*I keep loyal customers by selling to them on credit, giving them time to pay on their own without rushing them...*”, and a channel of positive affect for their customers, “...*Most of the time the customers applaud me, saying although this person’s business is not blooming, it’s their first time to see a street vendor who can just offer you sweets for free when you buy from her...*” These practices and values collectively shaped how street vendors do things in their context.

Giving extras: Vendor-customer service encounter was characterised by a culture of giving extras. Extras included two aspects, “...give customers something more...”, and “...attention; going the extra mile or out of the way.” The whole theme of ‘extras’ was captured by Mipello:

“I satisfy customers...when you see that the customers are happy with your service you give them a few extra pieces for free... [it] attracts them to come buy from you next time.” [Mipello]

Neo goes the extra mile, “...*I take time with my customers and give them attention; when a customer buys, you must show interest and kindness, and if you do not have what he/she wants, you have to show him/her where he/she can get it... that is what I do.*” The extras for Gaone were simply that, “...*New customers expect me to start our conversations by making small jokes so that they can leave my stall happy*” [with a smile].

Extras transcend a transaction-specific exchange, to include the sharing of benefits neither anticipated nor paid for. The provision of extras suggests the service relationship had a feeling of a friendship than commercial exchange (Noone et al, 2009), and the interaction was more boundary opening than closed (Price et al, 1995).

Formation of network with fellow vendors: The service culture practices among street vendors extended beyond interactions with clients. It involved exchange with fellow street vendors, at a more macro, or group, level. In the personal interview data, street vendors mentioned cleavages in inter-vendor networking and cooperation that they shared in “...to survive” the streets. In the words of one participant whose sentiment was typical, “...cooperating reminds us here on the street that all we have is each other”. The personal interviews and instances in the personal observations show how street vendors, regardless of

workplace location, orchestrated a system of cooperation and networking among fellow vendors for a variety of reasons. Vendors networked and cooperated to promote a culture of information sharing. One vendor said “...*Yes, we network with others [street vendors] around... it is how we get to know there is a business promotion somewhere*” [Patience].

The need to always satisfy customers, while faced with unreliability of material, human and financial resources, also provoked cooperation. Muiruri (2010) and others (Atholang, 2012; ILO 2002) assert that most street enterprises operate with limited resources, with the business often run by a single vendor or a family, with no employees. The ILO (2002) illustrates various constraints that street vendors faced, including lack of credit and insecurity. The system of cooperation and networking with each other appears a response to constraints that they faced as street vendors. The vendors’ recognition of limitations which reinforced their belief in building strong network and function as community is reflected clearly in the following sentiment of one vendor:

“...We have to help each other...Sometimes, in the middle of serving a customer, the electricity might go down, or the generators might run out of power... you are then faced with a bad situation as the customer is still there... so we have to ‘run’ to the next vendor to borrow equipment, or to use their stall, to finish serving the customer, because you want to satisfy the customer” [Lockie remarked].

The complexity of the solidarity is illustrated in Veronica sentiments, which highlighted the practice of ‘*motsello*’ – a national cultural custom – in street enterprise practice. She said, “...*Each week we each contribute a small amount of money in order to support each other to buy more merchandise....*” Cooperation also manifested through referral of customers to other neighbouring vendors, as vendors repeatedly explained, “...*if I do not have something [stock], I refer customers to my neighbours [other vendors]*”. It was also practised to maintain stability and peace among vendors operating within close proximity: “...*When one [a vendor] is not present at his/her stall, you can sell their stuff on their behalf... We behave like we are family although we just met here*”. In other words, as another vendor explained, “...*if I go to the toilet and a customer comes to my stall, she [the neighbouring vendor] would come to sell the customer at my stall and give me the money when I come back, instead of taking the customer*”. The pooling and sharing of resources represents the high point in the networking culture among street vendors. The ‘*motsello*’ arrangement, borrowed from the national culture, is demonstration of two things: (a) street vendors’ inventiveness in overcoming the constraint of lack of access to credit, and (b) the penetration of national culture into business culture (Hofstede & Hofstede, 2005).

There is a strong sense of community and collectivism that emanated from the engagement. This was most notable among street vendors who operated in the city and town. In these locations, vendor-to-vendor proximity was generally close. Proximity may explain the strong sense of community and collectivism. But it is also an outgrowth of the national culture that prevails in Botswana. One of the features of the community is that there are agreed treatments for deviant vendors. One vendor explained, “...*Anyone here who do not satisfy customers well or who ‘throw away’ a customer, i.e., mistreat them, is rebuked. When a customer comes to my stall, I treat him/her better.*” In all of these actions, there seemed a tacit effort to protect a ‘brand or image’ as community of vendors. The action suggests the existence of unwritten expectations of members in the community. In other words, norms of behaviours appeared inherent among the group. Both the indication of the sense of community and norms of behaviours are consistent with group culture development (Li & Karakowsky, 2001) and the communication of empathic feelings due to proxemic intimacy (Price et al, 1995).

But let us not forget that street vendors are in business, where essentially a neighbouring vendor is a competitor. The existence of a spirit of community and collectivism suggests street vendors are not driven by competition, but more a concern to, as one vendor puts it, "...satisfy the customers". It may be for this reason that referring a client to their neighbour, who is a competitor, was a relatively easy practice among vendors. In this sense, street vending enterprises are unique, compared to formal organisations where referral practise, in discretely operated formal business settings, is rare, at least in Botswana.

Service culture practices and values in the physical environment

Concerns about sanitation: Boseo et al (2011) illustrate ways in which street vendors design customer experiences through the use of mechanical clues, including the use of unique carts to display their products. Bonnin (2006) maintains that the physical environment where service is delivered contributes to the overall service culture. Street vendors' recognition of the contribution that the physical setting of their business makes to customer service experience is reflected in the following sentiments:

"They [the customers] judge you from the way you present yourself and keep the place [the workplace]... as a result, I have to make sure the place is presentable; by this I mean that the place is fit-to-be seen and is clean because people [the customers] will just past you if you don't tidy up the place..." [Gao].

All the vendors observed made it their responsibility to sweep, dust and clean their vending facility and equipment and the areas surrounding their vending site before they begin trading and after they finish: "...In our environment everyone has to provide a rubbish bin for their customers, and we must clean our selling area every evening and empty the rubbish bin" [Amo]. Sanitation was foremost in their mind because inattention to it can prove costly, as Gao observed, "...[The customers] will just past you [the vendor]...." Reports in previous research (Acho-Chi, 2002; Walsh, 2010) of unsanitary tendency among street vendors are not supported in this research, which may be a sign of evolution towards maturity of the sector.

Orchestrate the physical space: The vendors operated from permanent/fixed stall (kiosk), temporary stall/contrivance, and portable devices (e.g., vehicles; mobile cart). The temporary architectural arrangement gave street vendors limited flexibility. But through careful orchestration, they designed the physical environment to shape customer experiences. Street vendors who operated from temporary facilities mounted shades to shield customers from direct contact with sunlight. Those in temporary and permanent structures enhanced their space with decorations and arranged their products for self-service. Those vendors who offered cooked food services provided chairs and tables to customers to dine, and had menu boards mounted to communicate the meals for the day. They also had a 'host' who 'welcomed' customers, and guided them through the meal menu, and cleans up after the customers have eaten.

The evidence of the present research supports previous studies which reported that street vendors' care about and act to enhance their 'immediate' service environment (Boseo et al, 2011; Terraviva, 2006). The practice to orchestrate the physical space through mechanical clues (Boseo et al, 2011) is a service culture that influences customers to think and experience the vending service in unique ways (Salzmann, 2007). This outcome is not unique to this study. Interestingly, although street vendors' action is in their business interest, it is not immediately clear whether their sanitation practices within the business extend to a wider concern for the environment or related corporate social responsibility issues. Again, this is hardly likely to be the case as street vendors have been accused of contributing to ecological stress (Dioup, 1992; Acho-Chi, 2002).

Further discussion and conclusion

The paper began by highlighting a neglected dimension related to service culture among street vendors in the informal business literature. The basic characteristics of the service culture practices and values among vendors in street enterprises were investigated. The analysis illustrates that street vendors consciously cultivated and sustained particular service cultures in their enterprises. The evidence revealed that service cultures were consciously cultivated and sustained *not* only in the service encounter interactions with customers but also in relation to the service environment.

Service encounters, which depict the interactions between the service provider and service recipient, comprised three components: duration of the encounter, affective contents of the encounter and proximity between those in the encounter. Service culture varied along these dimensions depending on whether the vendors operated their business within the city centre or in areas distant from the city centre. Service cultures were expressed in the physical environment of street enterprise through mechanic clues. The practical and theoretical significance of these findings are now discussed.

A major achievement of investigating service culture manifestations in street enterprise is demonstrating that service culture develops, and is part of, the informal street vending business contexts. Among street vendors, service culture manifested in various ways in practice during the service encounter as well as in the business environment. Eight distinct service culture practices manifested, among which were (a) courtesy to customers; (b) responsiveness and attention giving to customers; (c) investing time in relationship or extended encounter practices (especially among vendors outside urban centres); (d) location of business close to customers; (e) rewarding of loyalty through giving of extras; (f) valued empathy and offering of emotional benefits; (g) environment health and sanitation practices; and (h) orchestration of the physical environment. The service culture practices encompassed not just rituals but also symbols (Hofstede & Hofstede, 2005). But there was no direct reference to heroes; i.e., vendors, past or present, real or fictitious, who possess idealised characteristics. This may be a result of the relative history of the group's co-existence.

Nevertheless, the most visible demonstration of service culture was behaviour and artefact, which is consistent with Schein (2009) as well as Hofstede and Hofstede (2005) theorisation of culture. Most of the service culture practices reflect practices that occur during the service encounter, or in the 'moment of truth' (Price, Arnould & Tierney, 1995); this may reflect vendors' awareness of the vital role they play in communicating the culture of their services to customers and the personal mechanisms, such as attitudes and appearance, necessary to convey such cultures. Street vendors may have developed this awareness through social cognitive processes of learning and mass communication (Bandura, 2001).

Although service values are held unconsciously, and are not observable directly, BCL (2013) stresses that they may be inferred from human actions under different circumstances. Our study also found that street vendors held strong service values. Among these were collectivism, cooperation, trust, empathy, patience, friendship and group harmony. Service practices provided sources from which many of these values have been inferred. For example, the strategy 'motsello' used to mitigate constraint to credit is based on principles of cooperation and friendship. 'Giving of extras' suggested an intrinsic thrust for sharing, empathy, and/or driven by the Biblical belief that 'giving is preparation to receive'. Evidently, and unsurprisingly, street vendors' service culture values in Botswana naturally reflect the history of the country and its people, as well as the general normative rules for behaviour. In Botswana, as elsewhere in Africa, collectivism is a national culture value (Hofstede & Hofstede, 2005). In collectivist cultural milieu, group protection is stressed over individualism, which makes it unsurprising that values linked to community, harmony,

cooperation and friendship emerged. The existence of different levels of depth of service culture conforms to the general theorization of depth of culture (Hofstede & Hofstede, 2005).

Service culture developed, and was as much a part of, the informal street vending business contexts, as it is part of formal business contexts. In the formal business domain, service culture has been conceptualised and illustrated in ways associated with positive outcomes for both the organisations and their customers (Liao & Chuang 2007; Lytle & Timmerman, 2006). This view leads scholars such as Ostrom et al, (2010) to conclude that service culture is inherently fundamental in the process of value creation for both service organisations and their customers. Previously, none of these positive outcomes and theorization of service culture have been linked to the informal business context. The current research illustrated that street vendors actively pursued the building of service culture in their business in terms of the way they transact and interact with customers, network with fellow vendors, and orchestrate their service environment. Several factors were already known to influence the kind of culture developed around street vending in developing societies (e.g., Renaut, 2004; Jimu, 2004; Muiruri, 2010; DR1, 2007) but it was not yet known that service culture which aims to create value for both vendors and their customers was among them.

The existence of service values and practices and the emphasis placed on various aspects of these suggest service culture was esteemed as a resource in street enterprises (Yang, 2008). However, the way service culture is used served different purposes, compared to how it has been theorised for use as a resource in formal enterprise context. For instance, Yang (2008) contends that as a valuable and unique resource in organisation, service culture serves to give a business competitive advantages over its rivals. As fiercely competitive as street vending business can be (DR1, 2007), in this study the service culture has *not* developed in ways associated with competition and exploitation. To the contrary, it evolved in ways associated with cooperation, inter-business networking, and friendship. Service culture as their resource was directed at community building and intergroup support. The areas of agreement in the service culture among vendors in the different locations perhaps reflect deep-seated assumptions in Botswana about the goodness of human nature, coupled with perhaps the limited exposure to exogenous forces, and the resistance of the indigenous culture to the effects of exogenous community, family and economic practices. In Botswana, as elsewhere, people have access to differing resources depending on their socio-economic status, gender, or even place of residence (see Brown, 2005) and these constraints on vendors who normally are the marginalised may contribute to the outcomes.

Street enterprise is clearly couched in an informal socialisation. Unlike formal organisation, business practices in street enterprise are not guided by formal instruments such as policies, procedures, and structures. However, in line with Klein and Kozlowski's (2000) multi-level theory, the service culture that emerged among vendors is one which evolved as a bottom-up, as opposed to a top-up, process. Bottom-up processes begin at the individual level, and through dynamic interactions and social learning, the transfer of culture occurs and gains stable properties overtime. The fact that the street vendors identified with a common set of core values and related to more or less common normative behaviours (see Figure 1) suggests that the service culture was shared and stable.

A model of service culture has been developed and shown in Figure 1. The service culture of street vendors is manifested through

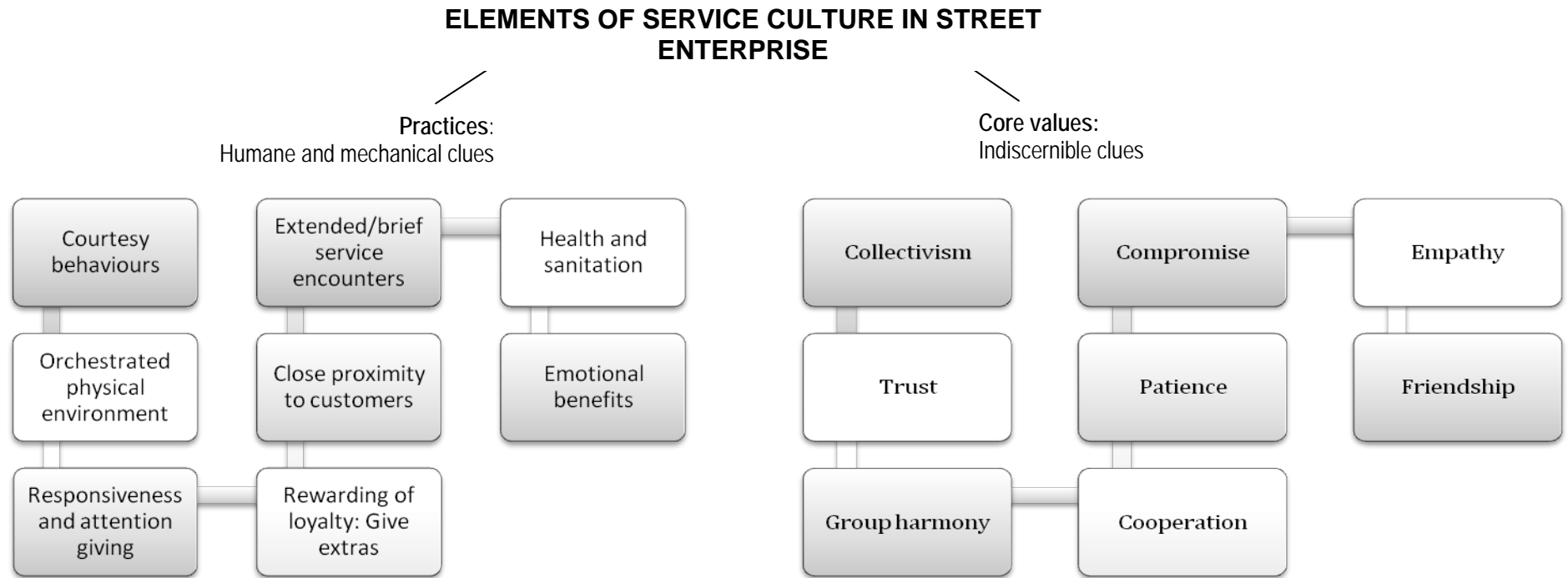


Figure1: Model of service culture among street vendors

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AN INVESTIGATION INTO THE INFLUENCE OF CULTURE ON EMPLOYABILITY AND WORK ETHIC, AND THE ROLE OF TERTIARY EDUCATORS ON GRADUATES' PREPAREDNESS IN BOTSWANA

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Abstract

Botswana, though rated as one of the poorest countries in Africa at independence, has through fiscal discipline and sound management, transformed herself to a middle-income country. However, she remains largely dependent on diamond, hence the need to diversify through among others the creation of skilled workforce. In the GCR2013-2014, 2 out of the top 4 factors identified as the most problematic factors for doing business in the country were poor work ethic in national labour force (*for the sixth consecutive year*) and inadequately educated workforce. Poor work ethic in Botswana can be traced from as far back as during colonial time and has persisted up to date. According to Kartha, D.(2012), culture encompasses among others, attitude, beliefs and values, all of which impacts deeply on one's attitude toward life and work. One of the goals of education is to prepare young people to participate in paid work as employees or self-employed. However the education programme in Botswana has been criticized as weak in terms of among others "less relevant for the labour market". NDP10 identifies the challenge of training high quality graduates with skills relevant to the country's economic and social development and ability to compete in global labour markets. Hence there is urgent need to re-look the educators' role in equipping graduates with the necessary employability skills and work ethic.

Keywords: Employability, Work Ethic, Culture, Attitude, Globalization

Introduction

Botswana is a landlocked country located in Southern region of Africa, bordering South Africa, Namibia and Zimbabwe. Its physical size is 600,370sq km and a population of 2.004 million (2012 census). Botswana was rated as one of the poorest countries in Africa in 1966 when she obtained her independence.



According to Siphambe (2010), there were few schools, 1 brigade and a small number of educated Batswana. Over the years Botswana has experienced one of the highest growth rates, mainly due to the substantial mineral deposits particularly diamond mining which has fueled much of Botswana's economic expansion and currently accounts for more than one-third of GDP and for $\frac{3}{4}$ of export earnings. Other minerals are copper, nickel, salt, soda ash, potash, coal, iron ore and silver. According to the Botswana Resource Sector Overview (2013/14), the total mineral revenue for FY 2012/2013 was about P12.99 billion (~31% of total revenue). Through fiscal discipline and sound management, Botswana transformed itself from one of the poorest countries in the world to a middle-income country with the Gross Domestic Product per capita recorded at 6934.86 US dollars in 2012. The GDP per Capita in Botswana is equivalent to 56 percent of the world's average.

Botswana remains largely dependent on its diamond deposits. The international economic crisis revealed Botswana's vulnerability, when the economy shrank by 5.4% in 2009 due to plummeting diamond exports. To minimize this dependency and to prepare the country for the "life after the diamonds", there is need to diversify. The government has developed a new growth paradigm based on among other things the creation of skilled workforce as can be seen in the National Development Plans (NDP9 and NDP10), the Revised National Policy on education (RNPE, 1994) and the National Human Resources Development Strategy (NHRDS, 2009). The government has also invested heavily in education and training with annual recurrent and development budget of 25% going to education resulting in an increased total number of graduates from primary and secondary education who need further training for the labour market.

However, Botswana is faced with a challenge of high unemployment rate (17.8% according to budget speech 2012), including graduates of tertiary institutions which may to a large extent be contributed significantly to "skills mismatch". Tackling the existing mismatch requires reform of the education system such that it provides enterprises with workers with relevant skills, and the capacity to adapt to changing circumstances. One of the goals of NDP10 matching skills with the national labour market requirements and promoting individuals' potential to advance and contribute to economic and social development. The NHRDS lays the basis for improving the processes for human resource development, with some of its key features being the relevance and quality of education and training, focus on employability and skills and creation of employment opportunities and acquisition of knowledge, skills and experience by citizens.

Another challenge facing Botswana and other developing countries is globalization pressure in their labour markets. According to the Open Society Institute (OSI,2005), Governments in a global economy need to stimulate investment, including, in most countries, foreign capital and increasingly knowledge intensive capital, which means providing a ready supply of skilled labor. This pressure has heightened the expectations from institutes of higher education to lead in creation and dissemination of relevant skills, then only will they be teaching employability. Work ethic is one of the employability skills most sort after by employers. The Global Competitiveness Report (GCR, 2010-11) noted that poor work ethic tops the list of 15 factors identified as the most problematic for doing business in Botswana. Again in the GCR 2013-2014, which positioned Botswana at position 74th out of 148 countries, 2 out of the top 4 factors identified as the most problematic factors for doing business in the country were poor work ethic in national labour force (*for the sixth consecutive year*) and inadequately educated workforce.

Employability & Work Ethic

Employability of a graduate is the propensity of the graduate to exhibit attributes that employers anticipate will be necessary for the future effective functioning of their

organisation (Havey L.,1999). An attribute can also be referred to as a quality, characteristic, *attitude* or ability of a person. An attribute can include intellect, knowledge, willingness and ability to learn and continue learning, ability to find things out, willingness to take risks and show initiative, flexibility and adaptability to respond, pre-empt and ultimately lead change; and 'self-skill' such as self-motivation, self-confidence, self-management and self-promotion (Harvey, Moon and Geall, 1997). Employability can also be defined as "having a set of skills, knowledge, understanding and personal attributes that make a person more likely to choose and secure occupations in which they can be satisfied and successful"⁵ (Hager and Polland, 2006, pp. 2). It may also be referred to as transferable skill, soft skill, core skills, key skills, generic skills, basic skills or cross-curricular skills which include among others communication skills, numeracy, self-confidence and self-discipline, problem-solving, analysis, interpersonal skills, knowledge and intelligence (Kelsall, Poole, and Kuhn, 1972). According to Lankard (1990), employability skills include personal image, interpersonal skills, good habits and *attitudes*. With respect to work attitudes, the concept of *work ethic* is related to the desirable characteristics for a potential employee (Custer & Claiborne, 1991; Hill, 1992). Hence tangible expression of work ethic is a necessity for high performance at work place.

Work ethic is one of the employability skills most sort after by employers (Hill,R.B. and Petty, G.C., 1995). Boardman (1994) gives an example of the one community where employers complained that they were "unable to locate employees who were reliable, drug-free, motivated, and possessing a work ethic." According to Colson & Eckerd (1991), work ethic and employability skills are listed as something needed for job success and need to be addressed by educators. Work ethic is a cultural norm that advocates being personally accountable and responsible for the work that one does and is based on a belief that work has intrinsic value (Hill,R.B. and Petty, G.C., 1995).Ethics refers to the study of whatever is appropriate, right and good for humans (Donaldson and Werhane, 1993). It is the application of moral values and codes to complex problems using a rational decision-making process (Churchill, 1982). Moral values and codes are the comprehensive and abstract principles that govern human conduct in a given situation (Buller et al., 1991). As such, ethics is concerned with how individuals apply these moral values and codes when facing an ethical dilemma.

According to the North Central Regional Educational Laboratory, Cultural norms are behaviour patterns that are typical of specific groups. Such behaviours are learned from parents, teachers, peers, and many others whose values, attitudes, beliefs, and behaviours take place in the context of their own organizational culture. Cultural norms often are so strongly ingrained in an individual's daily life that the individual may be unaware of certain behaviours. Until these behaviours are seen in the context of a different culture with different values and beliefs, the individual may have difficulty recognizing and changing them. Some norms are healthy and some are not. Some contribute to the betterment of individuals, families, and communities. Like other cultural norms, a person's adherence to or belief in the work ethic is principally influenced by socialization experiences during childhood and adolescence. Through interaction with family, peers, and significant adults, a person "learns to place a value on work behaviour as others approach him in situations demanding increasing responsibility for productivity" (Braude, 1975, p. 134). Based on praise or blame and affection or anger, a child appraises his or her performance in household chores, or later in part-time jobs, but this appraisal is based on the perspective of others. As a child matures, these attitudes toward work become internalized, and work performance is less dependent on the reactions of others. Children are also influenced by the attitudes of others toward work (Braude, 1975). If a parent demonstrates a dislike for a job or a fear of unemployment, children will tend to assimilate these attitudes. Parents who demonstrate a strong work ethic tend to impart a strong work ethic to their children.

Braude further states that socialization that occurs in the workplace is another significant factor in shaping the work attitudes. As a person enters the workplace, the perceptions and reactions of others tend to confirm or contradict the work attitudes shaped in childhood. The occupational culture, especially the influence of an "inner fraternity" of colleagues, has a significant impact on the attitudes toward work and the work ethic which form part of each person's belief system.

Culture and Attitude

According to Guiso L., Sapienza P. & Zingales L. (2006), Culture is defined as those customary beliefs and values that ethnic, religious, and social groups transmit fairly unchanged from generation to generation. Through the invisible bond, culture ties the people together. People's lifestyles and moral manifest their culture and that of their communities.

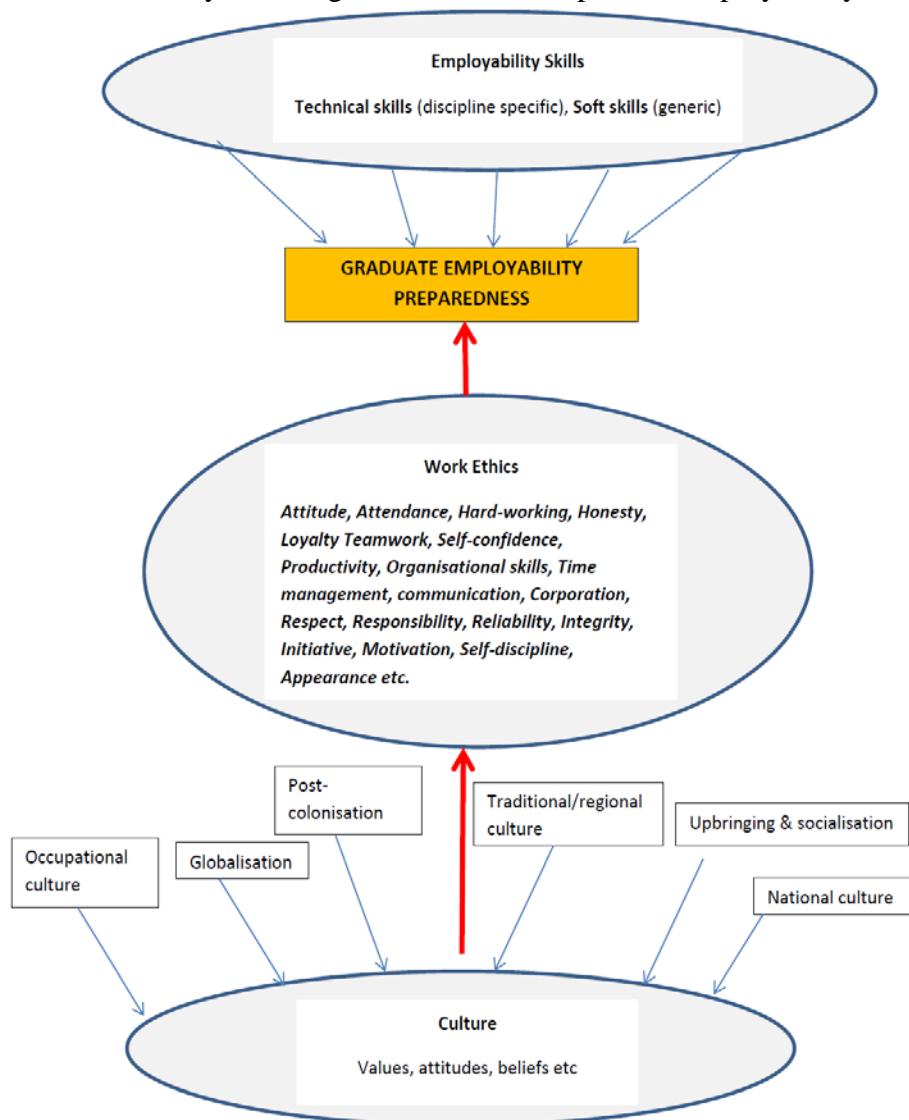
Culture constitutes 'patterns, explicit and implicit, of and for behaviour acquired and transmitted by symbols, constituting the distinctive achievements of human groups' (Kroeber and Kluckhohn, 1952: 13). Culture gives an individual a unique identity. The culture of a community gives its people a character of their own. Culture shapes the personality of a community. Hofstede (1984), claims that 'people carry "mental programs" which are developed in the family in early childhood and reinforced in schools and organizations, and that these mental programs contain a component of national culture'. According to Poortinga (1992), national culture places boundaries on human behaviour by defining acceptable and unacceptable behaviours. National culture is 'the collective programming of the mind which distinguishes the members of one human group from another (Hofstede, 1980). National culture to be related to ethics because national culture creates barrier conditions for behaviour and as such should influence individual ethics. The different sets of values, beliefs, ideas, attitudes and morals that are ingrained in the national culture guide individuals in terms of what are acceptable and unacceptable behaviours (Vitell et al., 1993). As such, national culture should influence ethics in influencing the perceptions that some behaviours are desirable and others are undesirable. Furthermore, national culture dimensions can also create conditions whereby certain egoistic values are encouraged (Cullen et al., 2004). According to the Kartha, D.,(2012) "culture is a learned pattern of behavior, and is a way in which a person lives his life. It is an integral part of every society, and creates a feeling of belonging and togetherness among the people of that society. Culture encompasses various aspects of communication, *attitude*, etiquette, beliefs, values, customs, norms, food, art, jewelryclthing styles, etc". It can therefore be said that culture shapes individual's mindset and attitude.

Psychologists define attitudes as a learned tendency to evaluate things in a certain way Hockenbury, D., & Hockenbury, S.E. (2007). This can include evaluations of people, issues, objects or events. Such evaluations are often positive or negative, but they can also be uncertain at times. Attitudes can also be explicit and implicit. Explicit attitudes are those that we are consciously aware of and that clearly influence our behaviors and beliefs. Implicit attitudes are unconscious, but still have an effect on our beliefs and behaviors. Attitudes form directly as a result of experience. They may emerge due to direct personal experience, or they may result from observation. Social roles and social norms can have a strong influence on attitudes. Social roles relate to how people are expected to behave in a particular role or context. Social norms involve society's rules for what behaviors are considered appropriate Smith, E.R. & Mackie, D.M. (2007). Attitudes can be learned in a variety of ways like, through Classical Conditioning (an association of one event with another that results in a pattern of behaviour), Operant Conditioning (learners must make some response before their behaviour is reinforced or rewarded) and Social Learning Theory (individuals adopt their own pattern of behaviour by observing and copying or modelling the behaviour of others)

Buch K., Bartley S. (2002). While attitudes can have a powerful effect on behavior, they are not set in stone.

Conceptual Framework

The framework has been conceptualised by the researcher based on the literature that has been reviewed. Culture is influenced by different forces, for example traditional/regional culture, upbringing socialisation, national culture, occupational culture, globalisation, and colonisation. According to Kartha, D.(2012), culture encompasses among others, attitude, beliefs and values, all of which impacts deeply on one's attitude toward life. Work is a critical component of one's life and ultimately this reflects one's work ethic. For a graduate to be adequately prepared for work, they must be in possession of both technical (job-specific) skills and soft skills. Examples of critical soft skills are similar to those stipulated in the work ethic. Then only can the graduate be said to possess employability skills.



Work Ethics in Botswana (Past & Present) & attempted solutions

According to Makgala (2013) lately Botswana have been painted as having an appallingly lax work ethic. However it is acknowledged that traditionally they worked hard, particularly when providing labour for traditional activities that did not involve monetary payment, such as weddings and funerals. Actually during the pre-colonial Botswana's

traditional regimental system projects, such as the building of schools, churches, dams, roads and other 'public works' were carried out communally. Botswana took pride in the hard work and the ethos of community self-help and self-reliance that they fostered (Madisa, 1980). Contradictory Botswana are said to lack the necessary discipline to work industriously when it comes to paid work. According to Tabulawa (2006), Traditionally, Botswana are great cattle farmers and in spite of environmental constraints, dedicated arable farmers as well. It is therefore not surprising that many Botswana 'moonlight' at their formal places. Some simply get to the office just to hang their jackets on their chairs and leave for the cattle post and/or lands. And it isn't that when they get to the cattle post they lie in tree shades and give orders to their herd boys. They do the hard work. These are the very same people who under-perform at the office.

In the 1930 and 1940s, the British colonial administrators raised the issue of poor work ethic, which according to them was adversely affecting the administration of tribal affairs (BNARS, 1950). The work ethic problems were drunkenness, irresponsibility, neglect of duty, misappropriation of hut-tax and other tribal moneys, serious internal disputes, lack of punctuality, productivity, lack of sustained effort and a high degree of expectation and dependence on the colonial government by the people. The work ethic problem persisted even after Botswana got her independence. Daniel Kwelagobe, then the minister for public service and information, on several occasions between 1976 and 1979 'called for the development of a localised efficient, loyal, courteous and well-disciplined service'. He complained that there are far too many cases of public officers involved in misappropriation of funds, absence without leave, drunkenness, Lack of productivity, attributed to low morale, was manifested in a lack of punctuality and leaving work early, as well as truancy, drunkenness and resignation of qualified locals from the public service, resulting in vacant places which government had difficulty filling quickly". According to Kwelagobe the twin issues of indiscipline and generally poor work ethic within the public service were part of a larger problem experienced by almost all sectors of the population in Botswana. In 1981 at a Botswana Civil Service Association(BCSA) annual general conference in Kanye, President Masire addressing productivity said "the blame was laid squarely on supervisors, who were accused of failing to confront their juniors when they, for example, spent too much time outside their offices. Issues of civil servants' attitude toward their work and dependency on government were also raised. The problem of being 'busy doing nothing except chatting to friends whilst others were busy overworked' was raised by Professor John Turner in 1982 at a BCSA in Maun.

Botswana Government has addressed the problem of inefficiency in the workplace in different ways. Firstly in 1995 the government established the Botswana National Productivity Centre (BNPC) in Gaborone. BNPC's main purpose was to address poor work ethic. Later, 'Organization and Methods' (O and M) with the aim of facilitating the establishment of clear goals and objectives by ministries and departments was introduced. This was soon followed the 'Work Improvement Teams' (WITS) programmes. Not much later was this too followed by the 'Performance Management System' (PMS), whose primarily purpose was to address general wastage of public resources, poor involvement of the public in decision-making and poor implementation of development plans. All these did not yield much success and in 2006, President Masire lamented that they "certainly have not solved the problem". There has been a lot of pleading over the years by various head of state about Botswana poor work ethic and lack of self-reliance.

Challenges in Tertiary Educators in Botswana

One of the goals of education is to prepare young people to participate in paid work; as employees or self-employed (Harvey L. 1999). With constant changes in the global

market, nature of work and skills, educators need to keep up with the pace in order to produce quality and relevant graduates. A consultative process of an assessment of skills development in Botswana revealed that the skills gaps do exist in a number of areas due to weaknesses in terms of training (Siphambe, 2008). Employers prefer foreign workers to local ones which could be a manifestation of lack of relevance, efficiency and effectiveness in the training system. The programme is weak in terms of practical experience, the syllabus is not flexible, and industry participation in training is very minimal making the program less relevant for the labour market. According to BOTA (2010), there is need for detailed information on skills gaps and skills shortages in order to align education and training provision with the demands of the labour market (BOTA, 2010). NDP10 also identifies the challenge of training high quality graduates with skills relevant to the country's economic and social development and ability to compete in global labour markets. Part of the RNPE strategy is aimed at: *i.* quality education and training with emphasis on equipping learners with skills to enable them to enter into self-employment and provide an opportunity for lifelong learning, *ii.* Knowledge, skills, values and attributes in a form that prepares learners for changes in the world around them, for the world of work and life-long learning, *iii.* Equitable lifelong education and training that is relevant and responsive to the rapid technological development and the changing socio-economic environment, and that produces knowledgeable, skilled enterprising and independent individuals.

Conclusion

This research seeks to find out where culture contributes negatively to work ethic in Botswana and to identify how tertiary educators can intervene in an attempt to bridge the skills mismatch gap with regard to work ethic in preparing graduates for global competitiveness. The Research Objectives are to investigate influence of culture on work ethic in Botswana, examine globalization's impact on the industry's expectations on graduates' employability and work ethic, and give recommendations on how tertiary educators can enhance graduates preparedness on employability and work ethic. The Hypothesis of the research is that "culture in Botswana negatively influences attitude to work resulting to poor work ethic among Botswana". Due to the broadness of culture and limitations of time and finances, this research will only focus on the "up-bring socialization and occupation (workplace) socialization. Interpretive philosophy will be adopted and Interviews and questionnaires will be used as tools for data collection. Microsoft Excel functions, tables and charts will be used to analyze and present the data.

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THE IMPACT OF GLOBALISATION ON THE DEVELOPMENT OF TOURISM WITHIN SOCIAL AND ECONOMIC CHANGES

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Abstract

The paper provides a conceptual definition of the process of globalisation from different aspects and in the context of causality with dimensions of microenvironment and macro environment. The focus is on examining the intensity of impact of specific global trends on structural market changes in tourism demand within the macro environment at the level of demographic, cultural, political, technological and physical dimensions, and relations with the competition, which is a prerequisite to development of new trends in tourism. The viewpoints of numerous theoreticians engaged in this area which corroborate the main idea of the paper were taken into account. Globalisation and its effects overlap with various fields; therefore, the methods of explanation, description, and comparison were used in the research. The secondary research was conducted regarding the impact of technological changes on new trends in consumer behaviour in the tourism market, whereby the selected emitting markets in Europe were analysed in terms of intensity of application of innovative tools. Globalization-induced changes in the environment give impetus to new trends in the tourism market which are evident in the emergence of new needs, behaviour of potential tourists and their preferences with regard to the choice of tourism products for which they show more or less interest.

Keywords: Globalisation, environment, global trends, changes, tourism market

Introduction

Globalization as a process of economic, social, cultural, and political activities crosses national boundaries and affects tourism. ICT acts as a catalyst due to faster transfer of information and increased networking activity that amplify the effect of globalization. Owing to globalization, the world has become a „global village“, and these changes affect people both at local and global level.

The features of the globalization process

Globalization is in the focus of scientific debates whereby different authors consider it as a response to neo-Marxist theory of the world system (Wallerstein, 1974, pp. 86), to the theory of dependent development (Cardoso and Faletto, 1969, pp. 28), and to imperialism (Amion, 1977, pp. 27). Modernization theory (Parsons, 1991, pp. 18) optimistically believes in the possibility of the Third World development, which is the starting point for Robertson's comprehensive theory of globalization (Robertson, 1992, pp. 28). According to Robertson, the theory of globalization is an analytical scheme which can serve as a basis for reflecting on and describing phenomena with supranational meaning. Globalization is the process of economic, social, cultural, and political activities that cross national boundaries (Robertson, 1992, pp. 24). According to the same author, globalization is analysed through many aspects:

economic-geographical, ICT, universal values, global cultural industries, polycentric world politics, global poverty, global destruction, and trans-cultural conflict.

In the context of consumer culture and interdependent financial markets, Mazarr defines globalization as faster sales, improved telecommunications, and increased global availability of media provided by new ICT. In the context of globalization, Mazarr reflects on natural resources, cultural changes, bigger cities, and development of technology (Mazarr, 2005, pp. 74). The author explores the sustainability of natural resources in relation to the size of population, and discusses the issue of availability of food, water, and energy.

Although it is assumed that trade liberalization should bring long-term benefits to countries involved in the globalization process by specializing in activities in which they have comparative advantage, Sugiyarto, Blake and Sinclair point out that a number of problems may occur, such as a balance of trade deficit as consumers purchase increasing quantities of cheaper imports, then a government budget deficit since the government receives less revenue from lower tariffs, and finally negative impact on the distribution of income and levels of welfare of local population, especially the poorest households. (Sugiyarto et. al., 2003, pp. 684). The same authors analyse the effect of globalization on tourism in Indonesia, and conclude that its combination with tourism doesn't necessarily have negative impact on local economies. They also point out that globalization and foreign tourists can reduce prices and increase foreign exchange and local offer, thereby stimulating further development of production. With increased tourist expenditures, globalization had positive impact on macroeconomic trends and welfare of population. (Sugiyarto et. al., 2003, pp. 699).

Knowles, Diamantis i El-Mourhabi (Knowles et al. 2001, pp. 76) consider the impact of globalization on tourism through global economic and demographic trends. Smeral (Smeral, 1996, pp. 112) analyzes the effects arising from the impact of globalization on tourism through its influence on competitiveness and tendencies to connect entities in the tourist market whose goal is larger profit by increasing revenues and reducing costs. There is still no particular global product for all markets in which a tourist company would operate because of differences of potential consumers regarding: the travel experience, level of education, level of cultural awareness and influence of tradition, and hierarchy of priorities.

Buhalis and Costa think that the success of tourism will in future be based on connection and compatibility with other branches, and from the aspect of dynamics of process and causality of impact, that parallel is monitored in the segment that corresponds to the changes in demographic features of demand (Buhalis, Costa, 2005, pp 28). One of key arguments in favour of future success of tourism relates to the necessity of understanding the critical trends and using their positive effects while at the same time neutralizing or avoiding the negative ones. For example, the aging of world population and active lifestyle of older generation create new market segment. Changes in consumer behaviour of younger generation shouldn't be neglected as better economic situation, employment and income allow them to actively participate in tourist movements and introduce changes in preferences focusing on new products and active participation in their creation. On the other hand, intensive changes in the physical dimension of macro-environment (like fear of greenhouse effect and pollution) directly affect new trends in tourist behaviour who choose destination with safe, eco-friendly products, thus affecting new travelling trends and new motives that will lead to new innovative products.

The analysis of effects of global trends at the level of macro-environment, their impact on making relations more dynamic in the tourist market and emergence of new development trends

Globalization will be analysed in order to test the hypothesis stating that the globalization in the tourist market will be manifested through quantitative increase in the tourist demand market, leading to its further strong structural changes.

Pursuant to the above mentioned, the paper defines the basic **hypothesis H**:

Globalization, manifested by quantitative increase in tourist demand market, at the macro-environment level functions as a catalyst for further structural changes of that market, which is the impetus for new trends in tourism development.

To test this hypothesis general methods of scientific research were used: analysis, synthesis, comparison, historical methods, generalization, and description. Secondary research was conducted. Starting point was a sub thesis stating that global trends affect the quantitative increase in tourist demand market, while simultaneously at the level of macro-environment rapid changes occur and affect strong structural changes in tourist demand, thus initiating new trends in the development of tourism. According to the paper hypothesis, the impact of global trends on tourism can be analysed with regards to the following: 1. Demographic changes, 2. Impact on environment, 3. Cultural changes, 4. Political changes, 5. Competitiveness in the tourism market , 6. Technological changes.

Demographic changes

Demographic trends that have dominant impact on global economic flows are evident through the aging population and important share of elderly people in developed countries due to the development of medicine (Siegel, 2001, pp.42), and through the increased birth rate with a slight tendency to reduce in parts of Africa, Asia, and South America where population growth is difficult to control. Mazarr points out that in the USA and other developed countries of the Western world changes occur at the family level in terms of more single parents, more postponed marriages, and higher divorce rate (Mazarr, 2005, pp. 21). Developing countries record higher birth rates, and their population is rapidly growing, reaching the number of 7 billion people on the planet. Aging population“ has a strong influence on tourist demand, as well as the fact that young people postpone marriage, which allows them to travel more when they are younger.

Older age population will continue to increase in developed countries, and their impact on changes in society will be increasingly important. (Ronald, 2003, pp. 170). Aging of population will in the short term have positive effect. This means that older people will be healthier and will benefit more from early retirement, and they will have financial resources to spend on trips they didn't have time for in earlier stages of life. However, in the long term there is a high probability for reduced value of pensions and increased retirement age to help finance the growing number of retirees per employee. Although this population will have impact on increased demand for health and medical services, they will also show special interest in cultural activities and services typical for this type of tourism (Williams et al., 2000, pp. 30). The emphasis should be on developing programmes for the elderly and adapting to their needs and motives. The opinion is that the growth in the number of pensioners could affect the tourist market in 3 ways (Vuković, 2006, pp. 37): (1) seasonal trips to Europe will lose their importance as this part of population is not limited to holidays; (2) the prices will be more flexible as pensioners can adapt to the trip duration; (3) increased importance of tourist trips at the expense of business ones because most Europeans older than 60 are no longer employed full-time. Although older population will be significant due to their number, there are trends that are relevant for younger population. People younger than 35 are now making substantial market share (Richards and Wilson, 2005, pp. 40), and in this

part of population there are changes significant for tourism. This group belongs to a one-person household, while using social networks and making global contacts. Ultimately, this leads to more cross-border and overseas trips by the population aged between 16 and 35. Since younger people have busy work schedule, and they are under pressure due to strong competition in the labour market, they have less free time, therefore short holiday trips with organized offseason events are appealing to that market segment. This market segment shows interest in the standard offer, but they are also interested in the active form of vacation through “experience” and various attractive forms of adventure tourism. As a result of these developments global tourist demand will rapidly grow in the decades to come. Older generation with secure lifestyle, savings, and few commitments will form much of a tourist market. Thus, product placement and production will have to be adapted to their needs to make their stay as pleasant as possible. At the same time, lower birth rate means better progress in the poor regions, and it is likely that developing countries could become emitting and not only receptive (Richards and Wilson, 2005, pp.41). It can be concluded that the fragmentation of the tourist market will be evident through the process of stratification of tourist demand in sub-segments and market niches according to the criteria of socio-economic features.

Impact on environment

In the past decades significant ecological changes occurred and are reflected in the climate and environment changes. Hence, consumers turn to the “eco” and natural values.

Changes are not the same in all areas. In developed countries there is a tendency to reduce air pollution, deforestation, and the use of natural resources per unit of GDP, while in the less developed countries the reverse process occurs (Mazarr, 2005, pp. 43). While in the north of Europe there is increased precipitation, it is reduced in the south. Global warming leads to expanded mountain glaciers, and to more forest fires, which reduces their presence in Europe. (Seneviratne et al., 2006, pp. 206). Also, NGOs and governments finance media promotion of eco and social responsibility. (Adger, 2009, pp. 389).

Climate changes point to new possibilities and needs. We can assume that the inhabitants of north-western Europe (Great Britain, Scandinavia, Germany, and Switzerland) will continue the tradition of travelling abroad more than inhabitants of southern Europe. Changes in tourism go in the direction of increased number of offseason trips, and the opinion is that summer destinations are to become popular in winter. (Smeral and Weber, 2000, pp. 991). Some authors think that a tax on GHG emissions will increase, which might make air travel more expensive and thus the cost of cross-border and overseas trips might also increase. (Scott et. al., 2010, pp. 395). Although media present fear of global warming, extinction of species and endemic plants, and soil devastation, Mazarr as futurist says that it is not certain that these threats would happen to such extent. (Mazarr, 2005, pp. 48). He claims that we will certainly face a series of disasters with limited geographic and temporal influence, but with significant consequences on our environment. Such disasters might have a big impact on the availability of water, food, and energy (Mazarr, 2005, pp. 60).

Tourism has lower impact on the environment and pollutes less than other activities. However, the direct and indirect effects of tourism on environment are great, and can be destructive for natural resources (Taylor and Stanley, 1992, pp. 341). Environmental awareness, importance of relaxing vacation, and possibility for various activities emphasize the attitude that entities in tourism like tour operators will have to make a serious market analysis if they want their business to be competitive and profitable. (Čavlek, 1993, pp. 138). Hence, environmental changes are one of the biggest long-term problems for tourism, wherein the negative changes might lead to the “disappearance” of many destinations whose appeal depends on their natural environment with a dominant need to concentrate activities

around natural resources. Strong focus on sustainable development is the basis for developmental continuity of a destination despite the increased cost of additional investment in the preservation of natural resources and despite the need for rational use of resources and area that would provide services and conveniences to tourists. This refers to beaches, coastal areas, areas along rivers and lakes, and infrastructure built for different sports. Besides the features of the existing identity related to natural and other characteristics of the area, tourist product should at all levels integrate additional features (in terms of programme and activities) associated with the distinctive offer while aiming “adjustment” programme at the increased demand.

Globalization has a great impact on the Mediterranean, and it is necessary to take advantage of its elements provided to tourism, which would be achieved with the integration of possibilities into strategies and plans for tourism development. (Trumbić and Povh, 2000, pp. 175). Sustainable development is one of the basic prerequisites for further development of tourism in the Mediterranean since tourism in its current dimensions and forms led to irrational and excessive exploitation of natural resources in some localities. (Briassoulis, 2002, pp. 1068). Due to strong changes in climate and environment, there is an increased awareness of the need to respect nature and its resources, which can be considered a relatively new sociological phenomenon (Farrell and Runnyan, 1991, pp. 28). There is a growing demand for “eco tourism” which creates both greater offer of sophisticated products and negative phenomena such as false “eco” and “natural” products.

Cultural changes

Culture implies all the social legacy of a group of people, community or society, which is materialized through the learned patterns of opinion, feelings, or activities (Previšić and Bratko, 2009, pp. 86). Characteristics of culture are marked by similar behaviour of individuals who, from the immediate surrounding based on perception and learning, adopt the same **criteria of values**, build them into their way of thinking and living, and capitalize them with specific behaviour and activities related to the choice of product and purchase. One of the characteristics of culture is its susceptibility to changes surrounding us, so it is important to emphasize that susceptibility in a longer time frame.

Culture is reflected in a way people spend their time. In developed countries there is a trend to spend more time for fun, which comes from the change in values reflected in the shift from materialism to self-actualization, from quantity to quality, and from passivity to interactivity. (Coates et. al., 1997, pp. 95). Cultural values affect tourism, and new trends emerge and may be used to design new products. Due to the fast lifestyle and intense work there is a need for relaxation – related tourist products. (Parks and Steelman, 2008, pp. 63). Internet has also created cohesion of informal groups linked by common interests and needs met through tourist trips. It is also possible to create highly specialized tourist products that intermediaries can represent as specific travel arrangements, dynamic by their creation, and with programme acceptable to geographically dispersed market segments and tailored to their requirements.

Changes in character and structure of tourist demand are affected by changes in the value system and lifestyle. Striving for experiences encourages tourists to travel. For example, promotion of healthy lifestyle and food fosters ecological awareness noticeable in the balance and harmony with nature. That approach is contained in the concept of sustainable development which must be a part of the development strategy.

There is a tendency towards individual approach to trip organization, where service providers must guarantee the programme quality, and there is also a stronger interest in programmes of those providers whose services are directly or indirectly participating in the creation of new tourist products and their placement. Tourists become “loyal” to the entities

who can meet their specific needs, while providing “authentic atmosphere” and surrounding (Čavlek et. al., 2011, pp. 75).

Political changes

Political changes strongly bear upon the appeal of a destination and travel frequency. When we talk about tourism we could name a lot of key moments that were turning points in tourist movements and trends. New York has been growing in the past four decades (Goeldner and Ritchie, 2006, pp. 16), but the terrorist attack on September 11 was a critical point. Blake and Sinclair argue that mass tourism faced the biggest challenge that day. (Goeldner and Ritchie, 2006, pp. 16). The consequence was a decreased interest in air transport.

Europeans have turned to the land transport that currently accounts for more than 50% of international tourist trips. The number of arrivals in the USA dropped, and some destinations were perceived as less safe or unsafe due to terrorist attacks. The consequence was a drop in stock prices of certain transportation and tourist companies (Blake and Sinclair, 2003., pp. 812).

Demand for a destination is very flexible with respect to political changes, because drastic political events represent a threat for the most important – health and lives. Given the political circumstances, some tourist destinations are perceived as less safe, so safe destinations become more attractive. (Floyda et. al., 2004., pp. 22). This is confirmed in the research conducted by Seddighi, Nuttall and Theocharous who used the sample of 2000 travel agencies to prove the intensity of the impact of political instability characterized by uncertainty in the relation between tourist demand and offer, the course of tourist demand, and the characteristics of tourist offer (Seddighi et. al., 2001., pp. 188).

Competitiveness in the tourist market

Global trends have a great influence on certain activities. Production factors such as natural resources, capital, technology, labour, products and services in global economy move freely with the upward trend in communication speed and movements of people, goods, and services. On a global level and in the long run wage rate will be equalized, which is known as “factor price equalization”. (Thurow, 1997, pp.116). This creates opportunities for transition countries where globalization acts as “creative-destructive force” that drives production factors and distributes them worldwide, thus crossing the territorial and cultural barriers. Globalization uncompromisingly responds to possibilities which guarantee profitability and business prosperity, so from that point of view, with its changes in business, globalization bears upon shutting down of production plants in parts of the world with higher labour costs, and enhances the immediate opening of new plants in countries with lower costs of labour and business. While globalization favours certain actors of the global economy at one point, there are obvious circumstances that create a changing situation due to the possible emergence of new global competitor in a different side of the world.

Like most other industries, tourism is influenced by global competition. Globalization trends strongly affect tourism and result in the following major effects: (1) a sudden increase in potential tourist demand for different destinations and it must be emphasized that tourists looking for experience are not interested only in the “nearby” destinations, but the world becomes a potential destination, (2) competition, which has become very strong, with more destinations competing by adapting their offer to the requirements of potential tourists, (3) SMEs have to fight for survival in the market given the conquering power of global corporations, (4) emphasis on innovation, specialization, and better quality of products and services, (5) increased need for additional capital to finance the necessary investments for future goals and achievements in order to remain competitive in the market, (6) problems for

developed destinations arising from relations with suppliers who are often not heterogeneous and do not apply the quality standards. With the emergence of new destinations in the global tourist market, there is a growing competition among traditional Mediterranean destinations, and among some destinations on a global scale. In the global market, as a result of circumstances in a macro-environment, there is an apparent evolution of needs turned to self-identification, multicultural views, and specific interests that lead to further market division. The reasons for connection and concentration of entities lie in the necessity determined by competitive market conditions and challenging tourist demands. Specific integration combines the interests of tourism entities into a common goal, strengthens the market approach, enables easier product placement, and expands the range of products, which facilitates the adjustment to high criteria of potential consumers, with possible cost reduction and competitive prices.

Technological changes

Technological changes, with their creative destruction, bear the consequences and continue the process of transforming the needs of individuals and entities, as evident in globalization. The needs that have evolved into secondary needs support the evolution of prerequisites which are important for their realization. For the realization of needs it seems necessary to consume products and services that meet customer preferences, and for efficient product placement and achievement of satisfaction the technology is important. Fast socio-economic changes make time an important resource. These changes determine the way of using it by separating free and working time. (Coates, J.J., Mahaffie, J.B., Hines, A., 1998, pp. 435). The way of spending free time reflects specific needs of individuals, regardless of the type of secondary need. Therefore, it can be concluded that time determines the framework of a person's development, and technology as an instrument in human hands can affect efficient time management. In terms of a tourist need as the secondary need, market requires further division of the concept of tourism according to the criteria of specific forms. In such circumstances, the tourism entities that will customize their offer to respond to market trends will be competitive. The technology "tailored for tourists" will be responsible for efficient product placement. Apart from innovative solutions and applications, Mazarr points out that the advantages of internet are easy transfer of knowledge, bonding and strengthening of relationships in groups with similar or same interests, beliefs, hobbies forums, socializing, and interactive approach (Mazarr, 2002, pp. 3–7). Technological changes are visible in three directions: radical change of existing industry, development of new industries, enhancing the growth of industry, enhancing the growth of markets and industries that are not directly related to new technology (Previšić, Bratko, 2009, pp. 98). Buhalis analyzes the impact of modern technology from three aspects (Buhalis, Law, 2008, pp. 629 – 623): technological innovations in general, their impact on tourists and tourist demand, and their impact on business. Technological progress and tourism are connected through their exponential growth visible in the past fifty years (Poon, 1993, pp. 62). ICT has affected the global development of tourism which has changed business practice and development strategies (Porter, 2001, pp. 68). Three new systems that have dramatically changed tactic and strategic business are the following: Computer reservations system, Global distribution system, and Internet (Buhalis, 2003, pp. 98).

Technology links the world into global electronic market as Internet changes the way customers decide on purchasing goods and services. Discovery of new ideas exponentially grows. Thus, the technology that has rapidly developed in the 20th century can expect even faster growth in the 21st century. "Distance disappears" with new technologies and mobility of tourists increases. Globalization is possible owing to technological changes, and ICT functions as a catalyst of changes in the surroundings, and it has a strong influence on tourist

trends. ICT contributes to spatial and temporal convergence. Innovative approach and new business techniques are evident in the creation, distribution, and information on tourist products.

Since the Internet and modern technology, with more accessible information, have drastically affected everyday life and business, they directly and indirectly affected the creation of tourist products and the efficient placement which implies new and acceptable booking, promotion and sales. Innovative entities are those that follow trends, implement new technologies, educate their employees and stress the importance of timely response to tourist demands. ICT changed the way of doing business and introduced an innovative attitude in business from its conception to implementation. Competition in the global, macro-level increasingly affects destinations, making them innovative in product creation and communication through advertising and distribution. The emphasis must be on reallocation of resources and knowledge to meet tourist requirements as much as possible so as to obtain value-added transaction. (Buhalis, 2000., pp. 99). Development of new technologies will lead to greater efficiency and reorganization of communication strategies and business of service providers. (Frias, Rodriguez and Castenada, 2008, pp. 165). Thereby, better efficiency, interoperability, personalization, and networking of market participants are achieved. Efficient time management is key to competitive position in tourism, and the application of new technologies in all business segments facilitates activities that are prerequisite to coordination of tasks and performance of functions, with particular importance of contribution to the segment of business activities and efficient task performance through the partial sum of performed activities that contribute to overall business. Technological innovations may be the source of competitive advantage for entities in the market that base their business strategy on continuous use of technological advances, while those who do not adopt new technologies and innovations will lag behind competition.

Graph 1 shows the trend of online service users in selected emitting markets in Europe in the period from 2000 to 2012. In 2000 the share of users was rarely higher than three fifths, while in 2012 the situation changed, so most countries record more than three fifths of online service users. According to the number of users who show interest in this type of communication and who are leading in transactions, countries that stand out are Denmark, Finland, Netherlands, and Sweden with more than four fifths of users in the population. These are countries with high living standards, which show IT awareness and continuous education with the purpose of applying new technologies perceived as necessary to achieve better results and competitive position in all fields of work and even among branches in business.

Graph 1. Movement dynamics of online service users in selected emitting markets in Europe in the period from 2000 to 2012.



Source: Made by author according to <http://www.newmediatrendwatch.com/statistics>

According to the research results¹, although French tourist market is dominated by tourist movements within the emitting market, the potential of travelling abroad should not be neglected. The trend of online participants records growth from 10% in 2000 to 70% in 2012. In France, the percentage of online users was 77.2% in 2012. In Germany, the percentage of online users was even greater – 87% in 2012. This huge interest that has doubled in the past decade supports the fact that population recognized the importance and benefits of innovative tools. Out of 372 million unique visitors in Europe, German population accounts for 50 million unique visitors.

In the UK the share of households using internet increased from 2/3 (63%) in 2006 to almost 3/4 (73%) in 2009 and to 84% in 2011. 85% of internet users in the UK in 2012 is a significant figure, while at the same time there were only 16% of adult absolute non-users. Internet users are of different socio-economic and demographic features in terms of age, salary, residence. Given the demographic features, most internet users are aged between 16 and 24 and they account for 99% of user population or 7 million users.

According to the Internet World Stats over 81% of the population in Belgium are internet users. In 2010 about 73% of households in Belgium with at least one person aged between 16 and 75 have internet access. That is an increase of nearly 6% compared to 2009 and 23% compared to 2005. 49% of internet users aged between 16 and 74 use internet for purposes of tourism, out of which 50% are men, and 48% are women. 45% of internet users shop online, out of which 26% book travel arrangements, 36% book accommodation, 26% book travel tickets, while 37% book tickets for various events and concerts.

In Netherlands there are 90% of Internet users in the population. With over 12 million out of the total number of 372 million unique visitors in Europe in 2012, Netherlands is the most frequent and the most dynamic population according to the number of trips with over 78 visits per person per year as a reference period, which is 20 times more than the European average per month.

In Norway there are more than 97% of Internet users. In terms of frequency of use, there is almost no difference between genders, while almost entire younger population regularly use internet. It is also noticeable that people older than 65 regularly use internet in everyday activities, such as reading the daily newspapers, using it as a source of information, and booking various services. Other Scandinavian countries have a high proportion of internet users. Sweden has 93% of internet users (Statistics Sweden). In 2004 the share of users was 79%, while in 2012 it increased by almost 12%. One person in nine uses internet almost every day and there is almost no difference between age groups. The level of education significantly affects the intensity of using internet. Independent travellers with higher education use internet more often. In Sweden 49% of independent travellers aged between 16 and 74 use internet as adequate source of information and to book a number of services, including accommodation. About 31% of independent travellers aged between 16 and 74 use internet to plan the trip.

The use of websites clearly indicates that in the period of mass communication and globalization the responsibility for further development of a country partially lies in the access to information and perception of a country in terms of the interested potential outside markets (positioning), which is realized by means of facilitated exchange among countries that thus cede ideas and innovative solutions.

In Finland there are almost 88% of Internet users. There is almost no difference among internet users with regard to their gender, but differences are significant when it comes to the reasons for using, whereby men use internet mostly for business, sales, purchase, while women use it informally for social communication, etc. Finns consider

¹ <http://www.newmediatrendwatch.com/statistics>

internet the most acceptable source of information when planning independent holidays. For this purpose 67% use internet, 49% rely on personal experience and 43% use travel agency services. One third of respondents (39%) rely on recommendations given by friends and family as the most acceptable source of information, 35% use brochures and printed magazines, 4% use social media, 13% use newspapers and periodicals. 40% of respondents book online, 20% book excursions on the website of a travel agency (Statistics Finland). Tourism services, museum tickets, travel tickets, and tickets for various events are generally bought online, and performances of new technologies with the introduction of smart phones, iPods, and tablets are complementary to the service quality and provide easy access to information which is a precondition for efficient product and service placement.

Research results, evident within global trends at the level of macro-environment, indicate that the process of globalization in the market affects structural changes in tourist demand in the following way: demographic changes, changes in natural environment, cultural changes, political changes, changes in business within global and technological competitiveness. Based on the elaboration of impact of globalization on the tourist market, it can be concluded that there is enough evidence that globalization, manifested in quantitative increase of tourist demand, functions at the level of macro-environment as a catalyst for further structural changes in the tourist demand market, which fosters the emergence of new trends in tourism. The hypothesis of the paper is thereby accepted.

Conclusions on the strength of impact of global trends

By analyzing the effects of global trends at the level of macro-environment, the trends that affect further structural changes in the tourist demand market are the following:

Demographic changes and related trends are apparent through the specific tourist movements according to the criteria of direction, intensity, and frequency of visits to a destination throughout the year, hence the need for innovative tourist products by the criteria of programme, i.e. services and prices. Since mass market is individualized, all service providers will have to offer specific and acceptable programme for market groups. Within these groups, i.e. sub-segments of market niches, consumers will show similar preferences and a tendency for specific and homogenous behaviour while requiring a certain level of product quality.

To track **changes in the natural environment** the following procedures for monitoring development indicators should be implemented in the analysis: monitor correlation between variables of eco awareness and urban planning, monitor the level of exploited natural resources per unit of GDP with the possibility to use alternative, substitute resources and energy-generating products, which directly boosts innovations. The mass concentration of tourists in certain areas in the time-determined, short periods throughout the year results in the excessive use of space which challenges its development continuity. The concept of sustainable development becomes an integral part of strategic planning in tourism. Marketing activities in a destination must incorporate specific spatial features as they are a prerequisite to competitiveness of a destination and they foster efficient placement. Along with the continuity of sustainable development, the issues that should be taken into account are rational use of resources, their optimal combining, harmonization of space according to the appeal and acceptability of ambiance, active implementation of land management policies, and environmental preservation.

Cultural changes leave trace at the level of confronting global cultural identity and specific interest of potential consumers. In the tourist market there is a visible shift in preferences from standard products based on genuine natural elements in the destination (sea, sand, sun) to specific tourist products, with additional efforts invested in activities that are concentrated around anthropogenic factors in the destination.

Political changes and disasters caused by human factors result in uncertainty which makes a destination less appealing to potential tourists. Studies show that safety represents one of key factors by which tourists choose a destination.

Bearing in mind that today's companies operate in the circumstances of the so-called **global competitiveness**, still it is impossible to define a global tourist product due to different demographic features of tourists, fluctuation in the number of trips throughout the year, different levels of experiences gained during the trip, and uneven quality of provided services that partially contribute to the overall competitiveness of a destination.

Globalization is largely possible owing to technological changes. ICT is a catalyst of changes in the environment and has a strong impact on tourist movements. ICT contributes to **spatial – temporal convergence**. Innovative approach and new business techniques implemented by entities in tourism particularly come to the fore in the creation, distribution, and information on tourist products.

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HOW INTERPRETING BUSINESS PRINCIPLES THROUGH THE LENS OF “NEW SCIENCE” CAN HELP SOCIAL ORGANIZATIONS RESPOND TO GLOBAL AND LOCAL THREATS AND OPPORTUNITIES WHILE PROTECTING THEIR GOALS AND VALUES: A HEALTH CARE EXAMPLE OF SCIENTIFIC HUMANISM, COMPLEXITY, AND IMPLICATE ORDER

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Abstract

Canadian governments and their publically-funded health authorities are under increasing pressure to provide timely and quality services to a growing and aging population. They are also expected to use business principles and tools to make the health care system more efficient and to reduce costs through innovation and change. Business principles such as strategic planning, process re-engineering and improvement, balanced scorecards for performance measuring and reporting, and systems design and optimization are based on scientific concepts that can be traced back through Taylorism of the early 1900s to the Industrial Revolution to early discoveries in mathematics and physics. As well as employing science-based business practices in order to increase the efficiency of the health care system, health care leaders must also employ social values in order to be patient-centered. These social constructs are based on humanistic versus mechanistic principles. How, then, can the health care system achieve its social goals if the business principles it has come to rely on may actually be contrary to its patient-centered values? Viewing health care leadership and management through the lens of “New Science” can help reconcile these seemingly contrary philosophies. “New Science” takes scientific management concepts beyond Newton, Taylor, and Einstein and employs a systems and ecological view of life in health care organizations. “New Science” goes beyond quantum mechanics and includes uncertainty and unpredictability, complementarity, semantic and chaotic infinite complexity, non-linear adaptive feedback networks, and wholeness and implicate order.

Keywords: “New Science” Business Healthcare

Introduction

The purpose of this paper is to use “New Science” as a lens through which to view the business principles required for meeting the innovation and change challenges in Canadian health care and to determine in what ways “New Science” can help make sense of these challenges. These challenges are in response to new realities, to new knowledge, and to increasing demands for improvements from the organization’s internal and external environments. The paper includes literature on organizational theory and its scientific beginnings and literature explaining “New Science” theory, complexity theory, and chaos theory. The review then addresses literature on the organizational elements of “New Science” including complementarity, uncertainty, and wholeness and implicate order.

Organizational theory and science

Capra (1982) described how science and Sir Isaac Newton's theory of the universe and the belief in the rational approach to human problems in the eighteenth century were central to the "Age of Enlightenment" (p. 68). The logically empirical and linear solutions provided by Newton's science found their way into the scientific management of many different types of organizations, including many business and management practices used daily by Canadian health administrators. Promoters of the science of administration claimed to have found a rational basis for human decision-making and a value-free technology for increasing the effectiveness and efficiency of organizations (Greenfield, 1986). The challenge for Canadian health care organizations and administrators is to determine how to apply science-based business principles as they strive for productivity improvement through innovation and change while protecting their patient-centered social principles upon which their missions, visions, and values are based.

Science has now progressed well beyond Sir Isaac Newton. The discovery of evolution in biology forced scientists to abandon the "Cartesian" (Capra, 1982, p. 57) conception of the world as a machine. Instead, the universe had to be viewed as an evolving and ever-changing system in which complex structures developed from simpler life forms. Evolutionary concepts also emerged in physics. However, whereas in biology evolution meant a movement toward increasing order and complexity, in physics it came to mean just the opposite – a movement toward increasing disorder; something the laws of thermodynamics addressed with the concept of entropy.

Although physicists debated when they replaced Newton's concepts of gravity with Einstein's principles of relativity, physics may now be converging on what the science refers to as a "unified field theory of everything" (Greene, 2003, p. 16). This area of science is called "New Science". "New Science" includes the concepts of quantum mechanics, complexity theory and chaos theory, uncertainty and probability, order and disorder, indeterminacy and unpredictability, complementarity and relationships, string theory, multi-dimensions, and interconnectedness. Complex, uncertain, and unpredictable and relying on complementary and interconnected relationships describes well the Canadian health care environment.

The science of Copernicus, Descartes, Locke, Bacon, and Newton were applied to management and administrative theories by authors and practitioners such as Taylor, Simon, and Halpin (Greenfield, 1986). Similarly, the philosophies of the "New Science" can be used to help discover how organizations work, how organizations can change, and how organizations can be simplified (Wheatley & Kellner-Rogers, 1996). The metaphors provided by the philosophy of "New Science" can help one understand both resistance to change and the novel new order that can emerge through chaos and unpredictability. Few public sector, or, indeed, private sector organizations are under pressure to change and to use mechanistic business principles to produce efficiencies and cost savings as are health care organizations.

Defense of a New Science

Canadian health care has as its primary purpose the care and health of people and the community. Despite this humanistic mandate, health authority administrators are required to use evidence- and objective-based scientific management and business methodologies and tools on a daily basis. Much has been written against the use of these modernist, positivist, and scientific management concepts in administration (Dolmage, 1992; Greenfield, 1993; Kendell & Byrne, 1977). "New Science", however, may suggest ways in which new scientific metaphors might address some of the scientism and humanism concerns raised by authors of critical theory and postmodernism, which may help inform the "business" of health care.

When describing the evolution of the philosophy of science, and how post-Enlightenment scientism and modernism has created many concerns about the human condition, postmodernists used a definition of science limited to Newtonian-based linear mechanisms. It is this apparent conflict between the mechanistic business principles that drive certain aspects of health care administration and the fundamental humanistic *raison d'être* of health care that can be reconciled with “New Science”.

“New Science” includes the concepts of quantum theory and beyond. Bohm (1980) argued that quantum theory is the most basic way available in physics for understanding the fundamental and universal laws relating to matter and its movement. It must be given serious consideration in an attempt to develop an overall worldview. In quantum theory, there is no consistent notion at all of what the reality may be that underlies the universal constitution and structure of matter. If we try to use the prevailing worldview based on the notion of particles, we discover that the particles, such as electrons, can also manifest as waves, that they can move discontinuously, that there were no laws at all that apply in detail to the actual movements of individual particles and that only statistical predictions can be made about large aggregates of such particles. If, on the other hand, we apply the worldview in which the universe is regarded as a continuous field, we find that this field must also be discontinuous, as well as particle-like, and that it is undermined in its actual behavior as is required in the particle perspective of relation as a whole (Bohm).

“New science” and complexity theory

Health care organizations are large and complex organizations. Biggiero (2001) distinguished between difficulty and complexity in organizations. Difficult problems are those which require time, hard work, dedication, skills, information, and effort. Complex problems, according to Biggiero, are different. Biggiero’s different types of “observed irreducible complexity” (p. 3) are summarized in the following table:

Classifications of observed irreducible complexity

	Trans-Computational	Infinite	Logical
Quantitative (syntactical)	Computational	Chaotic	Logical
Qualitative (semantic)	Intuitive, spiritual knowledge and the meaning of words		Relational

Chaotic complexity can be observed, quantified, and ordered; intuitive, spiritual, and semantic complexity can not be, it is subjective and contextual (Biggiero). Health care organizations must strategically, managerially, and administratively deal with all forms of complexity.

The science of complexity studies the fundamental properties of non-linear feedback networks and complex adaptive networks (Stacey, 1996b). Complex adaptive systems consist of a number of components, or agents, that interact with each other according to sets of rules that require them to examine, and to respond to, each other’s behavior in order to improve their behavior and the behavior of the system they comprise. Stacey argued that such systems operate in a manner that constitutes learning. Because those learning systems operate environments and consist mainly of other learning systems, it follows that together they form co-evolving supra-systems that create and learn their way into the future (Stacey).

Lessons for Complex Change

Complex health care organizations are in a constant state of chaotic change as they strive continually for efficiencies and service improvements through innovation and process re-engineering supported by business concepts such as key performance measurement, return on investment analysis, and business planning. Organizations change when logical

instrumental-technology rationality rules slowly make room for subjectivism and hope (Kincheloe & McLaren, 2000). Fullan (1999) stated that organizational change is complex and that theories of change and theories of education need each other. Understanding the meaning of operating on the edge of chaos is critical to understanding change, and emotional intelligence is both anxiety provoking and anxiety containing (Fullan).

Complexity Theory and Moral Purpose

There are few organizations that are as complex or that have a higher moral purpose than a health care authority caring for ill patients and the wellness of their communities. Fullan (1999) provided insights into complexity combined with moral purpose that included complexity and the change process; the deep meaning of inside and outside collaboration; the complexities of transferability; and intellectual, political, and spiritual fusion. The new science of complexity claims that the link between cause and effect is difficult to trace. Change, planned and otherwise, unfolds in non-linear ways. Paradoxes and contributions abound and creative solutions arise out of interaction under conditions of uncertainty, diversity, and instability (Fullan).

Health care organizations are expected to adapt to internal and external threats and opportunities in order to improve service and health outcomes and to slow the increase in costs. According to complexity theory, adaptation is most effective in systems that are only partially connected. The argument is that too much structure creates gridlock, while too little structure creates unbounded chaos. Brown and Eisenhardt (1998) argued that “complexity theory began with an interest in how order springs from chaos” (p. 14). Health authorities need to determine how to live on this chaos boundary: unbounded chaos may impact patients negatively while too much structure would be seen as public sector bureaucracy and inefficiency.

“New science” and chaos theory

Health care administrators must understand the chaotic and complex nature of their organizations. Wheatley (1999) described chaos containing order as an essential, nourishing element of systems that fall apart. The layers of complexity and the sense of things being beyond our control and out of control are but signals of our failure to understand a deeper reality of organizational life and of life in general (Wheatley).

Chaos theory has shaken science to its foundations with the realization that very simple dynamic rules can give rise to extraordinarily intricate behavior (Waldrop, 1992). Complex systems can acquire the ability to bring order and chaos into a special kind of balance.

The balance point, often called the edge of chaos (Fullan, 1999; Waldrop, 1992) is where the components of a system never quite lock into place, and yet never quite dissolve into turbulence either. The edge of chaos is where new ideas and innovative genotypes are forever nibbling away at the edges of the status quo and where even the most entrenched old guard will eventually be overthrown (Fullan). The edge of chaos is the constantly shifting battle zone between stagnation and anarchy, the one place where a complex system can be spontaneous, adaptive, and alive.

Sullivan (1999) described chaos theory and the change process that can transform an organization into a new order. Health care organizations need intuitively to feel the simple small changes within them and to apply gentle creative action in the appropriate places to effect change. Chaos theory tells us that the obvious or expected place to attack a problem may not always be the most effective (Sullivan). The art of instigating organizational change becomes not the heavy-handed directive approach. Rather, change in an organization can be

implemented by studying the self-renewing and the self-transcending dynamics that are operating on particular aspects of the organization.

Chaos theory and its application to organizational complexity can be an important theory for health care organizational and business leadership and for bounding chaotic disorder and unpredictable change forces in health care organizations.

Chaos Theory and Leadership

Many aspects of health care leadership are based on traditional business concepts grounded in cause-and-effect and objective science. "New Science" suggests a new approach to health care leadership. Rost (1991) described how the construct of leadership is illuminated by chaos theory. Leadership is not limited to the leadership behaviors of a key position holder or team of top people. Leadership is conducted throughout the organization, through all its agents. Leadership is broadly conducted precisely because in chaotic systems, all agents have potential access to vital information from the environment. Though leadership is broadly distributed, it is specific in function.

Therefore, organizational leaders should not focus on operational, objective, and day-to-day problems (Burns, 2002). Burns argued that transporting the values underpinning "New Science" philosophical foundations throughout an organization via language and listening ought to be the prime purpose of these leaders. Indeed, the leadership function, as a defined functional box on an organizational chart, should disappear. Ordering disorder and simplifying semiotic, semantic, relational, and chaotic complexity (Biggiero, 2001) can happen throughout the organization. Centralized and top-down management is not required (Burns). This requires a new approach to leadership in health care organizations.

"New science" organizational elements

"New Science" has developed from new descriptions and interpretations of quantum mechanics. Quantum principles require us to fundamentally change our relationship to measurement and observation (Wheatley, 1999). If quantum matter develops a relationship with the observer and changes to meet his or her expectations, then how can there be scientific objectivity? If one structures an experiment to study wave properties, matter behaves as a wave. If the experimenter wants to study particles, matter obliges and shows up in particle form. The act of observation causes the potentiality of the wave packet to collapse into one or the other aspect. One potential becomes realized while the other instantly disappears. Before the observer acts, an endless profusion of possibilities continues to be available. Once the observer chooses what to perceive, the effect of perception is immediate and dramatic. All the wave functions representing the observed system collapses, except the one part, which actualizes into reality (Zukav, 1979).

The quantum theories of waves and particles and of the perceptions and impact of the observer or the participant are explained in a few fundamental "New Science" concepts. These concepts are complementarity and uncertainty, organizational fields and forces, and wholeness and implicate order.

Complementarity and Uncertainty

"New Science" includes the important quantum principles of complementarity and uncertainty. Matter can appear as particles (specific points in space) or it can show up in waves (energy dispersed over a finite area) (Bohm, 1980; Heisenberg, 1999; Wheatley, 1999). Matter's total identity includes the potential for both forms – particles and waves. This is Bohr's "Principle of Complementarity" (p. 36). Wheatley described "Heisenberg's Uncertainty Principle" (p. 37) where one can measure the particle aspect or the wave aspect of matter – either location or movement. One can never measure both at the same time. Thus,

while one can measure wave properties, or particle properties, the exact properties of the duality itself must always elude any measurement one may hope to make.

Wheatley (1999) argued that a quantum perspective provides one powerful explanation of Newtonian empirical and linear beliefs. If there is no objective reality out there, then the environment and our future remain uncreated until we engage with the present. We must interact with the world in order to see what we might create. Through engagement in the moment, we evoke our futures. To live in a quantum world, to weave here and there with ease and grace, we need to change what we do (Wheatley). Change and innovation designed to produce efficiencies and improved health outcomes define current Canadian health care.

Wholeness and Implicate Order

Unbroken wholeness in organizations is “implicate or enfolded order” (Bohm, 1980, p. 188). Bohm used the term “implicate” (p. 188) to describe the intimate and entangled connections between people in organizations. Intimate and entangled relationships describe well the health care environment. In the enfolded order, space and time are no longer the dominant factors determining the relationships of independence or dependence of different elements. Rather an entirely different sort of basic connection of elements is possible from which our ordinary notions of space and time, along with those of separately distinct material particles, are extracted as forms derived from the deeper order. These ordinary notions in fact appear in what is called the explicit or unfolded order, which is a special and distinguishable form contained within the general totality of all the implicate orders (Bohm). Implicate order describes how randomness and instability in organizations can become ordered through the intimate, entangled, and enfolded relationships and connections between the people within it.

What is needed in organizations is an act of understanding in which we see the totality as an actual process that, when carried out properly, tends to bring about a harmonious and orderly overall action in which analysis of parts has no meaning (Bohm, 1980). In quantum physics, a homologous process is described as relational holism where the whole systems were created by their relationships among subatomic particles. Bohm argued that in this process, the parts do not remain as parts, they are drawn together by a process of internal connectedness. It is not difficult to recognize ourselves as electrons in organizations, moving, merging with others, forming new wholes, being forever changed in the process (Bohm).

Quantum Change Forces

Canadian health care authorities are under pressure to innovate and change in order to reduce costs while reducing service times and improving health outcomes. Change management is a prime focus for all leaders in health care organizations. Wheatley (1999) stated that we think we were being helpful to others when we manage change so carefully because we believe that people do not like change. We have not thought that we might work with the forces of change and keep it under control every cautious step of the way (Wheatley). It is a particular characteristic of the human species to resist change, even though we were surrounded by tens of millions of other species that demonstrate wonderful capacities to grow, to adapt, and to change.

“New Science” is filled with tantalizing and hopeful processes that foster change (Wheatley, 1999). New science and quantum theory suggest that we must learn to look past an object or thing into the invisible level of dynamic processes. Wheatley suggested that we should lay aside the machine metaphor with its static mechanisms and separated parts. Yet health care organizations are expected to use machine-like business principles to analyze and improve their operations on a continual basis.

A system must develop greater self-knowledge in three critical areas (Wheatley, 1999). People need to be connected to the fundamental identity of their organization or community. Who were we? Who do we aspire to become? How should we be together? People need to be connected to new information. What else do we need to know? Where is this new information to be found? And people need to be able to reach past traditional boundaries and develop relationships with people anywhere in this system. Who else needs to be here to do this work with us? This is critical in a health care environment.

Conclusion

Newtonian science has been used to develop logically empirical, mechanistic, and scientifically-focused organizational and business management theories where one can attempt to reduce health care organizations to numbers, objective parts, and measurement and to construct them in a positivistic manner. Critical theory and postmodern organizational paradigms, which support a patient-centered health care model, do not agree with these views of organizations.

If business schools and management theories, including the ones utilized by Canadian health care authorities, base their purpose and teachings on the basis of scientific fact then they must now reshape these theories and practices based on the principles of "New Science". "New Science" uses uncertainty, complementarity, interconnectedness, relationships, wholeness, and implicate order to help address the qualitative, subjective, and humanistic nature of innovation and change needed in Canadian health care organizations.

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PERCEPTIONS ON EMPLOYABILITY SKILLS NECESSARY TO ENHANCE HUMAN RESOURCE MANAGEMENT GRADUATES PROSPECTS OF SECURING A RELEVANT PLACE IN THE LABOUR MARKET

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Abstract

Orientation and purpose – Different types of skills are explored to determine which type of skills are most attractive to the employer and which ones are essential to enhance employability of HRM graduates

Motivation of the study- HR is a broad field and the practitioners have a lot to deliver seeing that they are the custodians of human capital in the workplace. The type of skills they should have and how they are to achieve them must be explored.

Research design, approach and method - The study used a qualitative method and data was collected using semi structured interviews with open ended questions. A list of questions was drawn up for different respondents and the sample was made up of academics, employers and HRM graduates.

Main findings - generic skills are the most sought after in the workplace; there are different levels to HRM employability and different knowledge, competencies and skills for each level.

Contribution/value-add – Having the knowledge of what skills, competencies and abilities are key for HRM graduates can help shape their skills base before they even graduate and assist higher education in producing employable graduates.

Keywords: Graduate Employability, Employability skills, Soft Skills, Hard Skills, Human Resource Management

Introduction

Higher Education Institutions (HEI's) produce many qualified graduates in different fields of study annually; almost half of them become frustrated or desolate because they cannot secure jobs in the labour market and some have huge student loans to settle. South Africa is no exception. Given the country's slow and unsteady economic growth, high and increasing levels of unemployment especially among the country's youth, many graduates find it almost impossible to find a suitable place in the labour market. It is no longer a problem for those with low levels of education, nowadays even university and college graduates struggle to find employment. South African Graduates Development Association (SAGDA) CEO Thamsanqa Maqubela said graduate unemployment – defined as that among people with a minimum three-year academic or vocational qualification – had escalated since the global economic recession. The South African Graduate Development Agency (SAGDA) believes that South Africa has between 255,000 (Statistics South Africa Labour Force Survey 2009) and 600,000 (Adcorp labour market analyst Loane Sharp 2011) unemployed graduates. The SAGDA database reflects that 9.7% of unemployed graduates received their qualifications via universities; 16.2% via universities of technology; 60.3% via private and further education and training colleges; and 13.8% via sector education and training authority

(SETA) learnership programmes.(SAGDA Graduate Employability Assessment Report : 2011).

There is no correlation between the skills needed in the labour market to contribute to the development of the country's economy and those that are being produced by the HEI's. There is a shortage of skills in South Africa in certain areas like the engineering field, however human resource management is not among them yet workplaces are crumbling / not performing well or not utilising their human resources to their maximum potential, because of improper execution of human resource management practices. This study wants to determine the extent to which Human Resource Management (HRM) is taken seriously as a profession and how can human resource professionals, employers, universities and other Higher Education Institutions (HEI's) use Work Integrated Learning (WIL) programmes to equip graduates with the necessary workplace skills that will make them employable and improve their productivity in the workplaces.

Objective number four of the National Skills Development Strategy (NSDS) focuses on assisting designated groups, including new entrants to participate in accredited work integrated learning and work based programmes to acquire critical skills to enter the labour market and self-employment (Coetzee, Botha, Kiley & Truman. 2007:12). Work integrated learning programmes include among others learnerships and apprentices and they can assist graduates gain entry level positions in the workplace. They expose students and graduates to the workplace and they have the opportunity to put into practise what was learnt in institutions of higher education.

Recent shifts in education and labour market policy have resulted in universities being placed under increasing pressure to produce employable graduates. However, contention exists regarding exactly what constitutes employability and which graduate attributes are required to foster employability in tertiary students (Bridgstock.2009:31).

Graduates especially those from university have high expectations after completion of their studies, the view is that their degrees should be able to open employment doors for them and they should not struggle like those who have lesser qualifications whereas employers feel that the return to employing a graduate is low, given that graduates require substantial on-the-job training before they provide any returns to the firm. It is necessary for graduates to have a more realistic view of what they can offer and what they can expect from their first jobs, given their limited experiential training(Pauw,Oosthuizen & Van Der Westhuizen.2008:56).The reality is that university graduates mostly have text book theoretical knowledge which is not supported by sufficient practical work experience. in a country where the economy is not growing at a speed that allows for massive job creation projects, graduates find themselves faced with extended periods of unemployment.

Graduate Employability

Jackson (2013:271)is of the view that if graduate employability is measured in simplistic terms such as whether or not a graduate has secured a job within the first six months of graduating, then the measurement is not accurate because we do not understand clearly what the graduate has gained. He further goes on to say we need to know if the graduate is in fact using the skills, knowledge and understanding gained in their degree studies. Graduate employability is multifaceted and encompasses academic performance, career management skills and labor market awareness.

This view is supported by Pool & Sewell (2007) that there is so much more to employability than gaining employment, and first destination statistics do not take into account the fact that some graduates may have taken lower level jobs in order to deal with financial pressures, particularly after incurring debts through their studies. Hillage and Pollard (1998, p. 2) suggest that: In simple terms, employability is about being capable of

getting and keeping fulfilling work. More comprehensively employability is the capability to move self-sufficiently within the labour market to realise potential through sustainable employment.

According to Schreuder & Coetzee (2011:48) employability refers to an individual's capacity and willingness to become and remain attractive in the labour market, also the individual's capability to be successful in a wide range of jobs. It is about being capable of getting and creating and keeping fulfilling work and having the knowledge, understanding, skills, experience and personal attributes to move self-sufficiently within the labour market and to realise one's potential through sustainable and fulfilling employment experiences throughout the course of one's life. Employability is having a set of skills, knowledge, understanding and personal attributes that make a person more likely to choose and secure occupations in which they can be satisfied and successful.

Graduate employability is the ability of graduates to secure jobs in the labour market, being equipped with most of the skills most envisaged by the employer and the ability to participate and contribute to the knowledge economy by applying what they learned in higher education and also improve their social standing and the country's economy. Being career resilient also increases one's level of employability, being able to adapt to the changing working environment given rise to by globalisation and technology and many various factors like the political climate and the country's economy. Continuous learning and development and generic skills increase one's employability prospects.

Career resilience plays an important part in one's employability, Collard et al. (1996:33) defines career resilience as "the ability to adapt to changing circumstances, even when the circumstances are discouraging or disruptive" and characteristics of those who are career resilient reflect the characteristics identified with employability. Teamwork, effective communication, adaptability to change, positive and flexible attitudes, continuous learning, self-confidence, willingness to take risks, and a commitment to personal excellence are all characteristics identified with employability

Graduate Employability Models

The USEM account of employability

The USEM account of employability model (Yorke and Knight, 2004) is the most known and used model in this field. USEM is an acronym for four inter-related components of employability:

- Understanding;
- Skills;
- Efficacy beliefs; and
- Metacognition

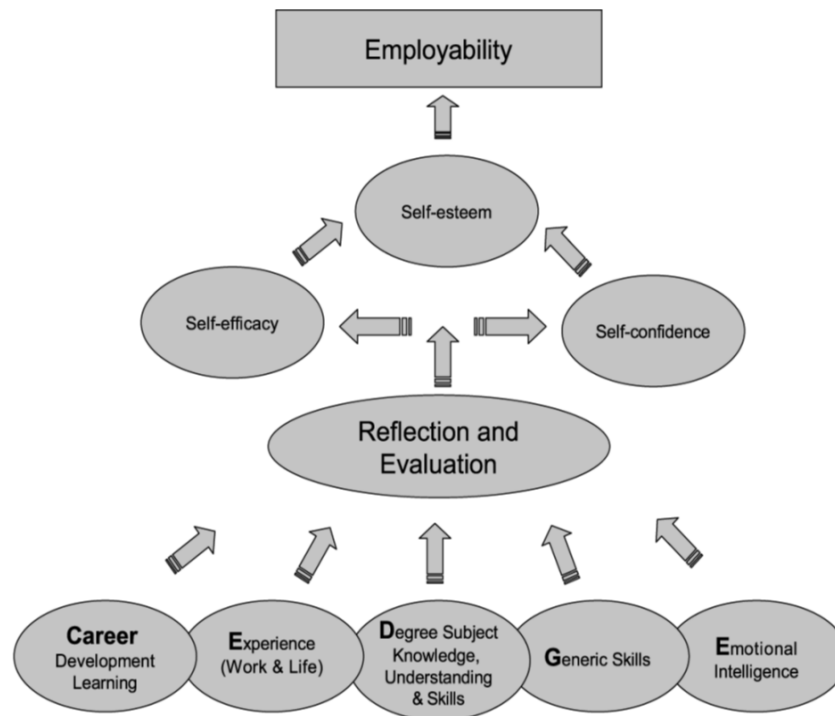


Figure 2-1: Essential Components of Employability (Pool & Sewell.2007).

This model is based on scholarly work on employability; it is designed to reflect that each component is very important and if one is missing it actually compromises a graduate's employability. A model concerning graduate employability should be something that can be explained with ease to students and possibly their parents, as well as academics. This model allows lecturers, personal tutors, careers advisors or anybody else involved with the promotion of employability within higher education to do so without clouding the issue in complexity. Third, the model will be a valuable tool for knowledge transfer activities. It can be used to demonstrate to employers how the roles of HEIs and business can both contribute to graduate employability with the resultant benefits for both parties. Finally, it would be useful to have a model of employability that could be adapted for use with groups other than students and new graduates. It would be possible to adapt this model for use at any life stage, for example with mid-life career changers or people dealing with a redundancy situation (Pool & Sewell: 2007).

People need to develop a culture of lifelong learning, not only in the workplace or in universities but also in their communities. Developing employability assets can happen also in different communities in informal settings. This contributes to the uplifting of communities social standing and also helps individuals to gain more experience in different situations. Communication skills can be enhanced because you will have to learn to communicate with people from different backgrounds and societies and classes in society, you will learn to be a quick thinker and also creative, because at times you will be working with communities with limited resources so creativity will have to come into play.

The term "generic skills" has been used for the purpose of this model and is used to represent the skills which can support study in any discipline, and which can potentially be transferred to a range of contexts, in higher education or the workplace (Bennett et al., 1999:76). Generic skills are high-order, transferable skills that are common to almost all complex endeavours. They include skills such as communicating, problem-solving, , curiosity, patience, flexibility, purpose, persistence, resilience, courage and creating — that apply across all specific fields. They enable us to organize, adapt, and strategically apply our specific skills in new situations and circumstances

DOTS Employability Model

The Centre for Employability (CfE) at the University of Central Lancashire (UCLan) in the UK has been developing practical solutions to enhance the prospects of students and graduates for over ten years. As a consequence of the careers service origins of this unit, the main theoretical model that has underpinned this work has been the DOTS model (Law and Watts, 1977), which consists of planned experiences designed to facilitate the development

<p>Decision Learning</p> <ul style="list-style-type: none"> • <i>Decision making skills</i> 	<p>Opportunity Awareness</p> <ul style="list-style-type: none"> • <i>Knowing what work opportunities exist and what their requirements are</i>
<p>Transition Learning</p> <ul style="list-style-type: none"> • <i>Including job searching and self presenting skills</i> 	<p>Self awareness</p> <ul style="list-style-type: none"> • <i>In terms of interests, abilities, values</i>

Figure 2.2. DOTS Employability Model (Watts, 2006, pp. 9-10).

The value of this model lies in its simplicity, as it allows individuals to organise a great deal of the complexity of career development learning into a manageable framework. However, the model has recently attracted some criticism. McCash (2006) argues that the model is over-reliant on a mechanistic matching of person and environment, and therefore underplays other critical issues such as social and political contexts. He also points out that there is an implication that failure to secure a “self-fulfilling” occupation can be presented, or experienced, as the fault of the unsuccessful individual. These criticisms overlook the fact that the elegant simplicity of the DOTS model is precisely why it has proved so enduring and popular. They also seem to suggest that students introduced to basic concepts of career development through DOTS would be incapable of developing and learning about more sophisticated analyses through this simple introductory structure.

According to the Model of Career Management by (Greenhaus, Callanan & Godshalk, 2010:46) it is important to plan your career as it can also enhance your employability. Like the DOTS employability model they also place more emphasis that career success is most achieved by finding and creating a fit between the self and the environment. Most of the time it almost impossible to find a job that is totally pleasing to the individual and their needs, which can result in poor performance and easily lead to unemployment. Career management enhances employability as students will have knowledge about the market demands and the new trends in the labour market, in this way labour supply and demand can match. at the moment the greatest problem leading to graduate unemployment is the mismatch of the market demands and the labour supply.

Employability Theories

Consensus Theory

It places emphasis on what social groups have in common, often relating to what the social norms or cultural shared beliefs (Brown et al. 2003). It is based on the belief that human capital injection by way of instilling generic skills at tertiary level will ensure employability of graduates and their eventual fast acceleration/leap frog in the corporate ladder. Consensus theory tends to blame the academia or university environment for not instilling sufficient skills through curriculum design and implementation through appropriate pedagogical methods. The theory is somewhat attuned to a normative utilitarian explanation which is rather simplistic. Perez et al. (2010) have referred to the challenges related to the multidimensional nature of the employability concept, especially the difficulty of disentangling the role of education and training systems from other factors in evaluating labour market outcomes (Selvadurai, Choy, Maros, 2012:296).

Conflict Theory

It emphasizes the fact that different groups, namely employer, academia, employees, have varying access to power and opportunities (Brown et al. 2003). In the capital-labour conflict there has been a continuous debate in terms of the employer's role in imparting generic skills and employees not acquiring adequate skills through training offered by employers. Meanwhile, there is the employer-academia conflict where the employers feel that the academia have not been providing adequate acquisition of generic skills to the graduates. The Conflict Theory argues for the employers to take responsibility in providing work place experience to the graduates and not directing the responsibilities to the universities alone.

The consensus theory and the conflict theory have their own limitations in view of the historical evolution of generic skills acquisition, where not only university environment provides avenue for such skill development but it also entails pre-university environment such as school, family, social, neighbourhood and workplace (Selvadurai, et.al. 2012:296).

Human Capital Theory

The human capital theory (Schultz 1961; Becker 1964) argues that education increases individuals' productivity, which consequently enhances job performance. As such, education provides marketable skills and abilities relevant to job performance, and thus the more highly educated people are, the more successful they will be in labour markets in terms of both incomes and work opportunities (Yuzhuo.2013:459). This theory does not lean much towards the acquisition of generic skills to succeed in the workplace, it focuses more on the educational knowledge acquired through higher education to be successful in work. this is true you cannot apply HR functions in the workplace if you do have the technical or theoretical knowledge of it, but the point is you do not apply them in the air, you deal with people because that is the nature of the HR profession, you will need both set of skills for success.

Graduate Employability Skills

In Coleman (2000:12) skills are broken down into three categories. There is Job skills which are the skills needed for a specific job. For example a mechanic needs to know how to fix faulty brakes and an accountant should be able to draw up a balance sheet. There are also adaptive skills, these skills help you function in a new situation, for example flexibility,. they are enthusiasm, honesty and getting along well with people. Employers usually look for certain qualities and skills before hiring any staff member. These qualities and skills include punctuality, efficiency, and willingness to follow supervisor instructions, ability to get along with fellow workers, hard work and honesty.

Lastly there are transferable skills, these are personal abilities, characteristics or skills that transfer or can be used from one job or situation to another. For example interpersonal communication skills used in group work in class can be used to function effectively in a team in a work situation. In the workplace transferable skills are important. If you want to receive greater levels of responsibility and pay, having these transferable skills are crucial, meeting deadlines, supervising others, accepting responsibility, public speaking, solving problems, efficient planning, good budgeting and improving sales output. It will be beneficial to every job seeker in every profession to possess a balanced mix of these skills in order to succeed in the job market and to be employable and remain employable (Coleman.2000:12).

Employability skills are sometimes referred to as professional, core, generic, key, and nontechnical skills and are inherent to enhancing graduate work-readiness (Yorke & Knight, 2004). Employability skills typically considered important in developed economies are team working, communication, self-management, and analysis and critical thinking (Jackson.2013:271)

Employability skills are the skills that are directly pertinent to obtaining and maintaining work (Harvey, 2001; McQuaid & Lindsay, 2005). They are comprised of the generic and discipline-specific skills required for performance in a work situation; and career management skills, divided into two categories of competence: self-management and career building. Career management skills and knowledge are essential to employability in that they play a large part in determining which, to what extent, in what manner, when and where generic and discipline-specific skills are learned, displayed (e.g. in applying for a job) and used (Bridgstock, 2009:31)

Comparing Soft Skills and Hard Skills

Robles (2012:457) describes soft skills as character traits that enhance a person's interactions, job performance, and career prospects the greatest feature of soft skills is that they are intangible and are not discipline specific, that is the application of these skills is not limited to one's profession. Soft skills are continually developed through practical application during one's approach toward everyday life and the workplace, teachable graduates develop their soft skills quicker. Soft skills are not easily measurable like hard skills they are more of who we are than what we know and hard skills are those achievements that are included on a résumé, such as education, work experience, knowledge, and level of expertise. Examples of hard skills include job skills like typing, writing, math, reading, and the ability to use software programs

Generic skills are sometimes referred to as "meta-skills," "character skills," or "learning how to learn" skills. The word "generic" comes from the Latin "genus." It has the same root as "generate." Pop and Barkhuizen (2010: 76) suggest that the lack of soft skills, workplace readiness and practical experience are some of the challenges associated with employability. Soft skills, in particular, are the main reason why many graduates are unsuccessful in the recruitment phase. Examples of soft skills include friendliness, team spirit, team cohesiveness, understanding of different cultural and historical differences, motivation, observance of rules, procedures and company etiquette, showing interest, problem solving skills, politeness, concise language, solid relations with diverse personality types, sociability, good interpersonal communication skills and similar traits.

Hard skills are the technical expertise and knowledge needed for a job. Soft skills are interpersonal qualities, also known as people skills, and personal attributes that one possesses. The value of soft skills has been highlighted by a growing body of research and evidence over the past three decades. Soft skills have become an essential quality for managers to effectively manage their team and job in the corporate world irrespective of the sector. Along with professional qualification and domain knowledge, today's professionals need to possess a high soft skills quotient in order to succeed in this competitive era (Jessy, 2009). Hard skills contribute to only 15% of one's success, while the remaining 85% is contributed by soft skills (Watts and Watts, 2008). Research shows that individuals with good interpersonal and self-management abilities have better career success and contribute far more to their organizations rather than people with only excellent technical skills (Bush, 2012). (Samta, J. & Syed, A.A. 2013:32)

Most employers value graduates who are willing to learn and the ability of a graduate to display this in the early days of their careers give them better chances at success than those who are not willing to learn. A graduate can be very intelligent and actually pass their degree with distinctions but if they do not display a fair amount of the necessary soft or generic skills they can jeopardise their chances of employability. Both sets of skills are essential for success, the only difference is hard skills or discipline specific skills can be learnt as opposed to soft skills that have been referred to as character skills, they are to a certain extent dependant on the personality types of individuals.

Soft skills are very crucial and much research has shown that 75% of long-term job success depends on people skills, while only 25% is dependent on technical knowledge (Klaus, 2010). Another study indicated that hard skills contribute only 15% to one's success, whereas 85% of success is due to soft skills (Watts & Watts, 2008, as cited in John, 2009). As employers are progressively looking for employees who are mature and socially well adjusted, they rate soft skills as number one in importance for entry-level success on the job (Wilhelm, 2004). (Robles.2012: 454).

Specific Skills for Human resource Management Graduates

Workplaces are changing and the role of HRM professionals has to change as well in order to adapt to the changing work environment. The macro and micro factors affecting how organisations function contribute also to the changing role of HRM professionals. The diverse and constantly changing composition of the workforce, introduction of team work, international deployments, flexi time workers, contract workers, globalisation, technology and many other factors need to be taken into account and organisations must have competent people who will be able to deal with these issues in an efficient and effective manner to ensure success and sustainable competitive advantage for organisations and government departments. The tasks undertaken by HR professionals can vary from basic administrative procedures right through to involvement in board level strategic decision making, requiring HR professionals to have a broad skill set and to operate within complex and often competing frames of reference. (Truss, Mankin & Kelliher. 2012:63).

The future HR professional is expected to hold a university degree or equivalent diploma and the most preferred is business management with major in Human Resource Management modules and useful academic courses include organisational behaviour and change, training and development, employee selection labour management relations and compensation. (Grobler et al, 2011:34). This will be the technical requirements of the job, these are skills that graduates acquire from higher education and they can apply them within a specific discipline or specialisation of the HR profession. Grobler et al, expands further that as much as academic knowledge is important recruiters are also looking for HR graduates who can demonstrate the following competencies interpersonal skills, creative innovative thinking, teaming skills, leadership and planning skills, communication and persuasion skills, flexibility/adaptiveness, intellectual independence and general business skills. The SABPP stresses that HR professionals should be able to adhere to ethical codes of the profession which are responsibility, integrity, respect and competence (www.sabpp.co.za).

The strategy of the SABPP is to promote, direct and influence the development of the Human Resources Profession, to review competency standards for the education, training and conduct of those engaged in the profession, to advise involved parties on the development and attaining of those competencies and to evaluate such attainment (Swanepoel, Erasmus & Schenk. 2012:83).

Levels of Human Resource Management Graduate Employability

Most Human resource departments are often made up of clerical (support), professional and managerial jobs (Grobler et. al, 2011:20). The lower level which is made up of clerical or support staff includes clerks, typists, receptionists and lower level administrative assistants they provide support services to the professional and managerial staff. Professional employees are specialists in their fields like counseling, benefits, employee development and labour relations just to name a few and they have business degrees and majored in human resource management. The top level which is management they coordinate the organisation's personnel activities, they formulate personnel policies and programmes

and most importantly they oversee the clerical and professional employees. Most HR graduates have the chance of being employed as second level employees in the HR department, they have a degree and some are already working towards their postgraduate degrees.

Hesketh and Hird (2010:105) as appearing in Armstrong (2012:34) support that Human Resource Management operates on three levels, the foundation level, which was known as personnel, here it's where they deal with pay and rations, recruitment. It is mainly transactional administrative duties. The second level is tools that involve rewards, development, labour relations and the last third level is strategic engagement and it takes place on management level, here are the HR executives who manage the entire human resource function.

Research questions arising from the literature:

- **Research Question 1 – What is graduate employability?**
- **Research Question 2 – What graduate attributes are most valuable, what skills are needed by graduates entering the HR profession?**

Research Design

Research approach

This study follows a qualitative research design to explore graduate and HRM graduate employability and the skills necessary for their success in the labour market. Cresswell (2013:44) defines qualitative research as follows “qualitative research begins with assumptions and the use of interpretive/theoretical frameworks that inform the study of research problems addressing the meaning individuals or groups ascribe to a social or human problem. to study this problem qualitative researchers use an emerging qualitative approach to inquiry, the collection of data in a natural setting sensitive to the people and places under study, and data analysis that is both inductive and deductive and establishes patterns or themes. the final written report or presentation includes the voices of participants, the reflexivity of the researcher, a complex description and interpretation of the problem and its contributions to the literature or a call for change”

Research Method

Research Setting

The study used academics in the HRM field from a South African university and an HRM manager from a local municipality and one HRM graduate in an internship placement in a provincial government office.

Sampling

The qualitative researcher usually obtains individuals with whom to conduct unstructured interviews or focus groups by means of purposive or snowball sampling, preference is given to key informants who on account of their position or experience have more information than regular group members and are better able to articulate this information (Welman et.al. 2006:204). Purposive sampling was used and the sample consisted of five academics from a local university in the HRM field and an employer who is an HR manager at a local municipality and an HRM graduate intern at a local government department.

Data collection method

Data are basic material with which researchers work. Data come from observation and can take the form of numbers (numeric or quantitative data) or language (qualitative data). To

draw valid conclusions from a research study, it is essential that the researcher has sound data to analyse and interpret. Data should be valid and capture the meaning of what the researcher is observing (Terre Blance, et.al. 2006:51). The data for this study was collected through face to face interviews with the participants. The researcher set up interview with the different participants at the times and places that would suit their schedules not to interfere with their daily work routines. The researcher used semi structured interview style with open ended questions allowing room for more discussion, some answers from the respondents led to the researcher asking more questions. Some of the data was collected by means of recording different speakers at the business forums at the 6th International Conference on Engineering and Business Education (ICEBE) in Namibia Windhoek held from the 7th to the 10th October 2013. In qualitative research an important step in the process is to find people or places to study and to gain access to and establish rapport with participants so that they will provide good data (Creswell.2013:147).

Recording and data analysis

Qualitative data analysis means making sense of relevant data gathered from sources such as interviews, on site observation, and documents and then responsibly presenting what the data reveals (Caudle.2004:417). Data analysis in qualitative research consists of preparing and organising the data i.e. text data as in transcripts, or image data as in photography for analysis, then reducing the data into themes through a process of coding and condensing the codes and finally representing the data figures, tables or a discussion (Creswell.2013:180). Data was collected using interviews and they were being recorded, later transcribed and analysed manually identifying codes and themes for analysis.

Research Question 1 – What is graduate employability?

Responses relating to defining graduate employability and levels of HRM graduate employability

The responses relating to defining graduate employability are reported in the table below

Table 2.1. Responses relating to graduate employability

Graduate Employability	Participants
Technical skills and soft skills	AP1,AP4
Readiness	AP3
Job sustainability and growth	AP2
Lifelong learning	CS1
Three levels of HRM graduate employability	AP2

“you get your basic administrative level, which is payrolls, personnel systems and record keeping, this level is operational and its important because it’s at entry level, then you get the intermediate level, this is the specific functions of HR for example selection, performance management, these are people with a high order acumen they have a specialisation like honors or master’s degree attached to them, then you get your professional level, these are your absolute experts in HR, they can do HR management, they know how to deal with human capital in terms of employability and they also do strategic human resource management” (AP2)

“graduate employability means not only preparing the student for one workplace, we need broad education for the students so they can solve problems and understand problems from the industry, we have to prepare them for lifelong learning and we have to prepare them to be citizens of the global world” (CS1)

“How does change work in business, how long does it take, every minute business is changing” (CS6)

“It is how ready are the people to take on the job that is needed, that has job sustainability. It’s not about a specific job it’s about the growth and the capability of moving as the needs are occurring” (AP2)

Interpretation of results

Most academics agreed that graduate employability is the application of the combination of technical and soft skills, being able to sustain a job and grow in it amidst changing environments and one of the employers note that it is also about lifelong learning, graduates should develop a culture of lifelong learning in order to succeed and adapt in the workplace and that will enhance their employability assets. This is because business changes every minute and they have to respond to that through continuous development and learning. Most representatives from industry want graduates who can adapt and be flexible to the changing needs of the business world. If you are to be employable you need to adopt the culture of consistently up skilling oneself to enable yourself to respond to market needs. This builds up career resilience and makes one more attractive to employers.

Research Question 2 – What graduate attributes are most valuable, what skills are needed by graduates entering the HR profession?

Responses’ relating to desirable graduate attributes

Responses relating to desirable graduate attributes are reported in the table below

Table 2.2. Responses’ relating to desirable graduate attributes

Soft Skills	Participants
Communication	AP1, AP2, AP3, AP4, EP1
Teamwork	AP3, IP1
Problem solving skills	AP1, AP4, CS2
Critical thinking	AP2
Emotional intelligence	AP3, AP4
Cultural intelligence	AP3, AP4
Individual growth	IP1, AP4
Interpersonal abilities	AP4, AP1

“Computer skills and knowledge skills” (AP5)

“the students must be teachable, be someone that is willing to adapt, a dynamic student that is willing to learn anyone who is set in their ways I don’t want them around, if you have a stuck up attitude you and your master’s degree mean nothing because you will not add value to the company” (AP3)

“You need to be able to work in a team because work is not in isolation” (AP4)

“Give me a student with the right attitude and I will teach him” (AP3)

“The way you present yourself, positive attitude, work ethics, these are extremely important” (AP1)

“emotional and cultural intelligence are crucial, organisations today are expanding the whole time and you are going to work with people from other cultures and that is why you need to have an open mind set, we cannot be narrow thinking today” (AP4)

Interpretation of results

Many participants agreed that graduates must be able to communicate in the workplace and have problem solving skills, cultural and emotional intelligence also came up as important because they basically guide people on how to respond and deal with situations in the workplace. Individual growth and independence was a common view shared by an academic and an intern. Independence is very important, one has to learn to initiate in the workplace and not always wait for supervisors to tell what must be done, going an extra mile always works and its one of the strategies for career growth. Teamwork is also important

because most organisations are run on projects and one has to learn to work with many different types of individuals to complete projects on target thus embracing diversity in the workplace.

Responses relating to specific skills and attributes necessary for HRM graduates

Responses relating to specific skills and attributes necessary for HRM graduates are reported in the table below

Table 2.3. Responses to specific HRM graduates

HRM graduate skills and competencies	Participants
Labour Relations Act	AP2
Fair and Consistent	AP2
Business acumen	AP1,AP2,AP4
Talent management	AP4
Compensation Management	AP4
Basic administrative and HR functions	AP1,AP2,AP3,AP4

“Understanding the basics of HR, HR acumen from entry, how you get the right person for the job and keep them, they must understand what is Human Resource Management and the system processes in HRM. It is an integrated process, so if you select the wrong person you are going to have problems with labour relations, performance management and its application. Graduates must understand how they can enable the organisation to attract and retain the right people necessary for employability” (AP2)

“They must understand how recruitment fits into the business strategy and be able to deal with the administrative aspects of recruitment. They must know the Labour Relation Act. They must be able to know what is fair and consistency. They must know how to deal with difficult people and know how HR fits into the business” (AP2)

Interpretation of results

Human Resource Management is a very broad field with many concepts integrated to make it a whole and they do not really operate in isolation, so it is important that HR graduates know the basic HR functions like recruitment and selection, and then they can go on to specialize later when they reach the professional or managerial level of Human Resource Management (HRM). On this note many respondents agreed that basic HR functions are a technical skill that every HR graduate should possess. Business acumen is also a critical skill because HR operates in a business context and they have to have knowledge on how the businesses they operate in works, application of HR practices differ from one organisation to the next in different contexts. Today the HRM profession is changing and there are new concepts that have been coming up like talent and compensation management, graduates have to familiarize themselves with these concepts as they can be the doorway to their careers.

Discussion and conclusion

Two research questions were created to guide the study in order to find the right answers and to guide the focus of the literature review. The discussion is carried out as per research question –

- What is graduate employability and what are the different levels of HRM graduate employability?

Graduate employability is about the ability of graduates to secure a job in the labour market in the specific sector or industry of what they have studied in tertiary education and be able to apply that knowledge successfully in the workplace. This would require some mentoring through work integrated learning programs like internships to give the graduates exposure of the real work place environment. They should be competent in their technical

skills required to do the job and also have good generic skills that will enable them to communicate, work in a team and relate properly with other people in the workplace. The study revealed that employers want graduates who are teachable and creative, people who can solve problems and adapt to the changing business world. They want people who can be turned into gold in no time and this requires the right attitude from graduates and willingness to learn.

The USEM model of employability rests on four components that are perceived to be critical for graduate employability. They emphasize understanding, skills, efficacy beliefs and metacognition. Having knowledge and understanding skills is critical, one should always understand the context of the environment that they are in and have the technical knowledge, having the generic skills will definitely compliment the technical skills and emotional intelligence is also very essential part of this components. Efficacy plays a big role in graduate employability, understanding how far one can go in terms of the skills that they have and how to use them to be successful is very important hence self-confidence and self-esteem are part of these employability components. (Pool & Sewell.2007)

Human resource management is a very broad discipline made up of many components. Most of the time one starts as generalist especially at entry level with graduates straight from tertiary. They perform basic HR and administrative functions, they can enhance their skills by doing job rotations in organisations to enable them to be exposed many areas of HR before they choose one or two fields to specialize in, one can either be a training officer, a compensation specialist or a labour relations expert and with this they can become part of middle management., then the higher level will be in senior management. This the most professional level where one now manages human capital in an organisation, has the business technical skills to carry out the management of human resource management in an organisation. at this level the basic HR functions are important but not really necessary because at this position you will not be conducting interviews or training workshops, here you need problem solving skills, critical analysis skills, communication and negotiation skills, cognitive thinking to be able to manage the human resource function effectively

This is supported by Hesketh and Hird (2010:105) as appearing in Armstrong (2012:34) that Human Resource Management operates on three levels, the foundation level, which was known as personnel, here it's where they deal with pay and rations, recruitment. It is mainly transactional administrative duties. The second level is tools that involve rewards, development, labour relations and the last third level is strategic engagement and it takes place on management level, here are the HR executives who manage the entire human resource function.

- What graduate attributes are most valuable, what skills are needed by graduates entering the HR profession?

Generic skills are not confined to one workplace or discipline they are transferable from one workplace to the other. They are mostly about how a person carries themselves in terms of their behavioral patterns especially in the workplace. A person's attitude is one of the most important assets that can work for them or against them. Most employers say they want graduates with the right attitudes so they can mould them into what is relevant to their industry. A willingness to learn attitude makes you gold to employers because then you can be taught new things as business trends change from day to day. HR trends also change from one organisation to the other; they vary in application so HR graduates need to know how to adapt to different situations even when applying the same HR principles. Soft skills are continually developed through practical application during one's approach toward everyday life and the workplace (Robles.2012:463)

HRM graduates need to possess a balanced mix of soft and hard skills. This will make them employable and also help them attain greater success in their professions. Employability

is about having the capability to gain initial employment, maintain employment and obtain new employment if required. Human Resource Management is made up of different disciplines that are interrelated, and HR professionals need to have conceptual skills to enable them to look into these practices as a whole and incorporate them and be able to look at the organization as a whole. Some say it is better to be an HR generalist rather than being an HR specialist where one specializes in one area of Human Resource Management, for instance some people choose to be labour relations experts, others to be training and development specialists other specialize in remuneration or compensation. In that way you become employable quickly if you are a generalist because most organisations will be looking to employ and HR professional and the expectation is that you know many areas of HR in order to function properly in the HR department of a large organisation.

The demands made on HR professionals in terms of skills and expected behaviours are considerable although, nowadays as Keegan and Francis (2010:884) commented, “success in HR roles is measured in terms of developing effective business rather than people skills”. (Armstrong: 2012:42). Yes business skills are important HR professionals need to be able to link overall organisational strategies with the HR strategy to meet organisational and business objectives, but people skills are also very important for HR professionals, they are the link between humans and their work environments, they ensure performance, development and well-being of employees. They assist employees to be able to develop effective business. The two cannot operate in silos there needs to be a link for successful business.

Business skills are required to adopt a business-like approach to management one that focuses on allocating resources to business opportunities and making the best use of them to achieve the required results. (Armstrong: 2012:484). Analytical and research skills deal with your ability to assess a situation, seek multiple perspectives, gather more information if necessary, and identify key issues that need to be addressed. Highly analytical thinking with demonstrated talent for identifying, scrutinizing, improving, and streamlining complex work processes. Analytical skills are used to gain a better understanding of a complex situation or problem; they are a means of gaining insight into issues that affect the success of the business and which influence business and HR strategy.

Conclusion

It is evident from the findings of the study that graduate employability is not only about a graduate securing a place in the labour market but it is also about the student being able to apply that what they have learnt and acquired from higher education. Soft or generic skills are the most sought after in the workplace but not ignoring the hard/technical skills as they are also necessary but most research has shown that soft/generic skills contribute more to job success and job satisfaction. Some of the most sought after skills or desirable graduate attributes in the workplace as per the findings of the study are team work, communication, analytic and critical thinking and computer skills. Most employers’ desire graduates who have developed their soft/generic skills through work integrated learning programmes (WIL) and this will be discussed in the next article.

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DRESSING DILEMMA: CREATING WEALTHY THROUGH DEHUMANIZING WOMEN AS ADVERTISING BAITS! THE BETRAYAL OF UBUNTUISM IN AFRICA

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Abstract

It is sad news! African culture is at crossroads. The creative elaboration of African tradition cannot be undermined by forces of globalization. The idea of a universal “modernity” as the pre-defined horror for all humanity has its consequences on African tradition. Viewers are literally exposed to ‘open geography’ of nude women who are used as advertising idols. The African ubuntu is at cross roads with these practices. The emergence of globalization and international trade into the continent have brought conflicting cultures that, many a time are at loggerheads with African ubuntuism and expected moral values. Competition in business, results in companies aggressively and (diplomatically) advertising their products using our innocent and desperate women as sexual objects, in order to increase their profits. This paper challenges the morality and ethicality of some business advertisements that exploit innocent women as is reflected in various media. A qualitative case based research philosophy was adopted and data was collected through observations, review of related literature, in-depth interviews and personal experiences. The findings of the study revealed that many advertising agencies employed innocent women to act as models in their advertising pro, most of which are physically, morally, culturally, spiritually and sometimes economically offensive and unfortunately this is exposing African ubuntuism to unprecedented levels of cultural decadence. At the same time the use of sexual imagery in advertising though obscene or immodest has seen businesses posting huge profits at the expense of ubuntuism-a social cost to Africa. The study recommends a new era in which African governments reformulate business policies that have an ubuntuist- flavour to avoid cultural decadence in favour of money and put measures to stop making the investor happier than thou.

Keywords: Ubuntuism, advertising baits, de-humanisation, african renaissance, sexual objects

Introduction

African culture is at crossroads. The emergence of globalisation, international trade and flocking of Multinational Companies (MNCs) into the continent have brought cultures that, many a time are at loggerheads with ubuntuism. Competition in business, results in the need for these companies to actively advertise their products, in order to increase their market base. Television sets, magazines, newspapers and various media articles are bombarded with thousands of advertisements, many of which make use of women (Aaker and Bruzzone, 1985). Many advertising agents have adopted of philosophy of employing women who act as baits.

Throughout all forms of media, it is common to see that we live in a world that is much sexualised (Ann and Kim, 2006). Television advertisement, magazine advertisements, magazine pictures, commercials and even advertisements on the internet are shown in a

sexual way and women are usually the objects of sexualisation in the advertisement. Sexualisation is when a person's value comes only from his/her sexual appeal and behaviour to the exclusion of other characteristics and when a person is sexually objectified (i.e. made into a thing of another's use). Throughout the media it is obvious to see that women are much sexualised and they are usually portrayed as objects that belong to men in these advertisements. With women treating their bodies as sexual objects, it then leads women to believe that, that is all that is important (Beck, 1999; Bello et al, 2006; Vollmer and Geofrey, 2008). With these advertisements showing women as sexual objects, men believe that the sexual image of women in what is important and what makes them "attractive". With this sexualised image that is being portrayed in the media it becomes hard for women to be accepted of their own beauty and constantly compare themselves to images in the media which are more often times unattainable. All this takes in business circles, and does bring in controversies as Africa culture does not make recognition of sexualisation of women a public landscape. This study is an attempt to interrogate existing media, culture, in which women are virtually used in their "semi-naked state" to sell products and services. Traditionally, one would want to question the ethicality and 'moralitiness' of such business practices from an ubuntu perspective.

Statement of the Problem

Many successful companies have enhanced their wealth through adopting "Advertising approaches that use women as advertising baits". From an African context and ubuntuism, parading of women as sexual objects is to a greater extent unAfrican and poses threats to the development of ubuntuism. It is believed that advertisements that make use of 'women objects' are more appealing and brings in business, creating wealthy for these very institutions. One man's meet is another man's poison. This employment of women in their semi-naked or almost "blank" state is a declaration of "cultural war" on African ubuntuism.

Research Questions

The following research questions are posited

- What impact does the "use of women models" in advertising have on ubuntuism?
- Does the use of women in advertising result in enhanced wealthy?
- What approaches should be put in place to prohibit business practices of using women, as sexual objects?

Significance of the study

The need to uphold Africa ubuntuism cannot be over emphasised. The bombardment of media by advertisements carrying women, who are sexually represented, cannot be left to continue. The study is an attempt to provoke debate on the use of our women as sexual objects and gauge the degree of acceptability of such a practice and also to provide solutions that have a bearing towards upholding ethical practices on advertising which do not impinge on ubuntuism. The need to reach a common understanding, of the dictates of ubuntuism is necessary.

Literature Review

They are limited studies that have been carried out to- date on the effect of advertisement that carries women as sexual objects, on Africa culture, specifically ubuntuism. Significantly, I will present both personal-opinion based literature based on observations and experience, as well as literatures obtainable from related studies.

Definition of key terms

Ubuntuism defined as a culture of collectivism and oneness characterised by selflessness.

Dressing dilemma

This refers to the problems that are pronounced because of “open dressing’ which is not acceptable to ubuntuism. A situation where, dressing that is expected to be “bedroom dressing” becomes public landscape.

Dehumanising

A state of taking away “what makes us human” to appear like “animalistic” in the way we do things. I would quickly refer to it as “shame” to society.

Advertising baits

Advertising bait is ‘that’ which is used to lure, attract and appeal for, in order to catch and gain acceptance. In this case, fishing men “kuraura varume” in Shona. Bait is used when fishing. You put it on a hook or on nets, so that you can attract fish. The same concept is being referred to here, women are the baits and men are the fish.

Sexual objects

This refers to a state of “reducing women from living thinkers to non-thinkers as they act as objects that can be tossed around their personal and organisational gains.

Ubuntuism explained

Ubuntu refers to traditional African values such as a sense of community, hospitality, sharing and consensus seeking. It is paramount to note that ubuntuism is at the heart of African Renaissance. In the hands of academic philosophy, ubuntu/hunhu has become a key concept to evoke the unadulterated forms of African social life before the European conquest (Albers-Miller and Gelb, 1996). In the entire paper, I will try to position the real perception and impact that this women who are almost “underrated” have serious consequences on the African Renaissance in which ubuntuism is deep rooted. I will attempt not to objectify from a scholarly distance neither to fall in the trap of thinking though that ubuntuism is the sole solution to unlock the ignorance among our “own African sisters and mothers” who seem to have fallen evil to modernisation. In the process, I will make a personal participant’s contribution to the continuing schools of thought on issues of identity, values and conflicts, to wealthy creation, at the expense of a “true vibrant culture, that Africans, so cherish. It is not surprising therefore that recognising the utopian and prophetic nature of the concept of ubuntu will allow me to see a vast field, of course, of positive application for this concept at the centre of the globalised urban societies of Africa. My argument on ubuntuism is that, ubuntuism on its own, cannot be regarded as a straight forward philosophy or emic rendering of a pre-existing Africa philosophy available.

Since time immemorial, in the various languages belonging to the Bantu language family, the ubuntu philosophy is seen in today’s world as dynamic, as it has to accommodate global trends, of course that are positive. The major problem is that globalisation and internationalisation of businesses has overshadowed cultural ethics, as is in the case of what this paper is focussing. How ethical is it to objectify women for the purposes of making wealthy gains? Whether one wants to call it unfortunate or fortunate the globalisation process in which the modern world is increasing drawn, amounts to the ascendance of a market-oriented economic logic of maximisation, where, in many cases, the dignity, value, personal safety, or survival of the human person no longer constitute cultural concerns. It cannot be

doubted that African societies, have suffered greatly in the process, but the value orientation in terms of ubuntu holds up an alternative, where there is advocating for a rebirth of the African Renaissance, an almost equivalent of ubuntuism. The love for women, sexualisation of “innocent women” has on its own caused conflict of interest in a world where society and economics are at loggerheads (de Mooij, 1998). Western influence on business practices, especially advertising business, in which our own culture tend to find no common grounds whatsoever has become a thorn in the heart, for many of us who believe in African Renaissance.

Overview to dressing

Society places an immense emphasis on physical beauty; so much that attractiveness plays an important role in almost every human activity. Attractiveness is frequently used as a cue for inferring information about others (Patzer, 1985, Martin and Kennedy 1993, Richins, 1991). Marketing academics have contributed to studies of physical attractiveness by investigations impact of product endorsers or advertising models attractiveness on people’s self-concept (Lasch, 1978, Myers and Blocca, 1992) and consumers response such as attitudes and purchase intent (Coballero, Lumplain and Maddey 1989) while this sort of background provide a reason as to why many advertising agents make use of women, to an extent where, they are almost “non-thinking objects”. It should be understood that, regardless of wealth creation this brings the African ubuntuism to a halt as this practice is unethical and immoral.

Advertising today has assumed a different dimension, that carries with it societal contradictions. This is also reflected in our Africa ubuntuism in which women are not expected to be ‘used like sex objects’ for selfish gains of individual institutions. The extent of attractiveness based messages and potential social consequences of advertising are signated by Downs and Harvison (1988) analysis of American commercials. After examining over four thousand television commercials, they discovered that on average, out of every 3.8 adverts involved, attractiveness is central. Stereotype in some manner, the use of beauty types, which have been shaping stereo types, has been fostered by the belief that around attractiveness a prose of “sells” exists. While this sounds business-like, it is paradoxical from ubuntu paradigm.

Why companies use women as baits

Social psychologists have gathered significant amounts of evidence on the importance human attractiveness carries in society. According to Finkelstein (1991) attractiveness is a well known, if convert, Law of sociality. Patzer (1985) argues that people drastically underestimate the influence of physical attractiveness. Finklestein goes on to say “embedded in it are the guestous about the ways in which appearances matter and to whom. This explains why in this paper, companies that advertise prefer to use beautiful women and further create a sexual appeal, which they know is likely to be a favourite recipe for many men.

Physically attractive people perceived to be more sexually warm and responsive, sensitive, kind, interesting, strong, poised, modest, sociable and outgoing than persons of lesser physical attractiveness (Miller, 1970, Baker and Churchhill, 1977, Berscheid and Walter, 1974). Researchers have argued that attractiveness is more a stereotype stronger for women due to the fact that attractiveness is more centred on them (.Ashmore, Makhijani and Longo 1991; Grant, 2007; Bakan, 2004; James, 1996; White, 1990; Steadman, 1969). The media contributes by offering and portraying women rather as decorative and sexual objects (Nelson and Paek, 2010).

Dressing and ubuntuism culture

Culture is the ‘collective mental programming’ that distinguishes societies from one another (Hofstede,1983). Several studies attempt to explain the differences in consumers’ response to offensive advertising using culture as explaining factors. The cultural theories tested include Hall’s (1984) theory of information context as well as Hofstede’s (1984) theory of cultural dimensions. Ubuntu generally means humanity,’ humanness’ *The maxim umuntu ngumuntu ngabantu or munhu munhu muvanhu* literally means a person is a person because of other persons. Ubuntu underscores the importance of consensus and respect of one’s body. Decently dressing oneself becomes paramount. With this view in mind, women advertisers seem to ignore this very important component of ubuntuism by imitating western styles of dressing.

Offensive advertisements can be harmful for both the products and the brands. One of the most domineering impulses in women is that which influences them to make themselves beautiful (Seger, 1990; Schelfen, 1974; La Tour, 1990). But this instinct, which has led women from strings of shells to modern clothes, like every other human instinct, has its own distortions on culture. In Zimbabwe, for example, it is not proper to see the thighs, shoulders of a woman. Yet this is what man and boys, old and young people are exposed to, day in, day out. Ubuntuism prescribes a culture of shared meaning, community oriented approaches to life, respect for others and insist on descent dressing. The descent phenomena between an African and non-Africans could mean very different things as is reflected in our day to day life. Like many others I believe that money is the route of all evil. Companies are careless and do not give a damn to our cultural requirements. Our women are also possessors. Then expose their “geography” to the world, parade themselves and display the once cherishes “human landscape”. Who cares, to them its modernity and sounds fashionable. That must be modernity that dehumanise our once descent mothers. Is it not a shame to Africa! A shame to ubuntuism, that the once “hidden parts of our beloved women” are now food for all.

The matter of dress is the more important, because bound up with it is whole gist of social and economic problems (Bello et al; 1983). It is part and parcel of the problem of social connection, cultural decay; it is a commonly most direct weapon against societal abuses.

The advertising mode and dressing are recipes for social change. It is one of those great everyday matters on which the moral and physical well-being of society rests.

A look at Zimbabwe dressing shows that Zimbabwe clothing culture has generally been diluted to look more western. This is largely because of Zimbabwe history of Colonisation. Of significance to note is that Zimbabwe population is largely still very resistant to dressing that exposes “more than necessary” especially women. There have been cases of women being stripped naked altogether by mobs of people wearing mini-skirts with too short a skirt even in the capital of Zimbabwe. With this mindset, it remains a mystery, why advertisement used is contrary to what is real on the ground.

Criticism of advertising

Discussions of offensive advertising are found in the past three decades, scattered among topics such as ‘unmentionables’(Wilson and West,1981),offensive/intrusive/irritating advertising(Aaker and Bruzzone,1985;Bartos,1981;Li et al.,2002;Prendergast,2001).

Previous studies proposed that offensive advertising is compiled of several dimensions(Barnes and Dotson,1990;Phau and Prentergast,2001).In the Asian context, empirical studies found that sexist themes, fear, nudity and cultural insensitivity were the most frequently cited reasons for finding advertisements offensive (Phau and Prenterghast,2001).

While advertising can be seen as necessary for economic growth, it is not without social costs. Advertising is increasingly invading public spaces, such as schools, which some critics argue is a form of cultural exploitation as it influences them to be more prone to cultural changes, giving them a feeling of inadequacy, which may be harmful both socially and economically (Boddeyn, 1991). Opponents equate the growing amount of women being used in advertising with “flood wave” and restrictions with “damming” the flood.

Kale Lash, one of the most outspoken critics of advertising, considers it as “the most prevalent and toxic of the mental pollutants. Increasing the emphasis in advertising has switched from providing “factual” information to the symbolic commutations of commodities, since the crucial premise of advertising is that the material object being sold is never in itself enough. This explains why possibly the “second object” (women) which is culturally unacceptable is posited, of course contrary to business practitioners whose ethos is deep-rooted in wealth creation not culture as is in ubuntuism.

Generally, it appears, from my personal observation and being part of Africanism in which those commodities that offer most *mundane* necessities of daily life, must be imbued with symbolic qualities and culturally endorsed meanings via the “magic system of advertising”. Thus by altering the context in which advertisements appeal, things can be made to mean just about anything and the ‘same’ things can be envisaged with different intended meanings for different individuals and groups of people, thereby offering various produced visions and missions of individualisation, that are ego-centred (Barnes, 1990). This implies impacting on societal values either negatively or positively.

In contemporary mainstream consumer advertising (e.g., magazines, network and cable television), sex is present in promotional messages for a wide range of branded goods. Ads feature provocative images of well-defined women (and men) in revealing outfits and postures selling clothing, alcohol, beauty products, and fragrances. Advertisers such as Calvin Klein, Victoria's Secret, and Pepsi use these images to cultivate a ubiquitous sex-tinted media presence. (Chism, 1999).

Empirical evidence shows that some sexually oriented advertisements provoke a backlash against the product. For example, in 1995, Calvin Klein's advertising campaign showed teenage models in provocative poses wearing Calvin Klein underwear and jeans. The ads were withdrawn when parents and child welfare groups threatened to protest and Hudson stores did not want their stores associated with the ads. It was reported that the Justice Department was investigating the ad campaign for possible violations of federal child pornography and exploitation laws.

Over the past two decades, the use of increasingly explicit sexual imagery in consumer-oriented print advertising has become almost commonplace.

In recent years ads for jeans, perfumes and many other products have featured provocative images that are designed to elicit sexual responses from as large a cross section of the population as possible, to shock by their ambivalence, or to appeal to repressed sexual desires, which are thought to carry a stronger emotional load. Increased tolerance, more tempered censorship, emancipatory developments and increasing buying power of previously neglected appreciative target groups in rich markets (mainly in the West) have led to a marked increase in the share of attractive flesh 'on display'. The quest for ubuntuism is at crossroads here. These actions do not augur well with African traditions

Criticism

Use of sexual imagery in advertising has been criticized on various grounds. Religious conservatives often consider it obscene or immodest. Some feminists and masculinists claim it reinforces sexism by objectifying the individual. Increasingly, this

argument has been complicated by growing use of androgynous and homoerotic themes in marketing.

Media's perpetuation of advertisement that is wrongful

Media houses are providing most advertisements and do generate most of their income from predominantly 'sexually motivated ads. No media that spreads advertisements can be independent and the higher the proportion of advertising, the higher the dependency. This dependency has 'distinct implications' for the nature of media contact. No wonder why media behaviour directly impacts on culture of a given society. The demise of ubuntuism can be a result of the role media plays between dressing attitude versus the dictates of ubuntuism. Probably, African countries do not have clear policies that match culture and business practices, especially those from western culture and business practices in Africa. How compatible are these cultures vis-a-vis our ubuntu philosophy? Media Houses have long faced pressure to shape stories to suit advertisers and owners and custodians of ubuntuism (Bourdillion,19 76;Frith and Muller,2003;George,2008;). Negative and undesired reporting can be prevented and influenced when advertisers threaten to cancel orders that betray African Renaissance embedding ubuntu.

Sexism and stereotyping

Dressing to advertise specific products has an agenda setting function. Adverts often use stereotype gender specific roles of women and men reinforcing existing cliché and has been criticised as 'inadvertently or even intentionally promoting sexism, racism heterosexualism, ableism, ageism and so on. Women are reduced to their sexuality or equated with commodities and gender specific qualities are exaggerated and female bodies are sexualised but this increasingly also makes, them serve as eye-catchers. In many advertisements; it is usually a woman that is depicted as:

- A servant of men and children that reacts to the demands and complaints of her loved ones with a bad conscience and the promise for immediate improvement.
- A sexual object with emotional plans for the self-affirmation of men
- Female expert, but stereotype from the fields of fashion, cosmetics, food and medicine
- As ultra thin
- Doing ground work for others e.g. serving coffee, while a journalist interviews a politician.

My opinion on this matter as a researcher is that the objectification of advertisements, poses threat to ubuntuism. This greatly affects women who are frequently portrayed in unrealistic and distorted images that set a standard for what is considered "beautiful" attractive or desirable. Yet such imagery does not allow for what is found to be beautiful in various cultures. It is exclusionary, rather than inclusive, and consequently, such advertisements provide a negative message about body image, dressing and overall African indigenous systems.

Methodology

Qualitative research paradigm was adopted for this study. A review of existing literature, interviews with various people from different background (students, media personnel and elders) were used in Zimbabwe. The interviews were in depth in nature and I was able to set true inner feeling of the respondents as they narrated their own personal experiences on advertisements they see every day and how they felt this women impact on their culture, a culture of ubuntuism. I also made a few telephone calls to my friends in other countries to get their feeling on the ground. The same sentiments obtained appeared more universal because the "ubuntu" element is not limited to Zimbabwe alone, South Africa or

Namibia. “Ntu, which means human, is an African philosophy. A total of fifty four respondents were interviewed to get first hand feelings on the subject under study. The data captured was thematically analysed and opinions and views of respondents provided in direct “quotes “. Personal experience and observation also played a critical role in providing information. The subject raised a lot of interest among respondents and time became a limiting factor.

Results

The researcher took his time to interview people from all walks of life, introducing media houses to find out what their opinions and views were on nude advertisements. The composition of the respondents included University students, elderly people, media house personnel and the general public. The total number of respondents was fifty four.

The study was investigative and was set to establish, the position of people with regard to adverts that symbolises women as sex objects, for the purpose of creating business opportunity for companies and institutions. The general feedback obtained indicate that both female and male respondents defended the African culture was facing extinct and the women race by agreeing to “parade their geography” to the world was a shame to society. Below are statements that came from a number of respondents. It is a shame to humanity to see a woman dressing almost naked.

“We sometimes fail to understand why media responsible proceed to show the public such “unfortunate advertisements”. In Africa, the body of a woman is precious.

‘Governments in Africans are not real serious about keeping “the African ubuntu intact, why do they allow even national broadcasters to cast “empty women”? What lessons do our kids learn from these evil activities? Laws on censorship are needed and must be implemented.

‘Is it really ethical to hear, see, touch and feel all these advertisements in our local media?

The majority (70%) of students from the University tended to find nothing amusing on adverts that have a “de-humanising element”. This is what some of them had to say: “society has changed, we are living in a global world and I do not see anything wrong in it, it is fashion”.

‘We enjoy seeing attractive products being advertised by attractive women. I personally have no problem with the practice. People should learn to select to see what they like to see.’

“Its modernity! You cannot challenge that” However one of the students felt it was inhuman to use nudity for business gains.”Stain measures should be put in place to punish those companies or advertising agents, who use women as sexual objects.

“I think our legislations are weak. Egyptians are a bit hard on such things. Look at them, they protested against an advert proclaim by one of the biggest soft drink companies in the world they made it clear that, it ‘injures’ their culture and hence needed to be censored”

About 80% of the responses from the media houses indicated that the practice was driven by the desire to make money, please their masters, and was not culturally motivated. One of the executives said:

“When you see women naked or half dressed, in our media, it is because; we get solid instructions to do so. This is how big companies make money. They know that men are attracted by ‘beauty’ and beauty is associated with sexuality and hence the women who become supportive devices to make their products more appealing.”

‘It is clear that, our culture of ubuntu is at crossroads with some of these advertisements being put in our media, but we have no option”.

“Regulations on censorship of such images of terrible dressing” are weak in most parts of Africa hence Multinational Companies taken advantage of that”.

It is key at this juncture to conjure that the majority of the views indicate that, Africans are generally in a discomfort zone. Men and women are condemning the type of dressing used on many advertisements used on many advertisements which we cannot mention by names. I believe many of us have seen them, we see them every day, and every time you switch your television set on, read magazine or newspaper article. Some of them are “pornographic” in outlook. We however, have a group of youngsters, who probably have been influenced so much with western cultures, who feel that there is nothing wrong with the practice. The return to ubuntuism, strict legislation and educating our societies is critical, if ubuntuism is to be revived. Modernity is good, if it does not destroy our cultural heritage, as is what is happening now.

The great masses who happen to be our mothers and fathers will not permit that the behaviour of the “agents’ in dehumanising our women. The need to speak unfearfully of the need to respect our culture is critical; we invite all business to do business in Africa but not at the expense of African Renaissance and ubuntuism. I advice my sisters to cherish their bodies for nothing will be left in them if “tom and jerry” feast on them day in day out. This is my feeling and I will not regret to openly denounce the practice.

Discussion

Globalisation has had far-reaching effect on media practices worldwide and is concomitant with this global spread of media forms. Liberal views of the media role in a democracy have been exported to many countries outside Europe and America, impacting negatively on cultures that bring people together. Ubuntuism is a victim of this exportation rather and importation of western practices into Africa. Companies and institutions have taken advantage of the ignorance of women and use them to promote their business at the expense of African culture embedded in ubuntuism. The revelation in the study is that the form of dressing depicted in most advertisement left many people amazed and businesses amassed a lot of wealth by objectifying women. We do not know how long it will take for our African women to realise that by being put on “bare-land” they are not loved. The study clearly provokes a new dimension of thinking that calls for all Africans, who believe in ubuntuism and wage a war against businesses that have no respect for our culture. It is clear that many families are perturbed by what they see, hear and feel in so far as nude advertisements are concerned.

The need to call for an African Renaissance is of paramount. African Renaissance is a movement calling for return to African upbringing. At the heart of the African Renaissance is the ubuntu concept. The concept of African Renaissance is broader, and can be discussed as a separate agenda, furtherance to this study.

Recommendation

The identity of African woman, as portrayed in this paper can only be enunciated by reinforcing our cultural practices as enunciated in the ubuntu doctrine with that in mind, the study proposes that:

- Media laws should be tightened in order to promote ethical advertisements.
- The use of nude women or half dressed women should be totally prohibited (banned).
- Companies whose products or services are being advertised can be banned or fined heavily for lack of respect of African identity.
- The consolidation of urban journalism and culturally-oriented journalism or a blend of the models is the right thing to do.

- The media must be “forced” to exhibit “African values, adopt an Afro-centric, moralistic-ethical prescriptions for the good of man
- There is need for greater integration of cultural and media studies. Africans need to introduce ubuntuism as a subject of course, from lower grades up to tertiary level.
- All multinational and local companies need to sign a memorandum of understanding on ubuntuism tenets before carrying out business in African states.
- Resuscitates African Renaissance as key to the re-birth of ubuntuism.

Further Research

This study is merely an eye opener to the debate on use of women as sexual object and the impact this has on ubuntuism. There is need to carry out further research focusing on the impact of dressing by women models on other women who are consumers.

Conclusion

The creative elaboration of African tradition cannot be undermined by forces of globalisation. The idea of a universal “modernity” as the pre-defined horror for all humanity has its consequences of African tradition. The planning ground is in principle open now for other traditions (especially western) to conceive of their modernity and to ascertain their history and cultural resources in view of the historical challenges that our sisters and mothers have self-introspection. They should ask themselves why a lot of men who own these companies and advertising agents fail to use their daughters and sisters, if not wives to go naked on screen and in various media, in their bid to sell more, and make more through objectifying and sexualizing the products and services on offer. Many questions emerge: Is it not a shame to us brothers and sisters? Is it not a shame to us brothers and sisters? I repeat! Is it not a shame to humanity? Let us get back to our roots and re-ignite the ubuntu philosophy and attempt to ‘sink’ “dirty activities” in our own continent. Wealthy creation at the expense of sustainable culture, a culture of ubuntuism cannot be tolerated. Yes we cannot be tolerated!.

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COMPARATIVE ANALYSIS OF CONTEMPORARY SLAVERY IN WEST AFRICA

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Abstract

This article aims to provide a study of slavery from a comparative point of view. Precisely, it looks for the root causes of the similar coverage and structure of traditional and contemporary slavery in West Africa. After determining the necessity of using the term of contemporary slavery for nowadays' human rights violations, the article provides the comparison of traditional and modern day slavery in Mauritania and Ivory Coast where chattel slavery and child labor still keep a lot of people in bondage. The author states that infractions were basic components of the traditional slave trade in the early modern and modern age, while they are still determining factors of these two countries' society and economy. Following the two case studies, the author discusses the efforts of the international community to abolish slavery by analyzing related legal instruments and it also looks into the mandate of the Special Rapporteur on all Forms of Contemporary Slavery. This part confirms the need for an increasing attention of the governmental and non-governmental actors of international politics to the issue of slavery.

Keywords: Traditional and contemporary slavery, West Africa, international protection of human rights

Introduction

According to the recent Global Slavery Index" surveys conducted by Walk Free Foundation in 2013, around 29, 8 million people are still living in slavery nowadays. Based on the prevalence of slavery, Moldova, Benin, Ivory Coast, Gambia, Gabon, Mauritania, Pakistan, Nepal, and Haiti have the highest numbers. On the other side, the index shows a slightly different picture if we take the number of people living under slavery conditions into consideration compared to the population. Then the first countries are India, China, Pakistan, Nigeria, Ethiopia, Russia, Thailand, Democratic Republic of Congo, Myanmar, and Bangladesh. As a consequence, the survey shows that 76 % of the 29, 8 million people live in these countries.²

Regarding the methodology of Walk Free Foundation, it considered the prevalence of slavery compared to the population of the 162 countries reviewed and it also took into consideration the measure of child marriage and the measure of human trafficking in and out of the country. Furthermore, the research did not only present the seriousness of the topic, but it had also identified the possible root causes of the increasing extension of slavery so that it would be feasible to compare the problem among touched countries.³

² Global Slavery Index. Walk Free Foundation. 2013. <http://www.globalslaveryindex.org/report> (Accessed April 30, 2014) pp.1.

³ Upon that, the research also analyzed legislative actions that have already been done in order to abolish contemporary slavery in countries being in the first and last 20 positions of the list. Denmark, Finland, Sweden and Luxemburg can be found at the very end of the list having the lowest slavery index. (See at.

The introduction to the Walk Free Foundation's survey confirms the fact the slavery is still a topic that has to be discussed on different levels of international relations since the number of people concerned has been high despite of the abolition of slavery at the end of the nineteenth century. This article looks into the circumstances that still keep slavery alive with special attention to Mauritania and Ivory Coast, two West African countries where several forms of contemporary slavery such as chattel slavery and child labor can be observed. A comparison between traditional and contemporary slavery explains why such long series of human rights violations still survive in West Africa. The infractions were basic components of the Atlantic slave trade in the Modern Age and they are still determining factors of these two countries' society and economy. Slave owners and manufacturers consider slavery as easily accessible work force that is essential for the industry's development.

The problem is continuously dissolved by the international community, even though it has been developing a legal framework since 1926 with full of legal instruments targeting the abolition contemporary slavery such as child labor or human trafficking. Despite of the ratification of international conventions and the establishment of working groups within the United Nations, modern-day slavery will be flourishing in West Africa and other parts of the world until the efforts will not target the root causes of slavery. Poverty reduction strategies and structural adjustment reforms targeting social exclusion and economic development of the region would decrease the profitability of slavery on a long run.

The Concept of contemporary slavery

What does exactly contemporary slavery mean and why is it crucial to make a distinction between traditional and modern day slavery in 2014? Nowadays, practices similar to slavery can be defined as "forced labor without payment" in the easiest way. Upon that "the control without ownership, violence (or the threat of violence); coercion (loss of freedom and choice); and exploitation (of labor power through unpaid work)" can be understood as modern day slavery.⁴ In other words, the lack of payment separate slave from any other forms of employment and the lack of legal ownership can be considered as the most important difference in the slave and slave master relationship between the traditional and contemporary forms of slavery.

The following human rights violations can be identified with the concept of contemporary slavery: adult and child forced labor, forced marriage, sexual exploitation, prostitution, debt bondage, human trafficking or „serfdom”.⁵ These forms of appearance are all laid down in the human rights instruments concerned so that forms of contemporary slavery belong to the *ius cogens* norms of international law. Consequently, this norm as the highest of international law applies unconditionally. Kevin Bales quotes that „the Human Rights Council emphasizes in its report to the UN General Assembly that the prohibition of slavery is one of the oldest norms of international law.”⁶ So slavery can belong to crimes against humanities. Furthermore, the freedom from slavery conditions and slavery-like practices is one of the most basic rights of the human being, similarly to the right to life or the freedom of press and religion. It was strengthened by the International Court of Justice when it states that „the protection from slavery is an obligation *erga omnes* of states arising out of

⁴ Manzo, Kato: Modern Slavery, Global Capitalism & Deproletarianisation in West Africa. In: *Review of African Political Economy* No.106. pp. 522.

⁵ Global Slavery Index. Walk Free Foundation. 2013. <http://www.globalslaveryindex.org/report> (Accessed April 30, 2014) pp.1.

⁶ Ibid.19. o. (See also: Report of the International Law Commission to the General Assembly, UN Doc.A / CN.4/ Ser.A/Add.1 (1963).

human rights law”.⁷ In other words, states are obliged to make efforts for the abolition of slavery regardless of the fact that they joined the related legal instruments of international law or not.

Traditional vs. Contemporary Slavery in West Africa

The circumstances such as the lack of payment or the brutal and violent conditions of employment could suggest the question of what the difference between the slavery of the period of the 16th to 19th century and the slavery of nowadays that concerned 29, 8 million people around the world in 2013 can be. In order to show that traditional and contemporary slavery looks quite similar but we still need to differentiate them from each other, I will discuss the widespread forms of traditional and contemporary slavery in two West African Countries, namely Mauritania and Côte d’Ivoire. The article targets these two countries as they are having critical slavery issues according to the Global Slavery Index report.⁸

Having a look at slavery in West Africa during the Early Modern and Modern Age, it becomes clear that the violation of human rights was a socially embedded phenomenon. In other words, slavery practices, like chattel slavery and forced labor were key factors of the countries’ economic structure for development. Regarding Mauritania and the rest of the Sahel region, “slave trade peaked between the 1850s and the 1860s, and then again in the 1880s, after which it began to subside. While the demand rose- perhaps in response to declining relative prices, historical sources generated by Africans point to the tremendous value the human commodity continued to hold.”⁹ Therefore, slaves represented a precious property for slave owners since they meant cheap and easily accessible labor force for the higher layer of the society.

In Mauritania, a special form of slavery both in the traditional and in its contemporary form can be found, that is chattel slavery. As Suzanne Miers explains, the black Haratin, who are descendants of slaves freed in the past and of the original inhabitants of Mauritania are usually victims of racial discrimination in everyday life or at the labor market. Then another major part of the population is represented by the Abd community who were neither told officially that they were free nor encouraged to leave. Masters, themselves often poverty stricken, continue to use them as cheap labor, often paid only with food.”¹⁰ The main feature of chattel slavery that makes it different from forced labor and serfdom is that the descendants of slaves may suffer discrimination when it comes to questions of marriage, inheritance, and worship. In some instances, especially in Mauritania, the descendants have to continue living as slaves in the property of the same master.

The international community has always been keeping an eye on Mauritania and following the increasing pressure from the UN, the government announced in 1981 that it had

⁷ Bales, Kevin and Robbins, Peter T.: No One Shall Be Held in Slavery or Servitude: A critical analysis of international slavery conventions. In: *Human Rights Review*, 2001.2(2), pp. 20.

⁸ Mauritania is ranked number 1 in the Index. This reflects the high prevalence of slavery in Mauritania – it is estimated that there are between 140,000 – 160,000 people enslaved in Mauritania, a country with a population of just 3.8 million. (Global Slavery Index. Walk Free Foundation. 2013. <http://www.globallslaveryindex.org/report> pp. 6.). Regarding the Ivory Coast, the Index ranks it on the 8th position based on the prevalence of slavery compared to the country’s population of around 19 million. Here the majority of the victims suffer from forced labor. (Global Slavery Index, Walk Free Foundation. 2013. <http://www.globallslaveryindex.org/report> pp. 62.).

⁹ Lydon, Ghislaine: Islamic Legal Culture and Slave-Ownership Contests in Nineteenth-Century Sahara. In: *The International Journal of African Historical Studies*, Vol. 40, No. 3. Boston University African Studies Center: 2007. pp. 392

¹⁰ Miers, Suzanne: Contemporary Forms of Slavery. In: *Canadian Journal of African Studies / Revue Canadienne des Études Africaines*, Vol.34, No. 3, Special Issue: On Slavery and Islam in African History: A Tribute to Martin Klein(2000), Published by: Taylor & Francis, Ltd. on behalf of the Canadian Association of African Studies. pp. 723.

abolished slavery. However, observers of the United Nations have still found hundreds of people in bondage in chattel slavery despite of the fact that country-wide NGOs like SOS slave have been fighting against slavery for long years.¹¹ The abolition of the socially accepted chattel slavery in Mauritania is mainly because the government depends on the slave holder class of the society. The Beydans who form nobility made up of former warriors and clerics, known as "white Moors" provide the government with serious financial and political support. They were promised compensation in 1980, when slaves were legally freed, but this has not been paid, therefore the mutual interdependence between the government and them does not make any of the two sides interested in the decrease of the number of people living in slavery.¹² According to NGOs and non-governmental initiatives, such as CNN's "Freedom Project", from 300 to 600 thousand people are involved in these series of infringements.¹³ Despite of that, the government of Mauritania is not willing to recognize the problem. As CNN quotes one government official's comment, "'All people are free in Mauritania and this phenomenon (of slavery) no longer exists".¹⁴

Regarding the future steps for Mauritania, both the international community and the Mauritanian government should be aware of the issue. For example, efforts have to target awareness rising in local communities since slavery is still considered to be a taboo subject in the society. Of course, the government should also find a solution for the possibilities of stepping out of the dependence circle with the Beydan. The UN welcomed the adoption of a new law in 2007 that did not only introduce a new definition of slavery to the Mauritanian legal context but it also included a penalty of five to 10 years' imprisonment and a fine for violations of the law. As the Global Slavery Index report states, "The 2007-048 law provides for victim compensation and assistance for those released from slavery and makes liable those who do not follow-up a denunciation of slavery to sentencing and a fine".¹⁵ Unfortunately, only one slave owner has been sentenced to prison based on the 2007 law so far. The human rights crisis in Mauritania is a confirmation for the disabilities of the international human rights system as the country has ratified most of the instruments referring to slavery.

While chattel slavery keeps the full Mauritanian society in bondage, Côte d'Ivoire has been struggling for decades with the elimination of child labor in the country's most profitable industry. The West African country's primary export is cocoa, providing 40 per cent of the world's cocoa, making it the world's leading supplier. Therefore, the industry needs continuous and sufficient production from the cocoa bean manufacturers. The industry can maintain the required level of production only by using child labor force. As Global Slavery Index stands, it has been discovered continuously since 2000 that many children have been subjected to the worst forms of child labor in this sector, forced to work in hazardous conditions.¹⁶ A government report from 2010 estimated that over 30,000 children were in conditions of forced labor in rural areas. Apart from cocoa, children are employed in the production of grains, vegetables, coffee, fruit, cotton, palm, rice and rubber. This estimate, however, does not take into account the larger number of children working on their families'

¹¹ *ibid.* pp. 722.

¹² Miers, Suzanne: Contemporary Forms of Slavery. In: *Canadian Journal of African Studies / Revue Canadienne des Études Africaines*, Vol.34, No. 3, Special Issue: On Slavery and Islam in African History: A Tribute to Martin Klein(2000), Published by: Taylor & Francis, Ltd. on behalf of the Canadian Association of African Studies. pp. 723.

¹³ Stutter, John D.: Slavery's last stronghold. (Accessed April 30, 2014) <http://edition.cnn.com/interactive/2012/03/world/mauritania.slaverys.last.stronghold/>

¹⁴ *ibid.*

¹⁵ Global Slavery Index. Walk Free Foundation. 2013. <http://www.globallslaveryindex.org/report> (Accessed April 30, 2014) pp. 33.

¹⁶ *ibid.* pp. 62.

farms under conditions which can be akin to the worst forms of child labor. An estimated 600,000 to 800,000 children are working on small family-owned farms in Côte d'Ivoire."¹⁷

Even though Côte d'Ivoire has joined numerous human rights instruments, for instance the Supplementary Convention on Slavery or the ILO Convention on the Worst Forms of Child Labor, its commitment to the international efforts for the protection of human rights can be easily questioned after considering the high number of children involved in forced labor.¹⁸ Having a look at the issue of slavery from a historical point of view, it is clear that the cocoa industry has employed slave labor since the Atlantic Slave Trade. Even though Portuguese, British, French and Dutch slave traders focused more on the Slave Coast's or Gold Coast's slave supply, Ivory Coast also provided slave labor to the cocoa and ivory production.¹⁹ Cocoa plantation owners couldn't afford not to employ children as they were the cheapest and easily available labor for them.

Compared to Mauritania, the Côte d'Ivoire government has done more significant steps to have a nationwide framework for the elimination of slavery, namely child labor. In 2007 and in 2010, the National Action Plans targeted the goal of reducing child labor. Even though it does not have a nationwide coverage, the National Oversight Committee for Action against Child Trafficking, Exploitation and Labor aims to reduce child labor significantly by 2014.²⁰ Côte d'Ivoire has established a specialist anti-trafficking law enforcement unit, as well, overseen by a police chief and staffed by four police officers and two social workers. This unit investigates cases of child trafficking. New monitoring brigades established as part of the new National Monitoring Committee for Actions to Fight against Trafficking, Exploitation and Child Labor in 2011 also are responsible with investigating trafficking.²¹

In the issue of child labor, the involvement of the global cocoa industry is a key factor for success. The Harkin-Engel Protocol can be considered as a good start since it is about public-private agreement for the goal of the abolition of child labor in line with the ILO's No. 182 Convention about the Worst Forms of Child Labor.²² According to the Walk Free Foundation, in 2010 a Declaration of Joint Action Support Implementation of the Harkin-Engel Protocol and a Framework of Action to Support Implementation of the Harkin-Engel Protocol were signed by the Ivorian Government and representatives of the international cocoa industry, renewing their commitment to the goals of the Protocol, aiming to reduce it by 70% by the year 2020.²³

The motivations seem to be high both in the government and in the industry. Recently, CNN dedicated an evening long program for the issue of child labor in Côte d'Ivoire within the framework of its Freedom Project.²⁴ But as it turned out, slavery is so deeply integrated into the history and the society of the Ivorian that for most of them, the word 'freedom' has to be explained, similarly to the case in Mauritania. Even though, both countries have ratified several international human rights instruments, they are one of the

¹⁷ *ibid.* pp. 62.

¹⁸ However, Côte d'Ivoire has not ratified the Slavery Convention of 1926.

¹⁹ Manzo, Kato: Modern Slavery, Global Capitalism & Deproletarianisation in West Africa. In: *Review of African Political Economy* No.106. pp.524.

²⁰ Global Slavery Index. Walk Free Foundation. 2013. <http://www.globalslaveryindex.org/report> (Accessed April 30, 2014) pp. 63.

²¹ *ibid.* pp. 63.

²² The Agreement was result of cooperation among ILO, the Government of Côte d'Ivoire, the Chocolate Manufacturer's Association and the World Cocoa Foundation. The US Congressmen, U.S. Sen. Tom Harkin and U. S. Rep. Eliot Engel also witnessed the negotiation. (See also „Oversight of Public and Private Initiatives to Eliminate the Worst Forms of Child Labor in the Cocoa Sector in Côte d'Ivoire and Ghana". <http://www.childlabor-payson.org/Tulane%20Final%20Report.pdf> Accessed May 1, 2014)

²³ *ibid.* pp. 64.

²⁴ Can the Chocolate Industry change its ways? *CNN Freedom Project*. (Accessed May 1, 2014.) <http://thecnnfreedomproject.blogs.cnn.com/category/chocolates-child-slaves/>

model countries of contemporary slavery, mainly because of the long integration of slave labor in the key industries of the countries. After seeing in what forms contemporary slavery keeps traditional elements of bondage alive, it is worth having a deeper look into what kind of protection the international law including the protection of human rights guarantee for those suffering from slavery conditions.

Legal efforts of the international law to abolish slavery

The international community has been dealing with the problem of slavery for a long time and it has already established a wide legal structure for the protection against such human rights violations. The term of contemporary slavery can be recognized in the texts of international law firstly in the beginning of the 20th century. The League of Nations set up the Temporary Commission on Slavery that was in charge of research the existence and the extension of slavery worldwide. Based on the findings of the commission, the League of Nations adopted the **Slavery Convention in 1926**. The Convention defines slavery in the following way.

(1) *Slavery is the status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised.*

(2) *The slave trade includes all acts involved in the capture, acquisition or disposal of a person with intent to reduce him to slavery; all acts involved in the acquisition of a slave with a view to selling or exchanging him; all acts of disposal by sale or exchange of a slave acquired with a view to being sold or exchanged, and, in general, every act of trade or transport in slaves.*²⁵

The concept that appeared in the Convention had been predominantly inspired by the widespread forced labor practices on British and French colonies in the 1920s, since for instance, it was absolutely acceptable to employ local citizens under violent conditions in several industries of the Belgian Congo by restricting their personal freedom.²⁶

Even though, the Slavery Convention of 1926 determined the meaning of slavery as “a status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised”,²⁷ it had a few missing points from the point of view of an efficient legal protection system. First and foremost, it did not establish an internationally approved system of sanctions that would provide with the possibility of the abolition of slavery and it did not create an international body that could evaluate and pursue allegations of violations.²⁸ However, it could be seen as a positive result that countries like Burma and Nepal joined the Convention thanks to the lobby power of the League of the Nations, undertaking commitments for the abolition of slavery in their own countries.

The legal efforts toward the acknowledgement of contemporary slavery received a big boom following the establishment of the United Nations since the Universal Declaration of Human Rights has declared that “No one shall be held in slavery or servitude; slavery and the slave trade shall be prohibited in all their forms”.²⁹ After continuing the research in the field of contemporary slavery, the United Nations’ Ad hoc Committee on Slavery emphasized the need for the extension of the concept, so the Supplementary Convention on the Abolition of

²⁵ *Slavery Convention of 1926*. <http://www.ohchr.org/EN/ProfessionalInterest/Pages/SlaveryConvention.aspx> (Accessed April 15, 2014) para 1. and 2.

²⁶ Bales, Kevin and Robbins, Peter T.: No One Shall Be Held in Slavery or Servitude: A critical analysis of international slavery conventions. In: *Human Rights Review*. 2001. 2(2), pp.21.

²⁷ *Slavery Convention of 1926*. <http://www.ohchr.org/EN/ProfessionalInterest/Pages/SlaveryConvention.aspx> (Accessed April 15, 2014) para 1. and 2.

²⁸ Bales, Kevin and Robbins, Peter T.: No One Shall Be Held in Slavery or Servitude: A critical analysis of international slavery conventions. In: *Human Rights Review*. 2001. 2(2), pp. 22. o.

²⁹ *Universal Declaration of Human Rights*, December 10, 1948, UN Doc A/810 at 71 Article 4. <http://www.un.org/en/documents/udhr/index.shtml#a4> (Accessed April 29, 2014)

Slavery, the Slave Trade and Institutions and Practices Similar to Slavery of 1956 already showed a wider acknowledgement of slavery-like conditions. It covers debt bondage, serfdom, forced marriage, sexual exploitation, prostitution, the sale of children including child labor under the term of “slavery”.³⁰ Of course, it is important to state that the adoption of the Supplementary Convention on Slavery of 1956 was not a replacement of the Convention of 1926; rather it can be seen as the extension of the resolutions presented in the earlier.³¹ But the definition of 1926 has still been serving as the basic concept that the UN considers in case of slavery practices.³²

The protection of international law in the field of slavery extended more due to the International Covenant of Civil and Political Rights and the International Covenant of Social, Cultural, and Economical Rights in 1966. Kevin Bales calls the attention to the fact that “It took nearly 20 years for the obligations set out in the Universal Declaration to be given international legal effect by the introduction of two binding Covenants”.³³ Even though the Covenants do not deal explicitly with slavery, they state the protection of so many rights and freedoms whose violation would belong to the category of slavery. In the contrary of the Universal Declaration of Human Rights, the Covenants were legally enforceable documents. In other words, states undertook legal commitments to make the respect of the rights come true in their own judicial system.

On behalf of the UN, the Economic and Social Council of the United Nations was in charge of the implementation of the Slavery Convention of 1926 and its related protocols. In the frame of its mandate, it established the subcommittee that prepared the draft of the Supplementary Convention of 1956. The Subcommittee emphasized that an individual, independent body had to be created within the organization of the UN that would have the mandate to control the worldwide efforts for the abolition of slavery. Even though it can be considered as progress in the international effort that the UN Working Group on Forms of Contemporary Slavery stood up, it dealt with the international fight against slavery only until 2006. Then, since the Commission could not provide the international community with significant improvements in the field of contemporary slavery, the UN decided to give the mandate over to the position of the Special Rapporteur on all forms of contemporary slavery.³⁴

Even though several legal instruments such as the Slavery Convention of 1926, or the Universal Declaration of Human Rights and the International Covenants of 1966 call the attention of states to acknowledge the existence of contemporary slavery and fight for its

³⁰ *Supplementary Convention on the Abolition of Slavery, the Slave Trade, and Institutions and Practices Similar to Slavery*. Adopted by a Conference of Plenipotentiaries convened by Economic and Social Council resolution 608(XXI) of 30 April 1956 and done at Geneva on 7 September 1956. Entry into force: 30 April 1957, in accordance with article 13. <http://www.ohchr.org/EN/ProfessionalInterest/Pages/SupplementaryConventionAbolitionOfSlavery.aspx> (Accessed on Apr 29, 2014)

³¹ Bales, Kevin and Robbins, Peter T.: No One Shall Be Held in Slavery or Servitude: A critical analysis of international slavery conventions. In: *Human Rights Review*. 2001. 2(2), pp. 25..

³² Similarly to the UN’s global initiatives to decrease the prevalence of slavery around the world, UN organs have also been playing a key role in the creation of UN’s legal protection framework against slavery. For instance, the ILO Convention Concerning Forced or Compulsory Labor; and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children (Convention concerning Forced or Compulsory Labour (Entry into force: 01 May 1932) Adoption: Geneva, 14th ILC session (28 Jun 1930). http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C029 (Accessed April 29, 2014)

³³ Bales, Kevin and Robbins, Peter T.: No One Shall Be Held in Slavery or Servitude: A critical analysis of international slavery conventions. In: *Human Rights Review*. 2001. 2(2), pp. 25.

³⁴ Bell, Jessica: Contemporary Slavery and International law. Human Rights and Human Welfare. <http://www.du.edu/korbel/hrhw/researchdigest/slavery/law.pdf> (Accessed April 04, 2014) 35. o.

abolition, due to the lack of an internationally approved definition and the wide but not always efficient ways of protection, the number of people living in slavery is still high globally. Of course, the efficiency of giving the mandate of the abolition of slavery instead of a commission to one dedicated person can easily be questioned. How could one expert solve such a global issue that could not have been solved not only by the five experts of the UN Working Group on Forms of Contemporary Slavery but by the UN either? Ms. Gulnaira Shahinian has been the UN's Special Rapporteur on all Forms of Contemporary Slavery since in the organization of the Human Rights Council. Ms. Shahinian emphasizes the clandestine feature of contemporary slavery as one of the biggest obstacles in the abolition efforts. The slaveholder loses money and cannot claim compensation if the slave escapes or is liberated by officials. Legally, slaveholders are at risk of criminal prosecution if caught.³⁵ Regarding the two examples mentioned in this article it is obvious that both in the case of chattel slavery in Mauritania and child labor in the Ivory Coast, it is not possible to know exact data about the people being employed under slavery conditions, only estimations are available.³⁶ Of course, the measures to be taken should pay attention to the fact that mainly children and women, two marginalized groups of societies are the victims of slavery. Therefore, the necessity of action is more urgent but it can be successful, according to the Special Rapporteur, only if the root causes of slavery such as poverty, social exclusion, all forms of discrimination are targeted by the international and local efforts".³⁷

Even though, the Special Rapporteur represents dedicated goals from the point of view of contemporary slavery within the framework of the UN, she can operate mainly with country visits and country reports including her recommendations. In 2012, Ms. Gulnaira Shahinian did some research in Madagascar and Kazakhstan that provided her with the basic findings for her 2013 report. Here she addressed governments, donor organizations and NGOs, too and called them up for an increasing participation in UN's efforts to abolish slavery.³⁸

Conclusion:

Although governments involved are not willing to face up with the issue of contemporary slavery, its abolition would be a key issue for the countries' development. The number of 29, 8 million people living under slavery conditions could be reduced, if reforms targeted poverty, discrimination and unemployment. For being able to conduct such structural reorganization, the nations concerned have to admit that traditional slavery still survives in its modern forms in their society and economy. As the two examples from Mauritania and Côte d'Ivoire showed, the clandestine feature of slavery prevents both the national governments and the international organizations from having a clear view on slavery. Therefore, both countries should perform a nationwide study to collect more precise data on prevalence and nature of existing forms of slavery, as part of a larger focus on eradication.

Naturally, the national efforts cannot succeed without the support of the international community, since contemporary slavery is a global problem without borders. The United Nations with its human rights instruments tend to keep a worldwide eye on the extension of the issue; however, the implementation of the Slavery Convention of 1926, for example, is

³⁵ Manzo, Kate: Modern Slavery, Global Capitalism & Deproletarianisation in West Africa. In: *Review of African Political Economy*. No.106. pp. 525.

³⁶ Special Rapporteur on Contemporary forms of slavery. Introduction. (Accessed April 2, 2014) <http://www.ohchr.org/en/issues/slavery/srslavery/pages/srslaveryindex.aspx>

³⁷ Special Rapporteur on Contemporary forms of slavery. Introduction. (Accessed April 2, 2014) <http://www.ohchr.org/en/issues/slavery/srslavery/pages/srslaveryindex.aspx>

³⁸ Shahinian, Gulnara: Rapport de la Rapporteuse spéciale sur les formes contemporaines d'esclavage, y compris leurs causes et leurs conséquences. <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/G13/153/38/PDF/G1315338.pdf?OpenElement> (Accessed April 2, 2014) pp. 8.

still incomplete, as a lot of countries seriously touched by slavery have not joined it yet. Nevertheless, UN is observing countries' efforts by the Special Rapporteur on all Forms of Contemporary. By emphasizing the increasing importance of the fight against slavery, UN can contribute to the development of the countries involved, but a mutual collaboration is strongly needed between the international and national level of protection. The continuous research in the field of traditional slavery can enhance the more widespread acknowledgement of contemporary slavery, starting with the fact that local governments admit the existence of child labor or chattel slavery in their society.

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AN APPRAISAL OF THE REVISED NIGERIA CERTIFICATE IN EDUCATION MINIMUM STANDARDS (ENGLISH LANGUAGE CURRICULUM)

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Abstract

This paper gives a concise appraisal of the revised Nigeria Certificate in Education Minimum Standards (English Language Curriculum). The certificate is the basic qualification for teaching. It is a sub-degree (certificate course) and professional teacher diploma, which is obtained after 3 years (full time) at a college of Education (Lassa, 2000).

The recent review of the Minimum Standards (Curriculum) of colleges of education by the National Commission for Colleges of Education will be described as a bold stride since curriculum in Nigeria has been viewed as irrelevant to the needs of the students (Okebukola, 2013; Uma, Obidike & Ogwuru, 2013). Teacher education in the country is in a deplorable state and 'the teacher training programmes have been indicted' (Ajelayemi, 2002, cited in Ajelayemi, 2005, para. 5). The review has engendered this appraisal as the penultimate edition of the curriculum was trailed by widespread criticisms.

The paper intends to demonstrate the fact that the implementation of the English Language curriculum may suffer setbacks, if some strategies are not established as the quality of college entrants (Akinbote, 2007), the overcrowded classrooms, the non-provision of technological facilities (Adedeji, 2011) and the poor state of libraries in colleges of education (Mohammed, 2012) are pivotal issues that require proactive solutions.

It recommends a review of the admission policy, decongestion of classrooms, procurement of current publications in libraries and INSET training of lecturers on the new Minimum Standards for a successful implementation of the curriculum.

Keywords: Certificate in education, education standards, English language

Introduction

The colleges of education in Nigeria are the 'train-the-trainers' colleges as they are responsible for the production of teachers at the primary and junior secondary levels. The colleges as stated in Federal Colleges of Education Act (1986, No. 4) are to perform the following functions:

- a. To provide full time courses in teaching, instruction and training in:
 - i. technology, applied science, humanities and management
 - ii. such other fields of applied learning relevant to the development of Nigeria
- b. To conduct courses in education for qualified teachers
- c. To arrange conferences, seminars and workshops relative to the fields of learning specified in paragraph (a) of this section
- d. To perform other functions as in the opinion of the Council may serve to promote the objectives of the college.

The Nigeria Certificate in Education is the basic qualification for teaching in Nigeria. It is a sub-degree (certification course) and a professional teacher diploma, which is obtained after 3 years (full time) at a college of education (Lassa, 2000). The graduates of the

programme are qualified to teach the first nine years of schooling (six years of primary and three years of junior secondary education). The Decree (1985, No. 16) was enacted on National Minimum Standards and this paved the way for the first and subsequent editions of the National Minimum Standards (Curriculum) of Colleges of Education. The curriculum is implemented in colleges of education. This paper intends to show that certain modalities are needed for the successful implementation of the Minimum Standards (English Language Curriculum).

The Revised Nigeria Certificate in Education Minimum Standards

A curriculum is one aspect in the educational system that cannot be overemphasised. It is usually printed in black and white and expected that it will be implemented in schools. Scholars have given their views on curriculum in Nigeria. In the opinion of Okebukola (2013), curriculum in Nigeria is theoretically oriented and irrelevant to the future demands of students. This view was corroborated by Uma, Obidike and Ogwuru (2013, p. 332) when they mentioned that ‘the prevailing pattern of education after independence was criticized on the ground of irrelevant curriculum...’. The significance of the aforementioned views is clearly evident in the recent review of the Nigeria Certificate in Education Minimum Standards (Curriculum).

The National Commission for Colleges of Education as established by the Act (formerly Decree) 13 of 17 January 1987 (Amended Act 12 of 1993) is ‘the third leg of the tripod of excellence’ in the regulation of higher education in Nigeria (Nigeria Certificate in Education Minimum Standards for Languages, 2012, p. iv). The agency supervises teacher education, accredits programmes and reviews the curriculum for colleges of education. The new curriculum is a consequence of a range of activities such as conferences, workshops, critiquing sessions etc (Curriculum Implementation Framework for NCE, 2012).

The first production of the NCCE Minimum Standards occurred in 1990 and this entailed a study and seminar on the NCE Programmes offered in various parts of Nigeria (NCCE 1990, cited in Abelega, 2007). In addition, the programmes were evaluated and revised. The fourth edition was produced in 2008 and was trailed by wide spread criticism. The latest edition (Specialist Minimum Standards) was produced in 2012, sequel to conferences, critiquing sessions and seminars held (Curriculum Implementation Framework, 2012). The latest review was necessary to comply with the needs of the New Basic Education Curriculum and to address the issue of the production of quality teachers in the country.

According to Otunuyi (2013, p. 4) the new curriculum has been reviewed from the ‘out-dated one-size-fits-all the model to specialist level oriented one’. In other words, student teachers are expected to specialize in different levels of the Universal Basic Education. The reviewed documents were the outputs of sessions aimed at the establishing standards that would enhance the on- the- job skills of teachers. This revision has established a new structure and courses for the NCE programmes. The agency aims at providing quality teachers for the lower levels of education in the country. The new teacher education programmes comprise:

- *Early Childhood Care and Education (ECCE)*
- *Primary Education*
- *Junior Secondary School (JSS)*
- *Adult and Non-formal Education*
- *Special Education* (Curriculum Implementation Framework for NCE, 2012)

The corollary of the above specialised professional teaching programmes and the revised documents is the production of an Implementation Framework that would guide the execution of the innovations. The Framework has been designed to enable uniformity and

bench marking of standards in all the institutions and also channel the functioning of the new structure and systems.

The New Institutional Structure

The new institutional structure to guide the implementation of the curriculum consists of seven schools with different departments. The schools are: Art and Social Science, Languages, Education, Science, Vocational and Technical, Early Childhood Care and Education & Primary Education, Adult Non-formal Education & Special New Education. The School of Languages comprises the Departments of English, French, Arabic, Hausa, Igbo, Yoruba and other Nigerian Languages or the division could be the Departments of Modern Languages and Nigerian Languages. At the helm of affairs in the schools would be the Deans and the heads of department in each school. The curriculums for the school of languages are embedded in a document entitled Nigeria Certificate in Education Minimum Standards for Languages.

Educational Approach

The new curriculum emphasizes learning. In other words, the acquisition of skills, attitudes and knowledge are of paramount importance. This contradicts an earlier approach, which promoted the transmission of contents, without the cognizance of the achievement of learning outcomes. The curriculum places emphasis on subject contents and the germane methodology for teaching them (Otunuyi, 2013). It also stresses the necessity for learner centeredness and integration of technology into the teaching and learning process. It provides for the reorientation of the lecturers for the successful implementation of the curriculum. The shift also entails lecturers creating environments for the construction of skills, attitudes and knowledge by students.

The new educational approach offers the integration of education courses that would lead to the application of theory. The learning materials would be of diverse formats with the effective use of technological mediums. The method of teaching would be through learning experiences that would include lecturing, group work etc. The teaching practice would equip student teachers with the knowledge of programme design, so that they would be able to impart same. Student teachers will provide learning experiences that promote practical skills development in their own students.

Learning Opportunities

Lecturers are also expected to create learning environments for dispensing learning qualitative education in the institutions. This means engaging the students in individual or group activities that would enhance their attainment of skills, knowledge and attitudes.

Assessment

Assessment now entails a measurement of learning outcomes. The implementation Framework (2012) stipulates that results of continuous assessments be handed in within four weeks, while for examinations, it should be within eight weeks. It also labels assessment as 'pivotal'. The reform provides that an internal quality assurance unit be established in each school for monitoring, collation and storage of data on assessment. The Minimum Standards prescribes (60:40) examination (Implementation Framework, 2012, p. 18). The CA would consist of an individual and a group exercise and also written and practical tests.

Basic modifications of the NCE programmes as it relates to the English language Curriculum

Philosophy

The philosophy of the programme embraced a new paradigm shift from the perspective of language as an instrument for communal life, to the idea of language as a vehicle for transferability of knowledge to junior secondary level students and for the growth of teacher trainees.

Objectives

The new curriculum emphasizes the communicative purpose of language as it states that one of the objectives of the curriculum is 'to develop the four language skills' for the purpose of communication (Nigeria certificate in Education Minimum Standards for Languages, 2012, p. 21). Furthermore, the teacher trainees under the new curriculum would be equipped to teach English to junior secondary students alone and not primary as stated in the previous curriculum. In addition, the previous objective of the curriculum on the acquisition of critical skills by teacher trainees has been deleted.

Facilities

The curriculum briefly gives a distinction between student and teachers' facilities. The major highlight of the facilities needed for students is that it is technology based. The same applies to the staff, who are to have magnetic boards for tutorials and internet connectivity in their offices.

Methodology

The curriculum lays emphasis on new teaching methods that should be student participatory and student centred. It also made tutorials mandatory for English and Literature courses.

Professional/ Academic Associations

The curriculum is explicit on the academic associations available to staff and students. A list of the academic associations accessible to staff and students are:

- a. *ESAN-English language Students' Association*
- b. *Literary and Debating Association/Society*
- c. *Writers' Club*
- d. *Reading Association of Nigeria (RAN)*
- e. *English language Teachers' Association of Nigeria (ELTAN)*
- f. *Linguistic Association of Nigeria (LAN) etc.* (NCE Minimum Standards for Languages, 2012, p. 24).

Courses

The new courses introduced into the curriculum are: The Introduction to Literature- ENG 114, Selected European Authors- ENG 213, Summary Writing Skills- ENG 222, Critical Theory and Practical Criticism –ENG 223, Young Adult Literature-ENG 22, Long Essay- ENG 321, Theatre and Drama Education- ENG 323 and Orature ENG-325.

A Critique of the NCE Minimum Standards for Languages (English Language Curriculum)

The new NCE Curriculum for English language depicts a bold stride undertaken by the National Commission for Colleges of Education to ensure quality education at the lower levels of education and also at the teacher training stage. The review of the curriculum is in

accordance with earlier calls for a review of teacher education curriculum in the country (Dada, 2004; Slavin, 1987, Evans, 1992 cited in Olaofe, n.d).It is expected that this would lead to an improvement in quality of teacher training education.

Furthermore, a number of scholars had emphasized the irrelevance of the curriculum contents of the NCE curriculum (Education Sector Analysis 2002, 2008, Ajelayemi 2005, Okebukola 2005, Teacher Education Policy 2007, Education Support Programme in Nigeria (ESSPIN),Input Visit Report cited in Adeosun, 2011) to the needs of the lower levels of education. The new curriculum recognizes this fact and modified the teacher education programme to comprise Early Childhood Care and Education (ECCE), Primary Education, Junior Secondary School (JSS), Adult and Non-formal Education and Special Education.

The shift in educational approach with emphasis on the acquisition of skills, attitudes and knowledge is a laudable feat as one of the criticisms of the previous curriculum had been the placement of premium on success in examination rather than the acquisition of skills and attitudes (Dada, 2004). Moreover, the curriculum was seen as overly theoretical without much opportunity for the development of skills (Ajelayemi, 2005).

However, the new curriculum failed to address the issue of quality of entrants into the colleges of education (Akinbote, 2000 cited in Akinbote, 2007; Kniper et al., 2008) as the requirements for admission into the colleges were not amended to capture the best brains in the society.The quality of students admitted into the colleges has been faulted. This factor has been attributed to the mediocre quality of graduates produced by the colleges (Akinbote,2000 cited in Akinbote,2007).It was also noted that the admission of these poor quality of candidates has had a negative effect on the teaching profession (Lieberman,1956;Akinbote, 2000,cited in Akinbote, 2007). In the same vein, it did not address the issue of teaching practice duration as it had been critiqued as being too short and poorly supervised (Ajelayemi, 2005).

The curriculum recommends participatory and interactive approach in the delivery of lessons. It also made tutorials mandatory for language and literature courses. The extent to which this can be achieved is in doubt as an overcrowded classroom is one of the issues plaguing curriculum implementation in the country (Olusola&Rotimi, 2012). In addition, one of the objectives of the curriculum, which is to equip students to teach English effectively at the junior secondary level may turn out to be a debacle as student teachers are not exposed to strategies that promote language learning(Olaofe, n.d).

The latest innovation provides for the integration of technology into the teaching and learning process and ICT based classrooms. The attainment of this provision may not be feasible if the necessary technological equipment are not dispensed as Adedeji (2011) has noted that the government and college authorities have failed to furnish the colleges with ICT gadgets.The implementation of a curriculum in an institution requires teaching /learning facilities for its successful implementation (Lawanson&Gede, 2011).

The problem of facilities in higher institutions in Nigeria is not limited to colleges of education as the Federal Government of Nigeria (2000, cited in Uma, Obidike&Ogwuru, 2013)) has noted that all levels of education in Nigeria are deficient in the provision of teachers, principal infrastructure that includes instructional materials and resort centres. This view had been confirmed by Onadeko (2008), when he declared that libraries and language laboratories in colleges are not adequate for students and that they are virtually empty. In addition, apart from the availability of these information technology gadgets, most lecturers lack the technical ingenuity to handle e-learning and e-teaching resources (Adedeji, 2011).

It also appears that the curriculum is based on the notion that the requisite facilities for the implementation of the curriculum are available in all the schools. This is contrary to the report of the NCCE (National Commission for Colleges of Education, 2001) that the

federal colleges are better staffed and resourced than the state college; therefore, the curriculum cannot be implemented in the same manner in all the schools (Umar, 2006).

Furthermore, Mohammed (2012) established the fact that the libraries in most colleges of education in the north central states of Nigeria lack sufficient journal publications and textbooks. The textbooks in stock were also found not to be current. He deduced that this could in a way; account for the poor performance of students in English language in the colleges of education (Adeyanju, 2005; 2006). This corroborates the view of Adeogun (2001, cited in Adeogun&Osifila, n.d) that ‘a positive and significant relationship exists between instructional materials and academic performance’.

Lastly, the production of an implementation framework is commendable but it may not achieve its aim if teachers lack the skill to apply it to ensure productive teaching in classrooms (Olaofe, n.d).

Conclusions and Recommendation

The paper has given a succinct critique of the revised Nigeria Certificate in Education Minimum Standards(English language Curriculum).The appraisal makes it apparent that the successful implementation of the curriculum would require putting the necessary mechanisms in place and adopting a proactive action to enhance implementation .The following strategies will contribute to the achievement of the feat:

- i. The government should review the admission requirements to capture the best brains in the society. If the standard of the college entrants is poor, they will not be able to sequence knowledge and provide learning experiences.
- ii. The overcrowded classrooms should be decongested if tutorials are requisite for all language and literature courses.
- iii. The libraries should be stocked with current publications and books; so that students can have access to materials that will aid learning.
- iv. Technological facilities should be dispensed if learning materials must be in varied formats such as video, digital, internet etc. Internet connectivity is a major problem in the country.
- v. Labour and student unrest should be tackled by the government, if the curriculum is to be successfully implemented. The current dispute (at the time of writing) between the lecturers (COEASU) and the Federal government is an instance of this situation.These disputes usually linger for months and in turn affect the quality of teaching and learning as students are forced to learn within a shorter period of time. This is an external factor that hinders curriculum implementation.
- vi. The college authorities should organise workshops and seminars at various levels in all the colleges to acquaint the lecturers with the modalities necessary for the implementation of the curriculum.

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CONTRIBUTIONS OF MOTHER TONGUE EDUCATION IN EARLY CHILDHOOD EDUCATION

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Abstract

Early Childhood Education is very essential in a child's life hence the recent focus on it across the globe. It is that education that provides for children whose age bracket is from 0 to 8 years. To demonstrate the significance of Mother Tongue education in Early childhood development, February 21-22 of every year is set aside as the International Mother Tongue Day globally. The declaration by UNESCO in 1999 further emphasized the relationship between the two concepts. This paper examines the contributions of Mother Tongue Education in Early Childhood. Issues raised will be discussed under the following six subdivisions: background of language situation in Nigeria; policy document on language in Nigeria; language theories and development; problem statement and rationale; success and failures of MT in countries and suggestions on the way forward.

Keywords: Early education, Mother tongue

Introduction

Early Childhood Education is very essential in the life of a child's hence the recent focus on its desirability across the globe. It provides for children whose age bracket is from 0- 8 years. A period described by Osanyin (2002) as extremely crucial to an individual's intellectual, emotional, social and physical development. This are the most impressionable years as they lay the foundation for the development of the human personality. More so, it is a stratum which the Mother Tongue (MT) will make a significant impression in the life of the young ones. Mother tongue, as the term suggests, is closest to a person's heart. Like mother's touch and mother's milk, it can never find a substitute. To this end, modern psychology also lays tremendous stress on a child's connection with the mother tongue. Having realized the significance of the mother tongue advantage, parents have started initiating their children in their native and natural language (www.google.com 2008).

The significance of the MT Education in early childhood development, accounts for the series of International conferences and conventions notable amongst which is the 1990 convention to the Right of the Child, World conference on Education For All (EFA), in Jomtien in 1990 and EFA Summit in New Delhi in 1993 respectively and OAU International Conference on Assistance to Africa Children. At the various congregations the child became a "Priority". Right of the child to free and compulsory education an obligation of the state was canvassed and especially it provides stimulus for government to take action on the right of the child in connection with the Mother Tongue. Corroborating the above position Osanyin (2002) reported that the convention states specifically that every person shall be able to benefit from educational opportunities designed to meet the basic learning needs. The needs

comprise both essential learning tools such as literacy, oral expression, numeracy and problem solving and the basic learning content such as knowledge, skills, values and activities required to survive and develop to full capacity. Against this background, UNESCO in 1999 declared February 21-22 of every year as International Mother Tongue Day. The inter relatedness and strong relationship that exist between the two concept that is Early Childhood Education and mother tongue can not be overemphasize.

Historic Review of the Position of Language in Nigeria

In a multilingual and multiethnic environment like Nigeria, a large number of indigenous languages exist and the number has been put differently, Hansford (1976) mentions 395; Banjo (1975) in Ayilara and Oyedeji (2000) says 500 and Bamgbose (1992) maintains that it is 513 (Makinde 2007). Despite this large number, English therefore, remain the official national language and as a result the generality of the population is inclined towards oral use of English Language. Practically in the schools system English has become the pre-eminent language of education right from the colonial time to the present as it is both the medium of instruction right from nursery one and through out school life. A view shared by Oderinde (2007) who expressed that English Language rode on the back of British colonialism into Nigeria in the 19th century.

Exclusively English is taught as a subject at all level while the indigenous languages largely suffer neglect and are mostly restricted to their domains or regions of use (Adegbija, 2004). In fact of all the indigenous languages only three have been recognized to be taught within the school system that is Yoruba, Hausa and Igbo largely for socio- political relevance. Oderinde (2007) maintain that English assumed this new status through the instrumentality of aggressive governmental machinery and support aided by culpable acquiescence of indigenous population- both the locals who perceived the use of English tongue as symbols and the overseas returnees (the educated reprieved slaves) who flaunted their novel Language acquisition to the blind admiration of the locals, who often times aped them in their speech. The aping and the idea of looking at English expression as class have led to about 80% (if not higher percentage) of the Nigerian elite in the Southern Nigeria speaking more English to their kindergarten children than the mother tongue at home. The situation as observed by Ogbona (2006) tend to have led to huge imbalance in bilingualism involving English and Nigerian languages to the extent that many educated Nigerians can not read or write in their native language or Modern Tongue.

Fafunwa, (1978) however established through research that the best language for good concept formation at a very tender age is the indigenous language. The research was conducted in 1970, at the Institute of Education of the University of Ife (now Obafemi Awolowo University, Ile-Ife) in Osun State of Nigeria. The 'Ife Six-Year Primary Project' was designed to use Yoruba language as a medium of instruction in primary schools in Osun State of Nigeria. This project was based on the premise that:

- (a). the child will benefit culturally, socially, linguistically and cognitively.
- (b). the child's command of English will be improved if he is taught English as an entirely separate subject by a specialist teacher through the six years.

Generally, Ejieh, (2004) stressed that the goal of the Ife project was to develop a sound primary education for the child and make him to be cognitively alert as a citizen of his country and the steps taken to achieve this objective included the designing of relevant primary school curriculum with appropriate teaching materials and using Yoruba as the medium of instruction throughout the six years of primary school while English was taught as a separate subject. According to Fafunwa, (1986) Primary school teachers were specially trained in the use of mother tongue for instruction. There were regular intakes of primary one class in some selected primary schools, while some are regarded as experimental groups

others are control groups. The data collection and analysis was done between 1971 and 1983 and it revealed that the experimental group of schools performed better than the controlled group in all school subjects at the end of primary school education. The result attracted much publicity in Nigeria especially in both the print and electronic media and it was suggested that the language of the immediate environment that is Yoruba (home language) be adopted as the medium of instruction throughout the six-year period of primary education.

Policy Document on Language in Nigeria

The language-spread policies in Nigeria are evidently displayed in the educational domain. Hence, the National Policy on Education (NPE), submits is essentially an articulation, by government, of the way education system should be organized in order to achieve national goals and objectives. In the case of Early Childhood Education, the National Policy on Education (NPE 2004), section 1 (10) (a) mentions that government appreciates the importance of language as a means of promoting social interaction and national cohesion; and preservation of cultures. Thus every child shall learn the language of the immediate environment. Furthermore, in the interest of national unity, it is expedient that every child be required to learn one of the three Nigerian languages: Hausa, Igbo and Yoruba. Section 2 (14) (c) stipulates that government shall ensure that the medium of instruction is principally the mother tongue or the language of the immediate community. Section 4 (19) (e) stipulates that the medium of instruction in the primary school shall be the language of the environment for the first three years. During this period, English shall be taught as a subject.

The provision for language teaching and learning in the National Policy on Education (NPE 2004) as stated above is no doubt laudable, but effectively achieving the set goals and objectives in the areas of implementing this creditable policy in the classroom is in doubt. In practice Maduewesi (1999) held that for two reasons the pronouncement of the National policy had not been taken seriously. Firstly, a foremost expectation of Nursery schools is to teach the young child the English language which is the preferred language of the parents and since the schools are private establishments, the proprietors have to please their clients or they would loose patronage. Secondly, it seems both unrealistic and unfair to expect this policy to be taken seriously as long as the National language, the language of business and transaction remain English language.

Oderinde (2007) strongly acceded to the ideas expressed above by Maduewesi, and warned that as a nation, we have found ourselves in this quandary because of the status of English as second language (SL) and because we want to savour the best status for ourselves and our children we end up shooting ourselves in the foot by unwittingly foisting on ourselves cultural alienation.

Theories about Language Development

The earliest theory about language development assumed that children acquire language through imitation. Explaining the process of learning the Mother Tongue effectively in the early stage of schooling, Nwakwe (2006) noted that the process of learning the Mother Tongue is such that the child's build up sounds of words in sub-conscious cumulatively until such a time that the speech organs are ready to utilize these internalized sounds. The rules governing language at this stage is that language are acquired without any careful study but by imitating words and expressions as they are used in the child's immediate environment by the father, mother, brother, sister and nannies who are the first people the child made contact with. However, research has shown that children who imitate the actions of those around them during their first year of life are generally those who also learn to talk more quickly, there is also evidence that imitation alone cannot explain how children become talkers (David, T. Gouch, K. Powell, S. Abbott, L, 2003)

According to the Behaviourist theorist, lead by Skinner, children learn language through reinforcement. In other words, when a parent shows enthusiasm for something a child tries to say, this should encourage the child to repeat the utterance. But again, even though reinforcement may help, this theory cannot account for children's inventions of language.

Some argue that it is not just hearing language around them that is important, it is the kind of language – whether it is used responsively (for example, following a baby's input, such as the baby making a noise or doing something). It is also clear that babies need to hear language to develop this themselves. The idea of *motherese* (Snow and Ferguson 1977; Trevarthen 1995) –accentuated, tuneful, accentuated speech to babies and repeating their own language (often extended) back to young children – was posited as a basic human requirement. However, other research (Snow and Ferguson 1977) indicates that while motherese can be used to explain how aspects of individual children's environments help or hinder them from talking, it does not explain the underlying causes of language acquisition. We can at least suggest that talking in motherese attracts and holds babies' attention and that it allows the infants themselves to take part in enjoyable turn taking exchanges, the beginnings of conversations.

Chomsky (1965; 1975) proposed that babies are born with an inbuilt *Language Acquisition Device* (LAD). He suggested that language then simply emerges as the child matures. Slobin (Ferguson and Slobin 1973; Slobin 1985) continued this line of thought, proposing that just as newborns come into the world 'programmed' to look at interesting, especially moving, objects, so babies are pre-programmed to pay attention to language. One problem with this theory is that children seem to have great proficiency in acquiring whatever language/s they hear around them and during their first year of life they will gradually discard from their repertoire of vocalisations sounds which they do not hear in the speech of those with whom they spend their lives – but of course the pre-programming does not need to be thought of as tied to a specific language. Like Trevarthen and others, Chomsky indicates the centrality of interactions with familiar adults and older children from the earliest days of life.

Piaget argued that language is an example of symbolic behaviour, and no different from other learning. Conclusively, it can be argued that none of these theories about language can stand on its own and there is the need to take account of each of them for their ability to explain part of the story.

Problem Statement and Rationale

Over the years, there may not have been satisfactory growth in the number of pre-schools that have adopted the mother tongue as medium of instruction despite its desirability and the pronouncement of the National Policy on Education's (NPE 2004). Instead school administrators and teachers made pupils pay a fine or serve punishment each time they were found in the classroom speaking any indigenous languages which are referers to as vernacular. However Ogbona (2006) warned that effective learning in schools is rooted in literacy in the languages used for learning. The resultant effect on the children is total disregard and loss of interest in the indigenous languages taught within the school system.

Any education system relies on a network of interactions between and among parents, teachers, students and community members. These interactions are influenced by many factors amongst which is the socio, and cultural drivers like the language values and culture of the people. Unfortunately, acceptance of English language as medium of instruction in early childhood classes is denying us as a nation the opportunity of introducing our culture and ways of life to the young ones using the mother tongue. A position corroborated by Oderinde (2007) that the cultural alienation and resultant changes that go with English

Language and western education in Nigeria are the root of our preference for foreign things dress, music and lifestyle.

The current trend in many homes particularly in the urban centres is that many parents communicate with their children in English rather than the mother tongues thus neglecting the native language. A child who is not able to speak English language fluently is regarded as a failure and a disgrace to the family as such every parent wants to belong to this class of elites. Maduewesi (1999) condemned this practice and reprimand that children are maimed emotionally and intellectually when they are taught so early in a language with which they are not familiar with.

Success and Failures of Mother Tongue in Countries

In 2001, the government in Denmark amended the law on school instruction in the home language. The amendment abolished government subsidy for the instruction in the home language except for children of parents from European Union countries (www.google.com 2009). From 1975 and until the change in legislation in 2002, instruction in the home language had been offered on equal terms irrespective of country of origin to all children for 3-5 hours a week. This amendment led to heavy deterioration in the conditions for obtaining home language instruction for the largest group of children from the third world countries in Denmark. As a result of the change in legislation in 2008, about 62,000 of these children from the third world countries have lost their rights which they previously had, to develop their home language as an integral part of the public educational system (www.google.com 2009).

The Molteno Project (Duncan 1995) another programme for teaching initial literacy using the home language, was examined in the Pan-African Conference papers (Tambulukani et al., 1999). The project examines the use of IChibemba as a language of instruction in 25 primary schools in the Northern Province of Zambia. Due to the huge success of this project, Zambia has put into place a primary reading programme based on this model that will be used in its primary schools for the next few years. The implication of this is that, this project seeks to build English skills in a way that will make English more effective in Zambian schools and society, while recognising that Zambian home languages are the foundation upon which a durable literacy programme can be built.

Williams and Mchazime's (1999) examines the success of Malawi's early literacy instruction using the home language as a medium of instruction while acknowledging the need for English as a language of literacy in the region. This study investigates reading proficiency in English and ChiChewa, the home language in primary schools. The study argues that reading, listening comprehension and speaking in the home language were much easier for students who participated in the study than were the same activities when conducted in English.

Suggestions

- The policy position on use of mother tongue as medium of instruction for early childhood education should be promoted in the school system taking a cue from the six years Ife project which is acknowledge to be highly successful and effective in helping children to become bi-literate in their mother tongue and English language.
- The school administrators and class managers should motivate the child to acquire and develop full language skills such as understanding, speaking, reading and writing not only in English Language but also in their mother tongue because this has potential to assist the child to communicate effectively and also understand clearly the language of his immediate environment.

- Recognizing the significance of the mother tongue in helping the child to develop the right attitude to language acquisition, literacy skills and cultural values by Parents would reduce the emphasis on speaking English language a must for their young ones. Thus, the beauty of the mother tongue to early childhood education should be emphasized at every opportunity not only by those in the education enterprise but by all agencies of government concerned with mobilization like the Mass Mobilization agency and all other advocate groups.
- More teachers should be trained in the indigenous language especially in the universities and colleges of education if meaningful development and use of mother tongue in Early Childhood education is to be achieved.
- Financial incentives as well as good welfare package should be made available by the government to indigenous language teachers for them to be more committed to the job.

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IMPACT OF CHILD DOMESTIC LABOUR ON CHILDREN'S EDUCATION. A CASE STUDY OF LUSAKA CITY IN ZAMBIA

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Abstract

Child labour constitutes a major social problem in Zambia. It not only harms the welfare of individual children, but also slows broader national poverty reduction and development efforts. Children forced out of school and into labour to help their families make ends meet are denied the opportunity to acquire the knowledge and skills needed for gainful future employment, thereby perpetuating the cycle of poverty. This study therefore sought to investigate the impact of child domestic labour on children's education in Lusaka City of Zambia. The study employed an exploratory qualitative case study design. Data collection methods included semi-structured interviews and document analysis. Respondents were purposively sampled for study. Snowball sampling was also used to locate children. The results of the study showed that child domestic labour negatively affects school enrolment as parents send their children to do domestic work to supplement family income. Evidence also showed that for those who attempt to enrol, school attendance becomes poor and eventually they drop out of school to concentrate on work. Moreover, children's performance at school becomes very poor as they cannot concentrate on their studies and work at the same time. In terms of gender, many girls drop out of school as they are more engaged in domestic work than boys. However, results showed that domestic work enables children to find money to pay school fees and buy school materials. Child-sensitive social protection, free and compulsory education for all children should be the policy measures for elimination of child labour.

Keywords: Child, child labour, domestic labour, education

Introduction

Child domestic work is often accepted in the societies where it exists, and it is often viewed as a safe form of employment (Hesketh, Gamlin, Ong, & Camacho, 2012). However, child domestic workers may be especially prone to exploitation and abuse due to the invisibility and inaccessibility of the work setting. To this effect, the ILO has identified a number of hazards to which child domestic workers are particularly vulnerable (ILO, 2011). Some of the most common risks children face in domestic service include, long and tiring working days; carrying heavy loads; handling dangerous items, such as knives, axes and hot pans; insufficient or inadequate food and accommodation, and humiliating, inhuman or degrading treatment, including physical and verbal violence, and sexual abuse. These hazards need to be seen in association with the denial of fundamental rights of the children such as access to education and health care, the right to rest, leisure, play and recreation and the right to be cared for and to have regular contact with their parents and peers.

With regard to the effects of child labour on children's rights to education, empirical evidence has suggested that child labour is one of the main obstacles to education for all children, as involvement in child labour is generally at a cost to children's ability to attend

and perform in school (Guarcello, Lyon, & Rosati, 2008, p. 1). Child labour therefore adversely affects the academic achievement of the considerable number of children who combine work and school, often resulting in these children leaving school prematurely and entering into work. With no access to affordable and quality education, children are left to work, too often in dangerous and exploitative conditions (ILO, UNICEF, and the World Bank, 2009). Child labour not only prevents children from acquiring the skills and education they need for a better future, but it also perpetuates poverty and affects national economies negatively through loss of competitiveness, productivity, and potential income. Thus, withdrawing children from child labour, providing them with education, and assisting their families with training and employment opportunities can contribute directly to creating better work for adults (Stalzer, 2009, p. 23).

In Zambia, child labour constitutes a key obstacle to achieving universal primary education and other Millennium Development Goals. It not only harms the welfare of individual children, but also slows broader national poverty reduction and development efforts. Children forced out of school and into labour to help their families make ends meet are denied the opportunity to acquire the knowledge and skills needed for gainful future employment, thereby perpetuating the cycle of poverty (ILO, UNICEF, and the World Bank, 2009). Therefore, understanding the interplay between education and child labour is critical to achieving both Education For All (EFA) and child labour elimination goals in Zambia.

In spite of a large and rapidly expanding literature on child labour, there is not much empirical evidence on the consequences of child labour on children's schooling. Mainly, empirical literature on child labour in Zambia has focused on investigating and analyzing its determinants and extent, nature, effects on health, rather than the consequences on children's education. For example, empirical studies conducted by (Oyaide, 2000; and Matoka, 1994) have revealed the causes of child domestic work, conditions of work and gender dimension of child domestic work. However, none of them have unearthed the impact of child domestic labour on children's education in Zambia. To this effect, there is little evidence in the published literature on the impact of child domestic labour on children's schooling in Zambia.

The present study therefore sought to investigate the impact of child domestic labour on children's education from a human rights perspective. This study was guided by the following research questions: (1) What are the effects of child domestic work on children's schooling? (2) What policy measures should be put in place in order to address child domestic labour?

Research Design

This study employed an exploratory case study approach and qualitative research study to investigate the impact of child domestic work on children's education. Key (1997) affirms that qualitative research study produces more in-depth, comprehensive information and seeks to understand people's interpretations, perceptions and lived experiences. Zainal (2007) asserts that the case study method enables a researcher to closely examine the data within a specific context, and thus gives in-depth information on the subject under investigation.

This study therefore employed the case study approach and qualitative research study because the design enabled the researcher to explore and examine in-depth the lived experiences of child domestic workers in Lusaka City of Zambia. More so, qualitative case study allowed the researcher to collect data using different methods (such as interviews and document review) so as to provide the complete story (Neale, Thapa, & Boyce, 2006). The approach also allowed the researcher to use different sources of information (such as child domestics, parents and child protection officers) in order to obtain in-depth information about the impact of child domestic labour on children's schooling.

Sample Size and Sampling Design

Purposive sampling was employed because the researcher intended to get insightful information about the impact of child domestic labour on children's education. Snowball sampling was also employed as a back up to purposive sampling because child domestics were very difficult to locate in private homes in which they work. Bryman (2008) asserts that using snowball sampling, the researcher makes initial contact with a small group of subjects who are relevant to the research topic and then uses these to establish contacts with others.

According to Mark (2010), samples for qualitative studies are generally much smaller than those used in quantitative studies. Onwuegbuzie and Leech (2007) assert that sample sizes in qualitative research should not be too large as it may be difficult for the researcher to extract thick and rich data. Marshall (1996) affirms that an appropriate sample size for a qualitative study is one that adequately answers the research question.

In this study, the researcher purposively sampled 10 child domestic workers on the basis of their experiences. Specifically, children aged between 10 and 14 years were sampled for the study since the Zambian Constitution and the Employment Act set the minimum age for employment at 15. The study also purposively selected 8 parents and 4 child protection officers on the basis of their knowledge of child domestic labour. This sample size was easy to manage in terms of data analysis.

Data Collection Methods

Data collection methods included semi-structured interviews and document analysis. Semi-structured in-depth interviews were used to collect data from key informants, child domestic workers and parents. Kvale (1996) asserts that qualitative research interviews enable researchers to understand something from the subjects' point of view and to uncover the meaning of their experiences. Interviews also allow people to convey to others a situation from their own perspective and in their own words. Berry (1999) also asserts that in-depth interviewing is a type of interview which researchers use to elicit information in order to achieve a holistic understanding of the interviewee's point of view or situation. This method therefore allowed the researcher to ask open-ended questions, probe and ask follow questions in order to solicit for in-depth information from respondents. This method also allowed the research participants to freely express their views, feelings, opinions and share experiences. The face-to-face interview also enabled the researcher to take field notes during the interviews.

The researcher also conducted document study to collect data on the impact of child domestic work on children's education. Payne and Payne (2004) describe the documentary method as the techniques used to categorize, investigate, interpret and identify the limitations of physical sources, most commonly written documents whether in the private or public domain (Mogalakwe, 2006). In the current research, official and public documents, including reports from the Zambian government, articles, newspapers and organisational documents were used to give the researcher a deeper understanding of the subject under investigation. Document analysis enabled the researcher to formulate and refine research questions based on the existing knowledge on child domestic labour.

Data Analysis

Thematic content analysis was used as a method for analyzing qualitative data in order to allow the researcher to extract conceptual categories of data with similar meaning. This is called meaning categorization according to Kvale (1996). Thus, categories were established. Categories of data with similar meaning generated themes that were used to interpret data based on research questions. The themes summarized the meaning of the data which addressed the purpose of the study during interpretation of data.

Ethical Considerations

Ethical issues such as informed consent, privacy, confidentiality and consequences for the interviewee should be taken into account with any qualitative interview (Kvale, 1996). In this study, ethical issues were considered when carrying out this study as all the research participants were informed about the purpose of the investigation. Informed consent was obtained from individual children and their parents in writing in the local language which research participants understood better. The researcher also ensured that confidentiality and anonymity were employed in which the information collected was strictly used for research purposes.

Results

Effects of Child Domestic Work on Children's Schooling

This study explored the effects of child domestic work on children's schooling. Child protection officers who participated in the study said that child domestic work has adverse effects on boys' and girls' education. For example, one of the child protection officers said:

"Both boys and girls aged between 9 and 14 years old drop out of school and engage in domestic work in order to earn a living."

Children dropout of school since they have to work in order to find money to meet their basic needs such as food, clothes, and moreover help parents to pay house rentals. In this regard, domestic work negatively affects child domestic workers' schooling as their attendance becomes poor and eventually children drop out of school to concentrate on work. For children who combine work and school, their performance at school becomes very poor as they cannot concentrate on their studies and work at the same time. Poor performance coupled with school drop outs entail that children's educational advancement is affected. The child protection officers added that enrollment is also affected as children opt for domestic work at the expense of education. To this effect, the right to education for children is affected negatively. The right to education is the key to enjoying other rights, and therefore if children are denied the right to education, it means they are deprived of other rights too. Such revelations indicate that child domestic labour has negative consequences on children's schooling because they stop schooling in order to work and make ends meet.

However, parents who took part in the research said that child domestic work positively affects children's right to education to some extent in that work enables children to find money to pay school fees and buy school materials. On a related issue, the responses from child domestic workers confirmed the information provided by the parents. All the child domestic workers indicated that domestic work enables them to earn money to supplement family income. Moreover, child domestics who look after their siblings provide money for them to go to school. In this way, domestic work enables children to have access to education. For example, one of the child domestic workers aged 14 said:

"I dropped out of school and decided to take domestic work because my parents are very poor. Thus, through domestic work I help my family to raise money to buy books and pay school fees for my siblings ."

In terms of gender, child protection officers said that more girls than boys drop out of school to engage in domestic work. This is because girls are perceived to be more hard working and trusted than boys. In this regard, employers want girls to work for them as compared to boys. One of the child protection officers remarked:

"From my experience, many girls drop out of school as they are more involved in domestic work than boys. This is because domestic work is perceived to be employment suitable mainly for girls since they are considered to be humble and hard working. To

this effect, girls are easily taken as domestic workers in private homes to do babysitting, cooking, sweeping, washing and other household chores.”

It emerged from this data that it is the gender aspect that matters as more girls are employed as domestic workers than boys. Moreover, majority of these girls dropout of school while others never even enroll for education. In this case, it could be deduced that child domestic labour negatively affects girls' right to education since they are forced to do domestic work for the upkeep of their families at the expense of education. This in turn hinders inclusive education for all children as more girls than boys drop out of school. In the end, there is gender inequality in achievement of education. When the majority of the girls are not educated, they are deprived of the capabilities or lifelong skills which can make them to be competitive in the labour market. Consequently, domestic work denies girls better schooling opportunities which in turn result in child and family poverty as girls will always be employed in low class jobs that perpetuate the cycle of poverty. This therefore perpetuates gender, social and economic inequalities in the long run and, hence feminization of poverty.

Policy Measures for Elimination of Child Labour

The study sought to provide information on policy measures for elimination of child labour in Zambia. In-depth interviews with child protection officers indicated that Education For All (EFA) in terms of access and quality should be effectively implemented through existing educational and child policies. The government should therefore put in place good educational and child protection policies that can help children to go back to school. For example, one of the child protection officers said:

“The policy or legislation on universal primary education should be effectively implemented by government and other stakeholders. More so, free and compulsory education for all children should be provided.”

It also emerged from the data that the Zambian government and stakeholders should devise child-sensitive social protection policies and programmes that would cover orphans and vulnerable children who opt for domestic work as a means of sustaining their livelihoods at the expense of schooling. All the child protection officers indicated that the government should devise poverty reduction policies and programmes aimed at addressing poverty and other vulnerabilities that lead children to drop out of school and engage in domestic work.

Discussion

Effects of Child Domestic Labour on Children's Schooling

In this study, it was found that both boys and girls aged between 9 and 14 years old drop out of school and engage in domestic work in order to earn a living. Evidence therefore indicated that domestic work has adverse effects on both boys' and girls' schooling. In this regard, domestic work negatively affects child domestic workers' schooling as their attendance becomes poor and eventually children drop out of school to concentrate on work. For children who combine work and school, their performance at school becomes very poor as they cannot concentrate on their studies and work at the same time. Poor performance coupled with school drop outs entail that children's educational advancement is affected. More so, children's enrollment is also affected as they opt for domestic work at the expense of education. To this effect, involving children in domestic work denies them the right to education as guaranteed by the United Nations Convention on the Rights of the Child (UNCRC). Article 28 of the United Nations Convention on the Rights of the Child stipulates that primary and vocational education should be free, compulsory and accessible to every child (UNICEF, 2009, p. 79). Consequently, the right to education is the key to enjoyment of

other rights, and if children are denied the right to education, it means they are deprived of other rights that are associated with educational achievement.

The results of the current study were affirmed by Oyaide's (2000) study, which revealed that child domestics miss out on schooling and skills training opportunities. Similarly, a study conducted by Anti-Slavery International (2013) into the psychosocial wellbeing of child domestic workers (CDWs) in Togo and India, showed that child domestic work often completely excludes children from the education system, leaving them with little opportunity for social mobility since they lack skills required for them to compete in the labour market.

The results of this study were also collaborated by the study conducted by ILO, UNICEF and World Bank Group (2012) on the child labour situation in Zambia. The results revealed that child labour constitutes an obstacle to achieving Universal Primary Education and other Millennium Development Goals in Zambia. It not only harms the welfare of individual children, but also slows broader national poverty reduction and development efforts. Children forced out of school and into labour to help their families to make ends meet are denied the opportunity to acquire the knowledge and skills needed for gainful future employment, thereby perpetuating the cycle of poverty in the family. Moreover, child labour can lead to social vulnerability and social marginalization, and can permanently impair the attainment of personal and productive potential, in turn influencing lifetime patterns of employment and earnings, and generating important constraints to national development goals. Child labour therefore not only constitutes a serious violation of the rights of the children concerned, but also has clear broader consequences for national social development. Children growing up compromised educationally and developmentally by early involvement in work will be in a poor position to contribute to Zambia's growth as adults.

Stalzer (2009, p. 23) asserts that child labour not only prevents children from acquiring the skills and education they need for a better future, but it also perpetuates poverty and affects national economies negatively through loss of competitiveness, productivity, and potential income. Withdrawing children from child labor, providing them with education, and assisting their families with training and employment opportunities can contribute directly to creating better work for adults. Domestic work thus hinders inclusive education for all children since many children drop out of school because they have to work to supplement family income. Moreover, domestic work contributes to family poverty since children lack necessary education and vocational skills that they can use to fight poverty.

The implication of domestic work for children is that it denies them privileges and opportunities to acquire knowledge and lifelong skills which they can use to move out of poverty. In this regard, child domestic work is a violation of children's right to education even if children work in order for them to earn income to meet their basic needs. Consequently, domestic labour is harmful and not in the best interest of the children involved. The major long-term disadvantage is that it limits the opportunities opened to the child later on in life and it is harmful on the long run to the society at large because it generates a reservoir of future illiterate and unskilled labour force (Oyaide, 2000).

In terms of gender, the findings of the current study showed that more girls drop out of school and are more engaged in domestic work than boys. It is the gender aspect that matters because employers perceive girls to be humble and hard working. Thus, domestic work is perceived to be employment suitable for girls. Consequently, majority of these girls dropout of school, while others never even enroll for education since schooling is not appreciated by some families in the Zambian society. In this regard, girls' right to education is denied in that when children are forced to do domestic work for the upkeep of the family, they drop out of school and for those who combine school and work, their performance is very bad. This in turn hinders inclusive education for all children. In the end, there is gender

inequality in achievement of education. When the majority of the girls are not educated, they are deprived of the capabilities or lifelong skills which can make them to be competitive in the labour market. Consequently, domestic work denies girls better schooling opportunities which in turn result in feminization of poverty as girls will always be employed in low class jobs. This has potential to perpetuate gender, social and economic inequalities and injustice in the long run. Education therefore is the key to success and empowerment of individuals and communities at large. All in all, without education it is difficult for children and their families to come out of the vicious cycle of poverty.

Robeyns (2005, p. 95) asserts that "what is ultimately important is that people have the freedoms or valuable opportunities (capabilities) to lead the kind of lives they want to lead, to do what they want to do and be the person they want to be". However, child workers lack the freedoms or capabilities which may be regarded as possibilities or opportunities of realizing their full potential because they engage in domestic work at the expense of education. Thus, without these capabilities or opportunities, child domestic workers cannot be free from abuse, exploitation and more so they cannot access human rights such as the right to adequate standard of living, decent work and equal pay, social security and good health. Domestic work is therefore harmful to children's wellbeing and development because it limits children's freedoms or capabilities, more so schooling opportunities and subsequent skills training which they can use to achieve their desired goals. This is because children are forced to drop out of school to concentrate on work to make ends meet. This has long-term consequences on future aspirations, freedoms, privileges, choices and opportunities for children and the community at large.

Despite that domestic work negatively affects children's schooling, children's right to education is also positively affected to some extent in that domestic work enables children to find money to pay school fees and buy school materials. Moreover, child domestics who look after their siblings provide money for their siblings to go to school. In this way, domestic work enables children to have access to education. To this effect, child domestic work has both positive and negative effects on children's schooling.

Policy Measures for Elimination of Child Labour

It emerged from this study that child domestic labour has adverse effects on children's education. Thus, policy measures for elimination of child labour ought to be put in place by the Zambian government. The results of the current study therefore indicate that Education For All (EFA) in terms of access and quality should be effectively implemented through existing educational and child policies. In this regard, the government should put in place good educational and child protection policies that can help children to go back to school. Specifically, the policy or legislation on universal primary education should be effectively implemented by government and other stakeholders.

The findings of this study were affirmed by empirical evidence provided by ILO, UNICEF and the World Bank Report (2009, p. 64-67) on understanding children's work in Zambia. The evidence suggested that the single most effective way to stem the flow of school age children into work is to extend and improve schooling, so that families have the opportunity to invest in their children's education. Empirical evidence therefore pointed to a number of possible policy measures for extending and improving children's schooling in Zambia. These policy measures should include, provision of free and compulsory education for all children in State schools and State-assisted community schools. Thus, there is a need to introduce legislation making basic schooling compulsory in Zambia, as a sign of national commitment to universal enrolment, and so that parents have a legal obligation to send their children to school and the State a legal obligation to ensure that children stay there. The empirical evidence provided by the ILO, UNICEF and World Bank Report (2009) also

indicated that important policy measures should include the provision of educational materials such as exercise books, pencils and uniforms for free or at subsidized rates and for those who cannot afford them, and the elimination of all formal and unofficial school fees.

Data from the current study also indicate that the Zambian government should devise child-sensitive social protection policies and programmes that would cover orphans and vulnerable children who opt for domestic work as a means of sustaining their livelihoods at the expense of schooling. The results indicate that the government should devise poverty reduction policies and programmes aimed at addressing poverty and other vulnerabilities that lead children to drop out of school and engage in domestic work.

The findings of this study were corroborated by empirical work done by the ILO, UNICEF and World Bank (2009). Empirical evidence indicated that policy measures for elimination of child labour should include the expansion of social cash transfer schemes to targeted households to reduce household vulnerability. Developing and strengthening community-based social safety mechanisms can also be important to yield needed benefits to vulnerable households. Therefore, community-based measures such as community savings groups, and micro-credit initiatives, should be promoted and expanded, especially targeting poorest households. Child transfers, targeting pre-school children, offer another potential way forward in this context. The capacity of community based care initiatives supporting those who look after children made vulnerable by HIV should be also strengthened, to ensure that the burden of care is removed from children to ensure they do not work and can attend school.

Conclusion

It is established from this study that domestic work negatively affects child domestic workers' schooling as their attendance becomes poor and eventually children drop out of school to concentrate on work. Children's performance at school also becomes very poor as they cannot concentrate on their studies. More so, children's enrollment is affected as they opt for domestic work at the expense of education. In terms of gender, child labour hinders inclusive education for all children as more girls than boys drop out of school to become domestic workers. Therefore, achievement of gender equality in education is negatively affected. To this effect, involving children in domestic work denies them the right to education as guaranteed by the United Nations Convention on the Rights of the Child (UNCRC). Domestic work is therefore a violation of children's right as it is not in the best interests of the child.

The only way children can be protected from abusive and exploitative child domestic labour is to send them to school so that they can acquire the knowledge and vocational skills that are needed for better employment opportunities. In this regard, the government should provide free and compulsory education as this would ensure that all vulnerable children who cannot afford to pay school fees have access to education.

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THE QUALITY FUNCTION DEPLOYMENT AND THE CUSTOMER SATISFACTION. THE CASE OF UNIVERSITIES

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Abstract

This research aims at applying the Quality Function Deployment methodology to a university course in accounting. The final objective is to make more competitive university programs by applying a quality methodology able to define the real customer needs.

In particular, in this paper, the QFD allows us to assess the learning needs of students in an accounting course and translate them into educational strategies (specific techniques) able to satisfy such needs.

In conclusion, we evaluated the effectiveness of the didactic strategies adopted by professors of the accounting course, in perspective of the customer (students) training needs. The results allow us to define "the right things to do for the first time", a significant support for the improvement of university courses.

Keywords: Quality Function Deployment, customer satisfaction, higher education, accounting

Introduction

The sweeping changes that companies experience also impose profound changes to universities. In a fragile and complex economic environment universities must provide a stimulus to competitiveness and employment. In this sense, the quality of the training provided by the universities becomes an essential factor to meet the expectations of its stakeholders (Sargiacomo,1999).

Precisely, education provided by universities must consider the expectations (needs) of employers (Eryilmazb, 2011) in their respective sectors.

It is therefore necessary that the objectives of the course be defined in relation to the final expectations of customers (employer), but it is equally necessary that these objectives be achieved. Students are "the raw material to be transformed into an outstanding finished product".

We must start, therefore, from a careful assessment of the qualitative characteristics of these "raw materials" in order to define how to "turn them into the finished product".

In conclusion it is necessary to assess customer needs: student (training needs) so that the final customer (the employer) is in fact satisfied. In this sense, the educational strategies adopted by professors in their course represent a critical determining factor for the satisfaction of those needs. This present paper focuses precisely on this last aspect and tries to apply QFD to a university accounting course in order to assess which educational strategies are more effective in the satisfaction of the educational needs of students.

The Quality Function Deployment (Akao and Mizuno, 1978) represents a quality methodology which highlights the needs of the customer (Griffin, Hauser, 1993) in order to avoid overlooking key aspects of the expected quality in the design process. The QFD contributes in translating customer requirements in the final product or service features

(Sahney et al., 2004). In addition, this method allows to "do the right things"³⁹. Ultimately, a design that takes into account the needs of the customer and limits error probability, and then, its subsequent corrective actions.

In this paper we attempted to apply the QFD to an accounting university course in order to clearly define the needs of the customer (student) by transferring them to the educational process.

In this sense we can:

- "Provide a service" that actually meets customer needs - student education (doing things right);
- improve the instructional design process by "doing the right things right" (efficiency improvement in the educational processes);
- improve the quality of training provided, in terms of customer satisfaction.

The Quality Function Deployment focuses on "houses of quality", a matrix consisting of different area components or "rooms," each one adapted to a function, in which an appropriate number of necessary information converge to develop a new product design. In conclusion it is a graphical conceptual approach able to disclose customer needs by translating them into technical specifications.

In this work the house of quality, has allowed us to relate to customer requirements with education strategies (specific techniques) necessary to achieve a quality course.

Precisely defining the educational strategies that meet a specific target means to establish how an organization intends to meet certain requirements.

For universities the satisfaction of its external customer' needs - employers (Madu, CN, CH Kuei, D. Winokur, 1994) must be translated in the training of students with knowledge, skills and abilities defined on the basis of the external customer expectations and on the basis of needs (training needs) of the internal customer - the student (Kanji, GK, Tambi AMA, W. Wallace, 1999).

In this sense, the QFD is the ideal tool for identifying customer (student) needs translating them into instructional strategies that will meet these requirements. QFD is a methodology of quality, able to provide competitive advantages to university offers.

The Deming cycle (Deming, 1989) represents a further opportunity when applied to the continuous improvement of a course in its development (Plan, Do, Check, Act). In regard to this the TEM model (Teaching Evaluation Model)⁴⁰ was presented, it is a variation of the Deming cycle to university education - planning (Plan), implementation (C), evaluation / self-evaluation (Check) and improvement (Act) of a course in accounting.

The QFD and the Deming cycle used jointly, fully represent the concept of quality in terms of "doing the right things right the first time."

Ultimately, the QFD allows to identify "the right thing to do" (customer needs) translating them into educational strategies that meet those needs, the Deming cycle allows to

³⁹ "La capacità di fare le cose giuste, cioè quelle che possono portare a un'alta performance sostenibile, dipendono da cultura e conoscenze [...] Ma anche la capacità di fare le cose bene viene potenziata da un modo di pensare sistemico (systems thinking) che massimizzi la sinergia nelle relazioni umane". Cfr. T.Conti, *Qualità un'occasione perduta? Guida provocatoria per imprenditori, manager e amministratori che mirano all'eccellenza*, Etas, Milano, 2004, p.12.

⁴⁰ For a deeper understanding on this matter: Verna I., *Il ciclo di Deming nella didattica universitaria Il Teaching Evaluation Model (TEM)*, Aracne Editrice, Roma, 2012; Verna I., Perozzi D., Quality in knowledge sharing in an university course, in *Proceedings of the International Conference on Quality in Higher Education*, December 12-14, 2013, Sakarya, Turkey; Verna I., Lucianetti L., Continuous improvement in the university teaching: the TEM model, *European Scientific Journal*, ESJ Feb 2014, Special Edition, Vol 1; Verna I, Perozzi D., *Applying the TEM Model (Taching Evaluation Model) in an academic course in accounting: a comparison across five years*, Paper accettato "1st Mediterranean Interdisciplinary Forum on Social Sciences and Humanities, MISF 2014, Beirut, Lebanon.

"do them right" through a continuous improvement (PDCA) of the didactical processes in progress.

The proposed work/paper focuses on the study of QFD methodology in a university course in accounting. The purpose is, as already noted, the evaluation of the most effective educational strategies to meet the educational needs of the learner.

The results of this work both represent a completion of previous studies, precisely aimed at the study of possibility of applying quality methods to improve the university offers (TEM) and an aid to teachers in order to make more efficient and effective their courses.

For this purpose, the paper has been divided into four parts. The reference literature was initially introduced literature, the QFD methodology then was presented in order to examine its later application to an accounting university course. Finally the results obtained were discussed along with the possibility of further developing the proposed work.

Theoretical background and supporting literature

Definitions and classifications of the concept of quality (Juran, 1997 p.XII) which outlined the contours more or less clear have alternated in time (and space): a philosophy that revolutionizes companies in values and in organizational and managerial traditions, a mere "technique" to use to solve ongoing problems of a standard to be met to enter or remain in "trade certificates".

The quality, of course, provides opportunity of investigation wider than those just mentioned. The present work is meant to emphasize the "theory and practice" that allowed the quality of acquiring and retaining the principles and methods that make it even a competitive strategy.

In particular, we want to emphasize aspects such as "[...] the generation of value, the judicious use of resources and balanced satisfaction of the expectations of stakeholders. It is from here and not from the formal observance of minimum requisites, that must start to address the changes, to ensure that experience becomes culture "(Conti, 2004).

It is from this consideration of the concept of quality (Total Quality Management) - as a philosophy of business management as a source of competitive advantage for companies - that we started to test the opportunities arising from application of some methodologies of quality to university education.

In literature there are several studies showing the benefits and the results produced by a number of universities that have adopted the principles of quality (Ermer and Kniper, 1998; Lim and Tang, 2000; Howel 2000 Hwarng and Teo, 2001).

Although it is difficult to give a clear definition of quality in the field of higher education (Marshall, 1998 and Michael, 1998), we can say that "Total quality management in education is multifaced. It includes within its ambit the quality of inputs in the form of students, faculty, support staff infrastructure; the quality of processes in the form of the learning and teaching activity; and the quality of outputs in the form of the enlightened students that move out of the system" (Sahney, Banwet and Karunes, 2002, p.3)⁴¹

In particular during this working papers we attempted to examine the contribution of the quality to university education. Ultimately the quality was considered in terms of teaching effectiveness compared to students' learning (Shoulders and Hicks, 2008), ie the ability to achieve consistent and effective learning processes, essential skills (Ramsden, 1998; Stephenson, 1992; Peelo , Wareham, 2002 N.Entwistle, H.Tait, 1990) - definitely the ability to respond to the needs of "customers" - learners (Angelo and KP Cross, 1993).

⁴¹ Taken from: Qureshi M.I., Khan K., Bhatti M.N., Khan A. and Zaman K., 2012, Quality Function Deployment in Higher Education Institutes of pakistan, *Middle-East Journal of Scientific Research*, 12(8): 111-1118.

The quality of the educational processes is the result of a constant effort of the teacher in the analysis of the educational processes carried out, in their improvement starting from "the listening" of the learners - their skills, ability and learning motivation - and consolidates in the experience gained in the continuous search for a simple and effective classroom assessment model (TA Angelo and KPCross, 1993).

The constant and attentive listening of the needs "of the customer" is a critical process for the satisfaction of the same, and the professional growth of the teacher.

The international orientation "sees" an ever-closer relationship between teaching effectiveness and the overall didactic quality of the courses and faculties (Pearlman, Tannenbaum, 2003).

Australian universities in particular, show a great deal of attention to the issue of teaching evaluation, as attention to learners and their learning, and to their full satisfaction, coincides with the concept of evaluation.

The attention on learning generated in learners, hence the quality of the teaching is in the foreground even in the Asian, the U.S. and Canadian context.

In particular, innovation in teaching and learning processes are promoted and incentives and award procedures are used.

An almost similar situation for Europe (Britain in particular) that puts the emphasis on the dissemination of those successful practices (good practices) in teaching in order to increase the quality level of the educational offers in universities.

It is certainly complex to measure educational services due to their intangible nature and because they represent the translation of an individual in his knowledge, in his characteristics and his behaviour (Michael, 1998). But without measurements it is very difficult to achieve the improvement.

The QFD has been successfully applied in the field of education (Koksal and Egitman, 1998; Lam and Zhao, 1998), particularly in the design of curriculum and the improvement of teaching methods (Ermer, 1995; Lam and Zhao, 1997; Owlia and Aspinwall, 1998; Aytac and Deniz, 2005; Hamza, 2011).

The main problem is the definition of the customer. Actually there is no agreement on the definition of customer in educational institutions. Some universities consider their customer both the student and the employer (Spanbauer, 1987). Others consider student only as a reference (Coate, 1990).

The student is undoubtedly the main customer of an educational institution (Jaraiedy and Ritz, 1994). A real difficulty, however, is recognized in considering customers as students who do not have the knowledge able to influence the content of a course. Additionally, a "satisfied customer" does not coincide with a high quality of education considering that whereas the achievement of an educational qualification is a result of short-term and long-term - effective learning and growth (Singh and Ashok Grover, 2008) .

That said, one must consider that it is possible to investigate customer needs indirectly through an initial test, handed out to the learners at the beginning of the course. The test aims at assessing: prior knowledge and skills of the student.

At this point the teacher will have a set of information that thanks to his skills, will be organized into a hierarchy of needs to satisfy in relation to the course objectives (as defined in consideration of career opportunities-needs of the employer). Once defined the needs to satisfy we used to define the teaching strategies the most appropriate to meet those needs.

The QFD allows us to achieve this goal thanks to the quality of the house in which it is possible to relate the needs of the customer "WHOT", with the most appropriate teaching strategies "how."

The results will represent for the teacher a clear and precise design of the course as a whole defined on the effective needs of the customer in relation to the objectives to be pursued.

As noted by some authors (K.Samuelowicz, J.Bain, 1992; K.Trigwell, et al., 1994) the effort of the research must be directed at "informing" especially those who teach on the feasible prospects and possibilities of teaching. QFD allows to act in this direction.

The application of QFD to university education also represents the development of previous studies that see the Deming Cycle, applied to educational processes (TEM - Teaching Evaluation Model) as protagonist of the continuous improvement of a course in accounting.

In particular, the TEM model (Verna and Lucianetti, 2014) fits into a consolidated context of studies of northern European tradition (N.Entwistle, P.Ramsden, 1983; F.Marton, R.Salio, 1976), taken up by Australian researchers (M.Prosser, P.Ramsden, K.Trigwell, E.Martin, 2003) which considers teaching and learning closely related (K. Trigwell, E.Martin, 2003).

The TEM model is conceived as a personal proposal of "methodological tool" of the teacher (but acceptable and comparable between different subjects), useful for the purpose of reflection, research and improvement of the educational activity undertaken and to be undertaken (Verna, Perozzi, 2014) .

The TEM model is based on the concept of complexity of the quality of teaching, so the need for a multidimensional approach to teaching (RJCCasey, P.Gentile, SWBigger, 1997; L.Roche, HWMarsh, 2000): a systemic approach .

The model begins with the skills, experiences and representations that each single teacher has of the educational/didactic action (P.Ramsden, 1992; K.Samuelowicz, J.Bain, 1992; K.Trigwell, 1994; L.Gow, D.Kember, 1996;) linked to the context of time and place in which this is achieved.

It is on this basis that it develops a process of improving of the educational activity aimed at a constant reflection and analysis of the processes carried out and the results produced (learning), on the causes of the problems identified and the improvements achievable by the same teacher, in relation to its environment (P.Ramsden, 1992).

The QFD provides the ability to initially define (start of the course) the needs of the customer (doing things right the first time) and to specify for each need the instructional strategies that are best suited to carry them out. One can easily imagine how the benefits offered by the QFD combined with those of the Deming cycle represent a real competitive advantage for the quality of university education.

The Quality Function Deployment (QFD) in a university course of accounting.

The Quality Function Deployment was invented in 1972 when two engineers Nishimura and Takayanagi implemented a quality chart to a shipyard in Japan (Jnanesh and Hebbar, 2008).

QFD is a methodology characterized by a series of processes aimed at translating the customer's demand into design targets.

These processes must define the quality of the final product, of components and individual elements of the production process (Akao and Mizuno, 1978).

The QFD begins with "the voice of the customer" on which the design is based.

Designing a product/service on customer needs means reducing time and cost associated with a wrong design, ultimately it is "doing things right the first time." Moreover, the quality of the product/service is improved by a design realized in function of the implied and attractive needs to the customer.

In short, the QFD allows to reduce the gap between "quality promised" and "quality supplied" (Eureka and Ryan, 1989).

The basic steps of QFD can be summarized as: definition of the customer, what the customer wants (needs) and how those needs are meant to be met (Pitman et al., 1996).

The house of quality is the tool on which the QFD is based and is a graphically summarizing customer expectations, technical specifications, objectives and priorities, in a "map" of reference (for the company) in order to attain the expected values.

The QFD, as noted above, can also be applied successfully in the field of education. In this study we intend to use the QFD methodology in order to make university education more effective and efficient. Ultimately, we want to identify and meet the learning needs of the learners so that the quality of the "training offered" coincides with the one "promised."

Particularly, the course in accounting has been defined by considering the expectations of "employers" (external customer).

The question that has been placed subsequently was the following: what teaching strategies must be applied to ensure that the internal customer (student) will achieve the objectives of the course? Only one student effectively trained fully meets his needs and those of all other stakeholders.

For this purpose it has been attempted to use assess the QFD to identify the training needs of the student to whom match the most appropriate instructional strategies that meet those needs.

Customer needs

The first aspect to consider in the application of QFD is to precisely determine the customer's expectations. Universities play an increasingly important role with respect to the communities in which they operate. They represent a stimulus for competitiveness, economic growth and employment (Hugles and Kitson, 2012). Ultimately, the relationship between a country's competitiveness and the quality of the educational system of the country is very strong (Borahan & Ziaraty, 2002).

It is therefore crucial to achieve a quality education focused on the learner. As noted above, the learner doesn't have the skills to define its own learning needs. The teacher on the other hand has those skills.

In this sense, the students' needs were identified through the administering of a test (to a class of 80 students) aimed at verifying their pre-knowledge and skills at the beginning of the course in accounting.

This course is designed to provide knowledge and skills on aspects that can be summarized as: the structure and functioning of the accounting system and international practice; accounting recognition of the main operation of management; general principles and the fundamental aspects of the financial statements.

In respect to the issues just mentioned, teachers administered to students at the beginning of the course, a test (objective) consisting of 20 items (multiple choice, true / false, links and completions), and given a score 0 - 1 (for each item: wrong or right, respectively). The aim was to test the knowledge and skills possessed by the learners.

For example, compared to a specific goal of the course, focused on the knowledge of the concept of capital, the level of knowledge possessed by the learner is examined on two levels: "basic knowledge", "Advanced knowledge".

The "basic knowledge" is assessed against the following objectives (examples):

- The learner is able to define the concept of capital;
- The learner recognizes the different components of capital;

In reference instead to the "advanced knowledge":

- The learner is able to distinguish / determine the different configurations of the capital.

The test results allow teachers to determine the level of knowledge possessed by students (basic or advanced), and then the homogeneity / heterogeneity of the classroom. At this point the teachers in accounting have all the essential information to define a scale of needs and assign relative weights (importance of the need).

In particular, as already noted, this information have been classified by the teachers into two categories: knowledge and skills. The latter were further divided into "basic" and "advanced".

In particular, the scores given to each item made it possible to highlight the main training students' needs who have been assessed by teachers on a reference scale - from 1 to 10. It has been defined in this way, a hierarchy of needs (customer Importance ratings) that occurs as shown in the table No. 3.

It should be noted that in the house of quality "the room of the needs of the customer" includes the main topics of the course (assessed in the test in terms of learning objectives) classified as just described. Referring to this matters the professors have given a weight correspondence that expresses the importance of the need in terms of "lack of training of the classroom": 0 null, 10 maximum.

Once defined the learning learners needs, the next step is to evaluate the most effective instructional strategies to satisfy those needs.

Educational strategies

After having defined Customer expectations (Whats), it is necessary, therefore, to determine which educational strategies (Hows) are more efficient in reaching these needs.

In particular, an heterogeneous class of students will require educational strategies tailored to the diversity emerged in students. The objective is to provide an instructional design that can effectively and efficiently reach the objectives of the course.

Educational strategies consist of a combination of teaching methods used in a span of two hours (single lesson). The choice of the most appropriate strategy is closely linked to the educational objectives pursued in relation to which it emerges a specific training need of the learners.

The educational strategies shown in the Table No.1 are the more ones used by a professor of accounting, during a five-year course in which he applied the TEM model - Deming cycle (Verna, Perozzi, 2014) for the continuous improvement of university teaching. These strategies have also been the object of discussion and debate among teachers of the same subject.

Table No. 1 - Educational Strategies

Strategies	Methods
Strategy 1	Class / tutorial (explain, demonstrate, perform)
Strategy 2	Role playing/ tutorial/class (demonstration - stimulus, perform, discuss, explain)
Strategy 3	Case / class (perform, discuss, explain)
Strategy 4	Project work / class (perform, discuss, explain)
Strategy 5	class/ self-study/questionnaire (or closed case) (demonstration, perform, discuss, explain)
Strategy 6	class/questionnaire/class(or closed case) (explain, perform, discuss, summarize)

The Strategy 1 is the classical method of conducting a lesson. As shown in Table No.1, this strategy provides an initial introduction of the topic to be addressed (articulated in explanation and practical demonstration) followed by a tutorial (which in the course of accounting often results in a financial accounting survey) carried out by students themselves. At the end of each educational intervention regardless of the strategy adopted it is always envisaged a brief summary, but important (reinforcement) of the argument presented. This type of strategy is particularly effective with respect to learning objectives related to both the knowledge of concepts and procedures and the ability to use them in "operational expertise".

1 The strategy is also presented as a slow, analytical and facilitative progression of topics, particularly suited to a classroom of students neophytes "non-experts".

The strategy 2. In this case, the lesson is presented with a role playing (Capranico, 1997; Bushing, 2004), which introduces (stage presentation) the information necessary to carry out the next tutorial. The information can also be introduced without role playing. Role playing is not used in the traditional way "learning by doing, imitating, etc.." But it is used to draw the attention and motivation of the learner in addition to ability to find / select the relevant information independently. At the end of the exercise the teacher discusses with students the results achieved by them, summarizing and synthesizing the issues dealt with the lesson. The time devoted to discussion and understanding in this case is greater. Although the objectives reached with this strategy are the same as previously seen, the strategy 2 (inductive) is more suitable for students who already have (or have reached) certain knowledge and skills.

The strategy 3 combine the two classical methods: lecture and case. The case is particularly suitable for the learning of intellectual skills (problem solving), the lesson is imperative to clarify doubts, gaps and discuss the issues raised in the case, and then reinforce learning. The main advantages for students lie the practical application of their knowledge, a high involvement and a greater learning and "memory" of what executed. The third strategy involves the use of closed cases in which there is a right answer (or two or three) in order to prove the "technical process" to be used for a certain type of problem. In the course of accounting used as a reference, given the high number of students, the case is carried out by students individually or at most in pairs. Compared to this strategy it counts as already observed for the previous year (strategy 2) as is in terms of the objectives and the type of students to whom it is addressed.

The strategy 4 is particularly useful when the course is at an advanced stage or the professor have a classroom particularly trained. The strategy 4 offers the advantages of the active methods (discussed above) and allows the learner to develop, strengthen and expand the ability to use concepts and techniques already acquired (Baldassarre S. 2003) in addition to the advantages offered by the interactions in a group work. Also in this case objectives and students to whom it is mainly addressed are the same as in the previous strategy.

The strategy 5 consists of a brief introduction of the teacher on the outline of the subject of the lesson (15/20 minutes) followed by a moment of self-study on synthetic and clear hand-outs allowing the student to learn and reinforce what the teacher introduced and to test their learning in the following questionnaire. Self-study in the course of accounting has been used for a time not exceeding 30 minutes. The remaining time was used to carry out the questionnaire (20 minutes) and the discussion in the classroom. The strategy 5 is particularly effective for knowledge objectives and students classes with less expertise and especially facilitates the learning of complex issues as it allows to deal with the same topic with different approaches: listening, study, self-evaluation and comparison.

The strategy 6 is a classical one, particularly effective for the transmission and examination of knowledge and overfill any gaps identified. Even in this case students not

particularly experienced are the favourite recipients of this teaching strategy equally effective even for "classes more experienced."

At this point, the correlation matrix, allows us to evaluate the best strategy suited to each need expressed by the student - with respect to the course objectives addressed in the initial test.

Correlation Matrix: customer expectations and educational strategies

The correlation matrix, as shown in Table No. 3 (the central part of the house of quality) shows how the educational strategies identified (technical requirements) meet the customer expectations.

The relationship between customer expectations and educational strategies are defined as: (+) strong relation, (-) medium relation; weak relation (x) and the respective weights are: 5, 3, 1.

These relationships are defined by the professor of the course and are presented in Table 2 below.

Table No. 2 Relations between the learning needs of learners and educational strategies

Relationships:	
5 – Strong relation	+
3 – Medium relation	-
1 – Weak relation	X

Table No. 3: The House of Quality Matrix

Educational strategies Needs		Customer importance Ratings	Strateg y 1	Strateg y 2	Strateg y 3	Strateg y 4	Strategy 5	Strategy 6
			class/ tutorial	Role playing / tutorial / class	Study Case / class	Project work / class	class/ self-study Questionnaire (or closed case)	class/ questionnaire/class (or closed case)
Knowledge	General accounting (objectives tools e methods) BASIC	3	x	+			x	x
	ADVANCED	6	-	x			x	+
	National and Iternational accounting principles (conceptual framework, classification and analysis) BASIC	7	-				-	+
	ADVANCED	9	-				-	+
	Capital (definition, composition) BASIC	4	x	+			x	x
	(configuration/determination) ADVANCED	9	+	x			+	+

	Income (definization, composition) BASIC	5	-	-			x	+
	Configuration, determination) ADVANCED	9	+	x			-	+
	Budget (notions, discipline, characteristics) BASIC	7	+				-	+
	Advanced	10	+				-	+
Skills	Recognition of the main management operations (domestic and international markets) BASIC	7	+	x				x
	ADVANCED	10	+					x
	Budget (composition., determination) BASIC	8	+		-	-		x
	ADVANCED	10	+	-	-	-		x
Weights of educational strategies			388	111	54	54	186	352

Results

Initially the house of quality shows the learning needs of students, measured with the objectives of a course in accounting. Professors have classified these needs into two groups: knowledge and skills, which in turn were divided into "basic" and "advanced".

The assignment of a weight to each need has been carried out in order to detect the "training deficiencies" of the classroom on which act upon (0 – null, 10 - maximum).

In view of these requirements, professors have established the relationships with the educational strategies (strong, medium, weak). The results are shown in Table 3. In particular, with respect to the above classification it is possible to make some considerations.

It is possible to detect a fact rather obvious in referring to the objectives related to the transfer of knowledge (basic or advanced), and then to the training needs linked to them. The strategy 6 is the most effective.

As noted above, this strategy allows the professor to explain and demonstrate a specific topic, followed by the opportunity to reinforce the learning with the verification (questionnaire) carried by the learners. This strategy is particularly effective - as well as the strategy 1, in classes that highlight training needs rather high.

In the case under consideration, the classroom appears homogeneous in training deficiencies (very stressed) and this justifies a strong relationship with traditional strategies such as the 6 and 1.

For the same reasons, the strategy 2 has, on the whole, a relation quite weak with the needs of the learners. It is more suitable a strategy of this kind, as already noted, for students with grounded knowledge. In fact, the deficiencies less marked manifested in the classroom have resulted in a stronger relationship with this strategy compared to the needs: 1, 5 and 7 (respectively: general accounting, capital, income). In this way, different training needs find specific strategic response. The purpose is to provide an instructional design able to

effectively respond to the various needs that have emerged. Ultimately it makes visible a need and we define precisely how to satisfy it.

The strategy 5 shows a stronger relation with the learning needs more pronounced (and with more complex topics). In the course of the accounting the strategy 5 allowed to reach excellent results just with its specific use.

In terms of the objectives related to the acquisition of skills, training deficiencies related to them, both "basic" and "advanced" are maximum (7-10). Again, the main requirement is to making reference to classical strategies in which the teacher plays the main role: explanation and demonstration of the contents and guide for the learner in the application and verification of its skills.

In this case, however, it is possible to note how the strategies 3 and 4 that previously have not showed no relation with the needs of the learners (knowledge), are especially present in relation to those training needs linked to specific skills (budget).

Particularly, the strategy 4, has represented, in the course of accounting, the possibility of applying over time gradually and with the comparison between students (as well as with the teacher) skills difficult to acquire with other strategies.

The educational design resulted from the application of the QFD in the course of accounting was crucial to its effectiveness. In particular, the strategies identified in the matrix (Table 3) were included in the design of the individual modules and of the specific lessons parts the course.

The strategies were then applied in the course following the PDCA methodology (TEM model) which allowed us to evaluate the actual effectiveness of these strategies and the conditions for a possible improvement.

Conclusion

To define with attention customer needs means effectively to understand the expectations, implicit and explicit, and define processes to meet those needs. Which tailor would realize a dress without be worried of taking "the measures of his client"?

To evaluate the effectiveness of educational strategies in terms of needs satisfaction of the learners represents a strategic opportunity for every teacher. Ultimately, it offers the possibility of creating "a dress custom-made".

The definition of educational strategies described above represents an opportunity for professors to design their own course always keeping in mind the gap between "promised quality" and "quality offered".

The educational design that comes from the application of the QFD to a university course is a clear and precise guide for the teacher who sees the excellent learning as the result of a process driven by the quality.

It should be observed that these results can be completed and valued using (as already noted) to another method of quality: the Deming cycle. The TEM model, mentioned above, allows to apply to a university course the PDCA methodology to plan, implement, evaluate and constantly improve during the course, the level of learning achieved by students, and ultimately customer satisfaction.

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TEACHING OF SETSWANA AND SAN: OPPORTUNITIES AND CHALLENGES TO PROVIDING MOTHER TONGUE EDUCATION IN NAMIBIAN SCHOOLS

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Introduction

This paper compares the teaching of San and Setswana languages in Namibian Schools. According to the Namibian Population and Housing Census Setswana and San languages are the least spoken in Namibian households. Setswana is estimated to be spoken in 0.3% of households whilst San languages are spoken in 0.8% households (Namibia Statistical Agency [NSA], 2012). The comparisons of Setswana and San languages were necessitated by the fact that both language groups are spoken by least people within the borders of Namibia. It is however also important to note that San and Setswana dialects are found in various pockets in Namibia, South Africa, Botswana, whilst San is further found in Angola and Zambia. Furthermore, both languages are taught in Namibian schools but at varying degrees, Setswana is taught from grade 1 to 12 whilst San and in particular Ju/hoansi is only taught from grade 1 to 3. Despite both languages been recognized as educational languages, none of them are taught at tertiary institutions to prepare teachers.

The Namibian Government has come a long way in declaring 'Education for All' and recognizes that all ethnic groups in Namibia are key players in attaining the International Declaration on Education. The position of Namibia is in line with the United Nations Universal Declaration on Human Rights (1948) which affirmed the right to education without discrimination. Article 2 of the Declaration spoke against discrimination on the grounds of language. UNESCO (1953) supported education in the mother tongue:

It is axiomatic that the best medium for teaching a child is his mother tongue. Psychologically, it is the system of meaningful signs that in his mind works automatically for expression and understanding. Sociologically, it is a means of identification among the members of the community to which he belongs. Educationally, he learns more quickly through it than through an unfamiliar linguistic medium (UNESCO, 1953, p. 11).

In recognition of the importance of preserving the languages, cultures, customs and traditions practiced by all ethnic groups in Namibia, the government introduced The Language Policy for Schools 1992-1996 and Beyond (Ministry of Education and Culture [MEC], 1993). In line with the article three of the Namibian Constitution the Language Policy specifies that all national languages are equal regardless of the number of speakers or the level of development of a particular language. The policy stipulates that "education should promote the language and cultural identity of learners through the use of Home Language medium at least in Grades 1 to 3 and the teaching of Home Language throughout formal education, provided the necessary resources are available" (MEC, 1993 p.4). More specifically the language policy stated that "grade 1-3 (lower primary) is taught through one of the languages recognized by the Ministry of Education. In this phase English will be offered as a subject for all learners. In Grades 4-7 (upper primary) English will be used as the medium of instruction for all promotional subjects, i.e. subjects relevant in order to be

promoted to the next level. In grades 8-10, English will be the sole language of instruction” (Klein, 2011, p 82). According to Davids (2011, p 126) the goal of this language policy “is to foster the language identity of the children through the use of the mother tongue as the medium of instruction during the formative years of schooling, so that they can develop the skills of reading, writing, and concept formation using their mother tongue”.

Namibian languages can be divided into roughly three language families: the Bantu languages, the Khoesan languages, and the Indo-European languages. Thirteen languages have been recognized in Namibia as national languages, including 10 indigenous African languages spoken by 83.2% of the population and 3 Indo-European languages spoken by 14.7% of the population. The 10 indigenous languages include Oshikwanyama, Oshindonga, Rukwangali, Otjiherero, Ruciriku, Thimbukushu, Silozi, and Setswana. These all belong to the Bantu language group, while Khoekhoewagab and Ju/'hoansi belong to the Khoesan language group. The three Indo-European languages include English, German and Afrikaans. Afrikaans is spoken by 10.4% of the population, German constitute 0.9%, and English by a mere 3.4% (Namibia Statistical Agency [NSA], 2012). English is Namibia's official language and the “establishment of English as the official language would take place in the classroom” (MEC, 1993).

In Namibia, there are two distinct groupings and dialects that speak Setswana, that being Batlwaro and Bakgalagadi, the language policy however only recognizes Setlhwaro. Setlhwaro is only taught in Omaheke region in 7 schools. (EMIS, 2013)

San languages are made up of various dialects and language groupings and each inhabit a different geographic space in Namibia. According to (WINSA, find relevant source from WINSA) the following San languages and dialects are spoken in Namibia, #AkhoeHai//om, !Kung, Ju/hoansi, Naro, Taa and Khwedam. Despite the variety and distinctness of the San languages, the language policy recognizes only Ju/'hoansi as the language of education. It is taught in one school in Omaheke region and at the Nyae Nyae Village schools in Otjozondjupa region, from grade 1 to 3 (EMIS, 2013)

Although official language policy states that schools should teach the pupils in grade 1 to 3 in their mother tongue, “there is however a large gap between the policy intentions and the reality in the Namibian schools” (Klein, 2011, p 82). The “mother tongue is seldom taught as medium of instruction from grade 1 to 3, and many schools do not offer Namibian indigenous languages as subjects from Grade 4 until Grade 12” (Klein, 2011, p 82). Most San and Setswana students have no opportunity for mother-tongue education (Davids, 2011) as few schools offer instruction in their mother tongue, furthermore, both Ju/hoansi and Setswana lacks qualified teachers.

This paper therefore aims at comparing the challenges and opportunities in teaching Setswana and one of the San languages in particular Ju/hoansi at schools and thus pursuing the possibility of introducing the teaching of both languages at the University of Namibia education programmes. It further assesses the factors contributing to the gap between policy and reality on the ground. The rationale for the research is that knowing the challenges and opportunities to providing mother tongue education to San and Setswana people may contribute to policy formulation that allows achievement of Namibia's education for all. Moreover, access to culturally relevant education for indigenous peoples is a right (Cwi and Hays, 2011).

Objectives

The overall general objective of this paper was to identify opportunities and challenges faced in the teaching of Setswana and Ju/'hoansi languages at schools and to pursue the possibilities of teaching both Languages at the University of Namibia.

The specific objectives are:

- Investigate the challenges (lack of teachers, teacher's qualification, accommodation for teachers and learners) that affect the teaching of San and Setswana languages.
- To investigate the process (timetabling, availability of appropriate teaching material) barriers affecting the teaching of San and Setswana languages in schools
- Investigate the potential for San and Setswana language teachers to enroll in tertiary level language courses;
- Investigate support systems to be offered to the schools teaching San languages and Setswana language;

Literature review**Importance of language**

Language has a dual character: it is both a means of communication and a carrier of culture (de Wet, 2002) and is especially important in the cultural identity of children. Similarly, Klein (2011) argues that many indigenous peoples have experienced multiple forms of exclusion. These have origins in colonial domination as well as present political dispensations that permit economic and social discrimination. Consequently indigenous people suffer relatively higher levels of illiteracy, poverty and lower life expectancy. Lack of access to basic services such as education has led to lower literacy levels among many indigenous populations (Haneman, 2005). According to Klein (2011):

In the educational system drop-out rates are often higher and success rates lower among indigenous groups. Formal educational systems often fail to meet the specific needs and knowledge constructions of indigenous peoples both in relation to curricula and teaching methodologies. Academic knowledge is generally preferred and traditional wisdom and skills are devalued. Lack of mother tongue education has contributed to lower literacy levels within indigenous populations compared to the national averages (Klein 2011, p 83).

The view that ignoring mother tongue is detrimental to child development is supported by Bloch and Edwards. They argue that "the tendency to ignore or trivialize home languages in school may have very damaging effects hardly conducive to the feelings and comfort which go hand in hand with successful learning" (Bloch and Edwards, 1998, p 13).

Additionally, there is the concern that children that get taught in English may become anglicized - at the expense of their own cultural heritage (De Wet, 2002). de Wet and Wolhuter (2009 p. 359) state that among parents there was a "deep-seated distrust and fear that home-language education would lead to impoverishment, social and political isolation, and disempowerment". This resulted in the majority of South African learners indicating preference for English as the language of primary instruction instead of their native tongue (de Wet & Wolhuter, 2009). Similarly, Bagwati (2003) argues that the use of English marks it as an economic, education and social status marker in Botswana. It is also in this regard that Nyati-Ramahobo (1991) found that a decline in morale in the teaching and learning of Setswana in Botswana schools was connected to its low status in society. Lack of efforts to train manpower in Setswana reflected the low value attached to it by educators, as a national language, a subject and as a career. Hence the emphasize from Kgasa that there is a need for a deliberate attempt for the successful development of Setswana by becoming more involved in it just as we are involved in the exploitation of our economic resources, or improving our political institution or raising the standard of education (1972). Kgasa further argues that language is an expression of culture and a way of life. Therefore, people's way of life and culture cannot be understood or even be intelligently studied if their language is not known.

Benefits of mother tongue

Students attending schools that give classes in their mother tongues will have fewer difficulties in learning than those who need to translate the information due to, for instance, lower richness of vocabulary or poorer understanding (Worswick, 2004). Because we look forward to being accepted in our social environments, we tend to get closer to people who speak the same language. Students will feel more comfortable in schools where people share the same mother tongue (Chiswick and Miller, 1994). According to Bialystok (2001) subjecting learners to education in a language they don't quite understand may impede school competence and cognition. De Witt, Lessing & Dicker, (1998:119) research indicates that mother tongue is the most appropriate medium for imparting the skills of reading and writing, particularly in the initial years of schooling. Similarly, Heugh (2002) and Uys, Van der Wait, & Botha (2007) lauds mother tongue (MT) education as more effective than bilingual or second language medium of instruction. Mother-tongue can be instrumental in enabling the acquisition of English proficiency and the mastering of other academic content (De Wet, 2002). Trudell & Shroeder (2007) argue that using one's mother tongue is a qualitatively better learning experience. It may also improve educational participation and outcomes (Benson, 2010) and literacy and numeracy outcomes (Heugh, et al., 2007 and Benson, 2010).

Benefits of multilingualism

The ability to understand and speak several languages seems to have cognitive benefits. According to GilLacruz and GilLacruz (2012) studies show that children raised bilingually develop a specific type of cognitive benefit during infancy (Diamond, 2010 and Bialystok, 2010). Although immigrant children's initial academic achievement is said to be disadvantaged by their lack of English speaking abilities, the literature seem to indicate that there are cognitive advantages to being bilingual (Cummins, 2000; Diamond, 2010). There are mutually reinforcing relationships between non-linguistic and linguistic intellectual functioning and bilingualism (Cummins, 2003). For South Africa Chick and McKay (2001, p 165) claimed that "learners learn mother languages (including the dominant language) most effectively when there is the continued educational use of the learners' first languages and, therefore, respect for the cultural assumptions and values implicit in them, that is, an *additive approach*. It is in the same spirit that De Wet (2002: 119) argued "learners are therefore more successful in acquiring second language literacy if they have already mastered strategies for negotiating meaning in print in their home language. Learning and changing over to a second language is a traumatic experience; it takes a learner up to seven years to acquire adequate skills in a second language". Psychologist Bialystok (2001) demonstrated that bilingual children have metalinguistic awareness earlier than monolingual children and they are more creative and have enhanced cognitive flexibility. Similarly, Barac and Bialystok (2011) contend that children who are educated initially in their mother tongue then learn a second language, seem more proficiently and achieve more academic success than those who have not.

Difficulties of teaching mother tongue

According to Benson (2004) poverty presents a challenge to the provision of mother tongue-based schooling. This is because mother tongue education is often provided to the marginalized lacking services and even basic human needs. This situation negatively affects student performance. School feeding programmes, remission of fees and relative incentives may help alleviate this challenge.

Resource allocation to mother tongue is also often problematic. To this end Ninkova, (2009) and Davids (2011) point to lack of housing and other services for teachers that are involved in teaching of mother tongue to San children in Namibia. Teachers lack of basic

facilities, just as non-bilingual schools are, lead to inadequate school performance (Benson, 2004). “A serious investment of time and resources, along with a commitment to collaboration between linguists, educators and community members is required to prepare materials” (Benson, 2004, p 9) if mother tongue education is to be realized. Unfortunately this often lacks in many countries. According to Heugh et al. 2007) there are also difficulties of keeping qualified teachers who are mother tongue speakers. Curriculum departments that developed, published and distributed appropriate mother tongue materials in Ethiopia faced insufficient funds leading to severe shortages of textbooks, especially in rural primary schools (Heugh et al. 2007). There are also structural challenges to implementation of mother tongue that are related to political decision-making (Benson, 2004). They include top-down introduction of mother tongue without adequate piloting and resourcing.

Lack of teachers and teaching materials in minority languages means that marginalized groups, such as the San, are not able to receive instruction in their mother tongue, in contravention of international human rights principles (Carmona, 2013). Carmona (2013) stresses the importance of availing textbooks in minority languages as a human rights issue. Ninkova (2009) also points to lack of San teachers at Gqaina - a school in the Omaheke region of Namibia - as an impediment to education.

NIED developed a Setswana National Subject Policy Guide For Setswana First Language Grades 5-12 (NIED, 2009). The MEC requires that for a language to be used in formal education it must have a standardized orthography and written materials that can be used in its teaching. Setswana orthography has been well developed. NIED has taken on the development of Ju/'hoansi language and its teaching in schools. Ju/'hoansi is “regarded as sufficiently developed to be adequately utilized as a medium of instruction in the formal education system; the others, !Xung and Khwedam, are still in the process of being developed for educational use” (Davids 2011, p 126). Ninkova (2009, p 50) reported that “as of 2008, the NIED supervised language development workshop had translated materials in the Ju/'hoansi language up to Grade 3. The school, however, had never received any of the developed materials for the learners and it was only the teachers who had the Ju/'hoansi translated school books”. Thus development of material is not the same thing as delivery of such material where they are needed. Biesele (2006, p 153) claims Ju/'hoansi has only been responsibly written with a user-friendly, professional linguistic orthography for about 15 years. More positively Biesele (2006) points to efforts by the Kalahari Peoples Fund (KPF) and the Nyae Nyae Village Schools Project (VSP) in the promotion of reading and writing skills over the first three years of school and beyond. She notes that “two successive classes of Ju/'hoansi teachers have been trained to teach Grades 1-4 to read and write in their own language” (Biesele, 2006, p 157). Biesele, Dickens and some Nyae Nyae VSP trainees are said to have turned Biesele's Ju/'hoansi language folklores into school curriculum materials (Hichcock, et al., 2006). Some San languages, although only taught at Early Childhood Development Centers, have a standardized orthography, basic materials and readers. Khwedam, Taa, !Kung, #Akhoe Hai have met the requirement of the MEC of a standardized orthography and teaching materials.

With regard to Khwedam Haacke (2005) reports that Köhler published three volumes of annotated texts in orthography of his design and produced grammatical sketches. Since these publications on the Khwe are either in German or French they are not accessible to the Khwe. A Khwe Dictionary by Kilian-Hatz is also in preparation. There is also an unpublished work by Kilian-Hatz and Mathias Schladt entitled ‘A preliminary dictionary Kxoe-English English-Kxoe’ (Haacke, 2005). It seems that the works of Köhler, Kilian_Hatz and Schladt are not officially recognized in Namibia. Other San languages such as Naro and #Akhoe Hai in Namibia struggle with terminologies and linguistics and are in need of more time and funds to develop them. Haraseb (2011) reports that: The main goal of

WIMSA's ECD program is for San children to get preschool education and instruction that uses their mother tongue as a first language of instruction, in learning centers managed by San communities, and using trained San teachers—and, in the process, to develop stronger cultural identity and pride (Haraseb, 2011, p 139).

The San face a myriad of socio-economic problems that directly bear on their educational progression. Unemployment and poverty among parents affects the children's academic progress. San enrolment figures are lower than any other group in Namibia due to a number of factors. "The availability of school food ensures that students and their parents stay in the villages with a school; each school is given a supply of maize meal from the government to cover one meal per day for the learners (this is often shared with other family members)" (Cwi & Hays, 2011, p 145). Teachers share tents and food with learners and this helps increase enrolment. "When there is no school food, either because it runs out or if it is not delivered in a particular term, the classes stop and people will often move to other locations if there is more food available there" (Cwi & Hays, 2011, p 145). Water shortages, heavy rains, wild game encroachment also affect enrolments.

The San girl is particularly vulnerable "some girls leave school because they get pregnant and Gqaina had several such cases" (Ninkova, 2009, p 53). Other reasons include distance and lack of transport, language problems, joining parents for gathering trips. Discrimination and mistreatment of San children at some schools is also said to be a factor. One of the most frequently mentioned reasons for San learners' dropping out of secondary school was their low social status and stigmatization (Ninkova, 2009).

Batswana people migrated to Namibia in the 1800, as refugees from King Chaka and Dingaans wars. The Batswana people settled in Eastern Namibia Motsweding also known as Epukiro Roman Catholic Mission and Mokaleng, known as Aminuis Roman Catholic Mission. Both mission stations, provided education and efforts were made to teach Setswana from the onset of opening the two schools. During Apartheid the Batswana Education Authority opened two more schools at Drimiopsis, currently called Mokganedi Tlhabanelo High School, which served as a secondary school and at Motsomi, which served as a primary school. Both schools were considered then as model schools which aimed to promote the teaching of Setswana. Further on, Setswana was introduced at Gunichas Primary School also a Roman Catholic Mission school from primary and later on it was introduced at Johannes Dorren High School at the same mission. In Gobabis, when the Batswana learner population increased, Setswana was taught at Wennie Du Plesies Secondary School. Setswana is taught in Namibia from grade 1 to 12 (MEC, 2009).

The variety of Setswana dialects spoken in Southern Africa are seKgatla, seRolong, SeNgwato, seNgwaketse, seTlhaping, seHurutse, seKgalagadi, seTlhwaro, seKalanga which are all classified under Setswana (Kgasa, 1972). There are also major similarities to Setswana among other language groups such as Sesotho and Sepedi in South Africa and Sisubia and Sifwe in Namibia and Setswana speakers. (Brock-Utne 1997). It is common practice to find speakers of different languages who are able to understand each other when they speak distinctly and have some knowledge of words that have different meaning in the various languages. Brock-Utne argues that some of the written languages are, however, very different. Often the same sound is written completely differently in the various languages (1997).

Considerable efforts have been put into the writing of Setswana language. Setswana is classified among the Bantu languages (Molefe, 1999). The Setswana version of the Bible was started in 1829, similarly the Setswana orthography and phonetics soon followed. (Plaatje, 1976). Despite the challenges faced in initially creating a written Setswana from a literary point of view, not withholding the difficulties of this noble exercise, Setswana continued to develop over years. At University of Pretoria, University of the North West in South Africa

and at the University of Botswana there are fully pledged Setswana departments responsible for the orthographic, lexigraphy and phonetics of the Setswana language . The development of Setswana has also been influenced by other dominant language groups in southern African such as Afrikaans, English, Zulu, Xhosa and many other language groups, which can enrich the vocabulary and make Setswana a powerful instrument in literature. However, Kgasa, (1972) warned that the development of Setswana cannot lag hence the need to incorporate other languages, but Setswana will be impoverished by the indiscriminate acquisition of new terms when existing Setswana terms will do.

Methodology and Approach

This study was carried out in 2012. The study was conducted in regions where San and Batswana people are residing and where the two languages are taught in schools. Batswana people are residing in Omaheke region and Setswana is only taught in schools in Omaheke region. Similarly for San languages the following regions were covered, Omaheke, Otjozondjupa and Capriviregions. In Omaheke and Otjozondjupa regions Ju/’hoansi is taught in schools, whilst in Caprivi Khwedam is taught in pre-primary schools.

The study was based on qualitative research method. The data collection tools used were focus group discussions (FGDs) and key informant interviews (KIIs). Among the key informants were:

- San and Setswana teachers
- School principals at schools where both languages are taught
- San and Setswana Subject care takers at NIED
- San and Setswana Curriculum panelists
- San and Setswana Parents and Community members
- Regional Directorate of Education in Otjozondjupa, Omaheke and Caprivi regions.
- Omaheke San Trust board of trustee chairperson
- Namibian Association of Norway (NAMAS)
- Working Group of Indigenous Minorities in Southern Africa (WIMSA) Regional Educational Advisor and Education Programme Officer.
- San Development Division in the Office of the Deputy Prime Minister
- Batswana Traditional Authority
- Setswana language care taker at Omaheke regional education directorate.

FGDs were held with Batswana parents, community members, traditional authorities and teachers. Each FGD had a minimum of 4 and a maximum of 11 people. There were five FGDs: all mixed. Because the groups comprised of men, women and youth, the researcher took care to observe the hierarchical cultural norms in the community. Similarly for the San sample, there were four FGDs: female only group and three mixed groups of males and females. In the Omaheke Region, a mixed group FGD of six people was held at Gqaina primary school. It included a teacher from Harnas primary school, retired Ju/’hoansi teacher, Dutch Reform Church Pastor from Gobabis, a school principal and two Ju/’hoansi language teachers. The mixed FGD in //auru (Tsumkwe) was with eight parents and community members. The FGD among the NAMAS supported students in Tsumkwe consisted of nine female members. The mixed FGD in the Caprivi was with eight community members at Ndro Memorial School.

FGDs aimed at firstly, soliciting the San and Batswana respondents ’s concerns and feelings about preserving their languages at home and it being taught at school. Secondly, assessing support parents, community members and traditional authority members provide and could provide to children and schools to implement San and Setswana language teachings in schools. The researcher also enquired from the respondents the best ways to

attract San and Batswana learners (former and current) to study mother tongue at tertiary institutions. Potential hindrances that could inhibit students at tertiary level were also discussed.

Population

The Namibian population is currently estimated at 2.1 million. Batswana and San people are the least according to the Namibian Population and Housing Census . Batswana are estimated at 0.3% and the San at 0.8% (NSA, 2012). Batswana mainly reside in Omaheke region in the following constituencies Kalahari, Steinhausen, GobabisUrban and Aminuis. Whilst the San are mainly found in 6 of the 13 regions. The study covered 3 out of the 6 regions (i.e. Caprivi, Otjozondjupa and Omaheke).

Sampling

The sample of Setswana language speakers included in this study was only from the Omaheke region. There are seven schools in Namibia teaching Setswana language, varying from grade 1 to grade 12. Only 4 of the seven schools were included into the sample, due to time limitations, financial constraints and distances involved due to the vastness of the country. The schools selected in the samples were Epukiro Primary Roman Catholic and Mphethuto Primary School offering grade 1 to 7. Mokaleng Combined Roman Catholic School offering grade 1 to 10 and Johannes Dohren Roman Catholic High School offering grade 8 to 12 were also included. Although three other schools were not included in the sample we obtained information about their learners' enrolment and teaching staff from the Omaheke Educational Regional Directorate.

Principals and Setswana teachers at the selected schools were interviewed. Six (6) teachers at Epukiro Roman Catholic Primary School, 8 teachers at Mphethuto Primary School, 16 teachers at Mokaleng Roman Catholic Combined schools, and 1 teacher at Johannes Dohren Roman Catholic High School were interviewed. In total 31 teachers including principals were included in the sample. FGDs were held in all the schools. The exception was at Johannes Dohren Roman Catholic High school, because the interviews were conducted over the weekend.

Furthermore, at two of the selected schools, community members and parents were interviewed. At Epukiro primary School 6 parents and community members (5 women and 1 man) were interviewed. At Mokaleng a focus group discussion was held with the Batswana Traditional Authority council. Four (4) respondents were council members and 3 were community members. Two key informant interviews were with Omaheke Education Directorate (i.e. the Education Officer for Lower Primary and the Inspector of Education - representing the Setswana Language care taker). At NIED the Setswana language officer was also included in the study.

For the compilation of the San sample, in Omaheke and Otjozondjupa regions interviews were conducted with Ju/'hoansi speakers whilst in the Caprivi region the Khwe people were interviewed. In the Omaheke region we chose Gqaina primary school because it was at the time of the research the only one teaching Ju/'hoansi from grade 1 to 3. Although Hippo primary school in Omaheke Region did not offer San language as a medium of instruction it was included in the sample because it had a high San learner enrollment rate. In the Tsumkwe constituency, Otjozondjupa region there were six Nyae Nyae village schools namely; Nhoma, //auru, Den/u/, //xa/uba, Baraka and #otcaqkxai (Cwi and Hays, 2011). Two of these, Baraka and #otcaqkxai, were temporarily not functioning. Baraka was not functional due to lack of water and school going age children. In #otcaqkxai heavy rains washed away roads, making access to the school difficult. Wild elephants were also terrorizing villagers leading parents to abandon some villages. Thus only two schools in Otjozondjupa region,

Nhoma and //auru were included in the sample. We interviewed the educational director in Otjozondjupa, the school principal of Tsumkwe Secondary, the village school principal, the NAMAS San Education Project Coordinator and parents and community members at //auru village. The Ju/'hoansi Curriculum panelists were also included in the sample. In Caprivi region there are a total of 3 San village schools, namely, Ngoro Memorial, Kandunda Kaseta, and Masambo. Only Ngoro Memorial was included in the sample. Interviews were held with the school principal at Ngoro Memorial school, teachers, community members and parents. At the Caprivi Education directorate interviews were conducted with the Caprivi Education Directorate Deputy Director and with the Senior Education Officer.

Data analyses

The investigators firstly met to review the study's major objectives and questions in the interview guide. Then they developed categories for the topics discussed by the various Focus Groups and KIs. They selected statements that represented given topics from the transcript and give interpretations of what they meant. Thus each investigator first independently scanned the transcripts for comments from respondents about San and Setswana education issues. They then systematically examined interview data and established themes and located examples within the transcripts of ways in which these themes were portrayed in the participants' own words. The use of multiple analysts was strategic. It provided us with the opportunity to assess the reliability of coding of major themes and issues. The investigators again met to compare notes, identify commonalities including examples from participants' quotes. Our discussions showed that there were many similarities in our individual analyses, but also some differences. These differences were discussed until agreement was reached.

Among the themes that emerged as challenges to developing the San and Setswana languages were Schools teaching San and Setswana languages and dialects, problems in material development and availability, and challenges faced by San and Setswana learners. Among opportunities were tracing San and Setswana learners, San and Setswana language teachers, and interest in studying the Ju/'hoansi and Setswana Languages and Networking and Collaboration

Findings

Schools teaching San and Setswana languages and dialects

Otjozondjupa and Omaheke regions offers Ju/'hoansi from grade 1 to grade 3. Khwedam is taught only in pre-primary education in western Caprivi. Ju/'hoansi is taught at only one school, Gqaina primary in Omaheke region whilst it is also taught at six schools in Otjozondjupa region, they are Nhoma, //auru, Den/u/, //xa/uba, Baraka and #ataqkxai. Of the six schools two, Baraka and #ataqkxai were temporary closed during 2012 due to lack of water in the villages and there are also no children of school going age. Similarly heavy rains had washed away roads, making access to the schools difficult. The villagers are also facing problems with wild life encroachment. For Khwedam there are three schools Ngoro Memorial, Kandunda Kaseta and Masambo in Caprivi region teaching Khwe at Preprimary level.

The researcher was told that the reason why few schools are teaching San languages are lack of teachers. This situation of lack of teachers is affecting the San learners to become proficient in the mother tongue. At Gqaina primary school where Ju/'hoansi is in the school timetable, only one teacher is assigned the responsibility for teaching from grade 1 to 3. Ju/'hoansi is however offered every erratic. The teacher only teaches two classes during a calendar year. Thus Ju/'hoansi is taught to grade 1 and 2 during a school calendar year. When these proceed to grade 2 and grade 3 respectively the teacher proceeds with them to grade 2

and 3, but does not teach the grade 1. Once the grade 3 learners proceed to grade 4, the teachers then introduces Ju/'hoansi to the new pupils in grade 1 and 2. This clearly raises lots of questions, concerning language proficiency issues.

In Caprivi Region Khwedam is only taught in pre-primary, it is important to note that the material developed for the teaching of Khwedam is facilitated by a civil society organization called Working Group of Indigenous Minorities in Southern Africa (WIMSA). This organization has also been instrumental in the development of the following San languages !Kung, #AkhoeHai//om and Taa which are all developed up to preprimary level and the materials are used at Early Child Develop Centres (ECD). WIMSA is not developing education materials for Naro, as such materials can be accessed at Botswana (Gantsi district) and the materials are developed up to preprimary level.

Whilst Setswana is taught from grade 1 to 12 in Omaheke region, seven schools (Epukiro Roman Catholic Primary School, Mokaleng Roman Catholic Combined School, Johannes Dohren Roman Catholic High School, Motsomi Primary School and Mokganedi Tlhabanello High School, Mphethuto Primary School and Wennie du Plessies High. School) are teaching Setswana. Out of a total of 7 schools that teaches Setswana, 3 of the schools are Roman Catholic Mission schools (Epukiro Roman Catholic Primary School, Mokaleng Roman Catholic Combined School, Johannes Dohren Roman Catholic School), that had started before independence with the development and teaching of Setswana. Motsomi Primary School and Mokganedi Tlhabanello High School are schools that were built during the Apartheid Era under the Batswana Second tier government. After Independence Mphethuto Primary School was build and Wennie du Plessies High School introduced Setswana. All the schools have Setswana on their school timetable. The exception is Wennie du Plessies High School where Setswana is taught after school. The designated Setswana teacher at Wennie du Plessies is a full time employee of the school. The reason why Setswana is offered after school is because of the low number of Setswana learners at the school.

Children learning Ju/'hoansi, Khwedam and Setswana are introduced to English as a school subject from grade 1. However, English is taught as a medium of instruction from grade 4 onwards, with the exception of Khwedam. It is also very common to find San children learning other languages, due to the fact that their mother tongue is not taught. Hippo primary school in Omaheke region offers grade 1 to 7 in English and Afrikaans but not San language despite enrolling high numbers of San learners. We learnt that the Caprivi region has higher San enrolment rates at village schools than other regions but Khwedam is only taught at pre-primary school.

Number of learners learning Setswana and Ju/'hoansi

According to EMIS report home language of learners who are San and Setswana are 7,291 and 1.775 respectively in the year 2010. However, only 392 San and 416 Setswana learners were instructed in their mother tongue from grade 1 to 3 during the same year.

Batswana parents generally enroll their children in school and the retention rate is high across all school levels. The exception is a few female learners who drop out due to teenage pregnancy mainly in secondary school. Many of these have poor socio-economic circumstances. Across all research sites enrollment figures were provided for various years. Similarly, the passing rate of Setswana was also highlighted.

At Epukiro and Mokaleng Schools all learners are doing Setswana as a school subject. However in Mphethuto and Johannes Dohren High School learners choose between Setswana and Khoekhoewagab as mother tongue. At Epukiro primary⁴² school enrolment in 2010 was

260, in 2011 the overall enrollment was 254 learners. Mphethuto primary school enrolled 129 learners in Setswanaduring the year 2012. These were from grade 1 to grade 7. Althoughthe enrolment rate of San learners at Mphethuto primary school is higher than that of Batswana by 254 learners, San languages are not taught. All learners are either doing khoeokhoewagab or Setswana

The Ministry of Education through its Education Monitoring and Information Systems (EMIS) has over the last 5 years (2008 to 2012) recorded an increase in learner enrollment among the grade 1 to grade 12 San learners. San enrolment figures are lower than any other group in Namibia. Various factors contribute to the low learner rates, varying from lack of food, hostels, teenage pregnancy, joining parents on trips to harvest of wild fruits, stigmatization experienced by San learners, distance to schools and lack of transport.

Proficiency in Setswana and Ju/'hoansi

The researcher enquired about Setswana and Ju/'hoansi skills in school and further asked about the ability of parents and adults to assist the children with homework. This question was asked, with the view that Namibian teachers teaching Setswana and Ju/'hoansi do so with the lowest qualification ranging from the lowest grade 10 and highest qualification of a grade 12 for Setswana and for Ju/'hoansi the lowest qualification of a teacher was Standard 5 (grade 7). Different responses were provided as to the proficiency of Setswana and Ju/'hoansi.

The NIED Education Officer and the Setswana Examiner for high school were of the opinion that the quality of Setswana taught is of lower standard as the teachers are not vested in Setswana and do not have tertiary education in Setswana. The NIED Setswana examiner raised a concern that there seems to be a decline in the passing rate of Setswana, particularly, since the South African expatriates that had been teaching Setswana left. This South African Motswana speaking teacher was attached to one of the secondary schools in Omaheke Region. He introduced the teaching of Setswana at the Namibia College of Open Learning (NAMCOL) for grade 12 level and several teachers enrolled to improve their Setswana.

Both the Batswana Traditional Authority and the parents in Epukiro raised a concern about the lack of interest in children to speak and learn Setswana. They stated that parents are the culprits as they would rather speak Afrikaans or English to their children at the expense of Setswana. Some of the parents in the FGD stated that as much as they would want to enforce the speaking of Setswana at home, children cannot see the future prospects of how the language can benefit them. They said other than working at the NBC Setswana radio what else can one do with the language after school. Even if learners pass it with good grades, it does not give them an advantage to study at tertiary institutions as it is not taught anywhere.

Parents also send learners to non-Setswana schools because they want quality education for their children. Few secondary schools with good quality education are teaching Setswana as a mother tongue. The Traditional Authority emphasized that "We want Setswana to be introduced also in urban areas and not to be confined to rural schools only". Wennie du Plessies secondary school is in Gobabis, it has however the lowest Setswana learner intake. They also proposed for adult literacy material on Setswana, one of the council members said.

"we can read and write Afrikaans but we are forgetting how to read and write Setswana".

It is also difficult to get Setswana teachers at all levels; as a result schools resort to recruiting unqualified teachers because tertiary institutions are not training any teachers. It is needless to mention that Setswana is in a much advantaged stage and it is an examinable subject, whilst Ju/huansi is taught up to grade 3. It is also very common to find San children learning other languages, due to the fact that their mother tongue is not taught. There are many schools that have a high enrollment rate of the San learners. Hippo primary school in

Omaheke region offers grade 1 to 7 in English and Afrikaans but not San despite enrolling high numbers of San learners. Similarly, Mphetuto primary school has high San learner intake but only Setswana and Khoekhoewagab is taken as language options. Even if San learners are the majority in a school, they are not instructed in their mother tongue, but use the language of the dominant groups in that particular region.

We learnt that the Zambezi (Caprivi) region has higher San enrolment rate at the village schools than the other regions but Khwedam is only taught at pre-primary school. This study also shows that even if a school commits to putting San in their school time table, lack of teachers makes it difficult to teach the language consistently from grade 1 to 3 as is the case at Gqaina primary school in Omaheke region, this raises serious questions on the extent to which these learners can acquire language proficiency through this format of learning. From grade 1 to the highest grade the medium of instruction is English. None of the learners were taught any of the San languages up to grade 12. Those that acquired advanced San language skills did so out of the education system.

Preference to speak and to associate as a San person seems to be a problem, particularly among the San youth. San key informants and non San teachers mentioned that, San learners are at times ashamed to associate as San, this raises the questions, how would San people speak San languages if they do not want to associate as San. To substantiate this position further a prominent San key informant says during his years as a students at the Education College he found it difficult to associate as a San, there were instances where he would claim to be Nama or Motswana. The reasons why the San youth would be ashamed to be associated with being San has to do with the way other people treat the San people. A key informant mentioned that he always felt that there was a demeaning or teasing tone when other speaks to him or about his ethnic group. It is difficult for the San youth and the San community at large to develop proficiency in their language if they are ashamed of their identity.

Development of Ju/'hoansi and Setswana Languages as a challenge

The development challengers of Ju/'hoansi and Setswana are similar and divergent to a certain degree. One can thus not adopt a one fit all strategy to address the developmental issues of the two languages. The development of San languages and their terminologies and linguistics have been lacking behind. Unlike Setswana that has a well-developed orthography, lexigraphy and phonetics, thanks to the work of earlier missionaries and the continued efforts in Botswana and in South African (Plaatje, 1976). For Ju/'hoansi, there is a Dictionary by Patrick Dickens, providing a basis for the development of the Ju/'hoansi language. According to Haacke (2005) the dictionary is being revised but Davids (2011) says although this dictionary was revised in 2002 for republication there has been little progress on it. It is also in this context that Biesele (2006, p 153) claims Ju/'hoansi has only been responsibly written with a user-friendly, professional linguistic orthography for about 15 years. More positively Biesele (2006) points to efforts by the Kalahari Peoples Fund (KPF) and the Nyae Nyae Village Schools Project (VSP) in the promotion of reading and writing skills over the first three years of school and beyond. She notes that "two successive classes of Ju/'hoansi teachers have been trained to teach Grades 1-4 to read and write in their own language" (Biesele, 2006, p 157). Biesele, Dickens and some Nyae Nyae VSP trainees are said to have turned Biesele's Ju/'hoansi language folklores into school curriculum materials (Hichcock, et al., 2006). Given the slow pace and the uncoordinated effort at which Ju/'hoansi is developing, this has serious implication for the development of the language, hence the need to strengthen Ju/'hoansi.

Developing a language and its terminologies and linguistics is a tedious process that requires a collective effort with expertise in the orthography and lexigraphy of the language. According to a San curriculum panelist.

*“It can take up to two weeks to just decide on a word. For example, translating the word ‘full stop’ into Ju/’hoansi was a very tedious process. Such a word does not exist in the Ju/’hoansi vocabulary, by implication it meant we had to develop a new word that all curriculum panelists would agree to – a word that would be used for that purpose. We had to find something in the San way of life resembling a full stop that we could use. San people are hunters; when we hunt we can follow prey for days. During the night however, we stop hunting and insert the hunting **assegai** in the ground. The next morning we take out the **assegai**, and continue tracking the prey. The hole that the **assegai** makes in the ground is called “**!ang!ang**”. We thought it had enough resemblance to a full stop. After several consultations, trying to decide on what the word should be we came to a consensus. As curriculum panelist we agreed that a full stop in Ju/’hoansi should be called “**!ang!ang**”. . .*

It takes a lot of effort to develop a language that has not been written extensively the curriculum panelist stressed. “We learn as we develop the school material” (San curriculum panelist). Despite the fact that Ju/’hoansi is the only San language that is recognized as the language of education among the various San languages and dialects, efforts at developing it is not sufficient to bring it at par with other languages. Another aspect that contributes to the uncoordinated San material development is the fact that only one San language has been recognized as language of education, whilst others are not receiving the same amount of development efforts. The respondents at WIMSA indicated that plans are underway to develop other San languages (apart from Ju/’hoansi) and introduce them in preprimary school. She however raised resource challengers in terms of adequate linguistic expertise and financial resources for printing of materials that have been developed.

Batswana respondents raised a concern that they are particularly disadvantaged as not all their education materials are translated from English to Setswana as they are encouraged to order books from South Africa and Botswana, but the modality for this arrangement is not clear. The Setswana curriculum panelists have problems with teaching materials. According to them other language curriculum panels translate books from English to their languages. However, Setswana curriculum panelists do not because Setswana teaching materials are accessible in neighboring Botswana and the Republic of South Africa. There is however no budgetary provision made to order books from any of these neighboring countries. Neither are Setswana curriculum panelists sent to identify and source books in the two countries.

Sourcing Setswana books is a long process. Rules stipulate that NIED should instruct publishers to identify Setswana books from RSA or Botswana for review by Setswana curriculum panelists. Once the panelists agree on a book it should be listed on the NIED catalogue. However when the catalogue is printed the recommended books are not listed. At NIED the researcher was told that books cannot be printed as both Botswana and South Africa are changing their curriculum. The Education Officer however accused the Setswana curriculum panelists for not following laid down procedures to bring books to NIED for recommendation.

All school books are ordered from NIED through appointed publishers. But, “*publishers decline to print Setswana school books because of the low number of Batswana schools and learners*” (Teacher, Johannes Dohren). This encourages Setswana teachers to translate material and make photocopies for distribution to learners. Illegal copies are made for distribution to schools and teachers continue to make copies for learners without NIED’s involvement. A case in point in the 2012 NIED catalogue there is only 1 Setswana book for grade 1 up to grade 3 for Setswana language. Other subjects such as Environmental Science,

Mathematics and others, teachers do translation at NIED from English material. If one compares the books in the catalogue from one language to the other you can clearly see the discrepancy where Setswana only has 1 book and the other languages have a long list. From Grade 4 till grade 9, there is no Setswana teaching material in the NIED catalogue. Teachers just put pieces together to teach. Grade 10 to 12 books are in the catalogue, some are priced and others are not priced. If a book is not priced it cannot be ordered. In the case of Setswana books, even if a book is priced and the school submits an order for it, that book never gets delivered. The responsibility is left with the teachers and learners to access books (Teacher, Johannes Dohren).

The development, availability and translations of Setswana and Ju/'hoansi teaching materials are done at NIED with the support of Curriculum panelists. Both languages are assigned subject caretakers who are responsible for other languages, a designated person has not been assigned solely for the two languages. In the case of Ju/'hoansi the subject advisor of Khoekhoewagab oversees Ju/'hoansi. Curriculum panelists we interviewed indicated that failure to assign a person solely responsible for Ju/'hoansi reflects a lack of commitment to develop the language. Ju/'hoansi lags behind and needs a dedicated person to ensure its development. The Subject caretaker indicated that overseeing two languages is too much work given that one of the languages is still in its infancy. There is no support provided to the teachers and curriculum panelists on how to develop Ju/'hoansi educational materials – *“the process is more of a trial and error as they are all learning how to read and write the language”* (Subject caretaker). This poses a serious problem to learning of the Ju/'hoansi language.

Setswana respondents also raised similar sentiments to the fact that Setswana shares a subject caretaker with Lozi language advisor. The Setswana language caretaker is not conversant in Setswana. This is a hindrance, when it comes to typing and editing the work that has been done by the curriculum panelists, mostly find the work waiting for them when they return for their next curriculum meeting.. There is tension in the working relationship between the NIED Education Officer responsible for Setswana and Lozi and the Setswana Curriculum panelists;

“The time allocated for meetings and translation work is very short compared to other language groups. Curriculum meetings are for 3 days, twice a year in February and July. During this time translations must take place, material must get developed and Setswana educational materials from RSA or Botswana must be reviewed. The time allocated for Setswana curriculum panelists to meet for translations and material review is just too short (Setswana Curriculum panelists).”

NIED members stated that Setswana Curriculum panelists do not have tertiary qualification in the language. Consequently, their Setswana comprehension is limited. On numerous occasions they have rejected material that was sought from Botswana/RSA without any justification. They also query the standards of the materials from these countries. In this fight it is the students that suffer.

Ju/'hoansi and Setswana curriculum panelist raised the concern that the time allocated to them for material development is not sufficient. The NIED calendar shows that the Setswana curriculum panel meets twice a year, over a period of 2 weeks to translate material. *“This amounts to 1 month for translations and is not enough to finish with our workload”* (Setswana Curriculum panelists). As a result teachers at schools do their own translations and share whatever they come up with other schools. The *“teachers put pieces together just to be able to teach Setswana”* (Setswana Curriculum panelists). There is a backlog of Setswana and Ju/'hoansi material development. in. *“While we are translating the old curriculum, new curriculum gets introduced”* (Setswana and Ju/'hoansi Curriculum panelists). This increases the teachers' workload. The NIED Setswana Education Officer is aware that material

development and translations take place at schools but nothing is done to remedy the situation. Similarly the San teachers said there is insufficient time devoted to curriculum panel meetings. The panel only meets 3 to 5 times a year, over a period of 2 weeks. Since members of the curriculum panel do not finish translations at NIED they take the material to Tsumkwe or to Gqaina primary school, *“but nothing gets done, even if the materials is with them. Not all the Curriculum panel members are teachers - some are unemployed, others work as San translators at courts, members of traditional authority, guards in conservancies and others are tour guides and trackers. It is a daunting task to get them to meet outside the NIED organized curriculum panel review meetings”*.

At the Omaheke regional education directorate, the person who is assigned to Setswana (i.e. the Setswana care taker) mainly does administrative duties. He is not involved in the development of Setswana language, for he is the subject advisor for mathematics. Many felt that this was an untenable situation. Several challenges were highlighted that could impede the teaching of Setswana in schools. The teachers said that school books delivery is not timely and not in required quantities. The teacher from Johannes Dohren High school said *“Material distribution through the regional office is very unreliable and sporadic - they give us 1 book whilst we ordered 15”*. Ju/'hoansi language teachers also raised the persistent school material shortage. Teachers indicated that rarely are the correct quantities consigned to the schools. The school material if available is never on time. In their defense, the educational directorate at Omaheke and Otjozondjupa regions argued that this was because of incompetent school management who place incomplete orders. They also blamed schools for their inability to look after school books.

Curriculum panel members are frustrated by the per-diem not being paid on time. The per-diem is sometimes only paid after the meeting has taken place contributing to low morale. *“This situation is not only unique to the San; it is the norm across all other languages. However for the San curriculum panelists it has adverse consequences as the majority of them are unemployed and underpaid and thus the per-diem acts as a huge incentive to attend the curriculum meetings”* (Ju/'hoansi care taker). On the other hand *“if per diem is given to the San curriculum panelists before their arrival, 40% of them will collect the per-diem but will not turn up for the curriculum meeting”* (Ju/'hoansi care taker). NIED's standard practice is to process per-diems only after the meeting. This is a catch 22 situation that need to be resolved by NIED the Ju/'hoansi care taker explained.

Socio-economic factors and how they impede the learning process

Poverty and unemployment among San parents affects the children education. According to Namibia 2012, Population and Housing Census Basic Report the San are the poorest group in Namibia. The dilapidated status of the schools, lack of hostels and accommodation facilities for teachers are more visible at the Nyae Nyae Village Schools. The Ministry of Education took over the village schools and the salaries of the teachers, however the teacher training and transportation of teachers is paid by NAMAS. However schools in Omaheke and Caprivi regions are in good conditions, although Caprivi region also lacks hostels and accommodation for teachers. Teachers including the principal are living in storerooms which were meant for storing school materials. San Language is still haunted by lack of funding and heavy reliance on donor funding for material development and translation. As a matter of fact the development of San language is mostly donor-driven (Davids, 2011). There is insufficient skills and human power to develop the language. Institutional integration of San language seems bleak.

One FGD in Tsumkwe alluded to the high consumption of alcohol amongst the San. A concern that was raised in all three regions where the study was conducted that the San children do consume alcohol from an early age. In some worse cases parents trade drought

relief food for alcohol. It must be pointed out that issues of alcohol abuse are not only limited to San people they extend to many communities in Namibia. Alcohol has dire consequence for the educational advance of the San learners. It is a factor in high San school dropout rates and absenteeism across the regions. “San communities in Namibia have an extremely high dropout rate compared to all other populations in the country” (Haraseb, 2011). “We sit with a problem when children run away from school their parents do not send them back. We tried to work with the drought relief programme asking them not to give food to parents and families that are not sending their children to school. This did not yield results” (Principal, Tsumkwe Secondary School).

The Ngoro Memorial school principal in Caprivi region mentioned that when children notice that school feeding programme did not prepare a meal the kids would simple just walk back home. “*School attendance is also affected by the harvesting of forest fruits and vegetables. If maramba beans or devils claw are in season, most learners will be absent from schools as they are assisting their parents to harvest*” (Principal, Tsumkwe Secondary School). According to parents, children are taken out of school because, “*if more family members engage in harvesting, the family makes more money. This does not mean that we do not value the importance of education, it is just that the additional labour of children is needed and the children can always return to school*” (FGD Mixed group). According to the Principal of Ngoro Memorial School, “only 8 learners in a class of 30 learners are left during the harvesting season of forest products”. Floods in the Caprivi and Tsumkwe areas also affect learner school attendance. High learner absenteeism is also recorded during month ends when labourers are paid.

Parents, school principals and teachers mentioned teenage pregnancy among the San as high and affecting the girl child’s education. There is also a problem of early marriage, particularly in the Caprivi region. Once girls reach puberty and get their first menstruation they are by custom considered mature women and most get married. Most schools are trying to run peer education programmes as an effort to discourage the practice but are not succeeding.

The distance between the villages and the schools is also a problem. The distance from Masambo village to Ngoro Memorial School in the Caprivi region is approximately 10 kilometers. This means that children have to walk approximately 20km back and forth a day. “That is too much of a distance to be traveled by children. Hostels must be built at the San schools. It seems like the strategy of the GRN [Namibian government] is to cancel all hostels, but the San educational development will not be improved without hostels at these schools” (Teacher, Ngoro Memorial School). Most of the San village schools are situated in conservancies and children do not feel safe walking through them. A concern that was highlighted by the teachers at Ngoro Memorial School was the fact that their school is built in a conservancy and elephants in particular roam freely posing a threat to their lives. They requested that for the safety of learners and teachers, the schools and the water points must be fenced off. Cwi and Hays (2011) also reported that in the Tsumkwe area, “elephants and other animals, including lions and leopards, also pose a serious threat to learners who must sometimes travel several kilometers by foot to reach a nearby village school”. In a situation where there is high demand for class rooms the main priority is classrooms and fences against elephants are considered a luxury.

Socio economic factors hindering the education of Batswana learners are no different from those that are affecting the San learners. Primary school principals indicated that school enrollment and retention rate among Batswana learners is high. Learners start to drop out when they move from primary to high school due to various factors. Poverty was highlighted as an issue that affects learners’ progress in all the research sites. Unemployment among the community members is high and most parents are without work. “*When children come to*

high school they compare themselves to others from more affluent families. This contributes to low self-esteem". "Teenage pregnancy is a major factor in school dropouts mainly affecting the girl child". "Lack of parental involvement also hampers learners' academic progress, particularly amongst learners who are raised by grandparents". According to many respondents, it is grandparents who always show up whenever schools are looking for parents. "Biological parents are still alive but non-involved. It is the grandparents that pay school fees and other school related costs. When learners are suspended parents are not interested but grandparents are the ones taking responsibility" (Teachers, Mokaleng and Johannes Dohren). Parents and members of the Batswana Traditional Authority complained that social morals have dropped. "This because Religious study is no longer taught in school. Children do not take responsibility for their actions and parents do not feel responsible for their children's discipline" (Teachers, Mokaleng). Teachers also felt hampered to act and enforce discipline at school.

The members of the Traditional Authority emphasized the importance of disciplining and speaking with children to prevent them from falling under peer pressure. "Children raised without a father figure develop ill behavior. If they grow in single mother homes they assume the responsibility of the absent father and that is not good. It is important that fathers must get involved in raising their children" (Member, Batswana Traditional Authority). According to the Batswana Traditional Authority, "parents focus too much on disciplining the girl child fearing pregnancy. However, most of the problems in the community are caused by the boy child who does not respect adults by coming home late in the evening, who steals livestock and abuse alcohol contributing to gender based violence".

Opportunities for promoting San and Setswana as Mother Tongue

This study enquired on the type of opportunities that are existing in the teaching of Ju/'hoansi and Setswana languages. The fact that Setswana and Ju/'hoansi languages are taught in schools is an encouraging step ahead. There is however a need to have enough skilled teachers not only in primary and secondary school but tertiary institutions as well. We enquired whether schools and communities would feed the University of Namibia with sufficient students if Ju/'hoansi and Setswana language is to be taught at the University. The fact that San children with grade 12 exist presents an opportunity, even if they did not learn their mother tongue up to grade 12. According to EMIS figures the San learner completion rate in grade 12 has been steadily increasing over the years.

As for Setswana respondent teachers said it was easy to trace their learners. Most of the learners that complete primary schools enroll at Johannes Dohren High School, Wenniedu Plessies High School, Mokganedi High school or Epako Junior Secondary School. All these schools are in Omaheke Region. Even under exceptional cases where learners do not go to the above mentioned schools, they come to home villages during vacations. Schools also trace learners through their younger siblings and relatives that enroll at school and through parent-teacher meetings. Teachers also enquire about the whereabouts of the learners from friends and relatives.

Both San and Setswana parents emphasized the importance of using radio stations that broadcast in the following languages, Setswana, Otjiherero and Khoekhoewagab. In Omaheke region, San settlements have radio reception but San is not broadcasted, The Nyae Nyae Village Schools in Otjozondjupa region do not have radio reception, however in order to attract the students who would apply for teacher training in Ju/'hoansi UNAM would have to make use of the national structures such as the regional education directorates, San traditional authorities in Otjozondjupa and Omaheke regions and also convey the messages through the Secondary schools near the San settlements.

The researcher also enquired about what happened to the learners that complete education. Majority of learners that complete grade 12 join the police force, Namibian Defence Forces (NDF) Batswana learners are recruited as temporary teachers to teach Setswana and a few are recruited as radio announcers at Setswana radio station. Less than 5% of the Batswana and San learners join the University of Namibia or Polytechnic of Namibia for further studies.

San and Setswana Language Teachers

The majority of teachers teaching Setswana and Ju/'hoansi language are Namibians without tertiary qualification in any of the two languages. For Setswana, lower primary teachers are majority former learners who failed grade 10 and 12 but passed Setswana with an average A, B and C, who gets recruited on temporary basis. Due to lack of qualified teachers, the schools through Omaheke regional directorate recruit unqualified teachers on a temporary basis for 1 year contract, renewable subject to failure to recruit qualified teachers. Overall, most schools expressed the concern that they are facing a high staff turnover, amongst the temporary teachers, because they leave when they qualify for permanent employment elsewhere. However teachers with lower grades remain for a long time in their post as they have limited options to be recruited elsewhere. There is recycling of teachers who are unqualified as their posts are advertised. The Omaheke Regional Directorate expressed a scenario where the same teachers could be moving from one school to the other where there is a need. She said "Schools have no options but to use unqualified teachers".

The study shows that most of the Secondary Setswana teachers are qualified and have extended teaching experience, it is just that they are also equally few to fill up the demand that is there. In secondary schools there is currently 1 qualified South African teacher and approximately 3 Namibian teachers. The South African has a BA in Education whilst the 2 Namibians have BETD and 1 teacher only has grade 12. The South African teacher works on a temporary permit which has been renewed several times. The 2 Namibians with BETD qualification are full time whilst the unqualified Namibian is temporary. The South African teacher did Setswana at tertiary level whilst the Namibian studied Setswana only up to grade 12.

At all the research sites, no Namibian teacher has a tertiary qualification in Setswana. Upon enquiry from the Omaheke Regional Education Directorate, they confirmed that there is no Namibian with a tertiary qualification in Setswana at the 7 schools that teaches Setswana. Furthermore, the number of teachers teaching Setswana with no teacher qualification is more than the teachers with teacher qualifications. Assigning the teaching of Setswana to unqualified teachers could pose a problem for laying the language foundation of learners. Most of these unqualified teachers in lower primary are also expected to develop all the other teaching aids that could engage learners. Their unqualified status poses a serious problem in the education sector.

The Namibian schools teaching Setswana had over the years a standing arrangement of recruiting foreign teachers, especially from RSA. They were employed on a work permit basis. Over the years they recruited 7 teachers of which 6 already returned, with the exception of 1, who indicated that he will be leaving soon. Various initiatives have been put into place to improve the Setswana of teachers and also introduce Setswana at secondary school. A group of Namibia Batswana teachers enrolled at NAMCOL to upgrade their Setswana at grade 12 level. All of them are in the education sector with the exception of one participant who is with the trade unions.

San language is taught not only by San native speakers. In Otjozondjupa region there are 9 teachers teaching Ju/'hoansi at Nyae Nyae village schools. All 9 are Namibians. Five are San, 2 Hai\om and 2 are Kavangos. One of the teachers completed his BETD. Four are

enrolled for BETD and will be completing soon by March 2013. There are 4 unqualified teachers; one who failed grade 10, one who passed grade 10; one who failed standard 5 and one who failed standard 3. The only teacher who is permanently employed is the teacher who failed standard 5. Of the other 8 teachers seven are unqualified teachers and one is a qualified teacher but employed on a temporary basis. When the researcher enquired on why would a failed standard 5 teacher be the one on full time employment, it was explained that the teacher in question has vast knowledge of teaching experience and has been with the curriculum panel for other 10 years now, he was identified as one of the drivers of the development of the Ju/'hoansi language. He has advanced his skills in the writing and reading of Ju/'hoansi despite his low formal qualification.

In Omaheke region San is taught by a Namibian baster with a BETD, he is a full time staff member. Being the only teacher teaching Ju/'hoansi makes it almost impossible to follow through with the learners as earlier mentioned.

Caprivi region has a very low San teacher number. They only recorded 5 teachers, teaching San at preprimary, the rest of the teachers are using English as a medium of instruction. The schools are experiencing high staff turnover, mainly due to living conditions, dilapidated poorly maintained infrastructure and lack of transport, due to the vastness and remoteness of the village schools.

Interest to Study Ju/'hoansi and Setswana languages

All the respondents showed an overwhelming willingness to want to improve teachers' qualifications. They were particularly concerned that there was too much reliance on unqualified teachers. They were also concerned with staff turnover among the unqualified teachers. Such turnover creates learning gap, as it takes a while to fill vacancies. Both qualified and unqualified teachers expressed interest in acquiring tertiary qualification in Setswana and Ju/'hoansi. It emerged during discussions at NIED, Omaheke Regional Education Directorate and various schools that within Namibia, there is no one with a master's degree qualification to teach Setswana and Ju/'hoansi, as this is a requirement for teaching at tertiary institutions.

Respondents alluded to the various dialects and variations of written and spoken Setswana in Southern Africa (i.e. Namibia, South Africa and Botswana schools). The respondents said that the South African Setswana (from the North West Province and Pretoria area) is more attuned to the Setswana in Namibia. This is the reason why Namibian schools seeking experts turn to the North West Province (South Africa) to assist in Setswana school material development. They proposed that if a qualified lecturer is to be recruited, graduates from University of Pretoria or University of the North West with Setswana as a major, would be suitable. A list of potential students was provided, made out of current qualified teachers, who would like to acquire further education in Setswana, unqualified teachers and current grade 12 with an exceptional pass rate in Setswana.

Among the San respondents there was an interest to pursue tertiary educational qualification in Ju/'hoansi. There are initiatives at improving the education of the San people and languages. NAMAS is running a San Education Project. A list of 10 students who completed the BETD through the NAMAS programme was readily produced as prospective students that can pursue Ju/'hoansi at tertiary level. There was also a list of six (6) San (Ju/'hoansi) students funded by the San Development Division within the Office of the Deputy Prime Minister. These were seen as potential future teachers of the San languages in secondary schools. A list of potential Khwedam students who could pursue further studies in teacher education was also produced. There are more people that can engage in Ju/'hoansi. Several people including an American with a PhD were identified as potential lecturers should universities in Namibia choose to teach Ju/'hoansi.

Networking and Collaboration as facilitators for the development of Setswana and Ju/'hoansi

The development of Setswana and San languages are due to local, regional and international collaboration and networking. As alluded to earlier three out of the seven schools teaching Setswana are managed by the Roman Catholic Church. They are Epukiro primary school, Mokaleng RC Combined school and Johannes Dohren RC High school. The church has over the years contributed immensely to the development of Setswana language. The remaining four schools are government schools; Motsomi primary, Mphethuto Primary, Mokganedi High School and Wennie du Plessies Senior Secondary School.

Over the last 15 years an informal collaboration has been established between the schools teaching Setswana and individual history lecturers at the University of the North West (South Africa). This has led to several South Africans taking up teaching post to teach Setswana in Namibian schools. It has also helped Namibian/Batswana teachers upgrade their qualification; hence the NAMCOL Setswana courses that assisted many teachers to enroll for Setswana at grade 12. The collaboration amongst South African and Namibian teachers has assisted in the development of Setswana teaching material as most of the South African teachers served on the Setswana NIED curriculum panel. The recruiting of Setswana teachers from South Africa is not formalized, there is however a need to formalize the relationship for the continuity of Setswana teachers and capacity building. Schools have collaborated with other schools teaching Setswana by sharing question papers and teaching materials. Schools also work closely with NIED and the Omaheke Regional Educational Directorate to this end.

San schools have networked and collaborated with various partners. The Nyae Nyae village schools and learners have received support from various donors. The San Development Division under the Office of the Deputy Prime Minister has provided support to the development of the San people. This division has been instrumental in advocating for school enrollment, retention and completion of the San learners. It successfully lobbied for school fees exemption for San learners. It funds materials for translations and development, training workshop on the development of San languages and dialects, and printing of school materials. The Omaheke San trust based in Gobabis provides scholarships (with funding from Teredes Home in South Africa) to learners. The Omaheke San Trust (mainly funded by African Development Fund) recruits some of the learners or links them up with prospective employers. The trust works with the San Traditional Authority and Omaheke Regional Council.

NAMAS has provided financial support for the training of Ju/'hoansi teachers. To ensure the professional development of San teachers, they have lobbied stakeholders, Government for San education access. NAMAS provides transport to learners and teachers and runs the Traditional Life Skills Project that aims to transfer knowledge about traditional arts and crafts from the older San generation to the younger one. It assisted in the establishment of a community learning and development centre in Tsumkwe. NAMAS funded a San Education Project Coordinator who supports the tertiary training of student teachers. It also funded a subject advisor who is based in Otjiwarongo at the Otjozondjupa Education Directorate. NAMAS also acts as a mentor to BETD registered students, to ensure that they do not drop out of their academic programmes. Once NAMAS funding ends, "the two positions of the coordinator and subject advisor will be put into the structures/organogram of Otjozondjupa Regional Education Directorate". (KI, Otjozondjupa Education Directorate).

WIMSA is responsible for materials used in Early Child Development Centres. Ju/'hoansi is not a priority under WIMSA programmes as they believe that it receives more support from Government under Ministry of Education than other San languages. WIMSA focuses on Khwedam in western Caprivi; !Kung in Tsumkwe west; #Akhoe Hai in Etosha and Farm 6, Mooi plaas. For #Akhoe Hai the materials have been developed but

could not be printed due to lack of funding. Materials for Taa in Omaheke region also have been developed but not yet printed. Naro language is not developed in Namibia, but this material can be obtained from Botswana. WIMSA also enrolls San children at NAMCOL to improve their grades. They also organize holiday schools for the San students under their programmes. The Kalahari People's Fund promotes San Culture and Music. Among organizations that provided support to San language development in the past are the African Languages Project (Afrila) and Namibia Early Literacy and Language Project (Molteno) Project

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BIO SKILLS IN MOTION-VIRTUAL JOB HUNT

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Since 2008, the EU economy has experienced the deepest, longest and most extensive recession in European history since the 1930s. The global economic crisis has challenged many European citizens.

One of the consequences of the ongoing economic crisis is the increase of youth mobility within the European Union, as well as migration from outside the EU. Over the last years mobility within the European Union has increased significantly especially among young people. It is increasingly common for young people to choose to exercise their right to free movement in order to study or access the labour markets of the other EU member states. Moreover, there is a general growth in the numbers of young people choosing to live in a different Member State. Among people who have experienced studying or working abroad, young adults represent a higher proportion. According to Eurostat, 12.8 million EU citizens are living in another Member State than their own, representing 2.5% of the EU27 population (Eurostat-Statistics in focus 31/2012.)⁴³;

Forecasts of future skills needs show a greater demand for medium and high level qualifications up to 2020. According to the forecasting carried out by Cedefop in February 2010, there will be 15,6 millions new jobs in the EU for tertiary graduates and 3,7 million new jobs for secondary level graduates. In contrast, there will be a decline of 12 million jobs for those with no or low qualifications (Skills supply and demand in Europe. Cedefop, 2010). It is also forecasted that within five years 90% of jobs will require ICT skills (COM(2007) 496 - "e-Skills for the 21st Century"). In Europe about 76 million 19-64 year olds have low qualifications or no qualifications at all and too many 18-24 years old people continue to abandon education and training: combating early leaving from education and developing support and guidance services of low skilled and other at risk groups are included in the short term deliverables for 2011-2014: "Easily accessible and high-quality lifelong information, guidance and counselling services, which form a coherent network and which enable European citizens to take sound decisions and to manage their learning and professional careers beyond traditional gender profiles" and "Provide integrated (education, training, employment) guidance services closely related with labour market needs" (A global vision for VET - The Bruges Communiqué 2011-2020 - 7 December 2010).

d) The Resolution (2007/C 290/01) invites the Member States and the Commission to implement action for supporting jobseekers by providing them with vocational guidance and

⁴³ Mobility and diversity: How to ensure social inclusion? Council of the European Union, Brussels, 31 October 2012

personal training plans, which should identify the competence modules required to move to new jobs where there are skills gaps;

As important Council Resolutions (9286/04 EDUC 109 SOC 234; 2009/C 119/02; 15030/08 EDUC 257 SIC 603), the ELGPN underlines high quality guidance services have a key role in supporting individual lifelong learning, career management and achievement of personal goals.

In this scenario, the project consortium evaluated common aims and agreed that it would have significant advantages from a stronger transnational cooperation, in order to assure quality in guidance provision and to improve -through ICT- the access to mobility for placement projects and guidance services, with a special focus on Career Management Skills (CMS), as requested in 2008 Resolution (2008/C 319/02), .

Information and communication technologies (ICT) can be very helpful to tackle the challenge of

-lifelong learning of career guidance experts and employees involved in mobility projects for people in the labour market.

-guidance services and counselling in supporting internship abroad and for the exploitation of the experiences gained.

-ECVET for improving the recognition of non formal and informal learning gained in mobility projects.

If the proliferation of ICT is causing rapid transformations in all areas of life, at the same time, ICT can be used by young people to empower and multiply their opportunities for mobility in the labour market and improve their career management skills.

This project is based on the idea that new ways and styles of interaction offered by ICT (in particular within the open source resources of the Web 2.0) can open new dimensions of participation for people in the process of searching and collecting information, sharing ideas, learning strategic skills and building their career in a dynamic and international labour market. New technologies offers different ways of approaching problems and they represent a key challenge for European LLL, lifelong mobility and guidance systems, because they allow practitioners to improve and enhance the services. Social networks and ICT tools are widely used by young people and teenagers who were born in the ICT time and are defined 'digital natives' (Oblinger D.G., Oblinger J.L., 2007, Educause). Today, ICT can strengthen and expand information and guidance services in a simple and effective way, providing citizens and especially jobseekers with opportunities of contacts with experts and entrepreneurs from other countries, facilitating information exchange and experiences among guidance practitioners in other European contexts, creating virtual spaces for CVs (and for new ways to present them such as visually, for example) online submission and for promoting opportunities abroad.

We can define e-guidance as “an opportunity to give more guidance to more people, more often, at a distance” (Offer, 2004)⁴⁴. The need to promote a new dimension of e-guidance at an European level is a priority of the consortium for relevant reasons:

1. Access to online technologies has continued to grow. While it is still not possible to talk about ubiquitous access, the convergence between web and telephone technologies (smartphones and tablets) means that a very high percentage of the European population can now access online services if they want.
2. High potential of Web 2.0 and 3.0 technologies for career development and career support services, also in terms of active participation of the users in sharing information and advice⁴⁵;

⁴⁴ Offer, M, *Using Information & Communications Technology Effectively in Guidance Services*, HECSU research notes, 2004.

3. The online environment for career exploration is far broader than that provided by public-sector careers services.
4. Wide range of other players including private-sector career consultants, employers, recruitment companies and learning providers who are all contributing to a new potentially rich career exploration environment.
5. E-guidance allows to reduce costs of guidance provision and to improve accessibility⁴⁶.

The project "Virtual Job Hunt" is part of an European project "Bio skills in motion save the world" Earth - Leonardo Da Vinci.

The project "Bio skills in motion save the world"-Earth is planned with the aim of improving the inclusion of our graduates in the labor market.

Many companies in the Bioeconomy have trouble recruiting appropriately skilled people, in particular at middle management level, partly due to a poor image of the sector and the opportunities available among young people. If not addressed, this will seriously hinder the growth of the Bioeconomy. Employers need people with university education and/or appropriate sector specific training but they also value, for example, those who can work across disciplines and want to continue to develop and expand their knowledge.

Thanks to the Leonardo Da Vinci PLM project the Marche Region, the University of Camerino, of Macerata, of Urbino and the Politecnica delle Marche, Confindustria Marche and Umbria Training Centre want to face two main challenges:

- Making entrepreneurship within the Bioeconomy a desirable career option;
- Providing a skilled workforce by making the various sectors of the Bioeconomy attractive career options through tertiary education;

The project foresees the involvement of 117 graduates from the University of Camerino, the University of Macerata, Le Marche Region Polytechnic Institute, the University of Urbino and a group of experts of the labour offices of the partner institutions. The training placement duration will be of 3 months. Every training placement has been recognized and certified by the Marche Region. In order to ensure a better project result, the mobility of 60 graduates has been foreseen from October to December 2012, followed by another mobility of 60 graduates for the period that runs from February to April 2013.

Every group has been assisted by a tutor; a person specialized in the specific sector. The training placement was structured with a view to promoting the professional growth path of the young graduates in order to improve the innovation and the competitiveness of the enterprises of the green economy sector and in particular to promote the innovation of the photovoltaic sector. The project represents the natural and necessary ending process of the scientific knowledge and technical experience of the involved Universities. The project has been conceived with an integrated approach that has taken into account the courses activated within the Universities and the following requirements:

- the different academic preparations of the involved group of people
- the productive sector of our territory

Thanks to its concrete and important approach, the project focused on the professional self-awareness with the view to developing new potential profits and attaining a full social integration within the job market. The project is aimed at improving the sensitivity of the involved group; anticipating and promptly resolving the issues that the enterprises of the sector face daily.

University of Camerino was responsible for the preparatory part in Italy with the

⁴⁵ UKCES, *Careering Through The Web. The potential of Web 2.0 and 3.0 technologies for career development and career support services*, UK Commission for Employment and Skills, June 2010.

⁴⁶ Watts, A.G. & Offer, M. (2006) *The Current and Potential Role of ICT in Delivering Information, Advice and Guidance*. IAGWP6. Derby: Centre for Guidance Studies, University of Derby.

project "Virtual Job Hunt" developing the content entirely in English and their delivery in e-learning.

In particular, the e-learning project involved the following steps:

1) English Basic Course as support for review or to obtain the basic knowledge of the English language in order to communicate in the target country. The main topics have enabled students a refresher of basic grammar, acquiring a first set of words and phrases, and learning some important dialogues for everyday life. The e-learning combined with an interactive and multimedia approach has allowed a strong the custom of the course. The average duration is 10 hours.

2) Course on " Job Hunt" : The course is organized around a virtual character depicting a boy engaged in looking for its first job after graduation . The common thread is the set of problems that the guy is facing and the corresponding solutions, all the events are organized in the form of dialogues between the boy himself and his friends who provide tips and advice to carry on the search path of work. Students find themselves involved in a virtual reality expressed in a language very close to them, with elements of the multimedia animations that make the learning process a vibrant environment. The course "Job Hunt", in English, is therefore made up of video and explanatory texts of some fundamental issues for the job search. The course deals with: basic elements of the job search, the importance of network and social network, job search on the internet, preparing a cover letter, a curriculum vitae, a letter of reference and the job interview . Once studied the course materials, students have made their cover letter and their CV. The have to upload everything on the platform for an evaluation by the American consultant . Average duration of 25 hours.

3) Video conferencing using Skype from the U.S. for online simulation of a job interview with an American consultant, lasting 15 minutes. The consultant's work focusing the interview on the basis of its review of the letter and Curriculum Vitae uploaded by students before the interview.

The online course "Job Hunt" was designed and built by the American Compass Media and Placement office at the University of Camerino.

The project involved an initial preparatory phase in the classroom to introduce the course, the use of e-learning platform and to the presentation of faculty and students involved, in order to establish the initial contact and for creating a the learning community.

The training activities provide a frequent online interaction student-teacher, with explanatory videos and deliveries of processed subsequently analyzed and discussed with the American career guidance expert. subsequently, the technical aspects and the main results of the project are in detail analyzed.

Technical aspects

The Basic English courses (fig.1) and Job Hunt (fig.2) were provided online to students through the open source e-learning platform Moodle (Modular Object-Oriented Dynamic Learning Environment) [1] used by the University of Camerino, visit the web at <http://www.elearning-unicam.it> .

The account with the username and password have been created prior to the meeting in the presence and sent to students by e-mail, with a Power Point presentation about the access and use of the platform. In this presentation described how to follow the activities and how the corresponding timing has to be met. The total amount of the learning process consisting in 35 hours of on-line activities. The technical and educational support was provided to the students by using the forum and the internal messaging and, in some cases, by e-mail.

For the development of course content has been used a simplified html language for

texts, 3D software for animated dialogues accompanied by subtitles and mp3 for audio. The whole package was assembled in Moodle using the SCORM standard (Shareable Content Object Reference Model [2]). The interface, built in flash, is presented to the student with all the resources available, in order to make the course highly interactive and multimedia.

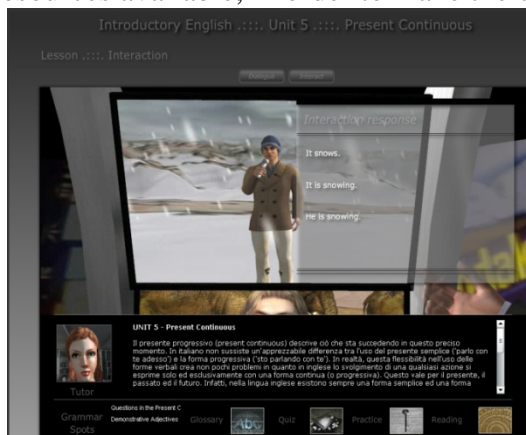


Fig.1. Interface Basic English course

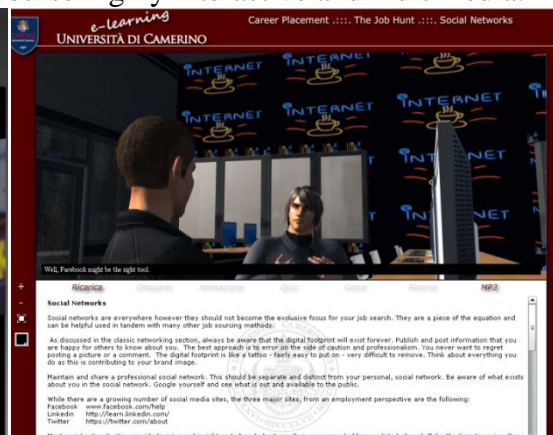


Fig.2. Interface Job Hunt course

The reports prepared by the students were given to trainers through the delivery system of the Moodle platform. Students could find in the platform the logbooks by "FAD" to keep track of the progress of compulsory hours and the records that have been delivered by e-mail at the end of each on-line activities. The trainers have therefore examined the logbooks files to ensure consistency with the logs above.

The meeting between each individual student's progress and the American consultant has happened in Skype video conference; the appointment calendar was sent out to students with the Moodle messaging, showing the time and the Skype contact and finally the day before the interview it was sent by the administrator an additional message to remind the upcoming appointment.

Results

The results and experience gained at the end of the project pilot activates were as follows:

1) Basic training provided to students for the improvement of the active job searching technics in an international context, through the use of the English language. In particular we have provided expertise for the preparation and writing of the English Curriculum Vitae, cover letter and reference letter. They also provided basic data for job search via Internet, for the understanding and use of social networking and its main internet tools, such as LinkedIn and Facebook, and in the end, for the critical aspects of the job interview.

2) Experimentation of a job interview with a consultant (American career guidance expert). The conversation took place in English and through a video conference with Skype. Before the interview the consultant examined the e-portfolio made by the students (cover letter and CV, ect...) to better address the interview and provide feedback on the work done. The test was conducted by the students with great satisfaction and interest. We believe this part of the project is very important and topical, a real experience in the "field." Nowadays in the international arena (but also national) it is increasingly common for job seekers to face interviews at a distance through the medium of video conferencing using Skype as in this project was simulated.

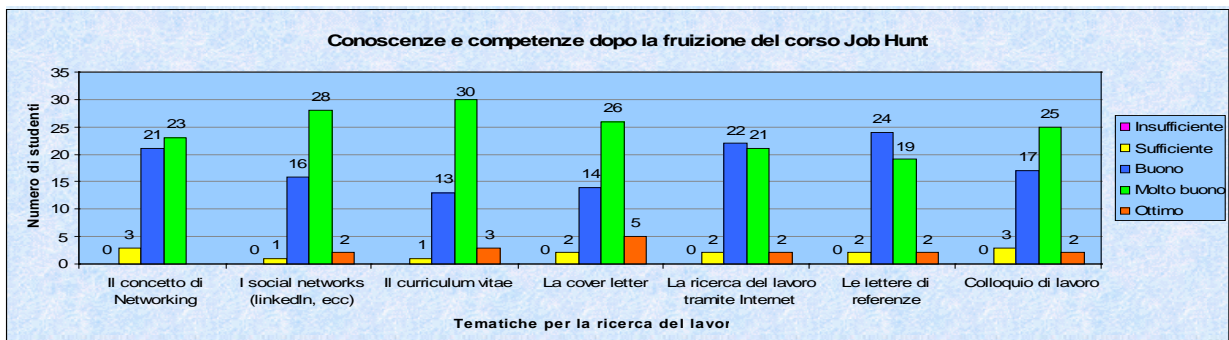
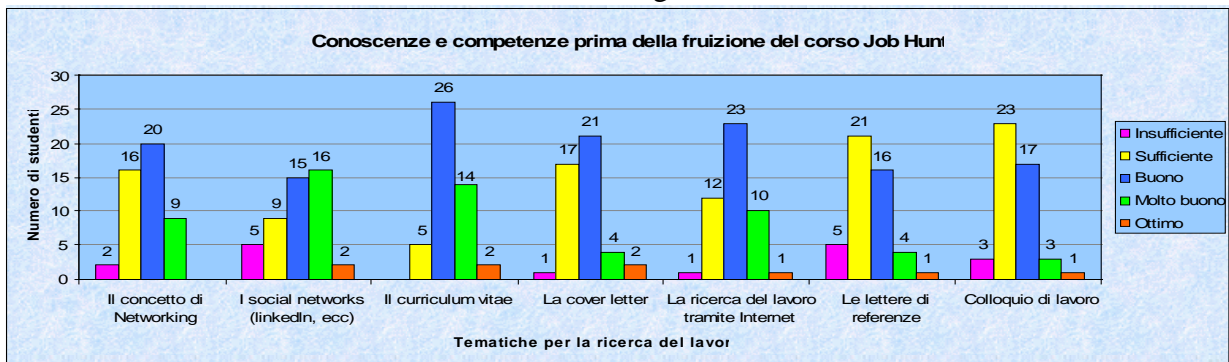
3) Learners satisfaction: it was prepared a questionnaire for assessing the quality of training contents and approach. It was published at the end of the course. The questionnaires are being delivered and the first results show a very good level of satisfaction for educational activities related to the acquisition of skills required for the active job searching in the

international arena. Concerning the interview via Skype with the American adviser, we encounter an optimal satisfaction, while a partial satisfaction for the timing of the courses, learners express the will to be able to anticipate the courses before they concretely start looking for a company. The tables below represents the evidences of the questionnaire's results. The features investigated by the questionnaires affect the range of competences needed by the target group to improve ability in looking for a job. The sample investigated represent 47 candidates for the international mobility and internship.

The question focus on :

- Concept of networking
- Social networks
- Curriculum Vitae
- Cover letter
- Active job searching through internet
- Reference letter
- Interview

The first one was administrated before starting date of the courses, while the second one it was administrated after the end of the training section.



The significant increase in skills and knowledge aimed at finding a job in the international arena demonstrated the success of the training course and methodology. In particular, there was a significant effect of the course "Job Hunt" in improving the skills of the students on the topics of curriculum vitae, cover letter and job interview online. The innovative approach based on multimedia and interactive cooperation and collaboration between trainers and learners continued a unique learning environment that enables the target to increase their motivation in study and test their competences with practical and emotional experiences. The support of career guidance experts and the job interview simulation increase the awareness about personal strong and weakens points.

4) Trainers and administrators' satisfaction: the consultant who carried out the interviews praised the initiative and suggested designers to predict a longer duration of the interview compared to 15 minutes currently required consolidating the experience better.

Further development

The project management intends to repeat the initiative in the coming years and to extend it to:

- other types of students, by making the improvements suggested by the analysis of the results obtained;
- other contents affecting soft skills improvement's
- Other applications concerning the matching between supply and demand in the labor market.

Building soft skills is the aim of the new training modules that want to continue what the learners have already learned in the first course where they had to draft a resume and cover letter. The main aspect focused in the previous course on the importance of writing and sought-after soft skills in today's labor market. The other soft skills that the platform performs in the next future will be problem solving, team building and public speaking.

Modular course and interactive exercises on Soft Skills will be offered on the following topics:

- Problem solving and Collaborative Problem Solving
- Wicked Problem solving,
- Swot Analysis,
- Team Building
- Communication vs Emotion
- Trust and Public speaking.

The course entirely in English is characterized by interactive videos and lyrics.

In order to get the most out of the training modules, learners should read the explanatory text for each lesson, along with the additional resources provided before watching the videos. The videos are not the recap of the lessons, but, rather, concentrate on one or more aspects of the soft skill in question. Once learners have assimilated this information, they should go on and do the task assigned in group or individually.

For the future the objective is to set-up, on the basis of existing resources, a permanent virtual space on WWW in order to define a portal enable not only the training of youngsters but also a concrete opportunities of integration among different operators and experts affecting, guidance counselling and human resource management. In the next future the platform became a space to match the enterprises needs and the expectation of graduates.

In the next year the University of Camerino is developing an on-line platform with:

- Virtual environment to enable videoconferencing and video communication for technological transfer managers and academic career guidance experts (Web seminars)
- Virtual environment to promote information sharing (also based on the EURAXESS experience)
- Virtual environment to promote self-presentation, personal branding and social networking activities and skills (Active Job Search Techniques for high qualified young professionals)
- Virtual environment for building career plans: assessment software and e-portfolio (also base on the experience of Unicam tools).
- Virtual environment for job matching

Starting from the 6 training modules contents, the web portal will implement 5 specific virtual environments, 'translating' those modules in ICT tools to be used by practitioners with the final users.

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THE ROLE OF THE FEDERAL SYSTEM ON THE STRUCTURE AND OPERATION OF POLITICAL PARTIES IN ETHIOPIA

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Abstract

Federalism in Ethiopia has contributed for the democratization process by giving due consideration to the hitherto marginalized groups and by addressing the country's age-old problem of national question. The adoption of the federal system of government was meant to provide a proper balance between the centre and regions. In principle, the multiparty system strengthens the functioning of federal structures in a democratic society. The division of power at different levels of government can be made more equitable and fair in a country with competitive party system. However, in Ethiopia, contrary to this well-established principle, there is a strong centralised party with overarching control of government at all levels of government. Besides, there is a lack of clear line between party and state. These, together with lack of strong opposition parties, are against the existence of a genuine federal system.

It is encouraging that all the parties recognised the need to maintain the federal system. Most of these parties, however, expressed views against some of the major pillars of the system, such as the ethnic component of the federal system and right of ethnic groups to self-determination up to secession.

Keywords: Federalism, Party politics, multiparty politics, democracy

Theoretical Overview

The link between federalism and political parties

Watts (1998: 127) maintains that "understanding the establishment, operation, and evolution of federal systems requires an examination of more than the formal constitutional and governmental structures. The functioning of the formal and institutional framework is dependent on the underlying political, social and economic structures and the roles played by actors such as political parties. The structure of party systems and the role played by political parties are important determinants of the functioning of federal systems (Riker, 1964: 129; Watts, 2008).

Riker (1964:129) asserts that "The federal relationship is centralised according to the degree to which the parties organised to operate the central government control the parties organised to operate the constituent governments. For Riker, constitutional guarantees for separation of power are ineffectual when leaders of a single party control both the center and the regional parties (Riker, 1964:130). For instance, in the USA, the political parties have a highly decentralized organization; in Canada, the federal government is controlled by polity-wide parties, while the regional governments are controlled by provincial parties without any national base, and elections to the two levels are held on two different dates. Therefore in both countries, these conditions make both federations relatively decentralized (Watts, 2008). Watts (1999: 75) stresses that political parties and the political party structure affect the degree of decentralization within federations. Watts (1999: 91) recognizes four aspects in this

regard: “(1) the organizational relationship between the party organizations at the federal level and provincial or state party organizations, (2) the degree of symmetry or asymmetry between federal and provincial or state party alignments, (3) the impact of party discipline upon the representation of interests within each level, and (4) the prevailing pattern of political careers”. Therefore, measuring the degree of federalism requires measuring the degree of party centralization.

The viability of ethnic party system

There is a significant debate among scholars about the merits of ethnic based political parties. Many scholars have a negative view about mono-ethnic parties (see, for instance, Binda and et al, 2005:15). Critics stressed the strong emotional quality and zero-sum competitive logic associated with ethnic base parties (Hislope, 2005; Hicken, 2008: 74). The typical feature of such parties is an electoral strategy to “...mobilize its ethnic base with exclusive, often polarizing appeals to ethnic group opportunity and threat...electoral mobilization is not intended to attract additional sectors of society to support it... overall contribution to society divisive and even disintegrative.” (Gunther and Diamond, 2001), quoted by Bogaards (2008: 49). By appealing to electorates in ethnic terms, by making ethnic demands on government, ethnic parties may help to deepen and extend ethnic divisions (Horowitz, 1985: 291; Miller, 2006; Binda and et al, 2005:15).

On the other hand, however, others scholars dispute this negative assessment of ethnic parties, and maintain that such parties provide opportunities for interest articulation to groups that might otherwise be excluded from the political system (Randall, 2008: 256). And exclusion often led to ethnic rebellion against the state (Birbir, 2008: 165). Proponents argue that democracy works best when societal cleavages are recognized as basic to political life (Lijphart, 1984). The famous argument of consociationalism is that ethnic parties help diminish conflicts by channelling demands through legal channels, particularly if all significant groups can be represented proportionately in state institutions (Ibid).

Furthermore, in Africa, despite official ban from political life ethnic nationalism has proved a potent political force (Mohammed Salih and Markakis, 1998: 7; Ishiyama and Quinn, 2006). Indeed, one feature of African party system is the change towards the formation of regional, quasi-ethnic and religious parties (Mohamed Salih and Nordlund, 2007:144).

It is safe to argue therefore that rather than banning ethnic parties, multiethnic states should focus on using different approaches to promote inter-ethnic cooperation and coalition building. Indeed, even Binda and et al (2005: 17) reminds us that it is important, particularly in the transition from dictatorial rule, that all groups in society be allowed to mobilize freely. In reality, democratization opens a window of opportunity for the mobilization of old and new grievances, including ethnic ones (Alonso and Ruiz-Rufino, 2007). Some also suggest that ethnic party systems might even improve democratic quality (Birbir, 2007). Mohammed Salih argue that, “One of the main consequences of the denial of ethnicity is that African ethnic groups are thus deprived of the opportunity to secure recognized collective rights that would enable local governance institutions to take a more active role in democratizing state and development” (2001: 29). He further argues, “...without assigning ethnic groups a greater role in Africa’s economic and political transformation, the new initiative on development and democracy are doomed to failure.” (2001:31).

Bogaards (2008: 60) also asserted that even in a country with a history of conflictual ethnic party politics, a ban on ethnic parties is not the best remedy: 1), many countries with such bans ultimately stop enforcing them; 2) secondly, party bans may be effective only in the short term; 3) thirdly, ban of ethnic parties is a negative one and will not by itself result in the desired national integration; 4) fourthly, evidence shows that ethnic party bans have been used selectively against national minorities and opposition forces; and 5) bans on particularistic

parties limit freedom of expression and deny ethnicity a legitimate place in politics. Randall (Randall, 2008: 25) rightly argues that it might rather be more productive to develop some form of federalism. Federalism provides a framework within which ethnic parties coexist with national parties (Ghai, 2001), as is the case in India (Karthori, 1996).

Federalism and the views of political parties in Ethiopia

The EPRDF and the federal system

Riker (1967), cited by McKay (2001) asserted that the key requirement for a balanced federal system is the maintenance of a decentralized party system. Riker measures party centralization according to: (1) whether the party that controls the central government also controls the regional governments, and (2) the strength of party discipline (Ibid). In fact, let alone in territorially based politics, in all societies considerable attention has been focused on where power lies within parties because of the crucial role of parties (Heywood, 2002: 257). Thus, the organization and structure of parties provided vital clues about the distribution of power within society as a whole (Ibid). For Schiavon 83 (2006), meaningful federalism requires not only the existence of federal institutions but also conditions, such as party fragmentation, that enable local institutions to exercise actual power and resist their national counterparts (Schiavon, 2006).

As indicated before, the main objective of the federal system in Ethiopia is to deal with the two interrelated issues: one, to resolve the question of nationalities, and second, to democratize the Ethiopian state and society. The hitherto unitarist and assimilationist policies were considered as the roots of Ethiopia's political crisis. When it comes to implementation of the policy of federalism, however, controversies surfaced. Critics and opposition parties pointed out host of shortfalls. Below, the major obstacles mentioned as "roadblocks" against the realization a genuine federal system will be highlighted. 1) The first problem is centralization of the party system: Based on the discussions I have on theoretical part, it can be argued that regional governments in Ethiopia have less ability to act as "veto players" (Stepan 2004) and constrain central government, as both levels of government are run by the same party. As Elazar (1987: 178) points out, "the existence of a noncentralized party system is perhaps the most important single element in the maintenance of federal noncentralization". In contrast, in Ethiopia EPRDF leaders at the center can use organizational and ideological means to discipline party members at the regional level. Thus, the ability of regional governments to offer effective opposition to the central authorities is low. In fact, so far no regional state has ever challenged the decision of the central government for whatever reasons.

2) Another most frequently cited criticism is the principle of 'Democratic Centralism', the principle to which EPRDF adheres. In theory the principle has both democratic and centralist aspects. The centralist aspect is seen through the subordination of all lower bodies to the decisions taken by higher ones. The democratic aspect of the principle is asserted in the fact that the highest body of the party is its congress to which delegates were elected by lower levels of member parties. Also, individual members have freedom to discuss and debate matters of policy and direction. But once the decision of the party is made by majority vote, all members are expected to uphold that decision. Its purpose is to eliminate factionalism and ensure party discipline. It is a belief in a 'correct' line that, once agreed up on, cannot be contested. This practice is supported by the practice of Gim gima (evaluation), which serves as an institutionalized mechanism to discipline party members (Lovis 2002: 87).

The Ethiopian situation, therefore, qualifies both of Rikers's variables of measurement of federal centralization: the party controls both the center and regions, and there is a rigid party discipline. Based on this, it is safe to argue that there is a mismatch between the democratic pluralist elements of the Constitution and the Leninist political principle of democratic centralism under one party dominant system. The organizational set-up of the

EPRDF does not allow internal pluralism or factionalism to ensure the representation of societal interests as diverse as the social make-up of the country. Factionalism would have guaranteed the competitiveness of the system and compensates for a lack of strong opposition parties. As Spieb (2002: 26) indicated, factionalism and internal pluralism helped the Indian National Congress to “enhance its capacity to channel and co-ordinate conflicts, and guarantee a high degree of elite turnover and informal internal democracy.”

3) Another, perhaps more serious, problem is absence of clear line between state and the party, which is almost inherent in one party dominant systems (Spieb, 2002: 25; Elischer, 2008: 9). Most opposition parties consider this as the most serious challenge for both democratization, consolidation of the federal system, and long-term federal stability. In addition to the problems it creates on the democratization process and devolution of power, this condition imply that party crisis or a change of the government may lead to state collapse (Young and Medhane, 2003: 391).

In summary, therefore, party system centralization, democratic centralism, the blurring of the line between party and state and for whatsoever reasons absence of strong opposition party are obstacles to the institutionalization of the federal system in Ethiopia. In view of this, it is expected that the central government will have much more power than provided by the Constitution, which would make the center more dominant and undemocratic. Hence, the view that federalism is a disguise to conceal the fact that government throughout the country is still in the hands of the central leaders. The strikingly uniformity in policy throughout Ethiopia may attest this claim. A fully fledged democratic federal system would have guaranteed states independence in some policy areas (Stephan, 2003:11).

The opposition and their views about the federal system

It is interesting to note that almost all opposition parties in Ethiopia have included the issues of federalism and ethnic accommodation in their political proramgme. Clearly, this is the impact of the federal system on the progammme of political parties. Those formerly seen as being centrist gradually began to advocate federalism and ethnic accommodation as the most fundamental political questions. Even Diaspora based parties such as EPRP espoused rights of nationalities to self-determination and federalism (EPRP, 2006). Ethnic political parties in Ethiopia have quite similar programmes with that of the EPRDF regarding federalism and self-determination, save that most ethnic based parties reject secession. The ‘Forum’, (the single largest opposition coalition) for example, advocates an ethnic based federalism. It also argues that sovereignty of the Ethiopian state lies on the nationalities of the country. Besides, the ‘Forum’, like the EPRDF, believes that both individual and group rights can and should be protected simultaneously. This similarity is applies to other ethnic-based parties.

On the other hand, the constitutions of multinational parties, although enshrines federalism, the equality of all languages, the equality of all nationalities in the political, economic, and social spheres without discrimination, they, rejected ethnic-basis of the federal system. For instance, UDJ and EDP favours primarily other factors, although language could be taken as one factor, such as historical and cultural ties, geographical size, historical reality, economic rationality, and administrative feasibility or efficiency. These parties give primary emphasis to individual rights. They argue that the question of nationalities can be addressed only with promotion of individual rights, good governance and fair distribution of the national resources.

Whereas the EPRDF argues that the single major question for the crisis of the Ethiopian state was the national question, multinational parties attest that the question of nationalities is only one among the fundamental questions and hence the federal system should be designed to deal with all these problems, not merely the question of nationalities. They lament that the current arrangement has lead not only the creation of artificial regional

states with wide discrepancies in population, geographic size, and development, but also undermined the rights of individuals. In this connection, they accused the ruling party of promoting the diversity existed within the Ethiopian Peoples and ignored all other variables vital for federal stability. They also condemned the ruling party of consciously encouraging ethnicity based organizations, including in the sphere of civil societies.

Another bone of contention is issue of secession as stipulated in Article 39 of the Constitution. Almost all opposition parties do not accept secession. They believe not only that the problems of Ethiopian people do not emanate from living together, but also it is difficult to implement it peacefully. In general, both multinational and ethnic based opposition parties have two common views. First, having considered the current system as an imposition, they want the public to decide on the issue through referendum. Second, they challenge that the policy of federalism is not genuinely implemented as enshrined in the Constitution.

Structure and functioning of political parties

Opposition parties

As explained before, a federal system presents political parties with opportunities. As per the theory, by creating multiple important sites for political organization and competition (Brinzik, 1999), each with constitutionally guaranteed autonomy in at least some policy areas (Riker, 1964), federalism gives parties the opportunity to compete and capture offices in both levels of government.

In Ethiopia, some opposition parties argue that since the political space is much narrower in the regions, they face difficulties in their attempt to hold power at the regional level. Besides, multinational parties claim that federalism is being abused to exclude the opposition, especially those multinational ones, in the sense that there is direct and indirect propaganda against these parties as if they are threats to the federal system and the rights of the nationalities to self-determination. Indeed, during the 2005 elections, some peripheral regional states openly indicated that if the CUD was going to win the election at the federal level, they will secede from the Ethiopian state by invoking Article 39 of the federal constitution. In practice so far ruling party controls all levels of government in the Ethiopia.

Some effects of federalization process on political parties are also observed in the areas of candidate selection and party organization in the case of multinational parties and ethnic based coalitions. In my view, this negligible level of decentralized decision-making process that exists in some of the parties is mainly due to an attempt to internalize federalist considerations into the decision-making than commitment to democracy. The ethnic based federal structure appears to have forced them to depend on local party members for elections at local levels for both attracting voters and because of the language requirement of the electoral law. But this is still under the discretion of party leaders at the national level. Personalism is the typical feature of the leadership style of political parties. Under such circumstances, legislators cannot become more accountable to regional and local interests. Generally, there is no sufficient recognition by parties to deal with multi-level activities. Besides, since there is no separation of national elections from regional elections in Ethiopia, the system failed to foster greater autonomy of regional party organs.

The principal effect of the multinational federation in Ethiopia is on the mobilization of parties. The federal system has created institutional space that has encouraged the formation of ethnic parties, which compete mostly in local and regional elections. Currently, almost 90% of the parties are ethnic-based/ regional parties (NEB, 2011). As we know, many countries ban ethnic parties, and in some countries party regulations even go further to the extent of stipulating incentives for aggregation (Binda and et al, 2005:17; Bogaards, 2008: 54). For instance, distribution requirements can be used during registration, compelling parties to have an organizational presence across the country. In Ethiopia there are no such limitations.

Critics argue that the law favours ethnic party system to the detriment of multiethnic party development. In my view, that is not explicit in the law. The intention even seems to ensure wider representation. A party, although not requested to demonstrate “national presence” by running branches across the country, is required, for registration, to collect a minimum number of signatures from a given numbers of regions. But, the fact that they federal system is based on ethnicity, and that self-determination is given to all nationalities means there is an implicit encouragement for the proliferation of such particularistic parties.

The EPRDF and its internal cohesion

Organizationally, the ruling EPRDF is a “front founded by the union of revolutionary democratic organizations” on the basis of “equality”. Member organizations have no separate ideological life. All EPRDF’s four member organizations are obliged to implement national ‘revolutionary democratic programmes’ in their respective states taking in to account their local conditions and realities. The congress, which comprises equal number of representatives of member organizations, is the highest body of the front. The council, comprising equal number of central committee representatives of member organizations, adopts policies and other relevant issues; and plans activities of the front. The executive committee, which includes nine members from each member organizations, implements the decisions and guidelines of the council. The chairman chairs both the council and the executive committee of the front. As discussed before, the major organizing principle of the Front is ‘Democratic Centralism’.

The EPRDF appears to qualify what Gunther and Diamond considered as a congress party. For Erdman (2007: 23), in most of African countries the ethnic congress party is the most common, as there are many small ethnic groups that cannot constitute a meaningful representation in parliament unless they form a coalition. In Ethiopia too no single ethnic group can form a single majority government unless coalitions with other ethnic groups are formed. However, the ruling party is not institutionalized well and the influence of the founder leaders and party discipline makes the party more of personalistic. This client-patron relationship was evident, for example, during the TPLF split in 2003; those who opposed the group led by the Prime Minister including the regional presidents were thrown out of government (Young and Medhane, 2003).

Given the ethnic diversities in Africa and Africa’s lack of an industrial revolution, the integrative party is the closest to the model of the ‘catchall’ party found in the western world (Ibid). The EPRDF looks more as multiethnic alliance (or to use Horowitz’s (1985) word, coalition of convenience, not coalition of commitment), than a multiethnic integrative bearing in mind the evolution of its member parties. Distinguishing the alliance type from the integrative type when that the party under scrutiny is the ruling party might be difficult, given its capacity to use state resources to buy political support in order to stay in power. Given its ability to do this at any time, therefore, the EPRDF might appear to be internally stable. A better indicator here might be the composition of the cabinet rather than party leadership (Elischer, 2008: 10). There is a tradition of allocation of federal offices among the member parties of the EPRDF. The problem, however, is that some of the members parties are not seen as representatives of their respective ethnic communities, but as puppet. Besides, there is no specific quota for each party; it is the discretion of the Prime Minister.

Conclusion

It is clear that not only ideological orientation but also political necessity that required the establishment of a democratic federal system as a framework for resolving the national question and democratizing state and society. The political history of the country and the condition in the immediate aftermath of the demise of the military regime necessitated

addressing the ethnic diversity, by recognizing ethnicity as a major principle in the restructuring of Ethiopian state. Full recognition of ethnicity's role in the politics and emphasis on rights of self-determination are commendable, owing to the country's unique problems and also due to the fact that the "blocking" ethnicity was sustained at a significant cost (Andreas, 2003). Indeed, unrelenting focus on individualism of the liberal tradition is often criticized in Africa, where group and community rights are deeply embedded in the cultures of the peoples (Mutua, 2008). In Ethiopia, the multiethnic federation creates opportunities for regional voices to be heard and enables ethno-regional issues to have greater political relevance.

Allowing ethnicity a place in politics could be seen as positive step towards empowering the ethnic groups and this might be seen as better step to secure collective rights and enable ethnicity to take a more active role in democratizing state and society. In a country like ours where the introduction of a new multi-party system is after years of one-party rule or dictatorship, ethnic parties may be tolerable. Besides, in the Ethiopian case, ethnic minority groups have mobilized and engaged in conflict prior to democratization. Thus, rather than banning ethnic parties, using strategies such as power sharing and promotion of cross-cultural integration is important to offset the potential demerits of ethnic party systems. What are currently missing are regulations that encourage ethnic parties for coalition building. This led critics to suspect that the EPRDF, as an ethnic-based party coalition, has been encouraging, at least indirectly, the fragmentation of the country's party system. Indeed the government so far fails to the use of different approaches and strategies for the promotion of cross-party integration such as the use of electoral formation rules that require parties to demonstrate a broad organizational base. This can encourage cross-party cooperation by making politicians from different parties reciprocally dependent on transfer votes from their rivals. We can also think of other incentives such as priority or larger share in government funding and others benefits.

It is good that all major political parties in Ethiopia have a consensus on the need that Ethiopia should remain a federal state. This consensus should be expanded to other provisions of the constitution. The prevailing mutual mistrust and lack of tolerance between the ruling party and the opposition continues to raise questions on the prospects of long term stability of the federal system. Political parties on both sides of the spectrum need to show deep commitment in theory and act to the realization of a full-fledged democratic federal polity. True, the success of federalist project depends on the success of development of federal political culture. Elazar stresses (1987: 78) that, "True federal systems manifest their federalism in culture as well as constitutional and structural ways" and "the viability of federal systems is directly related to the degree to which federalism has been internalized culturally within a particular civil society." Moreover, as Watts stresses, federalism requires a democratic culture with "recognition of the supremacy of the constitution over all orders of government." (1999:99). Here, it is also necessary that only those parties which have faith in democracy and the constitution should be allowed to function. A party that expresses its intention to use violent and insurrectionary methods should be avoided.

However, there are serious problems associated with the party system. Not only they are weakly institutionalized and lack democratic internal functioning, but they are highly polarized. Therefore, the absence of consensually unified national elite is the major road-block to democratic deepening and federal stability in Ethiopia. This apparently impedes the achievement of development of culture of dialogue, tolerance, and accommodation.

As argued before, centralized party structure and lack of democracy are major challenges to the institutionalization of the federal system in Ethiopia. As argued before, the success of a federal system necessitates the existence of democratic institutions to deliver the promises and expectations of federalism such as autonomy and popular participation. In fact,

Ethiopia has not yet completed transition, let alone democratic consolidation. Speeding up the democratization process is indispensable and the best guarantee for federal stability.

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A QUALITATIVE EXPLORATORY ANALYSIS OF THE IMPACT OF PERCEIVED EROSION OF THE POLITICS-ADMINISTRATION DICHOTOMY ON GOOD GOVERNANCE AND SERVICE DELIVERY IN A DEMOCRATIC DEVELOPMENTAL STATE: SOUTH AFRICAN PERSPECTIVE

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Abstract

This article provided a qualitative exploratory analysis on the impact of perceived erosion of the politics-administration dichotomy on good governance and service delivery in a democratic developmental state within the context of South Africa. It began by providing an introductory background as well as a theoretical perspective on the phenomenon of 'politics-administration dichotomy' and highlighted on the significant role that this phenomenon plays in promoting democratic public bureaucracy and good governance. The manuscript identified four themes which are said to be fundamental to functional and well-performing politics-administration dichotomy relations, namely: (a) strong and visionary political leadership; (b) vibrant apolitical public bureaucracy; (c) well-coordinated and integrated political and administrative structures and systems; and (d) well-mobilised citizenry for active participation, and used them as a basis for this exploratory analysis. Qualitative data collection methods (such as participant observation; in-depth interviewing; qualitative document study; and qualitative case study) and data analysis and interpretation techniques such as qualitative content analysis and qualitative case analysis) were used in this study. Based on the research objectives pertinent to this study, several findings were arrive at, and on their basis, a *(a) Strong visionary political and administrative leadership; (b) vibrant apolitical strong public bureaucracy; (c) well-coordinated and integrated political and administrative structures and systems; and (d) well-mobilised active participatory citizenry politics-administrative model*, was proposed and recommended with the belief that if, and only if it can be properly adopted and implemented, could lead to the improvement to the functionality and performance of politics-administration dichotomy relations in Mzansi.

Keywords: Public Bureaucracy/Service, Political Supremacy, Executive/Administrative Authority, Good Governance, Effective and Efficient Service Delivery, Public Financial Resources, Corruption and Fraud

Introduction and Background

The Constitution of the Republic of South Africa Act, Act 108 of 1996, as amended, gives clear provision on the roles; functions, and responsibilities of both the politicians and the public officials (public bureaucracy) in governing and administering the country effectively and efficiently. However, It appears that at all three spheres of government in South Africa (national, provincial, and local), there is this crisis caused by lack of clarity around the "politico-administration dichotomy" concept that is intended to highlight on and define the power relations between politics and public bureaucracy/public administration in

advancing the course of improving the quality of lives of ordinary South African citizens. Equally formidable is the consistently growing array of concepts, methods, technologies, and information available to those seeking to improve the quality of politics and administration decisions at government and service delivery levels. It is logical in modern times and today's organisations, to realise that politicians and administrators alike, should rely upon the production of 'rational decisions' concerning problems and issues within the boundaries of their respective fields

It is true that in a normal democratic and developmental state, *specialisation* becomes programmatic, thus arising from the ways in which formal governments are structured and designed to accomplish their purposes. The major challenge facing politicians and administrators is that both intraorganisationally and interorganisationally, they confront a seemingly ever-expanding matrix of differentiated activities, situations, and objectives. Effectively, within this matrix, there are those who specialise in politics and are expected to give the policy direction for government (politicians) and those who specialise in the execution of government/legislative policy directives and administration of programmes (public bureaucracy/administrators). This in itself represents points at which the skills of field specialists must be brought together, coordinated and integrated, and aligned with government within governmental goals and environments. This is actually where much of the literature on decision-making and problem-solving focuses

In a truly democratic developmental states, where the maxim "*politics-administration dichotomy*" is observed and respected and fully complied with, there are usually the overwhelming majority of administrators operating on the programmatic and bureaucratic levels of responsibility who usually start their careers as field specialists. Once in their current bureaucratic and/or administrative positions, they are expected to apply a perspective that goes far beyond that required of the field specialist. In other words, they must be capable of making programmatically or institutionally rational decisions. In terms of the generally accepted definitions of the administrator's role, they should be, according to Nigro (1984:2):(a) competent in a substantive field; (b) be able to effectively and efficiently supervise the work of others; (c) understand and be able to coordinate and integrate the activities of all units of the organisation and/or programme; (d) be aware of, and in a strategic (2) sense be responsive to, and relevant connections between the programme, the government institution, and its environment; and (e) be capable of formulating, implementing, monitoring, and evaluating social, political, economic, administrative, and government policies and programmes based on their competencies in their substantive administrative field. These and other similar complex issues and challenges behind politics-administration dichotomy are factors that motivated and inspired this author to undertake this exploratory analysis

Theoretical perspective

Although the theme of politics-administration dichotomy is central to effective and efficient governance and service delivery, very little or no research interest has been shown (by both academics and practitioners alike) in dealing with this important phenomenon. To be able to venture in this topic confidently, one must start with the proper understanding of the goals and objectives of various types of governments that we have. Also of importance in this regard, is the issue relating to the nature of the public services that governments render in order to fulfill their functions as well as to understand how, and from what sources of income should public services be financed. Gildenhuys and Knipe (2000:28-47) gives a clear exposition on different types of state systems as well as their goals and objectives:

- *Laissez-faire system*: Represents a free social and economic association, the maintenance of law and order, the protection of life and

property, and the freeeconomic market. The concept in a nutshell is characterised by themes such as ‘leave us alone’, ‘let us pass or go’, ‘unhampered market society’, and ‘basic conditions for free competition’;

- *Social welfare system (socialism)*: This system incorporates terms such as ‘democracy’ and ‘freedom’, even though in purely descriptive terms, can mean different thing to different people. To proponents of socialism, this system manifests itself in and connate equality, social justice, and end to exploitation of whatever form. To the antagonists (i.e. capitalists) the system resembles government confiscation of property, regimentation of the life of the individual, red tape, inefficiency, and coddling the lazy and the incompetent. Within the context of this manuscript, socialism is viewed as a system where the ownership of all factors of production, such as land, raw materials, labour and capital are vested in government –w here production, distribution and trade belong to the community at large and are administered by the government on behalf of the community;

- *Social welfare state system*: The unhappiness over and disillusionment with the harsh methods inherent in the totalitarian socialist (pure communism) systems, such as the then Soviet Union (Russia) and communist China, which were characterised by untold oppression and desperate loss of lives and total fear among people of the world, culminated in the rejection of totalitarian socialism (communism) particularly in the western world. Subsequently, it became increasingly realised and accepted that ‘political evolution was more preferable to violent (3) political revolution’, based on the belief that socio-economic and political changes should rather come about gradually with the minimum disruption to community life and political stability. In essence, the total absence of individual freedom and the excessive concentration of power in an omnipotent totalitarian regime resulted in fear of this type of the government system (Gildenhuis and Knipe, 2000:33). The consequences of this state of affairs presented two scenarios: On the one hand, the theorists in favour of the social welfare state rejected totalitarian socialism (communism) and, on the other they also rejected *laissez faire* capitalism. This led to the welfare state that the protagonists thereof have generally accepted that both extremes are dangerous for the individual and that a balance should be found between the two;

- *Economic welfare state*: In this system the emphasis and focus are on the economic welfare of an individual which should enable the said individual to take care of his/her socio-economic well-being. Fundamentally, this approach is based on the assumption that personal socio-economic welfare and independence from the state for one’s personal growth will create a sense of pride and personal achievement and thus enhancing and consolidating a person’s dignity. Evidently, the foundation of an economic welfare state is the democratic *free-enterprise politico-economic* system, which entails the principles of classic democracy as its supporting value. This system is characterised by: (a) private ownership of the factors of production, (b) freedom of utilisation of the factors of production, (c) regulation by a free-market mechanism, (d) supply and demand in the production processes, and (e) independent courts of law to settle disputes (see Von Hayek, 1972: 41);

- *Modern State*: The challenges and difficulties entrenched and embedded in the struggle between socialism and *laissez-faire* capitalism in the political and economic fields continue to remain a contentious issue even up to the present era. To rationalise and to normalise this controversy, governments in general preferred to support the democratic free-enterprise system, in which privatisation and deregulation remain the policies of the day. More importantly, the current levels of industrialisation, urbanisation, technological advancement, the changing attitudes of the people through intellectual development, and population explosions, demanded large scale changes in the administration and management of a country's socio-economic systems (Gildenhuis and Knipe, 2000:45). These and many similar challenges and opportunities gave rise to the need for the concept of 'modern state' which covers a broad spectrum of issues, including but not limited to: creation of a good quality of life to all citizens of the country, to provide for and address bread-and-butter issues for members of the communities, provide ample and equal opportunities to all, provide (4) sufficient indispensable public services, make provision for good-quality environment, and ensuring that citizens feel safe and secured.

The significance of Politics-Administration Dichotomy in promoting democratic public bureaucracy and good governance

Within the context of this article, the concept of 'politics-administration dichotomy' represents the development of greater cooperation between politicians and administrators in the process of governing the country and consolidating service delivery to the citizens in a sustainable manner. The *rationale* for this lies in the belief that when politicians and administrators work together in a healthy environment of mutual trust and respect, which is free from any kind of intimidation, this could lead to making better informed policy decisions, managing ambiguous loyalties, reconciling different interests, and negotiating competing goals on behalf of the country's citizenry. In forging this cooperative relationship however, Orr and Bennett (2012: 487) advised that robust recognition should be made of the fact that politicians and administrators do have distinct set of interests, expectations, and priorities. This suggests that adequate insight should be provided into the dynamics of politics and administration together with complexities and dilemmas involved in the politics-administration relations. It is also critically important to realise that these complexities and dilemmas are inseparable from the politics of good governance and service delivery.

From the above introductory and theoretical background, the purpose of this article becomes to attempt to situate the current politics-administration dichotomy within a South African perspective and to contribute to knowledge about the political and administrative dynamics in the country. To achieve this purpose, the manuscript locates the interest in politics-administration in the context of on-going developments in governance and service delivery, the role and responsibilities of politicians and administrators, and the basis of politics-administration relations. By definition, the relationship between politics and administration has been one that is near and dear to the hearts of many South Africans. This position is well-captured by Ngidi and Dorasamy(2014:1) in their submission that good governance, the rule of law, and systems of accountability are essential elements in guaranteeing that resources are equitably shared. These resources are to be used efficiently, effectively, and economically. Prior 1994, quality service was only reserved for whites. Given this

legacy, the transformation of the South African government had to be initiated and the endeavours by the African National Congress (ANC) to deal with the ills of the past gave birth to the White Paper on the Transformation of Public Service Delivery (1997). Practically, it is acceptable that both the politicians and the administrators influence both the direction and content of politics and public administration (bureaucracy) in order to bridge the gap between the two.

Clarifying the “politics-administration dichotomy” concept

The difficult search for an appropriate term to describe the interaction and/or relationship between politics and administration itself suggests the political nature of joint responsibility and accountability, and thus requires further research. The article tends to describe this as (5) involving ‘cooperation’, that broadly means the accomplishment of good governance and service delivery by politicians and administrators working together at each stage of the process, including, but not limited to, conceptualisation, design, fieldwork, analysis, and presentation of the work. This ‘cooperation’ sought to bring about politicians and administrators together. More significantly, the idea of politics and administration cooperation is increasingly found in public services to denote the idea that service users’ choices and behaviours are integral to the development and delivery of the services (Bovaird 2007; Boyle, Clark, and Burns 2006; and Taylor 1971). Also the concept has been used to denote a new way of thinking about welfare provision at a time when resources are declining and expectations are rising (Boyle and Harris 2009). ‘Cooperation’ in most instances has been used by state agencies trying to “join up” government through collaborative programmes and provision. Orr and Bennett (2012:496) put it clear that ‘cooperation’ is both a critique of existing practices and a response to their shortcomings. It remains useful for both politicians and administrators to engage in what is called ‘joint research’ or ‘research partnerships’ or ‘research collaboration’ which implies ‘to work together with another or others on something’. This however, does not mean and/or include ‘to cooperate or collude’ with an enemy or to collude in committing corruption (Easterby-Smith and Malina 1999; Rogers 1995; Rynes, Bartunek, and Daft 2001).

Finally, this cooperation between the politicians and administrators does not effectively mean that the ‘independence’ of both the politicians and the bureaucrats (public administrators) should be compromised. What politics-administration dichotomy advocates against is the unwavering political dominance and interference of politicians over administration, especially when such is manifested in the form of political intimidation and threats (i.e. political micro-managing on public bureaucracy). This is indeed an untenable state of affairs where one finds ‘poor’ administrators and public servants being in a state of constant fear of being harassed, victimised, vilified and even side-lined by their political ‘masters’ who tend to be senselessly and totally power-hungry (power-mongers). This manuscript has identified four themes which are said to be fundamental for a functioning and well-performing politics-administration dichotomy relations, namely, (a) strong and visionary political leadership; (b) vibrant apolitical bureaucracy; (c) well-coordinated and integrated political structures and systems; and (d) well-mobilised citizenry for active participation, and used them as a basis for this analysis.

Statement of the problem

Based on the above introductory background and theoretical perspective, it becomes very clear that the relationship between the politicians and public

bureaucracy is characterised by many insurmountable challenges and problems that impact negatively on good governance and effective and efficient service delivery in Mzansi. The state of politics-administration dichotomy relations is so much entangled and fraught with ambiguity and uncertainty, thus causing unnecessary mistrust and instability within the political and public bureaucratic domain. The key research problem underlying this study is thus presented as follows:

(6) Even though the Constitution of the Republic of South Africa Act, Act 108 of 1996 provides for a healthy, cooperative, and functioning relationship between the politicians and administrators in promoting good governance and sustainable service delivery, the position of this relationship between politicians and administrators remain entirely evasive and illusive and thus rendering the entire relationship completely dysfunctional and untenable in Mzansi

Contributing to this research problem, might be the following sub-problems:

- *The nature and scope of political leadership pertaining to politics-administration dichotomy in Mzansi;*
- *The nature and scope of public bureaucracy pertaining to politics-administration dichotomy in Mzansi;*
- *The nature and scope of political and administrative structures and systems available for politics-administration dichotomy in Mzansi; and*
- *The nature and type of citizenry in respect of politics-administration dichotomy in Mzansi*

Research questions

Linked to this key research problem and its sub-problems are the following research questions:

- *What is the nature and scope of political leadership pertaining to politics-administration dichotomy in Mzansi?;*
- *What is the nature and scope of public bureaucracy pertaining to politics-administration dichotomy in Mzansi?;*
- *What is the nature and scope of political and administrative structures and systems available for politics-administration dichotomy in Mzansi?; and*
- *What is the nature and type of citizenry in respect of politics-administration dichotomy in Mzansi?*

Research objectives

Following from the above research questions, the following research objectives became eminent, which are to explore and analyse:

- *The nature and scope of political leadership pertaining to politics-administration dichotomy in Mzansi;*
- *The nature and scope of public bureaucracy pertaining to politics-dichotomy in Mzansi;*
- *The nature and scope of political and administrative structures and systems available for politics-administration dichotomy in Mzansi; and*
- *The nature and type of citizenry in respect of politics-administration dichotomy in Mzansi (7)*

Population of the study

Population refers to the universe of units from which a sample is selected (Jones *et al*, 2010:104-108). The target population for this study is designed in such a way that it covers the entire North West Provincial Government that consists of twelve (12) provincial departments and the legislature. North West Province of South Africa is bounded on the north by Botswana, on the south by the provinces of the Free State and the Northern Cape, and on the north-east and east by Limpopo Province and Gauteng respectively. This province was created in 1994 by the merger of Bophuthatswana, one of the Bantustans (or black homelands), and the western part of Transvaal, one of the four former South African provinces. The province covers 118,797 sq km, and its population is estimated to be 3 669 778 people, and approximately 65% of this people live in the rural areas (Stats RSA Census 2001 released in July 2003)

Sample and sampling technique

Non-probability purposive/judgmental sampling technique was preferred and selected for this study as it allows the researcher to use his judgment based on his knowledge of the subject of the study. This sampling technique is essentially an umbrella term to capture all forms of sampling that are not conducted to the cannons of probability sampling (Bryman, 1999:202). The sample for this study consists of at least seven provincial departments in the North West Province, namely, Finance; Local Government and Traditional Affairs; Public Works and Transport; Agriculture and Rural Development ;Sports, Arts, and Culture; Human Settlement ,Public Safety and Liaison; and Provincial Legislature .In each of these institutions, one Director-General, one Chief Director, five Directors, ten Assistant Directors, and ten General Employees were earmarked for the study and were subjected to a rigorous participant observation and vigorous in-depth interviews for a reasonable length of time.

Table!::The sample of the study

Department	Director-General	Chief Director	Directors	Assistant Directors	General Employees	Total
1	1	1	5	10	10	27
2	1	1	5	10	10	27
3	1	1	5	10	10	27
4	1	1	5	10	10	27
5	1	1	5	10	10	27
6	1	1	5	10	10	27
7	1	1	5	10	10	27
(8)						
Total	7	7	35	70	70	189

Research methods and techniques

Qualitative data collection methods and qualitative data analysis techniques were used in this study. These methods and techniques were applied with due regard to the validity, reliability, credibility, objectivity, and consistency of data gathered and used in this study.

Data collection methods employed

Participant observation

This method of data collection was used because it gives comprehensive perspective on the problem under investigation, and the participant observer might discover things no one else has really paid attention to and that previously went unnoticed (Bailey 1994:243-244; Muller 1995:65; Thyer 2001:337-338). It is a

method that is mostly recommended by the proponents of qualitative research who indicate that it is a research procedure typical of the qualitative paradigm as it necessitates direct contact with the subjects of the observation

In-depth interviewing

This method of qualitative data collection is primarily for organisational change and development processes and uses a systematic process to refine the information collected (Dick 1990:357). It is the most appropriate technique for building theory in an underexplored area. Driedger *et al* (2006:1145-1157) argue that in-depth interviewing can be usefully applied in under-researched areas characterised by an absence or dearth of established theoretical and methodological foundation and it can therefore be viewed both as an interviewing technique and methodological approach to qualitative research. In this manuscript, the researcher engaged in this mode of data collection knowing that interviewing participants involves description of the experiences, as well as involving reflections on the description

Document study

According to Ritchie and Lewis (2003:35) documentary study involves the study of existing documents, either to understand their substantive content or to illuminate deeper meanings which may be revealed by their style and coverage. Most documents are, however, not written with a view to research (Marlow, 2005:182 In this article, a variety of non-personal documents such as minutes of meetings, agendas, newsletters and internal office memos were critically studied to amass the required and relevant data.

Case study

According to Creswell (2007:763), a case study involves an exploration of a “bounded system” (bounded by the time, context, and/or place), or a single or multiple case over a (9) period of time through detailed, in-depth data collection involving multiple sources of information. In this instance, the case being studied may refer to a process, activity, event, programme, or individual, or multiple individuals. It might even refer to a period in time rather than a particular group of people. More importantly, the exploration and description of the case takes place through detailed in-depth data-collection, involving multiple sources in formation that are rich in context. Subsequently, the researcher in this article, went through politics-administration dichotomy cases lodged with the sampled departments to qualitatively explore and analyse both the successes made, failures reported, and challenges that may still lie ahead with regard to the relationship between politicians and public bureaucrats in consolidating, enhancing, and fast-tracking good governance and sustainable service delivery in democratic South Africa

Data analysis and interpretation techniques employed

Data analysis and interpretation techniques used in this study include qualitative content analysis and qualitative case analysis

Qualitative content analysis

Content analysis is defined as a process of identifying patterns and themes of experiences research participants bring to the study, what patterns characterises their participation in the study, and what patterns of change are reported by and observed in the participants (Patton 2002:146). As a qualitative research technique, content

analysis played a significant role in this study as it involves detailed and systematic examination of the content of a particular body of material for the purpose of identifying patterns, themes, and even biases. The contents of the relevant documents secured during data collection were subjected to a rigorous analysis through this technique. The same is true with the information gathered through participant observation and responses from interviewees

Qualitative case study analysis

Case study analysis is an intensive investigation of a single unit or an examination of multiple variables (Babbie and Mouton 2001:280-283). This technique has been used in this article, as it takes multiple perspectives into account and attempts to understand the influences of multilevel social systems of subjects' perspectives and behaviours—the defining characteristic of this technique is its emphasis on an individual. In this manuscript, relevant cases from the sampled departments were assimilated and their relevance to the study cautiously scrutinised to assess their contribution to the entire study

Findings and recommendations

Findings

Subject to the above exposition and subsequent to the qualitative data collection methods and qualitative data analysis and interpretation techniques used, and also based on the (10) research objectives underlying this study, several findings were made and are hereby presented

Objective 1: *To explore and analyse the nature and scope of political leadership pertaining to politics-administration dichotomy (i.e. the relationship between politicians and public bureaucrats) in Mzansi*

Finding 1: The study discovered that in essence the country has indeed a strong political leadership and an observation was made of the fact that even the Constitution of the country does give absolute 'executive powers' to the politicians at the detriment of the public bureaucracy (public administration) which is rendered completely subservient to the political masters. The study found that to this unfortunate state of affairs, Mzansi lacks a powerful and well-established public bureaucracy whose function should not be only to execute and bluntly implement government policies, but should also involve putting politicians in check against any form of abuse of political power. In most instances, the study discovered that public bureaucracy remains in constant threats of political harassment and intimidation leading to untenable and unsustainable political-bureaucratic (politician-administration) relationships in the country—and thus impacting negatively on good governance and service delivery in South Africa. In other words, within this context, the politics-administration dichotomy /relationship is completely blurred and dysfunctional

Objective 2: *To explore and analyse the nature and scope of public bureaucracy to politics-administration dichotomy in Mzansi*

Finding 2: The revealed that real responsibilities of the bureaucracy could not be readily noticed and clearly articulated, save to say that it appeared that the bureaucracy is only there to implement the directives of the politicians with almost no power whatsoever to question the will of the masters. . The roles of bureaucracy to influence and contribute to the policymaking and decision-making processes in running the country and fast-tracking se were found to be either minimal or

completely non-existent in some instances. The relationship is more often characterised by characterised by fear, confusion, and sheer political vilification and victimisation

Objective 3: *To explore and analyse the nature and scope of politics-administration dichotomy's structures and systems available in Mzansi*

Finding 3: The structures and systems meant for effective and efficient politics-administration dichotomy relations were in some cases found to be lacking and in other instances were found to be in complete state of disarray and with lack of meaningful co-ordination and integration. The study also found that more often actions were done and decisions taken on an *ad hoc* basis with little or no strategic planning on sight. This led to errors of judgment which in turn resulted with poor governance and service delivery

Objective 4: *To explore and analyse the nature and state of citizenry in respect of politics-administration dichotomy relations in Mzansi (11)*

Finding 4: The study discovered that majority of the South African citizenry was completely oblivious of the relationship between the politicians and administrators regarding the issues around good governance and service delivery in the country. What is more disturbing was the discovery that a large number of citizens do not take their civil responsibilities seriously, and thus becoming very passive even in government and service delivery matters that directly affect them. In most of the time they remain at the periphery rather than at the centre of government activities where they are expected to be active in challenging and engaging the government on actions and decisions that impact directly in the lives. In fact the researcher was shocked to find out that the South African citizenry was more passive compared to those of countries such as the United States of America and Great Britain

Recommendations

From these findings it became that the present *status quo* of the politics-administration dichotomy relations in Mzansi was completely undesirable and untenable, and as such some form of paradigm shift becomes eminent. Consequently, based on these findings, this article suggests and recommends a (a) **Strong visionary political and administrative leadership**; (b) **vibrant apolitical bureaucracy**; (c) **well-coordinated integrated political and administrative structures and systems**; and (d) **well-mobilised active participatory citizenry** model that is believed once adopted and rightfully implemented could lead to stable and sustainable politics-administration dichotomy relationship and thus contrite to good governance and sustainable service delivery in Mzansi

In terms of this suggested model:

- **Strong visionary political and administrative leadership** means that both the politicians and administrators together must identify and develop strategic plans to enhance good governance and provision of services to the citizens on equitable basis. This can only be achieved by removing all executive powers from politicians and hand them over to the administrators, hence the maxim: **politicians must politic and administrators must administrate**
- **Vibrant apolitical and strong public bureaucracy** refers to a public bureaucracy that is completely free from political influence, intimidation and other kinds of political proliferation. The type of public bureaucracy whose function is not merely to execute government policies and legislation, but also keep the politicians in check against any form of abuse of power, fraud, and corruption. The public bureaucracy that has been given the full administrative and executive powers;

- ***Well-coordinated and integrated political and administrative structures and systems*** means that these structures and systems be clearly articulated and be designed and be an expression of coordination and integration; and
- ***Well-mobilised active participatory citizenry*** refers to a situation in which members of various communities in the country be allowed and encouraged to take and play an active role, not only in the decision making processes of government, but also in influencing the political and administrative directions that government should (12) take—in other words, the government should be truly one that is ‘by the people, to the people, and for the people’—tenant of democracy!!!!!!

Conclusion

This article provides a qualitative exploratory analysis on the impact of perceived erosion of the politics-administration dichotomy on good governance and service delivery in a democratic developmental state: South African perspective. It begins by providing an introductory background as well as a theoretical perspective on the phenomenon of ‘politics-administration dichotomy and highlights on the significant role that this concept plays in promoting democratic public bureaucracy and good governance. The article identifies four themes which are said to be fundamental to a functional and performing politics-administration dichotomy relations, namely: (a) strong and visionary political leadership; (b) vibrant apolitical public bureaucracy; (a) well-coordinated and integrated political and administrative structures and systems; and (d) well-mobilised citizenry for active participation, and uses them as a basis for this analysis. Qualitative data collection methods (such as participant observation; in-depth interviewing; qualitative document study; and qualitative case study) and data analysis and interpretation techniques (such as qualitative content analysis and qualitative case analysis) are used in this study. Based on the research objectives pertinent to this study, several findings are arrived at, and on their basis a ***(a) Strong visionary political and administrative leadership; (b) vibrant apolitical strong public bureaucracy; (c) well-coordinated and integrated political and administrative structures and systems; and (d) well-mobilised active participatory citizenry politics-administration dichotomy model*** is proposed and recommended with the belief that if, and only if it can be properly adopted and implemented, could lead to the improvement to the functionality and performance of politics-administration dichotomy relations in Mzansi

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WOMEN'S POLITICAL PARTICIPATION AT THE LOCAL GOVERNMENT LEVEL: A CASE STUDY OF AKOKO SOUTH WEST LOCAL GOVERNMENT AREA, ONDO STATE, NIGERIA

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Abstract

Local government, being the nearest to the grass-root (or rural dwellers) has been described as the basic type of political arena where participatory democracy is characteristic of good governance can be achieved. But at this level of governance, women are considerably marginalized; instead, they enjoy mere tokenism at the higher level of governance and political arena where merely appointed then elected into positions such that the society is denied the advantage of their full potential as they are made to play a second fiddle to their male counterparts. Field work was conducted in relation to the importance of women's political participation at the grass roots, factors hindering women's political participation, and measures that can enhance women's political participation, in Oka and Akungba in Akoko South-West Local Government Area of Ondo State Nigeria. 180 questionnaire were administered on randomly selected respondents, and the study shows that women can gain more political experience at the local level; thus enhancing their effectiveness at a higher level of decision- making, if given a chance. The study also identifies factors hindering women's local political participation, most especially patriarchy. It finally suggests that women should be more empowered to participate at the local level to enhance their political experience for good governance and national development.

Keywords: Women`s political participation, Ondo State, Nigeria

Introduction

Nigeria is a signatory to the 1979 Convention on Elimination of all Forms of Discrimination Against Women (CEDAW), The International Covenant on Economic, Social and Cultural Rights, The African Charter on Human and People's Rights, The Beijing Platform of Action and signed up to The Universal Declaration on Human Rights. Crucially, the Protocol on the Rights of Women in Africa (The Maputo Protocol).

Having recognized the essence and importance of these global and regional affirmative declarations, the Federal Government of Nigeria in an attempt to implement them captured them in Nigeria Gender Parity (NGP) which was launched in 2007. This document is unequivocal in its assertion that "Nigeria is a highly patriarchal society, where men dominate all spheres of life at the expense of the women (Federal Ministry of Women's Affairs and Social Development, 2006). One area where this assertion is aptly reflected is in women representation. In fact, it is a key area in which women's empowerment has floundered since democratization (GNR, 2012).

All the international and internal conferences, listed above, have brought to the fore, the issues of gender equality and rights, particularly in relation to development. But, local implementation of these programmes has remained weak and this is obvious in Nigeria's

political sphere, most especially at the local government level, where there have been few women as chairpersons and councilors since the beginning of the 4th Republic on May, 1999.

In Nigeria, women constitute a greater proportion of the total population about 49.36% (World Bank Report, 2012). In spite of this huge number, women are not well represented when in governance (Agbalajobi, 2010). As the Nigerian National Bureau of Statistics (2009) reveals women only have 3% representation in all contested positions in the 1999 General Elections, 4% in 2003, and 6% in 2007, with the greater proportion of these being at the national level. At present, as it is shown in the same statistics, out of the 109 seats available in the office of the Senate, only 7(6.4%) are women while in the House of Representatives, only 25(7%) are women. At the Local Government level, there is no significant difference. In the 1999 General Election, only 1.8% of women were Local Government chairpersons and 1.1% were councilors. Similarly in the 2003 General Elections, there were 1.9% female chairpersons, 4.2% female councilors while in 2007, only 3.6% female chairpersons and 3.7% female councilors, all of which are far below the United Nations standard of 33% (NBS, 2009).

The 2011 election results suggest a regression from the apparent progress that followed the return to democracy in 1999. Only 9% of the candidates for the National Assembly elections in April 2011 were women. Only 13 of the 340 candidates who contested on behalf of the various political parties for the office of Governor were women. A mere 909 of the 10,037 candidates for available seats were women (i.e. 9.06%). With only 25 women elected to the 360 member of House of Representatives, Nigeria is now ranked 118 of 192 countries in terms of gender parity.

At the Local Government level, the situation is no different, as only 4% of Nigeria's councilors are women. This is even better than their counterpart number for the Chair of the Local Government Areas (LGAs) which has been below 4% since the return to democracy in Nigeria in May 1999. The decline in the number of women councilors from 4.7% in the 2003 Election to 3.7% in 2007 bring to mind the challenges of gender disparity Nigerian women are facing, in politics and governance participation and representation.

Although, according to Inter-Parliamentary Union, increase of women annually is mere 0.6% - 13.7% in the parliaments worldwide and also a small percentage of legislative councils and other local bodies in most countries in the world. It is only Sweden, Denmark and Finland in Europe that have reached a critical mass of 30% of women in Local Government, while South Africa, Trinidad and Tobago come close at 28% and 23% respectively. But, there are still countries like in Asia Pacific, where women's representation in Local Government has ranged from a low 2% to a high 30%; for instance, India, Bangladesh, and New Zealand. If South Africa, an African country that have a middle income like Niger[a could have up to 28% women representation, Nigerians therefore have no excuse to lack behind. (Inter-Parliamentary Union, 2001).

Lately, local government election varies from State to State especially since 2009. Some States like Ondo, Osun did not even conduct any local government election but merely appoint caretakers. Even among the States that conducted elections, few women occupy the chair and ward councilors whereas among the States that appoint caretakers, the numbers of women in the committee are relatively low.

In Ondo State, between 1999 and 2007, the proportion of women representation at the local government elections was quite low and nothing to write home about. There was no single woman that emerged as a serious contender for gubernatorial positions. Although, some women took the bold steps of showing intention and interests for the position, they were either discarded at the party level, or voted out by their male counterparts.

Presently, only 2 (10%) women are in the Ondo State House of Assembly out of the 20 seats available, the women represent Akure South and Okitipupa

constituencies respectively. Although, the State has not conducted any local-government elections since the dissolution of those elected in 2009, out of the caretakers that have been appointed into the 18 Local Government Areas of the State only 2 are female (OSMOI, 2012).

In the case of the four Akoko Local Government Areas, no single female emerged as either chairperson or councilor throughout the 149 wards in the LGAs between 1999 and 2007. Despite the fact that some women took bold steps to contest for these positions, many of them were either screened out at the party level, or discriminated against by their male counterparts. Recently, in these four (4) LGAs, there was only one woman caretaker (late Mrs. J. Adefarati) who represented Akoko South West, which is the study area. She was also the only woman from the LGA that vied for the position of State Governor, under the then Action Congress of Nigeria (CAN) political party. But she lost at the party's primary election.

One of the main reasons for the minimal participation of women in politics in general and low representation at the local government level in particular has been the assumption that women are subordinate to men consequent to social and institutional discrimination (Bekele, 2000). Central to most international and regional treaties, to which Nigeria is a signatory, it has been globally suggested that in any representative body, there should be a 'logical balance' of men and women to adequately voice the concerns of society in the decision-making process. Good governance therefore means being participatory, accountable, predictable and transparent which reasonably calls for gender balance in political decision-making (Khan, 1993).

It is believed that women's insights and values can enhance and enrich the overall decision-making process especially at the local level where women are believed to be more sensitive to community issues. However, local government bodies have been identified to have a vital role in the developmental process. The importance of local level government is therefore in two folds. First, decisions made at the local level have implications for the women and men alike. Secondly, the third tier of government is an arena in which individuals gain experience and knowledge as well as being a political base for seeking office at higher levels (CWCS, 2002).

Therefore, to meet the needs of both men and women at the grass root level, it must build on the experiences of both men and women, through an equal representation at all levels of decision making, covering the wide range of responsibilities at the local government level.

It is therefore necessary to delve into the study of constraints to women's participation in local governance, particularly in Akoko South-west Local Government Area, being the LGA with the highest number (four out of eighteen) and various means by which the representation of women in local politics can be improved. In view of the foregoing, the objectives of this study, therefore, include:

- i. To examine the extent of women's political participation at the local government level.
- ii. To ascertain whether local politics can enhance women's political participation.
- iii. To find out factors hindering the participation of women in the local politics.
- iv. To suggest measures that can improve the active participation of women in local politics.

Literature review

Women's participation in politics and governance in Nigeria

It is an incontestable fact that women constitute over half of the world's population. Nigeria's case is not different; women constitute a significant part of the National Population

(Igbalajobi, 2010). Unfortunately, this numerical strength as not found corresponding expression or representation in Nigeria's public life.

Women's participation in politics and governance is of strategic importance, not only for women's empowerment, but because it has wider benefits and impact (GNR, 2012). Many people have expressed the view of the great importance of women's participation and representation in governance of their country that it can bring to national development. Hillary Clinton, an ex- secretary of State a serious contender in United States politics argues that "if half of the world's population remains vulnerable to economic, political, legal, and social marginalization, our hope of advancing democracy and prosperity will remain in serious jeopardy. We still have a long way to go and the United State must remain an ambiguous and unequivocal voice in support of women's right in every country, every region, on every continent" Madeleine, K. Albright, (an ex- US Representative in the UN and an ex-Special Adviser) chairperson, of the National Democratic Institute of Nigeria also said "every country deserves to have the best possible leader and that means that women have to be given a chance to compete. If they are never given a chance to compete in the electoral process, then countries are really robbing themselves of a great deal of talent". However, Anifowose (2004) asserted that for any nation to realize the noble idea of democracy with its emphasis on participation, competition and liberty of the people, there is need for the promotion of gender inequality. Democracy will not bring development to a country where there is no active involvement and participation of the two sexes; male and female (Anifowose, 2004).

When discussing women's participation in governance and politics in a country like Nigeria, various variables of participation such as voting in an election, and contesting for public offices, come readily to mind. It is therefore, important to note that participation could also be used to discuss women's representation in the public offices. For instance, if the number of votes cast by women in an election increase from 10 to 40% of the total votes cast, there is a form of increase in participation. But when the number of women holding public offices is relatively low, compared to men, there is an under-representation, yet women's number of vote increases (Agbalajobi, 2010).

Cramer (2005) argues that men and women allocate resources differently and that women tend to favour a redistribution agenda and to spend more on children's education, social services and health. These are the basic needs of the people, which can bring about tremendous development to any nation. But women who have the tendency to carry out these programmes of development are under-represented in the democratically elected parliaments around the world and this is an undisputable fact (Karp and Banducci, 2008).

The vital importance of women's participation in politics and governance is attested to by Daramola and Oniovokukor (2006) who found that intra-state conflict is likely to occur in States where gender equality in political representation, has not been achieved. The reason for this is that ethnic mobilization is more likely to readily develop where there are severe gender inequalities since gender relations contribute crucially to the shaping of group identities, in ways that influence the dynamics of inter-group conflict. In other words, ethnic nationalism is essentially patriarchal and it promoted more effectively where gender inequality is relatively high. And Daudu (2007) has shown that ethnic identity is particularly important for Nigerians.

A retrospective glance at the political history of Nigeria suggests that adequate mechanisms to promote women involvement in the current democratic experiment have not been established. There are published literatures on Nigeria, which establish the pattern of women's participation in politics; (e.g Igbalajobi, 2010) some analyze various processes and institutions that shape women's pattern of representation (e.g Dauda, 2007) while some have stated the implication for women's empowerment (GNR, 2012).

Theoretical framework

The theoretical framework employed for this study is Kanter's "Glass-Ceiling Theory" (1977).

This theory focuses on the ways in which the structure of work organizations, especially those with large proportion of white-collar workers, establish women in subordinate positions i.e, they put a 'glass-ceiling' over women's opportunities (Kanter, 1977). The key political positions in the political system of Nigeria especially at the local government level can be related to the organization referred to in Kanter's theory. He described work organization in terms of three dimensions:

- **Opportunity:** People who have less opportunity tend to be low in self-esteem and aspiration while people with more opportunity are competitive and have greater self-esteem.
- **Power:** Kanter defined power as capacity to mobilize resources in support of individual interests. People with low power tend to be authoritarian, subordinating, coercive, critical, territorial and are not well linked. People with high power tend to be non-directive, encouraging to subordinates, helpful and popular.
- **Proportions:** This is a social mix. The small proportion tends to be highly visible, highly stressed and stereotyped. The large proportions invisibly fit in with the group, find networking and the acquisition of sponsors.

Discussing Kanter's opportunity as one of the three dimensions of work organization, the Nigerian political arena is not different: women are not given the opportunity to exercise their political right such as occupying key political positions ranging from the local government to the federal government level of decision-making. Instead, they are subjected to certain appointed positions where they would only act as figure- heads while men who appointed them indirectly control them too in the position, all within a patriarchal social structure.

In terms of power, Nigerian women are just like as Kanter described those with low power, while men are those with high power, especially at the local government level. For instance during elections, men mobilize women; enticing them with diverse incentives in order to vote, and never encourage them as to how to mobilize themselves, to be serious contenders for elective posts.

In similar vein, Nigerian women are the small proportion (in the context of the Kanter's analysis). It is an indisputable fact that Nigerian women are not only limited by patriarchy, that are duly and unduly stereotyped and highly stressed with responsibilities.

Methods of research

Study area

The study area of this research is Oka and Akungba Akoko, in Akoko South West Local Government Area of Ondo State respectively. This Local Government is one of the eighteen local governments in Ondo State. Its headquarter is situated at Oka-Akoko. The local government is made up of five (5) major towns namely Oka, Oba, Akungba, Ikun, and Supare. It has an area of 226km² and the postal code of the area is 342.

A large proportion of the indigenes of this local government engage in farming primarily and as such, tertiary activities like teaching, surveying, law and banking profession, bakery, carpentry and local government jobs.

Oka and Akungba were chosen out of the five towns that comprises Akoko South West Local Government because they are the most populous and also because of the fact that politics is more pronounced among the inhabitants of these two towns than the rest of the towns in the Local Government.

Data collection

The study employed a non-probability and probability sampling techniques. The five communities that comprise Akoko South West LGA were clustered according to their population proportion and the two most populated communities (Oka and Akungba) were purposively selected. This study is both a quantitative and qualitative research using structured interview schedule to generate quantitative data and in-depth interview (IDIs) to elicit information that are often difficult to obtain through the quantitative method

A total number of 180 people having voting rights (i.e. above 18 years of age) were randomly selected from the two selected communities, women respondents having larger percentage since they are the ones that directly affected by the problem of the study (i.e. they suffer low participation) and questionnaires were administered on 100 women 50 each from Oka and Akungba respectively, also 80 questionnaires were administered on the randomly selected male 40 each from the two towns. In order to acquire the needed vital information, In-depth interview (IDIs) were conducted on purposively selected key respondents like; present, past Local Government Chairpersons, Deputy Chairpersons, Caretaker, councilors, some party leaders, wards women leaders, parties women leaders, wards youth leaders, local chiefs and some other people that have contested for any of the Local political positions in the communities. Data collected from the field was analyzed using SPSS. The hypotheses for the study were tested using chi-square statistical method. The IDIs conducted both in English and local languages, were recorded in audiotapes subsequently, translated into English, and transcribed into notebooks.

Data presentation and analysis

Table I: Distribution of Respondents by Sex

Sex	Frequency	Percentage (%)
Female	100	55.56
Male	80	44.4
Total	180	100

From the Table 1 above female respondents 100 (56.25%) are more than the male respondents 80 (44.4%) as it was purposively decided for the study. This is made so by the researcher because, women are the major respondents affected by the problem of the study.

Table II: Distribution of Respondents by Age

Age Group	Male	Female	Total	Percentage (%)
20-29	30	74	104	57.78
30-39	24	16	40	22.22
40-59	16	8	24	13.33
60+	10	2	12	6.67
Total	80	100	180	100

From table II above, it shows that most of the respondents fall within age of 20-29; male 30 and female 74 forming the total of 104 (57.8%), follow by age-group 30-49 which totally form 40 (22.22%). The number starts decreasing from the age-group 40-59 with 24 (13.33%) while those above 60 years takes the smallest 12 (6.7%).

This table becomes important in the study because of the fact that, age plays an important role in decision-making, this is significant in the rights that is stated in the Nigerian constitution for certain age-group to vote and be voted for in an election, in the country.

Table III: Distribution of Respondents by Marital Status

Marital Status	Male		Female		Total	
	Frequency	%	Frequency	%	Frequency	%
Single	30	37.5	36	36	66	36.67
Married	40	50	50	50	90	50
Divorced	10	12.5	10	10	20	11.11

Widow	-	-	4	4	4	2.22
Total	80	100	100	100	180	100

From table III above table, half of the male respondents 40(50%) are married, followed by the single 30(37.5%), when divorced males are 10(12.5%), none of the male respondents is a widower. From the female respondents, 36(36%) are single, while the married are 50(50%). 10(10%) claimed to be divorced, while the remaining 4(4%) are widows.

Table IV: Distribution of Respondents by Educational Qualification

Qualification	Male		Female		Total	
	Frequency	%	Frequency	%	Frequency	%
Tertiary	24	30	10	10	34	18.89
Secondary	24	30	24	24	48	26.67
Basic	22	27.5	46	46	68	37.78
No education	10	12.5	20	20	30	16.6
Total	80	100	100	100	180	100

From Table IV, it indicates that there is general low level of education among the respondents both male and female, as the highest percentage of their level of education is basic education 68(37.78%).

But this is more significant among the females; which has their highest level of education in 46(46%) and with highest number of respondents with formal education 20(20%), unlike their male counterparts which have their highest level of education in Tertiary and secondary education 30% and with those with no education 10(12.5%).

This could indicate that women's low education hinders their political participation, especially at the local governance.

Table V: Distribution of Respondents by Occupation

Occupation	Male		Female		Total	
	Frequency	%	Frequency	%	Frequency	%
Civil Servant	28	35	20	20	48	26.67
Trading	10	12.5	40	40	50	27.78
Farming	20	25	4	4	24	13.33
Artisans	10	12.5	14	14	24	13.33
Students	10	12.5	20	20	30	16.67
Others	2	2.5	2	2	4	2.22
Total	80	100	100	100	180	100

From Table V above most of the female respondents are trader 40(40%) while their male counterparts are mainly civil servants 28(35%). 24(13.33%) each of the respondents are full-time farmers and artisans, 30(16.67%) are students while 4(2.22%) are engaged in other occupational activities.

Table VI: Respondents' response to: Can women be efficient in Local Political Positions.

Responses	Male		Female		Total	
	Frequency	%	Frequency	%	Total	Frequency
Yes	18	22.5	64	64	82	45.5
No	32	40	16	16	48	26.7
Not sure	30	37.5	20	20	50	27.8
Total	80	100	100	100	180	100

From Table VI above, 18(22.5%) of the male respondents believe if women are allowed they can efficiently handle local positions, 32(40%) of the opinion that women are not capable, 30(37.5%) had no definite answer.

Responses of the female respondents show that the women have confidence in themselves to perform efficiently if they were allowed to occupy local political positions.

This is shown as 64(64%) saying 'yes', 16(16%) have contrary opinion and only 20 (20%) are not sure.

Table VII: Respondents' Views on the Importance of Women Participation in Local Politics

Importance	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%
(a) Local Government politics is more accessible than state and Federal	70	38.9	50	27.8	30	16.7	20	11.1	10	5.5	180	100
(b) Local Government Positions are less competitive	70	38.9	50	27.8	40	22.2	10	5.6	10	5.5	180	100
(c) Local Government Politics is less intimidated	120	66.7	30	16.7	10	5.6	10	5.5	10	5.5	180	100
Women tend to gain more political experience in local politics	110	61.1	50	27.8	6	3.3	10	5.6	4	2.2	180	100

From Table VIIa above, 70(38.9%) of the total respondents strongly agreed that local politics is more accessible than state and federal, 50 (27.8%) agreed, 30(16.7%) strongly disagree, 20(11.1%) disagree while 10 (5.5%) were not sure if this view is true or not.

Table VIIb shows that 35(38.9%) strongly agreed that positions at the Local Government level are less competitive, 25(27.8%) agreed, 20(22.2%) strongly disagree, 5(5.5%) disagree while 5(5.5%) were not sure.

Table VIIc shows 60(66.7%) strongly agree that local politics are less intimidated, 15(16.7%) agreed, 5(5.5%) strongly disagree and were not sure.

Table VIId shows that, 110(61.1%) strongly agree that women tend to gain more political experience by participating in local politics, 50(27.8%) agree, 6(3.3%) strongly disagree, 10 (5.5%) disagree while only 4(2.2%) were not sure of the view.

The table shows that 64(35.6%) strongly agree that women political participation is capable of developing general political system. 66(36.7%) agree, 14(7.8%) strongly agree, while 28(5.5%) were not sure.

Table VIII: Respondents Views on Consequences of Low Women's Political participation in Local Politics

Responses	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	F	%	F	%	F	%	F	%	F	%	F	%
(a) Low women political participation at local level is not a good governance	80	44.4	80	44.4	-	-	-	-	20	11.1	180	100
(b) Low women political participation can lead to low representation at decision-making level	60	33.3	30	16.7	40	22.2	30	16.7	20	11.1	180	100
(c) Low women participation and representation is a form of discrimination	50	27.8	60	33.3	50	27.8	-	-	20	11.1	180	100

From Table VIIIa above, shows low women participation at the local government is not a good characteristic of good government in the country. As 80(44.4%) of the respondents strongly agreed, and the same 44% agreed with this view. While none of the respondents disagree, only 20(11.10%) were not sure of the view.

Table VIIIb also shows, 60(33.3%) strongly agree that low women political participation can lead to low representation at the decision-making level. 30(16.7%) agreed, 40(22.2%) strongly disagree, 30(16.7%) disagree while 20(11.1%) were not sure of the view.

Table VIII reveals that, 50(27.8%) strongly agree that low women political participation and representation is a form of discrimination, 60(33.3%) agree, 50(27.8%) strongly disagree. While none of the respondents disagree, 20(11.1%) were not sure of the view.

Table IX: Respondents' Views on the Factors Hindering Women's Participation in Local Politics

Responses	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	F	%	F	%	F	%	F	%	F	%	F	%
(a) Political Violence hinders women's participation in local politics	64	35.6	76	42.2	20	11.1	10	5.6	10	5.5	180	100
(b) Low level of education hinders women's participation in local politics	60	33.3	60	33.3	30	16.7	14	7.8	16	8.9	180	100
(c) Socio-cultural beliefs hinder women's participation in local politics	82	45.6	58	32.2	24	13.3	6	3.3	10	5.6	180	100
(d) Reproductive role hinders women's participation in local politics	74	41.1	66	36.7	20	11.1	8	4.4	12	6.7	180	100
(e) High rate of poverty among women hinders their political participation	80	44.4	50	27.8	30	16.7	10	5.6	10	5.5	180	100
(f) Religious beliefs hinders women's participation in local politics	60	33.3	60	33.3	20	11.1	20	11.1	20	11.1	180	100

Table IXa above shows that 64(35.6%) of the respondents strongly agree that political violence hinders women political participation, 76(42.2%) agree, 20(11.1%) strongly disagree, while 10(5.6%) disagree, only 10(5.6%) were not sure of the view.

Table IXb shows that low level education hinders women political participation, 60(33.3%) strongly agree, and the same 33.3% agreed, 30(16.7%) strongly disagree. Only 14(7.8%) disagree and the remaining 16(8.9%) were not sure.

From Table IXc it is revealed that 82(45.6%) of the respondents strongly agree with the view that patriarchy hinders women political participation, 58(32.2%) agree, 24 (13.3%) strongly disagree, 6(3.3%) disagree while 10(5.6%) were not sure of the view.

Table IXd shows that 74(41.1%) strongly agreed that reproductive role hinders women political participation, 66(36.7%) agree, 20(11.1%) strongly disagree while 8(4.4%) disagree, only 12(6.7%) were not sure of this view.

Table IXe in the above table, shows that poverty hinders women political participation; as 80(44.4%) strongly agree, 50 (27.8%) agree, 30(16.7%) strongly disagree, 10(5.6%) disagree while 10(5.5%) were not sure of this view.

Table IXf shows that, 60(33.3%) strongly agree and the same 33.3% agree that religious belief hinders women political participation, 20(11.1%) strongly disagree and at the same time agree, also this same 11.1% were not sure of the view.

Table X: Respondents' Views on the Measures that can encourage Women's Political participation at the Local Government Level

Responses	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	F	%	F	%	F	%	F	%	F	%	F	%
(a)Government should implement policies	100	55.5	30	16.7	20	11.1	10	5.6	20	11.1	180	100
(b)Women Advocacy organizations should organize orientation programmes	140	77.7	20	11.1	10	5.6	-	-	10	5.6	180	100
(c)Non-Governmental bodies should organize orientation programmes	40	22.2	20	11.1	70	38.9	50	27.8	-	-	180	100
(d)Religious leaders should encourage followers	65	72.2	15	16.7	5	5.6	-	-	5	5.5	90	100
Women themselves should express confidence by participating fully	140	77.7	10	5.6	10	5.6	10	5.6	10	5.5	180	100

From Table Xa above 100(55.5%) strongly agree that there should be governmental policies that will kick against women subordination, 30(16.7%) agree as well. While 20(11.1%) strongly disagree, 10(5.6%) disagree, but 20(11.1%) were not sure of this view.

Table Xb shows that 140(77.7%) strongly agree that women advocacy organization should organize orientation programmes for better women political participation. While 10(5.6%) strongly disagree, none of the respondents disagree. Only 10(5.6%) were not sure of the view.

Table Xc reveals that 40(22.2%) of the respondents strongly agree that non-governmental bodies could be of help by organizing educative programme, 20 (11.1%) agree as well, 70 (38.9%) strongly disagree with this view, 50(27.8%) disagree while none of the respondents claimed not to be sure of this view.

Table Xd shows that 130(72.2%) strongly agree that religious leaders should encourage women followers in their religious environment, 30(16.7%) agree, 10(5.6%) strongly disagree, none of the respondents disagrees, while 10(5.6%) were not sure of the view.

Table Xe shows that 140(77.7%) of the respondents strongly agreed that Personal confidence by the women themselves would improve their political participation. 10(5.6%) of the respondents strongly disagree, disagree, and were not sure of this view, respectively.

Test of hypothees

Hypothesis One

Hi: There is a significant relationship between patriarchy and low women participation at the local politics

Hii: There is no significant relationship between patriarchy and low women participation at the local politics

Question: "Patriarchy hinders women participation in local politics"

Responses	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%
Patriarchy hinders women participation in local politics	41	45.6	29	32.2	12	13.3	3	3.3	5	5.6	180	100

Using Chi-square,

$$x^2 = \frac{\sum fo-fe}{fe}$$

Where x^2 = Chi-square
 \sum = Summation
fo = Observed frequency
fe = Expected frequency

Variable	Observed (o)	Expected (e)	o-e	o-e ²	$\frac{(o-e)^2}{E}$
Strongly Agree	82	36	46	2116	58.778
Agree	58	36	22	484	13.444
Strongly Disagree	24	36	-12	144	4
Disagree	6	36	-30	900	25
Not sure	10	36	-26	676	18.778
Total	180	180	0	4320	$\frac{120.00}{x^2=120.00}$

The degree of freedom (df) = r - 1

Where df = degree of freedom

r = number on a row

= (5-1)

= 4

The % point distributed at 0.05 significant level

Decision Rule

From the calculation, the computed chi-square (x^2) value is 31.62 and it is greater than the value of 0.05 significant level, hence the hypothesis (H_1) is rejected and therefore the other hypothesis (H_0) is accepted.

Hypothesis Two

H_0 : There is no significant relationship between women participation in local politics and women political experience.

H_1 : There is a significant relationship between women participation in local politics and women political experience.

Question: Women tend to gain more political experience in local politics

Responses	Strongly Agree		Agree		Strongly Disagree		Disagree		Not Sure		Total	
	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%	Frq	%
Women tend to gain more political experience in local politics	110	61.1	50	27.8	6	3.3	10	5.6	4	2.2	180	100

Chi-square calculation

Variable	Observed (o)	Expected (e)	o-e	o-e ²	$\frac{(o-e)^2}{e}$
Strongly Agree	110	36	74	5476	152.11
Agree	50	36	14	196	5.4
Strongly Disagree	6	36	-30	900	25
Disagree	10	36	-26	676	18.778
Not sure	4	36	-32	1024	28.44
Total	180	180	0	8272	$\frac{229.78}{x^2=229.78}$

Decision rule

From the calculation, the computed chi-square (x^2) value of -1.09 is lesser than value of 0.05 significant levels; hence the hypothesis (H_1) is rejected while hypothesis (H_0) is accepted.

Discussion of findings

From the results of the in-depth interviews conducted, it is observed that men do participate more in politics than women in Akoko South West local government area and the few women who are involved in politics of the local government participate partially.

It is observed too that women do not often occupy key political positions in the area as the men do. Even at the political party level, positions, such as, party women leaders, party treasurers etc. are given to the women. Few women who are put in better positions at the local government level are there on appointment, for instance interim Local government caretaker chairperson, acting chairperson of Local government board commission etc.

When the respondents were asked what was responsible for women not occupying these positions; different views were given. For instance, (1) Akeem male, 40 years old and a trader exclaimed, that "key leadership positions are not women's preserve". (2) Otunba male 45 years old politician observed that; "Akoko women do not usually participate in politics to the extent of contesting for key positions". (3) Simbi female 48 years old trader believed that "politics is for the strong people like men, not fragile person like women". (4) Charles male 50 years old farmer came in, from the different perspective as he said "*we are Nigerians, we are in Nigeria, especially here in Yoruba land, and women are not culturally permitted to equate themselves in any way with the men. It is the men that will make decisions for the women to follow. The only way women could come in politically is to vote, and go back home. It is we, men that will wait for the result and feed them back*". The 1999 Nigerian constitution by virtue of section 40 states that;

Every person shall be entitled to assemble and associate freely with other persons, and in particular, may form or belong to any political party, trade union or any other association for the protection of interests: provided that the provisions of this Section shall not derogate from the powers conferred by this Constitution on the Independent National Electoral Commission with respect to political parties to which that Commission does not accord recognition.

Also Section 42(1) of the same Constitution states a categorical displeasure about any form of discrimination;

A citizen of Nigeria of a particular community, ethnic group, place of origin, sex, religion or political opinion shall not, by reason only that s/he is such a person be subjected to any form of discrimination.

The same Constitution, section 77 states:

- (1) Subject to the provisions of this Constitution, every senatorial district or Federal constituency established in accordance with the provisions of this part of this chapter shall return a member who shall be directly elected to the Senate or the House of

Representatives in such manner as may be prescribed by an Act of the National Assembly

- (2) Every citizen of Nigerian, who has attained the age of eighteen years residing in Nigeria at the time of the registration of voters for the purpose of electionsto legislative houses, shall be entitled to be registered as a voter for that election.

From the foregoing, it clearly appears that there is nothing in the Nigerian constitution, which excludes the participation of Nigerian women in the nation's politics. Where the problem lies according to Okegbola (2011), is the language in which the Nigerian Constitution is written, which betrays its seeming desire to continue with the patriarchal tradition of Nigerian societies. She added that it is necessary to divest the constitution of its masculinity and make it gender/ sex recognizing that not only men are human beings in Nigeria. This is because of the pronoun 'he' that appears in the Constitution 235times while the word 'women' was used only 2times. For example, as it is in the section 26(2)(a) and 29(4)(b) in the 1999, Nigerian Constitution.

A closer look at the constitution shows that it provides for who is a Nigerian citizen and how it may be acquired by naturalization and registration. But the Constitution fails to make provision for the process by which non-Nigerian men married to Nigerian women and who are so desirous, may become Nigerian citizens. In Section 26, of Nigeria's 1999 constitution.

It is clearly shown from the above views, that the low participation and representation of women in Nigerian politics, is far beyond the notion of "there are no suitable women" to fill political vacancies. But rather, the fundamental issues remains that there are institutional reasons, obstructing the possibility of full public advancement of women. Like it was suggested by the 55% of the respondents that government should implement policies to enhance women representation and participation. Another reason given by some female respondents for their low participation in local politics is the timing of political meeting which were usually fixed at odd hours, and the attitude of some male politicians who sees women politicians as sexual object . As a result of this some forbids their wives from participating in politics. This was the ordeal of (5) Idileola female 40 years and a civil servant whoshared her experience "*the day I came back home late from a political meetings, my husband nearly sent me packing*".(6) Mr.' Ife' 57 year old, a teacher on the other hand believes that a man usually would not dis- allow his wifeto participate strongly in politics, if not for the immature nature of mostNigerian male politicians whowould always want to believe that women must always give out their bodies before getting anywhere. From the fore going, it is not mistaken to conclude that the political system at the local government level, especially in Akoko South-west LGA has patriarchal undertone.

Conclusion

From the findings of this study, it has been shown that local government is an arena where women tend to gain political experience, but unfortunately, there is low number of women in this area of local politics. Even the few who are involved in politics are not in key and elective positions instead they are appointed. Being appointed into an elective position practically means that the appointed person is answerable to a certain higher authority. As this is the situation in the Nigerian political system, how then will the country's system of democracy be participatory and how will the decision-making be representative? This situation is not in any way good for the political development of Nigeria, rather; it increases political underdevelopment. The study submits that if the Nigerian society can change it orientation from seeing women as shuttle/ property or sexual object and second citizen, that should not compete with the male that the society assume to be superior, the endowed gift of women in organizing their homes could also be used for the development of the country's

political system as well as the country at large. The study then recommends that, there should be an intensive re-orientation towards changing the negative perception of both male and female in order to accept women as equal partners in the development of their communities and the country at large. It is thus rather urgent the need to do that everything possible and necessary should be to promote massive girl child education, providing more funds for women's economic empowerment and skill training that could help them mobilize needed resources in order to feature effectively during elections. Overall women's and that the reproductive roles and domestic responsibilities should not be seen as obstacle to their participation in politics rather these can be necessary elements in effectively preparing women for management of both human and social resources.

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DEFINING ORGANISATIONAL POLITICS

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Abstract

The paper discusses the type of political behaviour, mainly Mintzberg's (1985) collection of games, Allen *et al*'s (1979) individual political tactics, and Lawrence *et al*'s (2005) types of power, as well as the causes of political behaviour. Some argue that politics are rooted in the wider configured environment (Gotsis & Kortezi, 2010: 498), while others argue that politics are a result of interpersonal antagonisms (Vince, 2001) or emotional matters (Vince, 2002). With regards to organisational politics, the literature presents various types of political behaviours, and research to date tackled the area of politics mostly in a purely theoretical manner. Moreover, studies presented to date have paid more attention to the general perceptions of politics rather than the observable political behaviours.

Keywords: Organisational Politics, Power in Organisations, Organisational Behaviour

Introduction

Aristotle (1934) portrayed the idea of politics as a '*master-craft*' and thus is a tolerable and practical social phenomenon (Provis in Vigoda-Gadot & Drory, 2006: 98). However, in general, organisational politics is often defined as the behaviour that is aimed at safeguarding the self interest of an individual at the cost of another (Allen *et al*, 1979: 77; Drory & Vigoda-Gadot, 2010: 195; Ferris *et al*, 1989: 145; Gotsis & Kortezi, 2010: 498; Latif *et al*, 2011; Vigoda-Gadot & Kapun, 2005: 252), and this behaviour often conflicts with the organisational goals (Ladebo, 2006: 259; Sussman *et al*, 2002: 314; Vigoda-Gadot, 2007: 665). Consequently, according to Beugré & Liverpool (in Vigoda-Gadot & Drory, 2006), organisational politics is an '*antisocial*' behaviour (2006: 124).

It is argued that the overt tendency for politicking is a human nature aspect that is a consequent of evolution, and the human nature drive for politicking is associated with power endeavouring, and derives from the interaction between the distribution of tasks and rank delineation (Vredenburg & Shea Van-Fossen, 2010: 33). Meriac & Villanova (in Vigoda-Gadot & Drory, 2006) argue that some people ought to benefit from the political tactics or else there would be no reason for them to engage in political behaviour (2006: 17). Liu *et al* (in Vigoda-Gadot & Drory, 2006) argue that individuals who benefit from political behaviour may go through feelings of pleasure and even exhilaration, especially when favourable results are only achievable through illegitimate strategies (2006: 168)

Organisational politics can also be viewed as a group phenomenon where people do not necessarily engage in politics just as individuals. Informal groups are often created within the workplace and various types of coalitions have a tendency to grow among individuals (Romm & Pliskin, 1997: 96; Seo, 2003: 11). James (in Vigoda-Gadot & Drory, 2006) argues that group politics may be encouraged or weakened by the organisational cultural values, which may also mould the route that the group politics will take (2006: 56). Among the many types of groups, these may consist of either managers and subordinates in a department, employees that fall in the same hierarchical level, or employees that fall in the same social circle. Political behaviour may also be present between other stakeholders of an organisation, such as unions and employers (Romm & Pliskin, 1997) though these macro-

scale politics are not the primary focus of this thesis' particular study. According to Romm & Pliskin (1997) the amount of politicking intensifies as the issue concerned is presumed as significant from the concerned group's position.

Causes of Organisational Politics

According to Vredenburg & Shea-VanFossen (2010), some research has identified organisational conditions that cause employees to engage in workplace political behaviours. They argue that the origins of individual attributes and the nature of their interactions with organisational conditions that foster political strategies in work organisations come from the evolution of an individual's hereditary genetic structure (Vredenburg & Shea-VanFossen, 2010: 27). According to Charles Darwin's theory of evolution, there is a distinction amid species and a change method of natural selection, which focused on the relationship between a being and its milieu, wherein a competitive effort for resources is acknowledged (Vredenburg & Shea-VanFossen, 2010: 28). This means that key attributes and behaviours have evolved as a result of the process of natural selection, in which better adapted organisms outlive those less in shape despite several challenges (Vredenburg & Shea-VanFossen, 2010: 29). Therefore, from this biological evolutionary perspective, human beings have inherent behavioural tendencies to engage in politicking (Vredenburg & Shea-VanFossen, 2010: 31).

However, Vredenburg & Shea-VanFossen (2010) also argue that not all traits or behaviours are entirely genetic in origin, since some are derived interactively from biological elements and cultural circumstances (2010: 31). Nevertheless the consequential traits and behaviours can surface in various individual surroundings, including workplaces, in which they could encourage organisational politics (Vredenburg & Shea-VanFossen, 2010: 31). According to Beugré & Liverpool (in Vigoda-Gadot & Drory, 2006) if employees perceive that they are being manipulated or their interests are ignored, then they will end up engaging in self-serving behaviour (2006: 130). Similarly, Nicholson (1997) argues that humans have an innate predisposition towards power striving, which can cause workplace political behaviours where it comes into tension with the division of labour and status segregation. In the same kind of vein, Lubit (2002) argues that, narcissism, a facet which constituted the first stage of human species development, is another aspect of the human nature that enhances organisational politics (Vredenburg & Shea-VanFossen, 2010: 35).

In view of the above, a number of studies have promoted the view that some degree of predisposition towards politicking may be an innate part of human nature, but that this predisposition becomes most visible in workplaces where the objectives of the organisation are unclear, there is a limitation of resources, there is a fast changing technological and environmental aspect, and the decisions are unplanned (Curtis, 2003: 293; Gotsis & Kortezi, 2010: 498; Ladebo, 2006: 256; Latif *et al*, 2011: 199; Poon, 2003: 138; Vredenburg & Shea-VanFossen, 2010: 42). The larger the difficulty in such cases, the more sensitive is the political behaviour in which conflicts arise and ambiguity abounds (Ladebo, 2006: 261).

Beugré & Liverpool (in Vigoda-Gadot & Drory, 2006) state that individuals engaging in political behaviour often treat others with disrespect and try to thwart formal procedures, especially when these procedures are not clear (2006: 129). As such, research has identified several areas in which employees engage in political behaviour, namely pressures for economy, management and subordinates relationships, structural power struggles between configured groups such as unions and employers, conflicts between the workforce and management for construing agreements, uncertainty about standards and strategies of promotion, difficulty in linking reward with productivity, and policies and procedures (Gotsis & Kortezi, 2010: 499; Latif *et al*, 2011: 203).

Indeed, individuals are more likely to engage in political behaviour when there is uncertainty involved in decision-making procedures and performance measures, and when competition is present among individuals and groups for limited resources (Gotsis & Kortezi, 2010: 499; Othman, 2008: 43; Poon, 2003: 142). Moreover, according to Vigoda-Gadot (2007) the lack of nominal integrity and equality in these systems is a main root of higher perceptions of organisational politics (2007: 665). In organisations that adopt clear decision-making processes and where competitive behaviour is less, a high level of political behaviour is not likely to be present.

According to James (in Vigoda-Gadot & Drory, 2006) the increase of internal organisational politics may be due to the external competitive demands experienced by organisations, resulting from globalised economies and technological transformations (2006: 62). James also mentions the example of Tilly (in Vigoda-Gadot & Drory, 2006) wherein it is identified that severe and explicit negative politics are mostly present in low-resource countries (2006: 62).

Last but not least, according to Buchanan (2008), politics may also be caused by structural relationships within an organisation (2008: 54); one group of employees may have particular performance indicators and tasks to fulfil that are very different to those of another group. Jehn (1997) refers to these diversities as task-focused conflicts. According to Jehn, these types of conflicts may be beneficial to an organisation since they improve the decision-making results and output through constructive criticism (Jehn, 1997: 532). However, it is also likely that these task-related conflicts change into relationship conflicts, resulting into one group or individual disliking another group or individual and attach these task-related conflicts to personality issues (Jehn, 1997: 532).

In her study, Jehn also identified a process conflict, which includes a “*responsibility disagreement*”, meaning that incongruities occur regarding who is responsible for what; these also can lead to personality issues (1997: 540). It is therefore unavoidable that the agenda of each group or individual will differ or even conflict on some issues, and this shows how much political behaviour takes place due to the structural tensions within an organisation. Therefore politics is not just something that surfaces out of personal differences; it is often produced by tensions that exist between one function or category of employees and another; tensions which can often create irritation and frustration (Jehn, 1997).

Types of Individual Political Behaviour in Organisations

Sussman *et al* (2002) argue that political behaviour in organisations often conveys a normative, unethical implication (2002: 314). They confirm this through their quantitative study which they carried out regarding seven types of political behaviour in organisations as illustrated by Allen *et al* (1979), and their influence on communication media. The types of behaviour used in the study include: (1) Attacking or blaming others, (2) Using information as a political tool, (3) Creating a favourable image (impression management), (4) Developing a base of support, (5) Praising others (ingratiation), (6) Forming power coalitions with allies, and (7) Creating obligations (reciprocity). As will be seen, these types constitute an important part of the analytical framework of this study, and so merit some further explanation here.

Attacking or blaming others is a tactic that includes both reactive and proactive behaviours. Allen *et al* (1979) state that the reactive behaviour involves scapegoating: more specifically, the individual concerned in this behaviour avoids his or her involvement with a detrimental or failing situation at work (1979: 78). On the other hand, proactive behaviour involves an individual making a rival look bad in the eyes of significant members of the organisation (Allen *et al*, 1979: 78). Using information as a political tool includes individuals who engage in preserving, twisting or using information to devastate another individual.

Impression management involves an individual building and enhancing his or her self image by developing a reputation of being liked and being enthusiastic, to mention a few characteristics (Allen *et al*, 1979: 79). Drory & Vigoda-Gadot (2010) argue that impression management behaviour is one of the key strategies of organisational politics and is affected by cultural differences (2010: 198). In addition, Drory & Zaidman (in Vigoda-Gadot & Drory, 2006) state that impression management is beneficial and critical for career advancement, since merit alone is not sufficient (2006: 76). Drory & Zaidman further state that individuals who are likely to engage in impression management are often seeking to increase their compensation, preserve their self-esteem, and obtain limited available resources by ingratiating their boss (in Vigoda-Gadot & Drory, 2006: 77).

Developing a base of support happens when a manager gets others to understand his or her ideas before making a decision and makes his or her subordinates feel as if the idea is theirs to guarantee their dedication (Allen *et al*, 1979: 80). Ingratiation occurs when an individual praises another in order to create a good rapport. In their study, Allen *et al* (1979) state that lower level employees use more 'colourful' expressions like "*buttering up the boss*" to explain this tactic (1979: 80). Meriac & Villanova (in Vigoda-Gadot & Drory, 2006) refer to ingratiation as that 'friendliness' which endeavours to transform the notion a target has of the influencer so the target may be leaning towards providing the influencer with what he or she wishes (2006: 16). Forming power coalitions with allies is a tactic which is used by individuals that associate themselves with influential persons in an organisation or in social situations to gain popularity or feel important. Last but not least, reciprocity involves performing services or favours to create obligations – a very applicable expression is "*You scratch my back, I'll scratch yours*" (Allen *et al*, 1979: 80).

The findings of Sussman *et al* (2002) indicate that political tactics are both channel and sender specific. Moreover, attempts to influence others through self-serving messages are more likely to be sent through certain channels than others and are more likely to come from certain organisational roles than others (Sussman *et al*, 2002: 325). In this regard, Allen *et al* (1979) argue that politicking occurs more frequently at higher managerial and professional levels of an organisation, whilst supervisors may be less able to practice politics successfully due to their minimal power (1979: 82).

Others argue that organisational politics are highly culture dependent (Drory & Vigoda-Gadot, 2010), may be a natural phenomenon in organisations (Poon, 2003: 138; Zaleznik, 1971) and research on organisational politics has always treated politics as an emotional assemblage (Othman, 2008: 46). Vince (2002) states that organisations are '*political containers*' that include individual and collective emotions (2002: 75). Likewise, Zaleznik (1971) refers to organisations as '*political structures*' in which the careers of employees, especially managers, are developed (1971: 53). Gotsis & Kortezi (2010) argue that political concerns can make up an inextricable part of organisational life due to the inevitable power systems within (2010: 497).

In general, a political climate establishes some ethical dilemmas to employees and eventually spawns various forms of actions that can be both unjust and unfair (Gotsis & Kortezi, 2010: 502). However, it is important to note that culture affects how an individual comprehends and differentiates between actions and therefore, what is considered politically negative in one culture may be considered otherwise in another (Kurchner-Hawkins & Miller in Vigoda-Gadot & Drory, 2006: 343).

The often informal nature of organisational politics has been highlighted by several writers (Latif *et al*, 2011: 199; Mintzberg, 1985: 134; Poon, 2003: 139). In organisations, individuals often rely on informal means to make decisions, especially where there is uncertainty involved, which presents them with an opportunity to engage in political behaviour (Ferris *et al*, 1989: 151; Gotsis & Kortezi, 2010: 499; Othman, 2008: 43; Poon,

2003: 138). As mentioned in the previous sections, politicking among members of an organisation may also occur due to the bare minimum resources available. This means that key people in organisations often ‘bulldoze’ to have what they perceive as a fair share of the limited resources available in the organisation for themselves or the group they belong to (Ladebo, 2006: 258). Zaleznik (1971) states that these lack of resources are mostly visible in capital budgeting (1971: 56).

Vredenburg & Shea Van-Fossen (2010) draw an analogy to Darwin’s ‘survival of the fittest’ account of evolution to illustrate how the case of limited resources in organisations, those individuals who are highly politically skilled end up being more successful in acquiring and controlling the same limited resources (2010: 28). According to Liu *et al* (in Vigoda-Gadot & Drory, 2006), people who are politically skilled experience the perceptions of organisational politics less negatively than others, and may see politicking as a rewarding experience and as a sense of proficiency and achievement to their line of work (2006: 175).

Therefore, political behaviour is characteristically conflict-ridden, often setting individual or group employees against the power that is official, established principles and expertise, or against each other. Mintzberg (1985) argues that political behaviours may become amplified due to the lack of other systems of influence (1985: 134). As such, political behaviour is mainly concealed and subject to differing perceptions (Curtis, 2003: 293). Employees are sensitive to political decisions made in their organisations and individuals may react in different emotional and behavioural ways (Vigoda-Gadot & Kapun, 2005: 258).

Political Behaviour as a Collection of Games

Henry Mintzberg (1983) is one of the main business leaders, particularly in the strategy dominion. Mintzberg (1983) was found to be important for this thesis since in his research he presented an extensive review of political behaviour in organisations. His analysis assisted a time of awareness in the empirical study of the phenomenon of organisational politics (Meriac & Villanova in Vigoda-Gadot & Drory, 2006), and thus, I found his types of political behaviours as ‘illuminating’ as a heuristic tool for understanding political behaviours. According to Mintzberg (in Lemieux, 1998), some of the political games, such as the rivalry games between organisational and support staff, may characterize persistent patterns of organizational behaviour (1998: 59). In view of this, the answer may be to first identify, as clearly as possible, the particular type of political organisation with which one is dealing and then determine the kinds of political games that have been occurring within it.

Mintzberg (1985) presents organisational politics as a Darwinian influence system that is exploited by politically skilled individuals to hasten their progression into leadership positions (Vredenburg & Shea Van-Fossen, 2010: 27). Mintzberg (1983) also states that political behaviour is a collection of games that fall into the following four categories: authority games, power base games, rivalry games and change games (Curtis, 2003: 295-6). These four categories of games are similar to the types of political behaviour identified by Sussman *et al* (2002).

Mintzberg identifies two types of authority games: those that resist authority, also referred to as ‘insurgency games’, and managers that attempt to increase their control over the subordinates, also referred to as ‘counterinsurgency games’. An example of ‘insurgency game’ presented by Thoenig and Friedberg (1976) is that of French government engineers against a minister who tried to restructure their department (in Mintzberg, 1985: 137). The ‘counterinsurgency game’ is played by people with power who retaliate with political or legitimate means (Mintzberg, 1985: 137).

Power base games are actuated in order for an individual to increase his or her organisational power – in this case Mintzberg illustrates six types of power base games; (i) the ‘sponsorship game’, (ii) the ‘alliance building game’, (iii) the ‘empire building game’, (iv) the ‘budgeting game’, (v) the ‘expertise game’, and (vi) the ‘lording game’.

The ‘sponsorship game’ involves a person attaching himself or herself to a rising or established star and is usually played by those who wish to construct their power base, and they do so by using their superiors to acknowledge loyalty in return for power (Mintzberg, 1985: 137). The ‘alliance game’ involves peers agreeing to support each other, and is often played by line managers who bargain hidden deals of support for each other in order to move further up in the organisation (Mintzberg, 1985: 137). The ‘empire building game’ involves a person to engage in more responsibility in decision making, hence increasing his or her power and is also played by line managers who wish to build power individually with subordinates (Mintzberg, 1985: 137).

The ‘budgeting game’, which is similar to the ‘empire building game’ but is less conflict-ridden since it concerns the fight for resources, is played openly with clear specific policies by line managers (Mintzberg, 1985: 137). The ‘expertise game’ is played by staff specialists wherein experts in a field flaunt the expertise or try to keep the information to themselves, while non-experts attempt to have their work seem as expert to be viewed as a professional so as to be able to have control over it (Mintzberg, 1985: 137). The ‘lording game’ involves people using legitimate power in illegitimate ways with others who lack it and is mostly played by line managers and professionals (Mintzberg, 1985: 137).

In the case of power, Lawrence *et al* (2005) provide an explanation of two types of power in organisations: episodic power and systematic power. These forms of power offer guidance on how organisational politics affect the flow of information between individuals, groups and the organisation (Lawrence *et al*, 2005: 182). Episodic power refers to distinct and premeditated political behaviour that is initiated by self-interested actors who are most able to influence organisational decision making (Lawrence *et al*, 2005: 182). On the other hand, systematic power is directed throughout the social systems within organisations, and includes socialisation and accreditation processes. Some argue that the attention to power stems from the fact that social relations and learning processes do not happen in a vacuum but take place in a setting of interests and different power positions (Easterby-Smith *et al*, 2000: 793).

The ‘rivalry games’ involve persons or a group ignoring the expertise of another in order to make him or her or the group less powerful. Mintzberg (1985) identifies two types of rivalry games, namely ‘line vs. staff’ and ‘rival camps’ (1985: 136). The ‘line vs. staff’ game is described as the game that increases personal power and overpowers a rival wherein each side is likely to abuse rightful power in illicit ways (Mintzberg, 1985: 138). The ‘rival camps’ game transpires when the alliance or empire building games result in two main power troops and can be the most conflict-ridden game of all, since it can portray conflicts between departments or two opposing goals (Mintzberg, 1985: 138). Vince (2002) provides an example of a rivalry game in his action-research of ‘Goodwill Company’. Here Vince illustrates how two sub-systems of the company think that their development initiative is of benefit to the company and both find ways to criticise each other’s work, whilst trying to avoid working together (2002: 81).

‘Change games’ are designed to induce organisational change and include ‘whistle blowing’, ‘Young Turks’ game and ‘strategic candidates’ game (Mintzberg, 1985: 136). The ‘whistle blowing’ is a simple game played mostly by lower status employees to try and affect an organisational change in a different way wherein one reports a wrong doing of another in the hope to bring about change (Mintzberg, 1985: 138). Employees in this case may go outside the boundaries of the organisation and attempt to involve outsiders (Latif *et al*, 2011:

202). Likewise, the ‘Young Turks game’ is usually played to replace the people in authority while maintaining the system of authority intact, in which a group of revolt employees try to cause the downfall of the existing leadership of an organisation (Mintzberg, 1985: 139). Similar to this is the ‘Obstructionism’ which entails a tactic by employees in a lower level of an organisation that opposes top management policy making decisions (Latif *et al*, 2011: 203). The ‘strategic candidates’ game occurs when individuals or groups seek to affect change by campaigning for their own planned contenders through political means by coalescing others games such as empire building, alliance building, and rival camps (Mintzberg, 1985: 138).

In his study, Burawoy (1979) refers to the ‘space for games’ concept wherein he identified the games played by subordinates to be impulsive, independent and malicious construction of workers to breed power contests and divergence with management, though games are synchronized, sometimes coercively, by management (Burawoy, 1979: 85-6). However, Burawoy (1979) shows that confrontation between managers and subordinates is not the sole form of conflict (1979: 65–73). In this regard, Koski & Järvensivu’s (2010) study identified that struggles to introduce new rituals caused tensions between managerial levels as well. The study of Koski & Järvensivu (2010) also identified that games may give subordinates more control over work processes, however, on a positive note, the games kept the process ongoing and effective, and the workers had the opportunity to show their professionalism through these same games (2010: 352).

Final Words

Organisational politics, as argued by various researchers, can be either positive or negative (Othman, 2008: 44). Othman (2008) mentions these two types in his paper on the role of justice, trust and job ambiguity (2008: 44), namely the negative side, which involves convenient and illegal behaviour, and the positive side which is a social function that is important for organisations to survive (2008: 44). Negative organisational politics are disapproved of because of the ethical dilemmas encrusted with them and the workplace conflicts that are generated, whilst positive organisational politics results from the amalgamation of shared goals and stimulating collaboration (Drory & Vigoda-Gadot, 2010: 196; Gotsis & Kortezi, 2010: 509).

Consequently there are two ways of viewing organisational politics: either as a symptom of social influence processes that benefit the organisation, or a self serving effect that goes against the organisational goals (Mintzberg, 1985: 148; Gotsis & Kortezi, 2010: 498). Nevertheless, the concept of organisational politics is a key social influence process that can be either functional or dysfunctional to employees and organisations (Allen *et al*, 1979: 82).

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PREDICAMENTS OF STATE BUILDING UNDER EX-LIBERATION MOVEMENTS: MAKING SENSE OF THE CURRENT CRISIS IN SOUTH SUDAN

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Abstract

The tenacity and strength of guerilla movements to wage a protracted armed struggle is almost an empirically proven fact. In Africa and the entire world, there are several instances of guerrilla movements that fought with resilience, strong courage, heroism and an incredible sense of devotion and commitment. However, once they capture political power and preside over the state, the record of these movements in the (re) building of legitimate, democratic and sustainably peaceful states has largely been disappointing. The objective of this study is to shed light up on the challenges of state building in the background of the current crisis in South Sudan. Based on the analysis of primary and secondary data, it argues that the ongoing crisis (civil war) in South Sudan is part of a broader and a recurrent problem of state building under the tutelage of ex- liberation movements; and hence its solutions should be sought in the overall transformation of the SPLM/A into a viable political party.

Keywords: Ex-liberation movements, South Sudan, SPLM, State building

Introduction

Ex-Liberation movements rarely form sustainably peaceful, legitimate and democratic states. In his recent book on liberation movements in Southern Africa, Southall (2013:1) argues that even allowing to the difficult circumstances they had inherited at the time of independence, the performance of liberation movements in Southern Africa has largely been disappointing. Similarly, Melber (2003a:xiv-xv;2003b:10), who studied ex- liberation movements in Southern Africa, posits that the post liberation political system established by most movements in Southern Africa is marked by transition from “controlled change to changed control”. According to Melber (2003a: xiv-xv; 2009:452), in the post liberation era the liberators, the victims of the past, has simply turned into perpetrators. In stark contrast to what they have painted themselves – as harbingers of democracy, human rights and good governance – most of them, to a greater and lesser extent, have ended up establishing one party and authoritarian states. This has been the anecdote of most liberation movements in the African continent (Clapham, 2012:5).

The fundamental reason for this failure is that the movements rarely make up as effective governments (Ibid: 3). This in turn is explained by the organizational and cultural background of the movements as well as the human effects of the legacy of the armed struggle. The organization and political culture of the movements that was cultivated during the struggle persists to haunt the post liberation era in many respects. In addition, the feelings of entitlement and compensation by liberation fighters that stems out from their participation in the struggle hedges the effort of state building. In particular, an “immense sense of entitlement”, and “exclusive vision to the state”(c.f Clapham,2012:3) forsake the building of effective and legitimate state on the basis of an all inclusive and effective political process.

As the world's newest state under the tutelage of yet another ex-liberation movement in the region, South Sudan seems to be trapped within this quagmire. The recent crisis (civil war) in the country is just a case in point to this broader and recurring problem in Africa.

In the backdrop of the current crisis in South Sudan, the objective of this paper is to shed light upon the challenges of state building in countries where ex-liberation movements preside over state power.

State Building in the Present Environment

Up until recently, the practice of state building has been dominated by a technical approach to develop the capacity of state institutions on the basis of a Western-Weberian model (cf. Boege et al, 2009) of the state (Gleason, et al, 2011:3; Boege, 2009, 2008). This has been known as the technical approach to state building (Gleason, et al, 2011:4). In this approach, state building is conceived as an objective, technical and apolitical process of developing the capacity of state institutions. This technical approach, however, is impugned for its conceptual and empirical flaws. It was criticized for simply conceiving state building as an objective-technical process; masking its political and contested nature (Hameiri, 2007:127); neglecting the decisive role of domestic actors, and promoting a Western-Weberian model of state (Cf. Boege, et al, 2009), as universal template to state building.

In response to the limits of this approach, recently emerging critical publications have re-conceptualized state building as an essentially political (Hameiri, 2010:5; 2007:122), endogenous (OECD, 2007; 2008), and a process of negotiation between a multitude of formal and informal actors (Didier and Péclard, 2010). One frequently quoted definition in this newly developing strand of knowledge is given by the OECD. The OECD (2008) re-conceptualized state building as "an endogenous process to enhance capacity, institutions and legitimacy of the state driven by state-society relations" (Ibid). This new understanding shifts the focus from a mere emphasis on institutional capacity development towards underlying issues of legitimacy.

Legitimacy – the acceptance of the authority of the state by citizens – influences the functioning of the state. Legitimacy "provides the basis for rule by consent rather than by coercion" (OECD, 2010:3). A wider acceptance of the authority of the state and a broader engagement of citizens with the state is likely to raise the effectiveness of the state. Lack of legitimacy, on the other hand, is a "major contributor to state fragility" (Ibid). It "undermines the processes of state - society bargaining that are central to the building of state capacity" (Ibid). In addition, it eschews the constructive engagement of citizens with the state (Ibid:13).

In short, present day state building is essentially a political process. At its root lies a political process of contestation and bargaining to negotiate and manage state-society relations. In other words, what drives the very process of state building is state- society interactions and settlements. Positive and mutually reinforcing relations between the state and various groups within society are the very foundations to the emergence of effective, legitimate and resilient states (Gleason, et al, 2011:3).

Actors in State Building

Although the traditional technical approach of state building has predominantly focused on governmental actors, state building is a process that involves a multitude of actors. This is recognized by the burgeoning literature on the state and state building. In his state-in- society model, Joel Migdal (2001) argues that the structure and the functioning of states in the third world is shaped by a process of struggle and accommodation between a wide array of state and non state actors. Similarly, a newly developed framework, the negotiating statehood framework, Didier Péclard and Tobias Hagmann (2010, 2011), argue that the state is a field of power made and remade through processes of "negotiation,

contestation and bricolage”(2010: 539). According to them Didier Péclard and Tobias Haggmann, State building is not solely an act of engineering by state leaders or transnational actors, but a complex process of negotiation and contestation between an array of state / non-state, national/ international, formal/informal actors (2011:6). The political, legal and institutional configuration of the state is a reflection of these negotiation processes at various levels

With a due recognition of the fact that former liberation movements or their reformed parties in the post liberation era are not the only actors; this study interrogates the credentials of ex-liberation movements at helm of state power in facilitating the emergence of stable, legitimate and effective states.

Challenges of State Building under Ex-Liberation Movements

In general, we can identify two closely interrelated sets of challenges. The first is associated with the organization and structuring of the movements, while the second one relates to what Clapham (2012:5), has called the “human” effects of the liberation struggle.

Organizational Challenges

Distinct Contexts; Same organization

The entire problem with the effort of state building under liberation movements starts with the organizational structure of the movements and the separate context the movements operate in the aftermath of the war. These are not political parties accustomed to politics as usual. They are organizations that are conceived as armed movements. And, as armed movements, their war time organization and structuring is ill suited to the task of governance. Fighting a war and governing a state are two distinct processes that require different organizations and attitudes. Fighting a war is “an enterprise with a single and readily identifiable goal, victory, to which all other considerations must be subordinated.” It calls for a specific form of organization such as unity of purpose, dedication on the part of the fighters and a top- down structure of command and control from the part of the leadership (Clapham, 2012:8). Running a government, especially, in the contemporary world, in contrast, is precisely a different form of exercise. It involves a complex process of agenda setting, a bottom up participatory decision making, accommodating diverse interests, responding to popular needs and interests, and delivering services. These differences in the nature of the two activities, logically, call for a different form of organization, priorities and strategies (Clapham, 2012:7).

The problem, however, is that liberation movements assume political power with their war time organization unchanged. They come to power with their militant, hierarchical, sectarian and internally undemocratic organization in place (Söderberg, 2006). While it is vital for them to undergo structural transformation, many of them fail to successful do so (Söderberg, 2006). Of course, liberation movements are not solely military machineries. They comprise political wings who presumably can discharge administrative responsibilities effectively as well as facilitate the transition of the movement into a fully political organ. However, in many liberation movements the political wings are subordinated to the military wings (Zambakari and Kang, 2013).

“Flawed Organizations”

On top of the inappropriateness of the organization of the movements to peace time politics and governance, the ontology of the movements is also seen as a problem. According to Southall(2013:327), liberation movements are flawed organizations. They present themselves as harbingers of democracy, human rights, Justice and good governance, yet their actual behavior has been akin to these principles. They declare themselves as democracies,

but their organization and operation has largely been undemocratic. They paint themselves as carriers of human rights, yet they have been guilty of atrocities themselves. Moreover, in contrary to their rhetoric to have stood for gender equality, they are predominantly patriarchal organizations. Noting all this, Southall(2013:327) writes:

....these were flawed organizations. Where as they have projected unity, they had been at times bitterly divided; they had proclaimed human rights, but had been guilty of terror and atrocities; they incorporated women, yet where overwhelmingly patriarchal; and while declaring themselves democratic, they were in many of their practices deeply authoritarian.

In the aftermath of the war, the memories and experiences of the liberation are selectively employed to justify the authority and legitimacy of the movements (Melber, 2010:n.p). Often, the struggle is “mystified” and its fighters are lionized. Some of this mystification is carried through liberation struggle music, such as the Chimurenga in Zimbabwe, heroes’ acres and martyrs museums in Zimbabwe, Namibia, Ethiopia, and Eritrea etc. Another means is the choice and declarations of national holidays that tend commemorate the achievements and sacrifices of the movements. On top of this, the leaders of the movements are frequently hailed. All these are selectively used to promote an exclusive vision to power by the liberation movements. The undemocratic practices and atrocities are simply never mentioned at all. This eulogy of movement fighters and their leaders is going to create an imbalance between members of the movements and other political actors precluding a smooth and an inclusive political process.

Therefore, in order to become an effective governing party and be able to facilitate the emergence of legitimate and effective states, former liberation movements need to undergo an organizational transformation. They need to dismantle their hierarchical, militarized and authoritarian structural organization and adopt a party organization. In countries, where these organizational transformations have been actualized, the countries tend to enjoy relative stability and democracy. In others, where such transformation has not genuinely been undertaken or remains incomplete, the countries remain autocratic and fragile. For example, among other things, the stability and democratic politics in South Africa is attributed to the successful transformation of the ANC from an armed organization in to a political party. Likewise, similar organizational transformations of the FMNL in El-Salvador, Renamo in Mozambique have significantly contributed to peace and multiparty democracy (Söderberg, 2004). In contrast, in Zimbabwe, Rwanda, Ethiopia, Eritrea, Liberia, and Uganda, among other things, authoritarianism and fragility – to a larger and lesser extent – is attributed to the fake or incomplete transformation of the movements in to political parties (Söderberg, 2004; McDonough, 2008:358)

Human Challenges

“Intense Sense Of Entitlement”

Immense sense of entitlement to state power and resources by the liberation fighters is one key manifestation of the collective human effect of the legacy of the armed struggle. Liberation fighters perceive themselves as the sole legitimate candidates to state power. According to Clapham (2012:5), this is the most recurrent theme that post liberation states often face. Those who participated in the struggle believe that they have won the right to govern the state through military victory and sacrifice (Dorman, 2006:1097). In particular, having taken their movement to ultimate triumph, movement leaders are convinced of not only the rightness of their causes but also their peculiar and legitimate entitlement to state power (Clapham, 2012:6). Power for them is not a “result simply of a popular vote that may be reversed in a later election, still less of a coup d’état that has to be justified in some way or other, but is instead the culmination of a lifetime mission”(Ibid).

In consequence, former liberation fighters who possess little or no qualification and experience, take control of senior government positions. What is even more intriguing is that their claim for hold on power appears to be permanent than transient. Original leaders of movements are often reluctant to step down and hand over power to next generations (Dorman, 2006:1095). Only in two cases, Namibia and South Africa, has the original liberation leaders peacefully stood down (Clapham, 2012:12). In Ethiopia, the leader, Melez Zenawi, has died in office; and he was replaced by a relatively new comer, Haile-Mariam Desalegn, who has not involved in the liberation struggle (Ibid). In most other cases, elsewhere, the original leaders still remain in office. For instance, 33 years after independence and having passed the mark of 90, Robert Mugabe, is still in power in Zimbabwe. Likewise, Youweri Museveine of Uganda's has been in power for well over 23 years. In Eritrea, President Issaias Afwerki, still remains in office 22 years after independence. Angola's, Jose Eduardo Dos Santos is also one of the longest serving heads of state in Africa, in power since the independence of Angola in 1975(Salih, 2007:670).

It is often true that the movements enjoy a wide legitimacy in the wake of their victory and rise to power (Clapham, 2012:4). However, the popular legitimacy the movements enjoy in the heydays of the liberation cannot always justify their leechlike cling to power. Indeed, as Clapham (Ibid: 12) rightly pointed out, the credit of the liberation is a "finite" one (Ibid: 12). The legitimacy granted to the movements by the war weary population gets "exhausted in the minds of much of the population quite earlier than the leaders recognise."(Ibid: 12). Sooner or later, the moment in which the regime is judged not by "its promises" but by its "performances" arrives (Ibid). Yet, no matter how much their legitimacy deteriorates, the movements hardly quit power. Rather, they employ a range of measures, some more repressive than others, to cling to power. In Namibia, Zimbabwe and Uganda, for instance, there has been an attempt to re-write the constitution and extend the term limits of the president (Dorman, 2006:1095). In other cases, such as Ethiopia and Rwanda, the movements have tried to "reinvent" themselves as "developmental" states to able to extend their stay in power (Clapham, 2012:13).

Re-Emerging Power Struggles

The post war effect of the legacy of the struggle is also felt in re-emerging internal and external power struggles.⁴⁷ External struggle pertain to what Clapham (Ibid: 6) has referred the "contest for movement hegemony." During the struggle, various movement groups – formed along ethnic, ideological, generational divides or a combination of all these – often fight each other to become the sole carrier of the struggle, and an ultimate beneficiaries of victory (Dorman, 2006:1093). In Eritrea, for instance, EPLF has carried out a bitter struggle against the Eritrean Liberation Front (ELF), which it has separated from, forcing it out of the field of battle (Dorman, 2012:1093). There has also been bitter struggle and fighting between ZANU and ZAPU in Zimbabwe, MPLA, FNLA and UNITA in Angola, and Frelimo and RENAMO in Mozambique (Clapham, 2012:6).

The important point about these war time struggles is that they tend to return in the post war period to haunt the political process in the post liberation era. Those that were defeated by the hegemonic movement do not totally cease to exist. Instead, they regroup, especially in the Diaspora, and continue to incite popular resistance against the movement in power, their former archetype enemy. Splinter groups of the ELF, for instance, to date continue to agitate opposition against the EPLF government in Eritrea (Dorman, Ibid: 1093).

⁴⁷ According to Dorman (2006:1092), the most lasting impacts of the liberation struggle are found in the re-emerging power struggles. She maintains that, "the most lasting impacts of liberation struggles are found not in post-liberation institution building, but in the relationships and alliances formed during those difficult years"(Ibid).

What is more fatal to an ongoing process of state building, however, is the internal struggles. In spite of their intense rhetoric of unity, liberation movements are far from being unified entities (Southall, 2013:1; Dorman, 2012:1093,). In most part, they are “coalitions of disparate forces” (Dorman, 2012:1093) or “divergent factions and rival leaders within what is nominally the same organization” (Clapham, 2012:6). The factions often reflect “differences between major population groups, on the basis for instance of ethnicity or religion, which constitute permanent elements within the national population...”(Ibid).

When the armed struggle is underway in the bushes, these internal rivalries are set aside for tactical reasons, i.e for the purpose of consolidating military power and winning a common enemy. However, once the war has come to an end and the movement is already in power, the rivalries tend to re-surface again. The major factor that prompts the re-emergence these old animosities is the very process of transition from movement to government itself. In this process of transitioning (in to government), some members of the movement might have gained important executive positions while others “may have failed to achieve the level of prominence that they have expected or to which they felt themselves entitled” (Clapham, 2012:8). More specifically, the power of the top liberation leader gets strengthened at the expense of other senior leaders. He assumes the position of the head of the government, while other former colleagues, who in fact had run the organization in partnership during the struggle, fall in to either subordinate positions or are, dismissed altogether (Clapham, 2012:9; Dorman, 2006:1094). This creates a winnowing situation, and is highly likely to rekindle struggles between those who assumed key executive positions and those who felt that they are marginalized (Clapham, 2012:9).

Besides, in the aftermath of the war where the challenges of adjusting to the new reality are immense, intense struggles between the military and the political wing of the liberation movement may also come to the surface (Söderberg, 2004). In Somaliland, for instance, fighting between the more radical and military wing of the SNM, the Alan As, and the civilian wing led by chairman of the movement, Abdurrahman Tuur, was the major factor responsible for the violence and insecurity that hit the country in the first two year of independence, 1991-1993(Farah, 1999:17). In South Sudan, the violence that has erupted between factions of the SPLM/A, led by the president of the republic and the Chairman of the SPLA/M Salvia Kirr, and his deputy, Riek Mechar, in December 2013, has taken the world youngest state back to the violence and carnage reminiscent of the long and deadly war with Sudan.

South Sudan’s Experience of State building

As a state under the leadership of an ex-liberation movement, South Sudan has been experiencing most of these challenges. Organizationally, although the SPLM/A was expected to develop in to a party and national army by the end of Comprehensive Peace Agreement (CPA), progress has largely been limited. Instead, the organization and political culture of the SPLM/A has largely persisted. A year after its much celebrated independence, for instance, Human Right groups, has repeatedly criticized the SPLA for its indiscipline and excessive use of force against civilians (Reporters without Borders, 2012:9). In addition, the SPLM was also criticized for maintaining its old top down and opaque decision making procedures,(ICG,2014:12), as well as, blocking efforts of democratization, particularly, clamping down the opposition and the media (Human Rights Watch,2012:4).

The human challenges of the liberation have also been strong and evident. The sense of entitlement among liberation fighters was immense (ICG, 2014:12; Blacking, 2012: 13). Many senior positions of the government and the army are occupied by former fighters; some of them still maintaining their military ranks (ICG, 2011:11-12). The impact of this has been enormous. According to Blackings (2012:12), the “we liberated you syndrome” and sense of

entitlement that attended it has been at the centre of the governance crisis South Sudan is currently facing. This doctrine has put former combatants and other citizens of the nascent country on a different scale of rights and privileges, precluding an inclusive political process as well as prompting corruption and embezzlement. Moreover, the internal struggles in which liberation movements are typically known for seems to have resurfaced again within the ranks of the SPLM. The very latest struggle is said to be between the president and chairman of SPLM, Salva Kiir and his vice president and vice chairman, Riek Mechar. Reportedly, the struggle commenced with the announcement of the latter to contest for the chairmanship of the party and presidency in the 2015 election (Wassara, 2014). The political wrestling that started between the two individuals soon developed into an armed confrontation in the SPLA, leading into a regrettable level of violence and mayhem reminiscent of the war.

The Current Crisis in Context

The ongoing crisis in South Sudan, this study has argued, is a consequence of a lingering problem of state building under the leadership of ex-liberation movements. The specific factor (challenge) that triggered the crisis was a renewed power struggle within the SPLM, particularly between the chairman and vice chairman of the party. Reportedly, disagreements between the two began to simmer up after the latter announced his intention to contest for the chairmanship of the party and vie for the presidency. This push by the Deputy president and vice chairman was not liked by the chairman and the president of the republic, Salva Kiir Myriadt, who has the same plan of staying in power, as chairman of the party and president of the republic (Wassara, 2014). This clash of interests between the two further endangered irreconcilable differences over issues of party leadership, elections and constitution (manifesto) (Ibid)

The disagreements got highly tense that they eventually culminated in a decision by Mechar and his supporters to boycott the second day meeting of the National Liberation Council of the SPLM (the highest deliberative organ of the SPLM) on December 15th. That same day in the evening violence broke out between Nuer and Dinka soldiers of the presidential guard (Tiger) battalion.⁴⁸

The SPLA Factor

The conflict which first started as a political rift in the SPLM soon developed into an armed confrontation within the ranks of the SPLA. This is evidence to how much the SPLA has remained as a guerrilla force of the past. In spite of efforts to professionalize the army, the SPLA still remains as a deeply divided and an ill disciplined force (Lachar, 2012:5). This happened to be the case not only because of the ontological past of the SPLA, but also due to the amalgamation various militias to the army in the post independence period. As a guerilla force, the SPLA is riven by internal divisions and competing groups (Lachar, 2012:5; ICG, 2014:5). This division among the constituent groups of the SPLA “reflects the bitter internecine history of the liberation struggle” (ICG, 2014:5). In the post independence period, these longstanding divisions within the army became increasingly combustible (ICG, 2014:5).

Moreover, in addition to these already existing predicaments, the amnesia and integration of various militia and opposition groups operating in the country to buy stability

⁴⁸ Reportedly, there was an order by the president to disarm the Nuer soldiers of the presidential guard. In the execution of this order, the officers in charge disarmed both Dinka and Nuer soldiers first. Yet the stores were reopened again and Dinka soldiers re-armed. The Nuer soldiers questioned this, and managed to break the stores and violence ensued. See, Radio Tamazuj (2013) “Nine questions about the South Sudan crisis: a guide for confused for confused observers” <https://radiotamazuj.org/en/article/nine-questions-about-south-sudan-crisis-guide-confused-observers>

has added an extra magnitude to the problem. Although this strategy is a very commendable effort that has had a remarkable outcome in neutralizing some of the militia groups and realizing relative stability, it had also a massive impact on the constitution and nature of the SPLA (ICG, 2011:13). This integration of the militias into the army, without even proper training, has “compromised” the endeavors to professionalize the army (Jok, 2014: 16). Many members of these militias are, in fact, hardly disciplined enough to be part of the national defense force (Ibid). On top of this, the integration of the militias into the army has made the SPLA a much more divided force than before. In the words of ICG, it has made it a “marriage of convenience”(ICG, 2011:13). Those who were brought into the army were in fact former adversaries of the SPLA (ICG, 2011: 13).

In addition, the integration of the militias has also altered the composition of the SPLA. Following the amnesty and integration process, more than half of SPLM troops became Nuer soldiers (ICG, 2014:6).

The Way Forward

The current crisis is very regrettable. Yet, this opportunity should be taken to redress the governance challenges facing South Sudan. In particular, concerted and sustained efforts should be made to transform the SPLM/A from a guerilla movement into a political party. The old hierarchal, militarized and authoritarian structure of the SPLM should be transformed into a much democratic one. There also is a need to strengthen efforts that were aimed at the creation a much more constrained, disciplined and professional army.

So far, the ongoing efforts of conflict resolution have been centered on stopping the violence. To the credit of the mediators, a Cessation of Hostilities Agreement has been signed by the parties. In light of the escalating violence and worsening humanitarian condition, this is a legitimate target to hit. However, the implementation of the agreement has been tenuous. In the short run, thus, the mediators in Addis Ababa should put at most effort towards the enforcement of the agreement on the ground, and its observance overtime. In the long run, the focus should be on the political negotiations to deal with issues of governance and power that led to the conflict in the first place. But still, given the current form the conflict has assumed most recently, this won't be enough. The crisis which started as a political deadlock has developed into an ethnic confrontation between the Nuer and Dinka ethnic groups. There have been immense atrocities done against members of each community since the conflict flared in December 2013. Because of this, community based reconciliation efforts are also essential to heal wounds and achieve sustainable peace. To be sure, as noted above, this is not the first time the two communities find themselves at loggerheads due internal rifts within the SPLM. In 1991, a similar split within the SPLM/A has resulted into the perpetration of massive atrocities against Dinka in Bor. In view of these animosities, therefore, current peace efforts should aim at broader reconciliation efforts to heal the wounds between the two major communities of South Sudan.

Conclusion

The current crisis in the South Sudan did not come out of the blue. Rather, it is part of a broader and recurrent problem of state building under ex-liberation movements. In most frequent cases ex-liberation movements who have taken state power after liberation had struggled to realize legitimate, effective and democratic states. This is primarily because of the organizational and human challenges the movements face following the end of war. Inability to depart from the war time modes operandi and modes vivendi precludes an effective and meaningful transformation in the country. Therefore, the problem South Sudan is currently facing should be seen in this perspective. Although its nascence means it might prove too early to tell, all indications are that South Sudan is undergoing the symptoms of

this broad and recurrent problem. Accordingly, the antidotes to the problem should be sought in efforts to sustainably transform the SPLM/A into a viable ruling political party and a national army.

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TECHNO-BUREAUCRATIC GOVERNANCE AND DEVELOPMENTAL STATE IN AFRICA: BOTSWANA AND NIGERIA IN COMPARATIVE PERSPECTIVE

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Abstract

This work uses developmental state's paradigm in explaining how development in the Third World should be understood as a process in which states have to play strategic roles in planning and sustaining economic development. By comparing Botswana and Nigeria, the work establishes how the nature and character of techno-bureaucratic governance become necessary in the emergence and sustenance of developmental state in Africa. Such developmental oriented technocracy and bureaucracy should not only be autonomous and constitute the Weberian ideal bureaucracy, but must also be powerful, highly professional and technically competent.

Keywords: Techno-Bureaucratic, technocracy, bureaucracy, governance, developmental state, institutionalists, orthodoxy, merit, efficiency, recruitment, promotion

Introduction

Development theory and policy debate over the years have remained contentious between the neoclassical paradigm and the "institutional" development theorists. Though, the Institutional development theory was the dominant orthodoxy during the 1950s and early 1960s, the neoclassical paradigm and the neoliberal economic measures associated with it, dominates development theory and policy in the late 1960s, especially after the emergence of a unipolar world, to the contemporary time. This prevailing development paradigm tends to view the state involvement in the economy as negative and therefore should be minimalistic in nature, quite against the belief of the "institutionalists" who contend that market failure is responsible for underdevelopment, so the state should play important roles in enhancing development. Thus, as a major protagonist of the neoclassical development paradigm and neoliberal economic measures, the World Bank argues especially in suggesting the cure for the problem of development in Africa a substantial retraction of authority and reach of the state through the privatization of public enterprises (World Bank, 1989).

Four different factors were responsible for the dominance of the debate on the best theory and policy thrust for economic development by the neoclassical orthodoxy over the Institutional theory or developmental state theorists, at least from the beginning of the 1970s up to the turn of the 21st century. First, was the collapse of many centrally planned economies in the socialist states. Second, the failure of extensive state intervention in promoting import-substituting industrialization which had instead generated inefficient industries that must be bailed out with unproductive interventionist funds from the state. Third, "rent seeking" generated by cases of extensive involvement of the state intervention in the economies as a major agent of industrialisation. Fourth, empirical evidence on the experience of the most successful countries to emerge from the Third World (Taiwan, South Korea, Hong Kong and Singapore) which showed that these countries have achieved economic development through an outward-oriented measures driven by a free market and private sector (Onis, 1991).

However, the failure of the neoliberal economic measures to rejuvenate the economies of most of the Third World countries, a reinterpretation of the East Asian development experience and the emerging interests of political scientist to look at the political characteristics of economically more successful developing countries have enhanced the emergence of a counter-critique of the neoclassical paradigm and the reemergence of the relevance of the developmental state thesis. Central to the position of the counter-critique of the neoclassical development paradigm is the argument that the development in the Third World should be understood as a process in which states have to play a strategic role in planning and sustaining economic development. This can be achieved by the developmental state which according to Adrian Leftwich “has sufficient power, probity, autonomy and competence at the centre to shape, pursue and encourage the achievement of explicit and nationally-determined development objectives, whether by establishing and promoting the conditions of economic growth, by organizing it directly, or by a varying combination of both” (Leftwich, 1994:381). This state is what De Onis (1999) refers to as a state where government is intimately involved in macro and micro economic planning in order to grow the economy. Chalmers Johnson distinguishes the “developmental orientation” of such a state from the socialist type command economy state, on the one hand, and the capitalist regulatory orientation on the other hand (Johnson, 1982: 19).

The developmental state orthodoxy suggests that for a state to be a developmental state, it must be stronger and autonomous state. An autonomous state enhanced by a powerful, efficient and autonomous bureaucracy recruited from the best talents available in the state. The bureaucracy and those with economics and technical expertise are given prominent roles in policy formulation and implementation in the developmental state. Technocrats and bureaucrats involvements in development process in a developmental state become invaluable because development planning requires a high level of economic and technical expertise. Thus, according to Peter Evans “the idea of developmental state puts robust, competent public institutions at the centre of the development matrix” (Evans, 2003:37). This is what Jayasuriya (2006) puts succinctly when he underlines the fact that institutions become the key to explaining development outcomes. Kunle Amuwo (2007) toes similar part when he holds strongly that “without a seasoned and development-oriented bureaucracy, state interventionism would, in all probability, amount to little more than the unwitting transfer of public resources to local capitalist class” (Amuwo, 2007:11).

Going by the above position, it is suggestive to note that extant literature on developmental state establish the fact that technocracy and an autonomous and efficient bureaucracy remain prime institution for the achievement of development by a state. However, it is important to point out that it would be grossly misleading and rather too simplistic to emphasise apparently technocratic and bureaucratic factors as a *sine qua non* for development by deemphasising the necessary political requirements of development. Therefore in order to take a holistic understanding of the process of development through the developmental state paradigm, the primacy of the nature, character, structure and purposes of the state which tend to concentrate in the state both the political will and the bureaucratic competence to establish developmental momentum must also be considered. Therefore explicitly there is a close link between *politics* and institutions ability to achieve development. Politics here is largely viewed within the context of the usage of the term by Adrian Leftwich as “all activities of conflict, cooperation and negotiation involved in the use, production and distribution of resources, whether material or ideal, and whether at local, national or international levels” (Leftwich, 1994:365).

Apparently, I hold unequivocally that there is a political base of the developmental state if technocrats and bureaucrats are considered relevant tools in the process of development. The relative autonomy of technocrats and bureaucrats in the formulation and

implementation of development policy is clearly the function of their political origins and the coalitions which supports them, while the authority and insulation of their economic high commands has flowed from the political power and support of the central political executives. The ability of the technocrats and the bureaucrats to deal with both the civil society and in particular with local and foreign interests, there is the need of political supports (Leftwich, 1995).

The relevancy of politics for a developmental state orthodoxy can also be located in the Peter Evans “embedded autonomous” argument which characterizes the relationship between the techno-bureaucratic elements and the private sector in the process of economic policy making and implementation. These institutions selectively link up with segments of civil society whose active involvement in the economy is necessary for productive transformation (Samatar, 1999:27). It is thus, the political base of the techno-bureaucratic structure that would guide against the overwhelming of the policy making process by a particularistic interest groups in the “embedded relationship” arising from the public-private partnership in the developmental process.

What the argument in the above paragraph suggests is that the processes involved in developmental policy making are to a large extent political in nature. Malcolm Wallis (1989) illustrates this when he underlines that “to understand how planning function it is important to be able to analyse it within its political context” (1989:45). The political context of a developmental state becomes more relevant upon the backdrop of the fact that it is possible for a state to have developmental structures without achieving development. Therefore any consideration of the state as developmental with the technocrats and bureaucrats as its containers must also clearly considers the importance of the nature and character of the state and politics in this process. It is on this premise that this chapter intends assessing the nature and character of techno-bureaucratic governance in Botswana and Nigeria in order to establish whether technocracy and bureaucracy in these countries represent structures that can enhance development.

Nature and Character of Techno-Bureaucratic Governance in Botswana

As I have stated under the introduction of this chapter technocracy and bureaucracy are important elements for a state to experience rapid economic growth and development through state-led policies and/or interventions. While I subscribe to the recommendation of an autonomous technocracy and the Weberian Ideal bureaucracy for the establishment and maintenance of a developmental state, I suggest that an autonomous and the Weberian ideal bureaucracy are not enough conditions for a state to be “developmental. This however, is not to water down the significance of an autonomous technocracy and Weberianness. This position only demonstrates that an autonomous technocracy and the Weberian ideal bureaucracy are not enough for a state-led development through techno-bureaucratic governance. Such developmental oriented technocracy and bureaucracy should not only be autonomous and constitute the Weberian ideal bureaucracy, but must also be powerful, highly professional and technically competent.

Amuwo (2008) regards these type of technocracy and bureaucracy as critical elements of state capacity when he opines that “an efficient, capable, disciplined, professional, skilled, and relatively autonomous bureaucracy, driven by a nationalistic political elite that privileges economic development” (2008:11). Therefore, the nature and character of technocracy and bureaucracy in Botswana as well as Nigeria shall be viewed in the context of their autonomy, Weberian ideal/rationality, professionalism, real power, authority and technical competence. These characteristics of technocracy and bureaucracy shall be examined with the view of establishing how these reflect in policies formulation, implementation and development planning.

An extremely meritocratic form of recruitment constitutes the starting point in understanding the developmental oriented type of bureaucracy under this discourse. The popular computer software terminology of “Garbage-in-Garbage-out” is relevant explaining how recruitment of technocrats and bureaucrats affect public service performance. The point being stressed here is that technocracy competence and bureaucratic efficiency are achieved by, among other things through the process of recruitment into the bureaucracy and the caliber of people appointed into cabinet positions. Thus the foremost factor that shaped the nature and character of technocracy and bureaucracy is the meritocratic recruitment. As Charles Harvey and Stephen Lewis (1990) remark, in Botswana, “considerable attention was paid, particularly within the civil service and the cabinet to putting able people into key positions and keeping them there for extended periods” (1990:9). Thus, the Botswana’s bureaucracy to a very large extent possesses one of the major characteristics of the Weberian ideal bureaucracy in the area of the appointment of personnel on the basis of qualification and experience.

This meritocratic recruitment into the civil service and cabinet positions in Botswana can be traced to the immediate post independence years of the country. Unlike much of the rest of African countries which embarked on the localization of their civil service immediately after independence at the expense of merit, Botswana embarked on gradual localization of its public service. Localising the public service in most of these African countries entailed quick and massive appointment and promotion of indigeneous bureaucrats in the military or civil service to positions previously occupied by white colonialists (Samatar, 1999). Botswana did not thread this pact followed by most African countries in order to enhance the efficiency and competence of the public service. The first President of the country, Seretse Khama clearly established this when he declared in 1967 that, “we would never sacrifice efficiency on the altar of localization” (Picard, 1987:205).

Therefore, in order to establish and develop a highly competent technocracy and bureaucracy and development planning, expatriates were retained in the Botswana Public service. The level of the total adherence to meritocratic appointment into the country’s public service was displayed with the headship of the Botswana civil service by a white Kenyan for several years after the country’s independence. These expatriates were only replaced whenever capable Batswanas were available to fill the positions occupied by the expatriates. The expatriates also assisted in building a very effective bureaucracy by training the local cadre of bureaucrats who later on take over the running of the country. As Du Toit (1995) suggests, the role of expatriates as upholders of the technical (and technocratic) standards of efficiency and effectiveness contribute to the functioning of the civil service as an effective and autonomous corporate group.

Apart from the meritocratic recruitment into the public service there is also high consideration for merit in the promotion of personnel in the service. As Balefi Tsie notes, “there are clear career paths and conditions of service for almost all categories of public servants” (1998:13). In the Botswana’s public service therefore, there are clear guidelines for promotions in the service, which is quite different from promotions based on patronage and/or ethnic considerations obtainable in most of the African countries. Line ministries in the Botswana’s public service set up their own promotion boards. The promotion boards comprised senior officers within the ministry and members of the Directorate of Public Service Management (DPSM), acting as support officers. This promotion boards review all promotions to ensure that deserving staff have been promoted, in order to drastically reduce biasness, victimisation and political considerations in the promotion processes (Scher, 2010). Promotion based on merit had to a very large extent increased the level of commitment of the bureaucrats and also ensures that competent people are promoted to relevant positions.

In order for a bureaucracy to be efficient and effective there is also the need for continuous training of the bureaucrats and for a developmental oriented technocrats training and updating of their technical expertise remains cardinal. As it is a common knowledge formulation and implementation of development policies require up to date technical and professional expertise, it therefore becomes pertinent for officers responsible for planning and development to update themselves with relevant knowledge surrounding the demands of the position they occupy. The basis of such training and development is necessarily to improve motivation, performance and productivity of the technocrats and bureaucrats. Foremost post independence Botswana technocrats and bureaucrats have taken training and personal development with utmost required attentions. As Harvey and Lewis (1990) point out;

“for more than a decade after independence it was common for visiting consultants or academics to give evening seminars attended by Ministers, Permanent Secretaries and other senior officials. In addition senior, meetings of cabinet frequently involved presentations by visiting experts, who were encouraged to share the comparative experiences of other countries both in Africa and all other parts of the world” (Harvey and Lewis, 1990:61)

More so, as Kempe Hope (1995) holds, the University of Botswana was established in 1982 among other things to perform the function of improving the quality and in expanding the quantity of the human resources needed for development. According to her “the university is used as a training institution for public servants, primarily for senior staff seeking professional and intellectual development in advanced public administration” (1995:57). Similarly, DPSM and ULCS engage in the training and education of public servants. The Botswana Institute of Administration and Commerce (BIAC) as well as the Institute of Development Management (IDM) also engage in training of the public servants in similar ways that the DPSM and ULCS does. Thus, in order to be developmental oriented high premium is placed on education and training of the technocrats and bureaucrats in Botswana. With the emphasis on education and training the Botswana public service enjoys the benefit of the supply of educated and competent individuals occupying various positions in the service.

The Botswana’s technocrats and bureaucrats also possess and improve their technical orientations through the “parallel progression” framework (Hope, 1995; Adamolekun, 1999). The PP framework is an incentive to provide career prospects for some specifically identified officers like artisans, technicians and professionals (notably accountants, engineers, architects and lawyers), by giving them the opportunity to progress upwards via two parallel lines in these relative areas of scarce manpower. The professional grades for these categories of official were opened up by three new grades, offering an optimum salary that was about 45% higher than the old salary grades of these categories of staff (Adamolekun, 1999). The basic objective of this framework is to attract and retain qualified and experienced officers with scarce skill who are required for economic development.

With the PP scheme the Botswana public service has been able to retain the services of qualified technical expertise and professionals in its fold especially with the gradual growth of the private sector. The PP has assisted the Botswana public service in not losing some of its capable hands to the private sector as witnessed in some other African countries. This is due to the recognition of the fact by the technocrats and professionals that the incentives and benefits they are receiving in the public sector is not different from what is obtainable in the private sector. In view of this, the Botswana public service can still boast of technically sound personnel and professional who continuously make the techno-bureaucratic governance development oriented.

From the foregoing it is never a misnomer to attest that the merit based appointments and promotion of technocrats and bureaucrats, their training and the reward system for

technicians and professionals have remained crucial in making techno-bureaucratic governance an important element in the developmental state of Botswana. In view of this, Botswana can rightly be said to have a powerful, competent and economic insulated bureaucracy which qualifies the country as a developmental state going by Adrian Leftwich (1995) six major components of a developmental state. Attention will however be shifted to an assessment of the impacts of the nature and character of technocracy and bureaucracy on the developmental policy making process in Botswana under the next section of this chapter.

Technocrats and Bureaucrats in the Development Process of Botswana

One of the basic characteristics of the Weberian ideal/legal rational bureaucracy is that bureaucrats should be politically neutral. That is, bureaucrats are not expected to be involved in the process of policy making, but rather they are only expected to implement policies made by the executive arm of government. What this suggests is that the elected political executives or appointed cabinet ministers are expected to make laws, while the bureaucrats take order from the executive for the implementation of the policies formulated. The top bureaucrats could at best play advisory roles to the politicians in the process of policy making. Going by this Weberian's principle of political neutrality for bureaucrats, it is only technocrats who are appointed by the executive head of government as cabinet ministers that can play any major role in the process of policy formulation.

The developmental state literature however negates this principle of political neutrality for bureaucrats in the process of developmental policy formulation and implementation. Instead of only focusing on the implementation of policy by the bureaucrats, the developmental state's orthodoxy holds strongly that bureaucrats remain necessary institutions for a state to achieve development. It is within this context that an attempt would be made under this section to examine the roles of the technocrats as well as the bureaucrats in the process of developmental policy making and implementation in Botswana, which have to a large extent assisted in enhancing the movement of the country from the league of one of the poorest countries in Africa in 1966 to that of one of the most prosperous country on the continent.

Theoretically, the Botswana's bureaucracy has been modeled along the Weberian's Principle of political neutrality, but as Somolekae (1993) remarks neutrality and autonomy remain relative concepts in Botswana. According to her, since independence, the official position of the government is that policy making is the function of the politicians while the bureaucrats should only be responsible for policy implementation. However, available empirical evidences show that in practice the bureaucrats and not the political leadership have dominated policy making in the country. Gilfred Gunderson clearly refers to Botswana as an "administrative state" in which "the administrative elites have complete control over the decision making process" (1971:7). And for Louis Picard the Botswana's bureaucracy remains "a major factor in policy-making process and a policy dominated socio-economic group" (1987:13).

Going from this, from the early years of Botswana's independence as I have noted earlier the expatriates who dominated the Botswana's bureaucracy were largely responsible for the formulation of policies and implementation, while according to Isaksen (1981:32) "politicians mobilized support at the polls. For instance as Charles Harvey explains, during the early years of Botswana's independence, the expatriate advisers briefed the cabinet and Members of Parliament on the technicalities and potentialities of macro policy. On the basis of this, policy options and responses are chosen. This tradition established at independence by the expatriates has remained to the present. The only major difference as correctly noted by Somolekae (1993:116) is that "the civil service contains far more African today than it did at independence". Thus development policy formulation and implementation have been

dominated by the technocrats and bureaucrats who are to a large extent technocratic in their modes of operation.

The roles of the bureaucrats and technocrats become more relevant in policy formulation and implementation when the government of Botswana had to (re)invent its institutions to move from routine administration to that of development planning and management. This transformation which took many years has the Ministry of Finance and Development Planning (MFDP) as its brain trust. The MFDP has remained important in directing the process of development in Botswana (Raphaeli et al, 1984; Holm, 1988; Samatar, 1999; Taylor, 2002; 2003; 2005; 2012; Sebudubudu & Molutsi, 2009). The MFDP headed by the Vice-President is responsible for planning, budgeting and coordinates all development activities. The ministry also carefully monitors the implementations of all development projects. The overall mandate of the Ministry is to coordinate national development planning, mobilise and prudently manage available financial and economic resources. Further to that the Ministry is responsible for the formulation of economic and financial policies for sustainable economic development.

To ensure that the MFDP's remains effective in spearheading development agenda, there are planning units, staffed by professional planners responsible to the director of Economic Affairs of MFDP, in other ministries (Samatar, 1999). This ministry which is the driving force behind Botswana's development is most often than not headed and dominated by seasoned technocrats and bureaucrats. In fact in the exception of Ian Khama, the office of the Vice-President and Minister of Finance and Development Planning has been mostly reserved for seasoned bureaucrats and technocrats who occupied that position for considerable number of years (Taylor, 2003; 2009). Such technocrats include Quett Masire who was a founder and principal of Seepapitso Secondary school, *African Echo* journalist and director, and editor of *Therisanyo* (Democratic Party Newspaper) (Answers.Com, 2013). Festus Mogae who was planning officer Ministry of Finance and Development planning (1970), secretary economic affairs MFDP (1972-74), Permanent Secretary MFDP (1975-76), Permanent Secretary MFDP (1989-98) (Answers.Com, 2013), before becoming the Vice-President and Minister of Finance for this same MFDP in which he has being a bureaucrat occupying different positions for several years. Peter Mmusi who resigned in 1993 was also the Vice-President and Minister of Finance and Development Planning.

In fact during the period when Ian Khama was the Vice-President, because he was not a technocrat, the Ministry of Finance and Development Planning was separated from the Vice-President's portfolio and a technocrat Baledzi Gaolathe was appointed as a substantive Minister of the MFDP. Gaolathe before becoming the Minister of Finance and Development Planning has served as the Governor of the Bank of Botswana (1997-1999) and a Member World Bank Board (1999). Similarly, Lt General Mompoti Merafhe who was the Vice-President to Ian Khama but who was not also the Minister of Finance and Development Planning from 2008 to 2012 has to be replaced with a technocrat Kedikilwe Ponatshego in 2012 because among other things the former's lack of bureaucratic and technocratic background to efficiently oversee the MFDP and eventually succeed Ian Khama as the President. Kedikilwe has before becoming the Vice-President and the Minister of Finance and Development was a career bureaucrat who has served as Assistant Principal, Ministry of Finance and Development Planning (1970-73), Principal Officer MFDP (1973-75), Director of Financial Affairs MFDP (1976-77) and Permanent Secretary Ministry of Works and Communication (1977-78), etc (Brillonline, 2013).

When Kedikilwe was sworn-in as the Vice-President and the Minister of Finance and Development Planning, the government still retained him in his initial position as the Minister of Minerals, Energy and Water Resources before a substantive Minister was appointed to the Ministry. According to the government "this will allow him to continue to

play a key role in efforts to promote greater beneficiation along with growth in the local mineral and energy sectors, including Botswana's emergence as a mines to market global diamond trading and processing hub" (Scoop World, 6 August 2012:1). Given these illustrations, it is quite correct to assert that this powerful MFDP and other development related Ministries like Ministry of Energy and Water Resources have been dominated by professional bureaucrats and seasoned technocrats who determine developmental policy options and the direction of Botswana's economy.

More so, it is instructive to point out that the separation of the Ministry of Finance and Development Planning from the office of the Vice-President when Ian Khama and Mompoti Merafhe were Vice-Presidents shows the importance that the government placed on the reservation of office for technocrats and bureaucrats. What this quite exemplified is that the role of development planning has been entirely reserved for technocrats and bureaucrats who are trained and have the expertise in economic policy making, in Botswana. Thus, it is never an accident of history that the MFDP has been entirely occupied by bureaucrats and technocrats since Botswana's independence in 1966 to date. Thus, 'such a Ministry and its close links to the Executive has secured a balance between development planning and budgeting, as well as strengthening the capacity to implement national goals and demonstrating a commitment to economic development' (Taylor, 2003:4).

Aside the domination of critical ministries that determine the economic development direction of Botswana by technocrats and bureaucrats, parastatals and boards relevant for the formulation and implementation of policies for economic development are headed and their composition dominated by technocrats and bureaucrats. One of such parastatal is the Bank of Botswana. The Bank of Botswana like any other Central Bank has the primary objectives of promoting and maintaining low and stable inflation, ensure an efficient payments system and keep the banking system safe and sound. To achieve these objectives, the Bank undertakes a number of functions, which include: formulating and implementing monetary policy, issuing currency, supervising and regulating commercial banks and other financial institutions, serving as economic and financial advisor to Government, implementing exchange rate policy and managing foreign exchange reserves (Bank of Botswana, 2007). The critical roles of this Bank in determining the economic direction of Botswana cannot be overemphasized. The importance of this institution is consistently matched with the culture of appointing bureaucrats as its Governor. For instance Mrs Linah Mohohlo who was appointed as the Bank's Governor in 1999 has been at the central bank for 23 years as a civil servant occupying different positions. This means that she has been a bureaucrat at the Bank for more than 35 years (Bank of Botswana, 2012). Her predecessor as the Bank's Governor Baledzi Gaolethe was also a renowned bureaucrat who has served in various capacities at the Ministry of Finance and Development Planning before becoming the Governor of the Bank.

Another reference point where technocrats and bureaucrats have constituted important elements in Botswana's development process is their important representation in the DEBSWANA Board of Directors. The DEBSWANA Board of Directors consists of 13 members, with 6 of its members being the Botswana's government nominees. Due to the importance of the mining industry and the premium placed on the important roles of technocrats and bureaucrats in determining the country's development these nominees are always technocrats and bureaucrats. I will make reference to the technocratic and bureaucratic backgrounds of the 2009 government nominees to the DEBSWANA Board of Directors to support this argument. Eric Molale who is one of the government's nominees to the Board was a District Commissioner Ministry of Local Government, Lands and Housing in 1991, Private Secretary MFDP in 1994, Chief Economist MFDP in 1994, Deputy Permanent Secretary Ministry of Lands and Housing in 1996 and Permanent Secretary Ministry of Local Government, before his appointment. Another nominee Solomon Sekwakwa was a Principal

Economist MFDP in 1998 and Secretary Development and Budget Division of the MFDP before his appointment (DEBSWANA, 2013).

Prior to his appointment as a Board member Boikobo Payawas the Permanent Secretary in the Ministry of Minerals, Energy and Water Resources, the post he holds effective 01 October 2010, was the Deputy Permanent Secretary in the same ministry, responsible for water and energy sectors'. Healsoserved, from April 2007 to October 2008, as Project Manager; Mmamabula Coordinating Unit, still under the Ministry of Minerals, Energy and Water Resources. During that time he was involved in issues of strategic importance in the ministry particularly in the water and energy sectors (Funding for Morupule B Phase 1, independent power producers (IPP) emergency water supply project, water sector institutional reform and preparation of NDP 10 for water, energy and mineral sectors). Boikobo Paya was once the Director of the Department of Water Affairs from April 2005 to April 2007, a department under the ministry of Minerals, Energy and Water resources.

Another member of the Board of Directors, Neo D. Moroka is a technocrat who has served as the Chief Executive Officer and Resident Director of De Beers Botswana. He however started his working career in the public service in 1980. In 1984, he joined Barclays Bank and moved up the ranks until he left to work for BP in 1991, first as the General Manager for BP Botswana and Managing Director for BP Zambia in 1999 (Ibid). One of the female members of the Board of Directors, Athalia Molokomme, taught law at the University of Botswana from 1981 - 1996, with periods of study leave in between, and has researched and published extensively in the fields of family law, women and law, customary law and employment law. In October 2005, she was appointed to the position of Attorney General of Botswana. Linah Mohohlo, the Governor of the Bank of Botswana is another female member of the Board of Directors (Ibid). Since the Diamond remains the major resources of Botswana the roles that these government nominees play in the Board to a large extent determine how much benefits the country gets from its natural resources.

The critical roles of technocrats and bureaucrats in Botswana's developmental process can also be located in the formulation and implementation of National Development Plan (NDP). The NDP is five-to-six year rolling plans which focused on an extensive process of project selection, prioritization and resource allocation. The planning process of the NDP involves a number of discrete steps. According to Sebudubudu and Molutsi (2009) these steps include: the Ministry of Finance and Development Planning drafting the Key Issues Paper (KIP). This KIP is a general framework which states possible issues to be focused on during the coming plan. On the basis of KIP, each sectoral ministry and department are given the opportunity to both comment on, and develop their Sectoral Key Issues Papers (SKIPs); on the basis of KIP and SKIPs, the MFDP produces Macroeconomic Strategy Paper, which defines total estimated cost allocation proposals for each ministry and sector; after this second step, the next step will be for each ministry and its broad stakeholders to work together to prioritise which programmes and projects will go into the plan; thereafter, these programmes and projects would be compiled into a draft plan which goes to the National Consultative Forum for discussion and modification. The NCF then has the opportunity to question, change and add new programmes and projects across sectors; the draft plan then goes to Parliament for debate and final approvals.

The process of the development of the Key Issues Paper, through the SKIPs up to the formulation of the final National Development Plan by the National Consultative Forum is dominated by technocrats and bureaucrats in each of these processes. The only role that politicians play is only at the level of debate and approval of the NDP in the parliament. In view of this, the NDP gives the technocrats and bureaucrats a great degree of roles in policy making than the politicians. This presupposes that "a technical document, drafted by experts

and then approved by elected representatives, serves as the blueprint for government policy” (Taylor 2002:13-14). As Ian Taylor while quoting Patrick Molutsi points out “once the new plan is approved, politicians’ proposals not in the plan are turned aside on the grounds that only emergency measures can be adopted until the next plan is formulated” (Taylor, 2002:14; 2005:48).

Similar to the above roles play by technocrats and bureaucrats in the formulation and implementation of the NDP is the role of Bureaucrats and technocrats in the area of mineral policy. The Mineral Policy Committee (MPC) made up of four Permanent Secretaries, undertook all the crucial detailed negotiations with the representatives of interested mining companies as well as having day-to-day responsibilities for mineral policy generally (Charlton, 1991). The setting up in 1995 of the Botswana Institute of Development Policy Analysis (BIDPA), also to some substantial level increases the impacts of technocrats and Bureaucrats in the process of development of Botswana. This institute which has a high-profile board, comprising of the governor of the Bank of Botswana, the managing director of the Botswana Confederation of Commerce, Industry and Manpower, and the managing director of DEBSWANA represents another policy planning and implementation body dominated by technocrats and bureaucrats. This BIDPA is dominated by technocrats who help to enhance development policy management. The institute also evaluates government programmes implemented for some specific periods with an econometric modeling in order to enhance government capacity in macroeconomic policy analysis and also domiciled a training programme in policy planning and programming, in collaboration with the University of Botswana (Adamolekun, 1999).

Nature and Character of Techno-Bureaucratic Governance in Nigeria

Nigeria is a federal state with civil service at the central, state and local government levels. Therefore, the Nigerian bureaucracy comprises the federal civil service, thirty-six state civil services, 774 local government civil services, several federal and state government agencies, parastatals and corporations. An examination of techno-bureaucratic governance under this section shall basically focus on the federal civil service, agencies, parastatals and corporations. It is however pertinent to point out that the nature and character of techno-bureaucratic governance at the central level depict what is obtainable at the different states of the federation. That is, whatever characteristics and nature of the technocracy and bureaucracy at the federal level that I will examine can be used to generalize about the entire bureaucracy and technocracy in Nigeria.

Major discourse under this section shall be adequately based upon the background of how a former president of Nigeria, Olusegun Obasanjo aptly describes bureaucracy and technocracy in Nigeria when he contends strongly that:

Over the years, the public services at federal and state levels lost the value on which they were established. Merit is sacrificed for expediency and opportunism. Retraining of hired staff hardly take place. It allows so-called ghost workers to infiltrate the service and ended up with a pay-roll that is totally at variance with output or productivity, parastatals are so mismanaged, looted, and badly ruined that they became an embarrassment to norms of efficiency, productivity, management and probity... Proliferation of parastatals as well as the creation of several agencies had resulted in unnecessary duplication of functions and in some cases, mandates... The management of these agencies appointed persons into the public service haphazardly with the result that most of them are now over-bloated and enormous resources are spent on their overheads (The Guardian Newspaper August 3, 2004).

The above statement from the former president of Nigeria shall form our basis of analysis and shall be done in a more elaborate form and which shall show a clear picture of the nature and character of bureaucracy and technocracy in Nigeria. From a more historical perspective, the Nigerian bureaucracy just like its counterpart in most of the post-colonial states was a colonial creation, which was not in any way directed toward any developmental agenda. It was purely established for the exploitation of these colonies with the mandate of maintaining law and order. It was post-independence developmental challenges of the country that gave the bureaucracy more roles other than its initial roles for which it was created (Fajonyomi, 1998). Immediately after independence, the Nigerian government embarked on the policy of indigenization/Nigerianisation of the bureaucracy which further placed lots of responsibilities and roles on the few less trained bureaucrats and technocrats.

However, with an enormous task placed on the Nigerian bureaucracy as the shopping floors of government business, Nigeria which at its early years of independence was categorized in the middle row of the rich countries in the world, slipped to one of the poorest countries in the 21st century, not in term of paucity of resources but on the level of poverty in the country. The decline of Nigeria from the league of the richest countries in the world to its present state of one of the poorest countries can to a large extent be linked to the nature and character of its bureaucracy and technocracy. As I have argued severally and with consensus of opinion in the literature that the roles of a competent, meritocratic, well-structured and motivated bureaucracy and technocracy are important for a nation to achieve development, the present state of underdevelopment of Nigeria can therefore be linked to a bureaucracy lacking these fundamental characteristics. I shall in turn discuss some of the characteristics of the Nigerian bureaucracy and the nature of its technocracy which have greatly impeded the country's development, especially under its democratic government.

Public service in Nigeria stipulates a checklist of requirements for entry into the service (Eme & Ugwu, 2011). Thus, theoretically public service positions are supposed to be filled on the basis of merit. However, in practice empirical evidences suggest that guideline for recruitment is not mostly adhered to in the recruitment of personnel into the Nigerian public service. The abandonment of the guideline for recruitment into public service inadvertently opens the gate of entry into the service for incompetent persons. This to a large extent affects the performance of the Nigerian bureaucracy in the area of policy articulation, implementation and evaluation (Adeyemo & Osunyanmi, 2009). Various reasons account for the non-meritocratic recruitment into public services in Nigeria. These categories of factors fall into structural (Nnoli, 1980; Yusufu, 1992; Adebayo, 2001) and political problems. The structural factors shall be majorly discussed under this section while adequate attention shall be given to the political factors under subsequent chapters of this work.

Taking a retrospective look at one of the major factors that have affected the efficiency of the Nigerian bureaucracy is the policy of indigenization/Nigerianization of the public service. It is on record that immediately after independence, the Nigerian government embarked on filling every public office occupied by expatriates during colonialism with its citizens. Ironically during this period there were few numbers of experts or technocrats who can perform the functions which requires technical expertise. Thus in the spirit of indigenization of the Nigerian public service the foundation for the non-meritocratic recruitment into the public service was laid. This continued several years after Nigerian independence despite some reform agenda by various governments in the country.

Furthermore, recruitment into the public service, especially those of junior staff on salary Grade Levels 01-06 delegated to ministers/extra-ministerial officers have mostly being done on the basis of the personal interest of the recruiting officer and for the reduction of rates of unemployment in the country. Phillips (1991) subscribes to this position when he asserts that too little qualified personnel are hired in the Nigerian public service at the top

levels and too many support staff. A service-wide study conducted by the Management Services Office of the Head of Service of the Federation in 2001 reveals that the Junior (unskilled) staff on Grade Levels 01-06 constituted about 70% of the entire workforce, while Grade Levels 15 and above (Managerial levels) constituted 7% of the total force (Guardian Newspaper, 24th May, 2001). The high number of junior staff in the Nigerian public service is linked to the fact such positions are used to reduce the high rate of unemployment in the country. Relatedly, most people who are recruited into the public service are those who couldn't find a place in the private sector which is known for the recruitment of the best hands and have remuneration far above those paid to the public servants.

The principles of federal character and quota system for recruitment into public offices have also impacted negatively on the meritocratic recruitment in the service (Eme & Ugwu, 2011; Ogunronfa, 2012). The term "federal character" was introduced to ensure equal representation of the various units or sections in the Nigerian bureaucracy and public offices (Maduabum, 2008). The 1999 constitution of Nigeria which adequately entrenched this principle states that:

The composition of the Government of the Federation or any of its agencies and the conduct of its affairs shall be carried out in such manner as to reflect the federal character of Nigeria and the need to promote national unity, and also to command national loyalty, thereby ensuring that there shall be no predominance of persons from a few states or from a few ethnic or other sectional groups in that government or in any of its agencies (Section 14(3) of the Nigerian 1999 constitution)

The principles of federal character and quota system are not entirely a wrong policy considering the rate of ethnic division of the country. However, in most instances these principles have been abused because in the spirit of implementing the principles purely personal and regional interests have been used in recruitment into public service and for political appointments in various ministries, agencies and parastatals. This has to a large extent affected the quality of those recruited into the service. Thus, these principles have frustrated professionalism and competence in the Nigerian public service. As Maduabum (2008) aptly argues "since access to employment is not open to everybody, the 'lucky anointed' few, who in most cases, do not have the required skills, perform responsibilities that are meant for professionals" (Maduabum, 2008:172).

The subversion of merit in recruitment into public service positions in Nigeria caused by structural problems explained above has also led to the over-bloating of the civil service and the numbers of agencies and parastatals in the country. Under a Harmonized Report of the 20 editions of a workshop attended by 1,902 Directorate Level officers in the Federal Civil Service, between 1999 and 2001 it was discovered among other things that there have been massive expansion in the size of the public service which had risen 350% between 1960 and 1999 compared with a national population increase of 160% over the same period (Eme & Ugwu, 2011). Similarly, from 1999 to 2012 the total strength of the Nigerian civil service has increased tremendously with no actual data of the staff strength available anywhere. It should be noted that as observed earlier under this section the bloating of the service is at the lowest cadre which accounts for 70% of the total workforce. And as Maduabum points out, "there is also a parading atmosphere of non-creative engagement of the remaining 30% at the officer's level in productivity assignment" (Maduabum, 2008:641). What this suggests is that the Nigerian bureaucracy is over-populated with so many unmerited and unproductive civil servants and which has also resulted to a situation whereby 80% of the government budget is directed towards recurrent expenditure, while the remaining 20% is meant for capital expenditure.

Similar to the above point and as also stated earlier is the fact that there is proliferation of parastatals, as well as the creation of several agencies which has resulted in

unnecessary duplication of functions and mandates. At present the country has over sixty various parastatals and agencies who are without mission and vision statements, or clear corporate and individual schedule of duties. These parastatals and agencies have different board chairmen and members on the pay roll of the government, while at the same time having their independent staff that forms part of the bloated public service.

Promotion in the Nigerian public service also follows similar pattern like that of recruitment. Promotion at the junior and middle carrier level are mostly done on the basis of seniority and favoritism. Okafor (2005) puts this in a proper perspective when he holds that:

...Once ensconced in a bureaucratic position, officials are promoted primarily on the basis of seniority. Rules for promotion fail to differentiate between productive and non-productive workers (Okafor, 2005:67)

Officials at the directorate levels are however promoted on the basis of the principle of federal character and not on the basis of performance. That is why it is not uncommon in the public service to see civil servants been promoted to the position of Permanent Secretaries above those they met on the job and those that are more productive. This situation is made worse due to the fact that appointment as a permanent secretary which happens to be a vital decision making position in the civil service is done at the discretion of the president. The president while appointing the permanent secretaries mostly considers the need to fill slot of various segments of the country instead of matching employees' skills with the needs of the position.

Other pronounced features of the bureaucracy and technocracy in Nigeria is that fact that on-the-job training are weak and ineffective (Adebayo, 2001), poor remuneration of bureaucrats and technocrats (Ejiofor, 1987; Fajonyomi, 1998; 1998; Okoh, 1998; Onyeoruru, 2005). In fact remuneration in the public service is too low to attract the best in the society. This allows the private sector, such as oil companies, financial institutions, telecommunication companies, construction companies, etc to recruit the best. As Fajonyomi posits

“the disparity between the public and private wages is so wide that those who take up public service jobs do so for absence of something better... Consequently, the civil service lacks the high level competence required, not only to formulate development policies, but also to convince prospective investors on the actual state of the economy. (Fajonyomi, 1998:64).

Technocrats and Bureaucrats in the Development Process of Nigeria

Since the restoration of electoral democracy in Nigeria till the time of the administration led by President Goodluck Jonathan, it has become a common practice for each regime to constitute an economic team, especially at the beginning of their tenures. Members of the various teams are expected to manage the economy in order to promote economic development of the country and engendered an efficient and dynamic self reliant economy (Nigeria Intel, April 8, 2013). Most of the members and the leaders of this team are technocrats. Apart from the economic team and the National Planning Commission, some of the ministers and other aides of the president are either technocrats or bureaucrats. In fact, according to Kifordu (2011) 6.6 and 19.7 percent of bureaucrats and technocrats are recruited into ministerial positions between 1999 and 2007.

The Olusegun Obasanjo's administration who was the first president after the return of electoral democracy engaged the services of technocrats, though not as a cohesive group. These technocrats appointed by Obasanjo were accomplished individuals in their respective areas. Such include Dr Ngozi Okonjo-Iweala, who was once a director at the World Bank and one of the Bank's Managing Directors between October 2007- July 2011. Okonjo-Iweala who holds doctorate Degree in Economics from the Massachusetts Institute of Technology in

United States was also appointed minister of finance and the coordinating Minister of the Economy by the Goodluck Jonathan's administration. With her position as the Coordinating Minister of the Economy she heads the economic management team-comprising selected governors, ministers, manufacturers and the Central Bank of Nigeria. In her capacity she oversees the economic policy thrust of the economy (Masterweb Reports, 2013).

The National Economic Management Team in Nigeria is similar to the Council of Economic Advisers (CEA) in the United States. It is an agency within the Executive Office of the President and it advises the President of the United States on economic policy. The team in United State is made up of renowned economists and policy wonks (Sahara Reporters September 09, 2012) The Nigerian team also has some technocrats and economists as members. Some of them include Barth Nnaji, a Professor of Mechanical and Industrial Engineering at the University of Massachusetts Amherst has on different occasion been a Special Adviser to President Goodluck Jonathan on Power and Chairman, Presidential taskforce on Power. Another member of the team that readily attracts attention is Mallam Sanusi Lamido, Governor of Central Bank of Nigeria (CBN) (Vanguard Newspaper, 20 August, 2011). Though the Nigerian economic team is made up of some technocrats but majority of them are those that have business interests in Nigeria, such as Aliko Dangote, Femi Otedola, Aig Imoukhuede, and those that have been recycled in government over the years.

It has become the usual practice for different civilian governments in Nigeria to appoint some technocrats to embark on reforms in the financial sector, judicial sector, and public sector, among others (Mustapha, 2006). It is however instructive to note that the various administrations from 1999 to 2013 have witnessed economic team and cabinet instability occasioned by regular change of members of the team and ministers. Few examples are sufficed to buttress this position. At the end of the first year of the administration of President Olusegun Obasanjo in 1999, one-third of the 30 ministers were either rotated or replaced. By the third year, additional 12 ministers were replaced, and by the start of his second term of office in 2003, only four ministers from the first term survived their posts. In fact, Dr Okonjo-Iweala, an economist, who happened to be head of the economic team during the first term administration of Obasanjo was removed as a result of her rising public profile and 'demoted' to the post of minister of affairs while away in London negotiating the final phase of debt cancellation for Nigeria (Akinyoade, 2009). In fact Dr Shamsudeen Usman a seasoned economist who happens to be the longest serving minister (This Day Newspaper, 12 September, 2013) from 2007-2013 was removed as the Minister of National Planning under non convincing circumstances.

What the above also suggests is that the Ministry of National Planning which is very important to development planning was not also spared of the instability of office of appointed technocrats. The ministry has the mandate to determine policies relating to National Development and overall management of the national economy. The ministry aims at efficient planning that guides the growth and development of Nigerian economy to be among the leading economies in the world. Furthermore, it determines and efficiently advise on matters relating to national development and overall management of the economy for positive growth; and to ensure that plans and policies are properly implemented by all relevant stakeholders (whoiswho, 2013). Despite these important functions of the ministry and the need for long term planning no minister spent more than four years as a minister of National Planning. Usman remains the longest serving minister in the ministry who served for about four years in that position (before becoming the minister of National Planning he was the minister of Finance from 2007-2009).

What this scenario portends is that no technocrats and bureaucrats appointed to development relevant and ministerial positions occupied such position for a period of four

years. More so, only few ministers occupy their positions on expertise, knowledge and professional expertise. This has negative impact on development policy choice and outcome. Akinyoade attests to this when he points out that “respective ministers do not have enough time to digest their mandate and come up with plans that tie into the federal government strategic plans and business plans in a way that ensures effective achievement and monitoring of target goals” (2009:13).

Similarly, selected ministers are not given adequate opportunity to have independent choice in the formulation and implementation of workable strategic plans. This is informed by the fact that they hardly concentrate on their duties before they are relieved of their position. Most often technocrats are sacked from their position when general elections are approaching in order to pave the way for appointment of political loyalists that would help in securing victory in elections for the ruling party.

The above situation is made worse due to the fact that the bureaucracy which should serve as a gap for policy instability occasioned by instability of office of technocrats is not only inefficient, but also not autonomous. The end result of this is policy making that is dominated by politicians with limited role for the bureaucracy.

Conclusion

Using the developmental theorist argument to explain developmental outcomes prominently gives the bureaucracy and technocracy important roles in the process of development. Thus, an efficient bureaucracy and technocracy remain invaluable in the process of development. It is however important to point out that the nature and character of a country’s techno-bureaucratic governance determines development outcome. So, one of the logical explanations for the movement of Botswana from a state of underdevelopment to development can be anchored on the autonomy and efficiency of techno-bureaucratic governance in the country.

Therefore, I argued strongly that in order to enhance development through a state-centric approach an autonomous and efficient bureaucracy and technocracy remain invaluable. Under this process of development the expectation is that seasoned technocrats and bureaucrats should be given the opportunity of occupying positions relevant for economic development. The technocrats and bureaucrats should not only be given prominent roles in these development relevant positions, but they should also be engaged in a rather considerable long period of time. This is of utmost importance because policy formulation and implementation requires adequate time for it to achieve its required goal. Going by this argument, it is expedient to point out that for African countries dreaming of development their bureaucracy should be efficient and autonomous, while technocrats should be appointed to development relevant positions, with a high degree of insulation from political and business interests.

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DEFENDING THE EMPIRE: ANALYZING MILITARY RECRUITMENT IN COLONIAL MIANWALI DISTRICT

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Abstract

This paper brings into focus the military traditions in Mianwali District in Colonial era. Due to its proximity to Salt Range areas of Jhelum, Chakwal, and Shahpur districts, the recruits in this region were considered ideally suited for the harsh military conditions, primarily owing to their physique. An increasingly large number of recruits served in the colonial army in order to supplement their agricultural income derived from haphazard cultivation. Mianwali is a region inhabited by various tribes, kinship or biradaris as it is put in local parlance. The district had overwhelmingly Pathan population along with other communities including Jats, Baluch, Rajputs and Khattaks. Tribes and castes not only symbolized strength and power but also served as the identity marker. Ethnic prejudices and sense of superiority of one clan over another were the defining features among Pathan clans. Economic interests and ethnic prejudices had fostered inter-tribal rivalries and stunted mutual harmony and social cohesion. Tribes lie at the heart of rural identity. Tribal identity itself served as a wedge, precluding unity among the tribes. The British recognized the social and political importance of this tribal structure to strengthen colonial rule in this region. Colonial interests were served by the policy of cooption of rural elite, who served as intermediaries in the colonial hierarchy of power. A class of landowners was created in the district to serve as a nexus between state and people by means of lucrative grants. Hence a tribally based local administration was conjured up. The rural leaders legitimized their authority through their lands, an insignia of power and prestige and their connection with the British officials. The local leaders emerged from the Khawanins of Isa Khel, Nawabs of Kalabagh, landed aristocrats of Piplan, Wan Bhachran, Bhakkar, whereas other tribes faced economic marginalization. This gap subsequently exacerbated the inter-tribal misgivings. The colonial state and rural elite developed a nexus to relegate the district to economic marginalization, as a result enlistment in army was left as the only alternative for subsistence.

Keywords: Colonial military, Mianwali, martial race theory, Pathan, Rajput, Khattak

Introduction

Mianwali was not accorded substantial significance in the colonial system as it had a peripheral location in the Punjab and was essentially located as a recruiting region. The main tribes who were recruited in the army were Bhangi Khels and Khattaks from Isa Khel although small in number, supplied excellent warriors to several regiments of the Frontier Force. Awan tribe living on the fringe of Talagang Tehsil and the Zangeza Balochs in the Dab region joined 15th Lancers in large proportion.⁴⁹ The Bhidwals, another Jat clan, inhabiting the south-east of the Bhakkar Thal had a natural inclination towards military service. The Baloch constituting considerably large part of the population of the Bhakkar

⁴⁹ *Record of the War Services of the Mianwali District, (1914-19)* D. J. Boyd, Esquire, ICS, Lahore, Civil and Military Gazette Press 1922, p 1

Tehsil, joined Cavalry Regiment specially to the 35th Scinde Horse.⁵⁰ Niazi Pathans of Pai Khel, Bori Khel, Musa Khel, Tari Khel and Moch had long been associated with the military service. Baluch who constituted large part of cavalry were known as camel riders. They held pride in their sword and warrior tendencies so they preferred army as their choicest inclination. They had a distinct tribal and political organization and were largely migrated to cis-indus tract in east of Thal under their chiefs and leaders. The eastern Thal region was not agriculturally rich which drove them towards army as only alternative. Bhangi Khels and Khattaks were settled in IsaKhel, were a fine manly race. They had warlike nature and had been involved in feuds for centuries. They were industrious and good cultivators but they possessed stony and unfertile tract with very meager economic resources. This economically marginalized tribe secured economic shelter in army. The Rajput's presence in colonial army could also be seen in the context of their feudal instinct. They preferred pastoral to agricultural pursuits as they despised agriculture and all manual labour was looked upon as derogatory. Military exposed all these warrior tribes to an opportunity to satisfy their martial self-image apart from economic security. In a socially conservative society of Mianwali, the tradition of military service came to be perceived as a mark of social status and not as a career. In the district which was overwhelmingly constituted by Pathan population, the desire to maintain a warrior tradition among certain tribes e.g Rajputs, Baluch and Khattaks was there, however, there were equally important economic factors that motivated enlistment in the army, which can be considered as fundamental push factors. Military service promised a regular pay, pension and land grant too. Many families were dependent on military earnings. According to Tan Tai Yong, "Military service offered an escape route from the ecological impasse."⁵¹

The Salt Range tract including Mianwali was agriculturally disadvantaged and the people found an easy outlet to seek future in the army. The study also reveals how substantial was the role of rural elite as recruiting agents in war efforts to raise the level of recruitment in the district. The rural elite had developed a nexus with military command to help in enlisting men in the army and also provided economic assistance to the colonial government. The Niazi pathan tribes figured significantly in the district but they had a meager presence in the army which does not corroborate the widely believed British assumption of pathan as a martial race. The reluctance on the part of pathans to join army was seen as resistance against state's authority.

Mianwali District

Mianwali district is located in the north-west of the Punjab and had been most south-westerly district of the Rawalpindi Division of the Punjab⁵². The district comprises of three sub-divisions namely Mianwali, Isakhel, Piplan. Mianwali is a bordering district of the Punjab, having common borders with district Kohat, Laki Marwat and D.I.Khan⁵³. Mianwali was sliced away from North West Frontier Province, incorporated into the Punjab and was accorded the status of a district in 1901⁵⁴.

After the annexation of the Punjab, the district was brought under a centralized and elaborate administrative system. It was a time when major districts in the Punjab ushered in an age of modernity, however Mianwali remained distinctively backward. Due to its peripheral location in the West Punjab, it remained quite low in the priority list of the British regarding their imperialist scheme of things. Colonial indifference was reflected quite

⁵⁰ Ibid.

⁵¹ Tan Tai Yong, *The Garrison State*, p. 83

⁵² Gazetteer, Mianwali district 1915, Lahore; Sang-e-Meel 1990, p.1-2

⁵³ Ibid

⁵⁴ Ibid, p. 42

explicitly on over all state of the district as Mianwali had supposedly no tangible bearing on the politics and economy of the Punjab. Its separation from mainland of the Punjab had made the natives politically inert and virtually ignorant. There was hardly any investment in the education, socio-cultural development, infrastructure and agriculture, although the district had an overwhelmingly agrarian economy. The colonial policy was hinged on the perception that investment must yield economic benefits. The prospects in Mianwali were not in consonance with the colonial ideology. Hence the district was essentially identified as a recruiting region, the social and economic backwardness of the district substantiated the colonial policy enshrined in “Martial Race Theory.”

Martial Race Theory in a historical context

Military remained one of the most distinctive features of the Punjab’s colonial history. The Punjab as one of the last annexed region came into colonial fold as a “non-regulation” Province. With the turn of second half of 19th century, following the events of 1857 the Punjab became the “sword arm of the Raj”. The revolt of the Bengal army in the wake of war of independence(1857) brought a reversal in its policy of demilitarization. The Punjab was once again ready to be rearmed. In the Punjab a strong military tradition existed which subsequently made it “ sword arm of the Raj”. The post 1857 India witnessed a major shift in the imperial Ideology which was engrossed in two central themes.⁵⁵ One was the redefinition of the relationship between colonizer and colonized and second was the redirection of strategy.⁵⁶ Post 1857 colonial State looked for new allies with unequivocal loyalty to them. The Traditional elite was restored to its Punjabi position and the recruitment was shifted to newly annexed region of the Punjab.⁵⁷ The Punjab although politically backward,⁵⁸ proved its loyalty during the crucial hours of 1857 war. That is why the Punjab graduated to a position of priority in the colonial hierarchy, as Mustafa Kamal Pasha states

“Punjab’s rise signaled an ideological retreat for the British from a position of self assured dominance to one marked by mistrust and self doubt.”⁵⁹ The army was now reconstituted on different pattern in which Sikhs, Punjabi Muslims, Gorkhas, Dogras, Pathans and Jats formed the essential components.⁶⁰ The opening of the Punjab for recruitment was also enshrined in the ”Great Game” against Russia and in the “Martial Race Ideology”.⁶¹ The popular belief of the 19th century in the British soldiers was that, “Certain clans and classes can bear arms, the others have not the physical courage and skill necessary for the warriors.”⁶²

So the full blown theory of ‘martial race emerged as a result of ‘Russophobia’⁶³. By the early 1880, a long series of Frontier skirmishes cultivated the Russian fear among the British that they might have foment the trouble in Indian north. In the face of the pressing threat from the north-west, it was imperative to enlist in areas closer to northern border.⁶⁴

⁵⁵ Ibid pp.11-12

⁵⁶ Ibid,

⁵⁷ Ibid , p. 12

⁵⁸ Ibid.

⁵⁹ Ibid, p.13

⁶⁰ Ibid, pp.68-69

⁶¹ Tan Tai Yong, *The Garrison State*, pp.68-69

⁶² Ibid, pp.59-60

⁶³ Ayesha Siddiqi, *Military Inc. Inside Pakistan’s military economy*, (Karachi; Oxford University Press, 2007) pp, 59-60 British India’s uneasy relationship with its western neighbour Afghanistan was now complicated by suspicions of Russian intentions to extend their imperialist designs in to India. The British military authorities in India became obsessed with the “Great Game” with Russia, and were no longer content to maintain the army in India merely as an internal policing force and to stop Russian drive towards warm waters of Indian Ocean.

⁶⁴ Mustafa Kamal pasha, *Colonial Political Economy*, p.36

Lord Roberts the commander in chief of the Bengal army (1885-1893) was the main spokesman of Martial Race theory.⁶⁵

Recruitment in the district

Pathans of the Mianwali district were considered ideally fit for armed services, as the pathan was supposedly inclined to display the cult of masculinity and willingness to bear arms. Even though there existed the military traditions in the district nevertheless we don't see a sizeable increase in recruitment during the world war 1, which could not be associated with any one particular factor. One of a reason that the district had an ample agricultural land which needed manpower and every recruit to the Army meant a serious loss in agricultural power, carried currency.

At the outbreak of the War, 1,159 men were recruited in the army from the district. On the 1st January 1916 their strength was raised to 1,527 combatants.⁶⁶

Recruitment process invigorated when depots were setup in the district under the supervision of recruiting officers who were civil officers and rural elite.

2,598 combatants and 299 non-combatants were raised in the district since recruiting was undertaken by civil officers in Jan 1917.⁶⁷ The table shows the respective standing of various tribes of the district in the army.

In the army	Proportion of total males of military age
Pathans 652	1 in 5.3
Biloches 344	1 in 6.3
Jats 969	1 in 19.5
Awans 445	1 in 6.5
Syeds 125	1 in 11.3
Kamins 434	1 in 15.3
Hindus (Arora) 62	1 in 55.7
Total 4,029	1 in 13.5 ⁶⁸

Among the Pathans, the Bhangi Khels entered the British Army in large number. Out of 1,300 males of military age, 727 joined army that was one in 1.7.⁶⁹

District recruitment figures of Punjab (1914-1918).

District	Number of enlistees during the war
Rawalpindi	31,291
Jhelum	27,743
Amritsar	21,988
Ferozpur	18,809
Ludhiana	18,067
Attock	14,815
Shahpur	14,040
Sialkot	13,376
Gujranwala	12,618
Lahore	10,054
Lyallpur	6,507
Multan	4,636
Mianwali	4,242
Montgomery	2,813
Dera Ghazi Khan	1,012
Jhang	946

Source: M.S. Leigh, Punjab and the war, pp. 59-60

⁶⁵ David Omissi, The sepoy and the Raj, p.25

⁶⁶ Record of the War services of Mianwali District, (1914-19) D.J>Boyd, Esquire, ICS, Lahore, Civil and Military Gazette Press 1922, pp 2-3

⁶⁷ Ibid, p.3

⁶⁸ source ;Record of the War Services Mianwali District (1914-1919) p.3

⁶⁹ Ibid, p.4

The role of rural elite as recruiting agents and the land grants to intermediaries

The period between 1916 and 1919 witnessed the civil and military institutions coalesced in to single machinery to generate recruits. The civil-military nexus and the support of the civil bureaucracy towards the military establishment mobilized the entire province for manpower in war. It also resulted in the emergence of a potent rural military lobby which had its impact on the post war politics of the Punjab as well.⁷⁰ A tremendous amount of donations and investments were extended by landed elite in the districts of the Punjab who served as rural intermediaries between the state and populace.⁷¹ The British government found it the most effective and convenient way to subjugate the indigenous people through local collaborating groups most importantly, the rural elite. They extended their influence to generate man power as “military contractors”. Those who served in the army were given the highest regard.⁷² The imperial authorities further strengthened their social and economic positions by land grants and inclusion of rural magnates in administrative setup of the Punjab.⁷³

The 130th Baluchistan infantry established a forwarding depot in Bhakkar. The 124th Baluchistan infantry set up a depot in Mianwali and enlisted 500 young men from the district in 2-21st Punjabis.⁷⁴ The Local elite were made part of depot who extended their help in recruitment. Generally natives remained reluctant in joining army. ‘Major Sparkes’ of the 54th Sikhs (F.F) wrote that “the effort required to get one recruit in the Mianwali District would have procured three anywhere else.”⁷⁵

During the War days, the district was managed by Deputy Commissioner, Major A.J.O Brien, C.I.E , raised 316 Sarwans and muleteers. The divisional officers, Tehsildars, Magistrates and Zaildars wielded authority among rural population and demonstrated their indispensability to the State in recruitment. Prominent among them were, Malik Zaman Mehdi Khan, Sub-Divisional officer and his brother Malik Sultan Mehmud Khan as Tehsildar.⁷⁶ The Assistant recruiting officer of the district was ‘Khan Saifullah Khan’. Among non-officials the most successful recruiters were khan sahib Malik Laddhu khan, Khan sahib Malik Ameer with his son Risaldar Malik Muzaffar khan, Malik Muhammad Qasim of Chakrala and Khan Bahadur Abdul Karim Khan of Isakhel, had tremendous influence in rural society and had been an invaluable support to the administration.⁷⁷ Syed Ata Muhammad Shah of Dher Umeed Ali, belonged to a Syed family and had religious influence among his people. He got 35 near relations enlisted in army. The pir-murid network marshaled people for enlistment in army. He received a jagir of Rs.500 a year in recognition of his services.⁷⁸

Kin- based solidarity and Biradari identity, the important elements in rural social organization were used by local elite to influence people. British constructed a system in which through grants of land the rural patrons were bound to the colonial state. The district was awarded six rectangles for assistance in recruitment. The British ensured the loyalty through rewards which transformed a military district into a military labour market.⁷⁹ For the services rendered in war, Two rectangles were given to Malik Muhammad Qasim of Chakrala

⁷⁰ Tan Tai Yong, *The Garrison State*, p.139

⁷¹ Ibid, p.125

⁷² Ibid, p.31

⁷³ Ibid, pp.130-131

⁷⁴ Record of War Services Mianwali District (1914-1919) p.4

⁷⁵ Ibid.

⁷⁶ Ibid, p.5

⁷⁷ Ibid, p.6

⁷⁸ Ibid, p.6

⁷⁹ Tan Tai Yong, *The Garrison State*, p.96

who raised 100 recruits for the British Army.⁸⁰ Two rectangles were given to Malik Ghulam Haider Khan, Zaildar of Darya Khan, who in addition to producing 76 recruits, rendered great assistance in the matter of transport for the troops operating against the Mahsuds and assisted the camel corps encamped near Darya Khan.⁸¹ The title of Nawab was conferred on Malik Atta Muhammad Khan of Kalabagh in recognition of his generous contributions to War funds. The title of Khan Sahib was given to Malik Ameer Khan, Zaildar of Wan Bhachran, and Malik Laddhu, Zaildar of Kotla Jam, for their recruiting services.⁸² Khan Rab Nawaz Khan of Musa Khel succeeded his father in Durbar in lieu of his recruiting services.⁸³ These rural magnates also contributed to British Army in money and materials.

Rewards distributed in the Punjab during First World War

District	Titles	Sword of honour	Jagirs	Land grants
Hissar	13	-	1500	52
Kangra	2	4	500	85
Jullundar	19	2	750	92
Lahore	39	3	1000	101
Amritsar	17	-	750	176
Gurdaspur	5	2	-	147
Sialkot	4	-	250	83
Gujranwala	6	1	1000	115
Gujrat	5	3	250	72
Shahpur	16	11	200	191
Jhelum	17	6	500	157
Rawalpindi	18	6	1,750	118
Attock	7	7	1500	171
Mianwali	4	1	500	97
Montgomery	1	-	-	30
Lyallpur	10	2	750	15
Jhang	3	-	-	17
Multan	9	2	500	78
Muzaffargarh	3	-	500	101
Dera Ghazi Khan	10	1	-	207

Source : M.S.Leigh, Punjab and the War, pp.140-74

Contributions by rural land holders in the District

First war loan of 1917, was of a staggering sum of Rs 2,91,469-8-0 including one lakh contributed by Nawab Atta Muhammad Khan of Kalabagh and Rs.3,000 by Khan Bahadur Muhammad Abdul Karim Khan of Isa Khel.⁸⁴ Malik Atta Muhammad Khan of Kalabagh also paid for 30 British Cavalry Remounts.⁸⁵

Second war Loan of 1918 had received a subscriptions of Rs 3,11,4438-4-0 up to 31st March 1919, including Rs 50,000 from the Nawab Atta Muhammad Khan and Rs 1,000 each from Khan Bahadur Abdul Karim Khan and Khan Sahib Malik Ameer Khan.⁸⁶ This is interesting to note that a handsome amount of second war loan was given mainly by the traders and the money lenders.

The district offered a large contribution to the aeroplane fund. An amount of 1,46,295 was subscribed which included Rs 75,000 from Nawab of Kalabagh and Rs 10,000 from Khan Bahadur Muhammad Abdul Karim Khan.⁸⁷ Rs. 35,000 were specially contributed by

⁸⁰ *War Services Record of Mianwali District*, p.7

⁸¹ *Ibid.*

⁸² *Ibid.*

⁸³ *Ibid.*

⁸⁴ *Ibid.*, pp.7-8

⁸⁵ *The Punjab and the War*, M.S.Leigh O.B.E. , I. C. S, (Lahore:Government Printing Press, 1922) p.122

⁸⁶ *Ibid.*, p.8

⁸⁷ *Ibid.*

the Nawab for the purchase of remounts. An amount of Rs. 10,446 was added into the Imperial Indian fund.⁸⁸ An amount of Rs 46,928 had been subscribed in Red Cross and St. John Ambulance association funds.⁸⁹

Resistance by Native Pathan Tribes

In view of all these facts, it had been observed that generally enlistment of Pathan tribes in the army had been fairly marginal in this district. The reason may be located in the inherent nature of Pathan, who had ethnically an overbearing disposition, declined to accept a subordinate character. Although the Pathans of Mianwali had been much complaisant by the agricultural life of the plains, nevertheless the free life in the rugged mountains accorded them a masculine independence which showed its resilience quite often. Moreover, the Niazi Pathans were mostly settled in the Cis-Indus area of the district, possessing fine agricultural lands which provided them a reliable source of income. Hence enlistment in army was not a desirable option. However, the traditional perception of the British about Pathans as martial race, who possessed military dexterity, martial prowess seemed to be dispelled in case of Mianwali District. Pathans in the district were visibly reluctant to enlist in the British Army. The reluctance is seen as an invisible resistance against the army, a weapon of relatively powerless groups, who avoid any direct confrontation with authority. There was no dramatic confrontation with state in the district as open insubordination might provoke a rapid and serious response by the government than an insubordination which was pervasive and never ventured to contest the hierarchy and power. The method of passive resistance was nearly unbeatable because state had nothing to call into question, provided it was not expressed as open defiance. In a colonized territory the natives lived as exploited groups, accepted the colonial political and social order especially in a situation where exploitation was taking place in the context in which the elite or the state used the coercive force to virtually suppress the open expression of discontent. In such a society covert and pervasive resistance is the only possibility.

However, there were a few attempts of agitation against the government. Some rioters attempted to enter district from Jhang district in 1915, aimed to provoke the natives for an anti-government agitation. The situation was controlled with the assistance of Lambardar of Dhingana in Bhakkar Tehsil.⁹⁰ There were also sign of unrest in the village of "Chidroo" at the beginning of war. It was reported that arms were being secretly collected for uprising against state. Mian Maluk Ali, a religious figure of the district assisted government by using his influence among his disciples and a rigorous process of disarming was undertaken⁹¹. These facts had vividly demonstrated the discontentment of natives, infused with anti-government sentiments, failed to manifest itself in a patent expression of defiance under a centralized hierarchy of power. The British controlled such acts of defiance against state with the help of religious and political influence of rural leaders. With a secure religious base in the countryside, the religious leaders exploited the pir-murid nexus in the favour of imperial government. Another reason for passivity was that the various Pathan clans when settled in Mianwali kept their tribal customs and traditions intact however their cultural traits coalesced with other cultural and social strands. Hence in the changed social context, the traditions and customs also underwent change, giving rise to a new set of social practices. Such cultural affinity among various tribes and clans, however failed to forge unity among tribes. Their ethno-centric behaviour hinged on the notions of tribal superiority, triggered internecine misgivings. Consequently the pathan tribes could not strengthen themselves in to a cohesive

⁸⁸ Ibid,

⁸⁹ Ibid, p.8

⁹⁰ Record of War Services Mianwali District (1914-1919), p.10

⁹¹ Ibid, p.10

whole thus the tribal affinity got diluted and in the absence of inter-tribal unity and social organization, the possibility for joint resistance against state apparatus evaporated. The local elite who were close to the power structure, controlled the ideological sector of society and created a symbolic climate which prevented the marginalized groups from thinking their way free. Hence they developed a conformist mind set vis-à-vis colonial state instead of call in question the suzerainty of the British. However, the covert and passive resistance tried to contend with the State's authority whenever feasible. The district's virtual seclusion from the mainstream of Punjab's politics had accorded its people backward, ignorant and generally indifferent disposition. Society was divided into three groups, one was of rural elite who worked as intermediaries of the imperial government and sustained their colonial rule. They were contemptuously called by natives as toadies. Second group who was in majority did not care who ruled as long as they were allowed to live peacefully. The third, very small group showed interest in self-rule and freedom. In 1919, when Rowlatt Act was passed and a virulent anti-government agitation started throughout the province, an act of agitation was also demonstrated by a few railway employees at Kundian railway station⁹². They disrupted the tele-communication system, the situation was soon controlled by deployment of troops at Kalabagh, Mianwali, Daud Khel, Kundian and Bhakkar to guard railway communication⁹³. This indicated that a slight attempt of commotion provoked such a serious response by the government. The disturbance also revealed a fact that the people involved in the act were based in other districts and had an adequate awareness about the political turmoil in the Punjab, where as the natives were politically inert and had no political acumen. There were very few occasional processions carried out by volunteers, chanting anti-war slogans in the streets of the district, who were mostly Hindus⁹⁴. Muslims had a very marginal presence in such political activities, owing to their illiteracy and less affluent status in the town. However, this freedom oriented spirit was never admired by the native employees of the government and tried to dissipate their assemblage, as they did not want to risk their jobs by coming to adverse notice of authorities. It was generally assumed in the district that the "Angrez" ruler though mostly not visible, was watching every movement of native.⁹⁵ Poverty was an overriding factor in the passivity of local populace which arrested their ability to resist and caused insurgence. They developed a mind-set to survival rather than to pose challenge to the state's suzerainty. Where as British perception about Pathan was contextualized, the defiance of Pathan against colonial government was declared as being lethargic, whose fighting capacity had become quiescent.

Conclusion

The configuration of various communities living in Mianwali had given society a tribal pattern. The district faced a subaltern status vis-à-vis other districts of the Punjab owing to its geographically peripheral location. The British assumed that investment in the district did not yield a tangible return on its outlay and so it became a recruiting ground for colonial army. As a result district retained its distinctively backward and essentially tribal status. The study revealed that the economic marginalization of tribes was exploited by British to their advantage and turned them into cannon fodder for colonial army. The process of enlistment was accentuated by developing a nexus between military command and rural landholders, who shared the colonial power structure and thrived themselves at the expense of other tribes, augmented mental division in society. Reluctance of pathan tribes in joining military service

⁹² District and Miscellaneous reports on the Punjab disturbances, April 1919.,

⁹³ Ibid

⁹⁴ Harish Chander Nakra, *Wichra Watan*, p.44

⁹⁵ Ibid, p.45

should actually be seen in the context of marginalized tribes having no political clout in the district resented their status, traditionally dominated by land holders.

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THE CAUSES OF MILITARY INTERVENTIONS IN POLITICS: A CASE STUDY OF PAKISTAN AND BANGLADESH

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Abstract

Military in Pakistan and Bangladesh has been deeply involved in politics all over the history. Since after the birth of both countries, the strong democratic government has not yet been established, due to the continuous involvement of Military in politics. The current research attempts to evaluate the main causes of Military Intervention in two countries. The utilized information of causes has been taken from books, journals, articles, on line materials and other secondary sources. The findings result with regard to the sources of military interventions in politics are the causes of weak political institution, vested interest of the military, legacy of the British army, political corruption and superiority.

Keywords: Military interventions, Pakistan, Bangladesh

Introduction

The aim of this paper is to analyze the causes of military interventions in the politics of Pakistan and Bangladesh. The military will look at the process of militarization in politics; especially in Pakistan where military is likely a dominant body which violates the principal of representative democracy and military always makes efforts to capture the political power.

Historically, Pakistan and Bangladesh have shared the certain similarities like being a part of the British Empire, member of the Common Wealth Independences States predominately in Muslims countries. For many times, the armed forces of both countries have persuaded toward the overthrow of civil government. It has been observed that most of the times, Military's have ignored the process of democratization.⁹⁶ The capture of civilian political power by the military had moved towards in discouragement and eroding the democracy in both countries.

Since 1947, the military has captured the civilian government of Pakistan in four times. The first military coup was led by General Ayub Khan in October 7, 1958, which continued upto 1968 for eleven years. The second military overthrow was led by General Yakhya Khan in 1969 and holds his power upto 1971 for two years. The third military d'état' was led by General Zia-ul-Haq on 5th July, 1977 and he remained a powerful dictator in the country upto 1988 for eleven years, but unfortunately, he died in the accident of air line crashed on 18th August 1988. The fourth military take over was led by General Pervez Musharaf on 12th October 1999 and he ruled in the country upto 2001, for twelve years.

In Bangladesh, the first military coup was led by General Zia-ur-Rehman in 1977 and he had remained a powerful dictator upto 1981 for five years. In 1981, he was killed by a military forces and his wife Khalida Zia became the Chairperson of the party. In 1982, the

⁹⁶ Steven. I. Wilkinson, Democratic Consolidation and failure: Lesson from Bangladesh and Pakistan *Journal*. Vol. 7 Issue, No. 3, September 2000. pp. 203-226.

second overthrow led by General Hussain Muhammad Ershad and he continued his power upto 1990.

In both countries, the military interference in governance has dominated the political environment for many times. Military is considered to be one of the biggest third political parties in both countries.⁹⁷ The military intervention in Pakistan and Bangladesh have the causes of vested interest of the Military, lack of democratic culture, corruption, low literacy rate, low economic growth etc. Both the countries are under the faces of poverty, lack of compromise on constitutional measurements and experience with government by talk and signify the common distrust. According to the study of famous scholar Veena Kukreja of Bangladesh, the military rulers in South Asia (Pakistan and Bangladesh) have failed to build the strong political institutions in Pakistan and Bangladesh.⁹⁸

Causes Of Military Interventions In Pakistan

The reasons of military interventions in politics has taken place on the basis of vested interest of military, poverty, economic instability, weak institutions, corruption and as well as on the basis of low political cultural. According to Samuel Huntington, the sources of military interventions in politics have not only the keen interest of the military itself, but it is also the result of weak political institutions and low political culture of the developing countries.⁹⁹ These kinds' of flaws have been provided the opportunities to military for the coups of state. He further explained the causes of military interventions in politics is that military always come for the short period but history tells us military never returned back the government to the civilian in proper way. It is pointed out that military government is associated with their own class benefits and popularity. The military government is considered to be incapable to dealings the more complicated issues of the country. The previous political structure of the government will be changed with the new one political system that will be seen more powerful in the previous system of government. In the earlier military regime, the rule has obtained the less significant importance to the control of political powers. The politicians make their link with military government for the expansion of upcoming purposes, but no positive results were taken place, regarding the improvement of political system in Pakistan.

The Concepts of Military Interventions in Politics

The perception of military interventions in politics has laid down on the basis of two types of factors which has need to explain the participation of military in the politics of developing countries. The first way of military interventions in the politics is the military professionalism and second approach of military interventions in the politics is the socio political matter. These two kinds of features are the main sources of military involvement in the politics of Pakistan which has always overthrows the civilian government.

Military Professionalism

The concept of Military professionalism in politics has been explained by S. Huntington in the developing countries during his work on the civil military relations. He represented the three major formations of professionalism in politics like social responsibility, expertise and corporate authenticity to man who follow it. The approach of military professionalism in politics is linked with the military interventions in politics and

⁹⁷ Hasan, Askari, Rizvi, *The Military and Politics in Pakistan 1947-1997*, Sange-e-Meel Publications, Lahore, 2000, pp.85-86.

⁹⁸ Veena Kukreja. *Civil-Military Relations in South Asia: Pakistan, Bangladesh and India*, by Ziaul Haque p.257.

⁹⁹<http://www.jstor.org/stable/2010092>

these dynamics have become the major causes for military involvement in the politics of emerging countries. Most of the scholars are disagreed with the idea of Huntington's who assured that military professionalism is enjoyable for the governments. According to Abrahamson, military professionalism makes the mutual understanding with the military. In this pattern, the objectives of the civilian and military governments are different from each other. So that civilian control over the military will be flourish. The new trend of military professionalism, logic of expertise, corporate interest and social responsibility is approved the military participation against the political institutions.¹⁰⁰ These factors are responsible for the involvement of military in the politics, which is a result of military professionalism. The main purpose of military professionalism in politics is to organize a special training and equipping program for the improvement of all the forces against the enemy. These developments are move towards for the involvement of military in the politics.

Socio-economic feature

The socio economic factor is not only held responsible for the cause of military interventions in politics, but it is also the sign of disapproval of armed forces in the politics. The other reason of military intervention relates to the social mobilization, common interest and class makeup, religion, economic expansion, colonial inheritance and history tells us all these things.

The basis of military interventions in politics has explained the dilemma of military interference in the light of weak political institutions and low level of political culture. The other flaw of military involvement in politics is the vested interest of the military, which stressed the military to take part in the politics of country for their own class benefits. In this regard, the military explore themselves among the several institutions that are opponent for power.

Economic Development

The matter of economic development is explained by the famous scholar Gorman. He stated that Pakistan is come in the low levels of in come country in the world which has less level of economic growth. In the beginning, Pakistan has no industry and the standard of living was very low. The other resources are also very poor in the major areas, like natural income and industrial transportation. The poor economic condition of the country is a result of long and short term reasons.¹⁰¹

Military as an Institution

The purpose of military as an institution is to defend the country from the internal and external threats, but in principally the vested interest of military officers, business significance, cohesiveness, self rule and income are become the major sources of military interventions in the politics and vis-à-vis intends to dominate the civilian institutions.

Military as an institution is to perform the job of common things such as economic growth and political power. In this way, military creates the political environment which has become more powerful. This situation is influence the military's attitude and become the rational ruler, although the practice of military involvement is related to the politicians and bureaucrats.

Although the sources of military officers are not directly linked with the middle class, however, their status as an officer falls in this category and usually they have got married into

¹⁰⁰ Samuel Huntington, *The Solider and the State: The Theory and Politics of Civil Military Relations*, (Cambridge Massachusetts: Harvard University Press, 1957) pp. 7-8.

¹⁰¹ Veena Kukreja: *Civil Military Relations in South Asia*, New Delhi, California London, Sage Publications, 1991, p.50.

middle class families and get the benefits from the said class. Being a member of the middle class, they have shared their vested interest among the group.

Role of military in the Internal Security

The role of military in the affairs of internal security matter is most important. Military is the only institution in the country that defends the country from the internal threats. The military institutions are responsible for the safety of state and watching the country from different angles. The constitution of Pakistan clearly explained the job of military and described the basic function of the army to protect the country from the enemies and to take the control of civilian government if they are not properly functioning and danger for the security of state.¹⁰² The constitution of Pakistan is not allowed the military to take part in the politics of country, but unfortunately military overthrow the civilian government. Only in the alarming situation if occurred in the country like, natural disasters such as flood, food crisis, and other calamity in the country. In these victims, military is responsible to take over the control of country and take part in such types of calamities.¹⁰³ In some cases, military is responsible to restore law and order in the country at different times, when the affairs of the state is beyond the control of law and order question.

Role of Military in National Security

The role of military in the affairs of national security matter is most important. The job of Pakistani military has remained unclear regarding the issues of internal security, growth and global security. But the Pakistan armed forces have to do the job of domestic security, expansion and to maintain the international security issues in the respective areas. After the birth of Pakistan in 1947, the military has taken over the control of civilian governments for four times, in 1958, 1969, 1977 and 1999 respectively. The responsibilities of military's in the activities of broad range public services as well as in the economic sectors and usually in disasters operations are play the vital role. It is further added that the civilian government makes to sure the task of socio political power in the country. The military leaders were effort to make their control in a numbers of occasions to eliminate the differences between the politicians and armed forces. Mainly dealing with the political economy, managing of law, order and such types of issues like corruption etc. All these things are the part of state machinery and make the sources for their personal hold. For instance in August 1990, April 1993 and November 1996, military supported the president to remove the civilian governments from the politics which could not make any longer promised to the internal peace, stability and order.

Military needs to continue the function of internal security and performed their services for the development of Pakistan. It is stated that military takes the keen interest in the domestic security as well as in the foreign policy issues. The foreign policy matter is generally taken by the military leaders. The main purpose of Pakistan army is to maintain the job of internal security and foreign policy related issues. During the era of General Zia, military openly controlled the nuclear policy and managed the action of Afghan War. In 1988, after the demise of General Zia regime, military is come to wait for the present day and remains de facto decision making body in Pakistan nuclear institution like Pakistan Atomic Energy Commission and as well as the Research Laboratories of Dr. Abdul Qadeer Khan.

Lackoff Independent Election Commission

¹⁰² Babar Sattar, A. Journey Back to Barrack? Civilian Military Relations in Pakistan. Paper prepared for the State and Solider in Asia Conference, East West Centre, Honolulu, 1999, p.9.

¹⁰³ Najam Rafique, Pakistan Army: *Towards New Professionalism in Strategic Studies*, Vol. XVI Autumn, Winter 1993, p. 108

The lack of independent election commission in Pakistan was remained the major cause of military interventions in Pakistan. The election commission of Pakistan is not hold the independent elections uptill now. It is worth mentioned that after the existence of Pakistan and self governing system, Pakistan has remained under the influence of turmoil practice. The powerful election commission and self governing system in country is the symbol of free, fair and multiparty chains election. In principally the election commission has mostly doing the job of publicity in favour of the ruling party. The following general elections were held in Pakistan i. e 1977, 1990, 1993, 1997, 2002, 2008 and 2013 which are the case references of Pakistani politics. However the general election of 2013 is different from the other elections. The election commission of Pakistan has usually remained under the direct pressure of ruling party. Military overthrows in 1958, 1977, 1988 and 1999 are the facts in particular cases.¹⁰⁴

Crisis of Legitimacy

The crisis of legitimacy in Pakistan has remained the significant characteristic of the military interventions in politics, which created the poor situation in the country, in light of continuous military instructions in the politics. The democratic set up of the government has believed on the authenticity to the state. On the other hand, the military set up of government is believed on the physically recognition of the state and as well as on the particular regime.¹⁰⁵ The prominent scholar i. e Johan J. Linz has disagreed with the legitimacy of state. He proposed that it is the responsibility of masses to elect the suitable candidates for the run of democratic set up in the country smoothly. It is the responsibility of elected government to establish the powerful democratic system in the country for the welfare of masses. The democratic set up is approved by the people in the democratic countries.

Military Corporate Interests

The military corporate interest in Pakistan is the major source of income in the country which provides the support to military officers and maintains the status of army retired officers in Pakistan. The interest is the real objective of the military personnel. The military corporate interest was established by a group, when they make the common links with other organization. The corporate interests of military are the profitable project in Pakistan which estimated value is billions of dollars. The public money was transferred to military organization in connection with the increased of military contribution to the economy and control over the state and society. The military supports the rule of policy making decision and developed the economic income and growth of the wealth.¹⁰⁶

General Zia-ul-Haq, modified the constitutional provisions, in connection with regularized the military power. The article 58 (2) (b) was given permission to the president of Pakistan for the overthrow of elected government on account of any losses to the integrity of country. The primary objective of the military is to expand its power and protect the income of business organization. The change of constitution, political system and electoral process are the motive of military interventions in the politics of Pakistan. General Pervez Musharaf over throws the government of Main Muhammad Nawaz Sharif in 12th October, 1999. He imposed ban against the entry of opposition party leaders and their participation in the coming parliamentary election. S.E. Finer disagreed with the holds of military power in the politics which always overthrows the civilian governments. He explained the corporate interest of the military and shaped the influential physical collective force and emotionally

¹⁰⁴ Veena Kukreja, *Military Intervention in Politics: Contrasting Cases of Pakistan and India* in Verinder Grover .ed. *Political System in Pakistan* Vol. 7 (New Delhi: Deep and Deep Publications, 1995, p. 531.

¹⁰⁵ Juan Linz, *Breakdown of Democratic Regime*, p.45.

¹⁰⁶ Siddiq, Ayesha. *Military Inc. Inside Pakistan's Military Economy* (London: Pluto Press, 2007), p.297.

involved the all military forces. He described the importance of business which has become the fashionable incidence in Pakistan. The Military leaderships are becomes the part of business. They have got their benefits from the different Welfare Scheme like Army Welfare Trust, Askari Cement Limited and Fuji Foundation etc. All these organizations are met together with free housing, land and membership of the executive's link.

Weak Leadership and Governance

The weak leadership and governance in Pakistan has become the major source of military interventions in the politics of Pakistan since its birth. The causes of weak leadership in Pakistan explained by Shuja Nawaz, he is the famous political analyst. He told that after the death of Quaid-e-Azam Muhammad Ali Jinnah who was the founder of Pakistan, the state is facing the problem of leadership. Another scholar i.e. Ayesha Jalal who told the main variable of military interventions in the politics of Pakistan is the fault of weak political system in Pakistan. She also challenged the continued existence job of military in politics of Pakistan. She further stated that the reasons of military involvement in politics are the result of interaction among the high profile military officers and the system of government. In 1988, after the victim of General Zia-ul-Haq, there is a common perception of the people about the military involvement in politics that army will never come back in the politics of Pakistan again. But unfortunately, one more accident has taken place by General Pervez Musharraf on 12th October, 1999 and overthrows the civilian government of Main Muhammad Nawaz Sharif. The coup d'état of 1999, was proved that military is a still dominant institution in Pakistan.

Foreign Influence

The involvement of foreign influence in politics is a common phenomenon in the politics of Pakistan, which is still continued. Furthermore, there is no close information about the supporter's countries whose support them. These are the attitude of the supporter countries that deteriorate the acceptance, which was very usual global contact of beneficiary countries, who gives the wrong motivation to military self possession. This type of approach supports the military to capture the civilian power. For example the donor countries stopped the control, as necessary element of the policy achievement was improved by the army rulers. The existing bureaucrat's system of government is making the contact with foreigner's supporter countries.

Causes Of Military Interventions In Bangladesh

The causes of military interventions in the politics of developing countries like Pakistan and Bangladesh have been taken place on the grounds of vested interest of military, economic instability, weak political institutions, poverty, corruption and poor governance etc. All these concerns are linked to military institution, the nature of the military, corporate interests of military. The reasons of vested interest of military are highlighted by different scholars like Ahmed, Khan, Franda and Muniruzzaman Talukdar.¹⁰⁷ Ahmed stated that Bangladesh military is usually the anti political movement of its predecessor which continued it. The new pattern of military takeover has been described by Ahmed and Khan, as a corporate interest of the military. In 1975, the military profession has been shown the interest of enhancement of their budgetary provision and self government system in the country on the basis of their kinship ties. The primary reasons of military takeover are further analyzed by some other scholars like Lieuwen, S.E. Finer and Decalo. All of them assume the charge

¹⁰⁷Riaz, Ali, Two Trends analyzing the Cause of Military Rule in Bangladesh: *Bulletin of Concerned Asian Scholars*.

Vol. 30, No. 1 (1998): p. p. 56-65 ISSN 0007-4810, 1998 BCAS (Oakland, California)

that people's objectives are the main issues for military government and these matters should be settled.

The military governments are likely to carry out the disputed policies of the state and these policies were formulated by the legislative and executive branches. However, in developing countries, the military have the various purposes like contributed the growth of economic and defending the government from the internal and external pressures. The character of human being in the military governments is unlike from the civilian governments. The nature of military government is more hierarchic, reliable and a reasonable cause of pressure which make it very easy for them to manage the political institutions. A large number of journalists were similar to Mayer & Burnett, which opposed that military government has got a major institutional importance over the manufacturing world by the right of demanding notice, mainly in the developing countries.¹⁰⁸

Military Professionalism

The model of military professionalism has explained the job of individuals and military itself, in the light of their professions. This model is further explained by the famous scholar Samuel Huntington and he stated the nature of modern military professionalism in terms of its closeness to his master about the civilian dominated democratic state. The result of said model is created the dispute among the groups and increased the strength of military professionalism, which is generally related to the military interventions.

Huntington, disagreed with the job of military officers in the Western Society, they hold the significant levels of expertise in their respective organizations and military further utilized their ability to protect the society from the internal and as well as external threats. This approach holds the control of military interventions in politics as a result of military professionalism.

According to Huntington, the new military professionalism of his wisdom of ability, social liability and corporate interest of concentration is mainly related to the military interventions in politics.¹⁰⁹

Military as an Institution

Military as an institution has gives the many justifications to regularize his political position. In the first step, military want to be an enhanced its share's in the national wealth. Second step, military desire to maintain the political power in their hands. There are some other causes of military interventions in politics and position was explained by Alfred Stephen and he focused on the institutional change theory, fights and military involvement in the politics of developing countries like Bangladesh. He disagreed with the military interventions in the politics which become the part of dominated ruler in a huge part of the increased of a new professionalism, whereas the military customized its usual particular exercise to comprise the socio economic and political expertise. The other analysis about the military involvement as an institution are pointed out by the numerous scholars such as Juan Linz, Guillermo, O, Donnel and Felipe Aguero and they have drawn their interest between the military cooperation and fall of the elected representative of the government. It is insecure that the suitable political power shift from one group to another group.

Lack of Political Institution

The flaws of political institutions in Bangladesh have been pointed out by Ahmed, Khan, Rounaq Jahan, Bertocci, as well as by other scholars. Ahmed placed the question on

¹⁰⁸ www.e-akademi.org/makaleler/monder-1.htm

¹⁰⁹ Samuel Huntington, *The Soldier and the State: The Theory and Politics of Civil Military Relations*, Cambridge Massachusetts, Harvard University Press 1957, p.p. 1-15.

establishments and believed that it is a regular flaw of the institutions. According to him, the responsibilities of the organizations needed the requirement of agreement which related to the political sections of population regarding the personality of political authority. He believes that these types of dynamic and along with other equipments led to the causes of military involvements. According to him, the strength of military into power is the reason of weak political institution as well as the reason of weak political administration. His perception is related to Samuel Huntington's explanations and he wanted to explain the causes of military interventions. He was unclear to justify the approaches of military intervention in terms of socio and political culture of the country. He found that most important reasons of the military involvement in politics are not only the causes of military institution itself but it is also the reasons of some other weak political institutions.¹¹⁰ Professor Dr. Ronaque Jahan has justified the some other weak points which are led by Khan. He further pointed out that after the birth of Bangladesh, Awami League successfully completed the job of constitution making process, but the leader of party was failed to perform the job. The hold of a military practice as an oligarchy in Bangladesh was happened due to the reason of socio political dynamic in the post independence Bangladesh. The political and economic tragedy of the Mujib government, Islamic legacy of Bangladesh and the criticisms of armed forces, all of them go back to the praetorian's model of the Bangladesh polity.

According to Huntington, the charges are explained by the political system of Bangladesh. In the light of low level of linkage and high level of attachment to army is accepted the position of social forces in the political field.¹¹¹ The well-being of politicians are attempted to establish the democratic government in Bangladesh. The available sources are satisfied the military interference in politics. The important relationships between the state, classes, economy are linked with the minor issues such as the need of political groups and financial collapse of the civil government.

Crisis of the State

In 1972, after the birth of Bangladesh, the crises of state have been occurred in the country. Due to the reason that country was hold under the direct control of military and two other major political parties' rules. Both of them weakened the democratic culture of Bangladesh. Most of the time country was remained under the rule of military and rests of the period are continued under the hold of two begum's i.e. Hassina Wajid and Khalida Zia. The clash of state emergency was emerged in Bangladesh on the basis of vested interest of the military, as well as the personal interest of the political parties. Both the groups are responsible for the state issue. It is observed that Bangladesh was always remained under the control of military rule and civilian governments. The causes of state interruption were appeared in the light of huge level of corruption which is done by the military dictators and the political parties in their respective period of rule. The main reason of the state crisis is the fight of power among the military and the politicians.

Political Crises

On 16th December 1971, after the independence of Bangladesh, the fall of government politically and administratively remained the major dilemmas in the country uptill now. The political crises in Bangladesh led to corruption, poverty and brutal crackdown in the education system. The first political party, Awami League led by Sheikh Mujib-Ur-Rehman, for the support of new Republic of Bangladesh in 1973. But unfortunately his self-governing

¹¹⁰ Huntington, *Political Order*, p. 194.

¹¹¹ *Ibid*, p. 80.

system of government quickly turned into autocratic system. The military dictator General H.M. Ershadoverthrows the civilian government on 25th March 1982. He changed the constitution and legitimized his power in the name of Islam and State of religion. Therefore, the political Islam comes into the majority of votes in the political system of Bangladesh. The Bangladesh has been governing a parliamentary form of government. The system is included the separate judiciary system in the country which has still under the political fights.¹¹² In September 1978, Bangladesh Nationalist Party was established by the former President General Zia-ur-Rehman. The Bangladesh Nationalist Party was remained popular figure in Bangladesh on the basis of Bengali loyalty with Islam; although it was a secular party.

Later on both the political parties established a coalition with Islamist groups. According to the report of World Bank, corruption is the major problems in Bangladesh which relates to economic and social development. The causes of weakness are the rule of law and other institutions. The Political problems of Bangladesh are mainly related to the disturbance of political system, weak governance and corruption. Bangladesh is a force of self-control at the international forums, and also the part of international peacekeeping processes. Bangladesh is a second major donor to UN peacekeeping missions.¹¹³ All these things are becomes the cause of military intervention in the politics of Bangladesh.

Political Corruption

The political corruption in Bangladesh has become the part of each and every government since its independence. According to the conversation of public, the period of Sheikh Mujibur Rahman had become a famous due to main cause of corruption. In his era, the major part of the permits and licenses were given to Awami League workers who sold their licenses to specialist buyers.¹¹⁴ Although General Ziaur Rahman was not involved in the corruption but he was only famous with institutionalizing corrupt actions. General Ziaur Rahman regime was famous in the name of corruption and misuse of power. The corruption was done by each and every part of the country and the nature of corruption was different by various forms of petty corruption, project corruption and programmatic corruption. In Bangladesh culture the corruption is common in public sector and it is believed that it handles the maximum stages of government. The major forms of political corruptions are bribery, misuse and dishonesty.

There are also some other reasons which help to promote the political corruption in Bangladesh, including the problems of money in politics, funding of political parties and electoral campaigns, candidate nomination and combined business, institutional flaw and weak democracy.¹¹⁵ Bangladesh's politics has been remained confused since its independence. The age of self-governing ruled have been broken up by coups, martial law and states of emergency. The problem of corruption was existed in Bangladesh before and after 1971, when it became self-ruling from Pakistan. Political instability in Bangladesh has led to murders and overthrows that brought to Khaleda Zia and Hassina Wajid to carry on. The focus of this study is generally related to the causes of military interventions in the politics of Bangladesh.

¹¹² Bangladesh Today, International Crises Group. *Asia Report No. 121*, 23rd October 2006, p.3.

¹¹³ www.studymode.com/essays/political

¹¹⁴ Muniruzzaman, Talukder, Economic Crisis and political Polarization, *Asian Survey*, Vol. 15 No. 2. Feb (1975) p. 118.

¹¹⁵ Euben, J, Peter, *On Political Corruption*, *American Review*, 36:1, Winter (1978), p. 103.

Role of Military in National Security

The basic job of military is to defend the country from the internal, as well as from the external threats. The focus of military is mainly related to the war times, which is responsible to arrange the nation's income by assuming the direct control over paramilitary, police forces and civil transportation. The military is completely engaged in loyal gathering and as well as in foreign intelligence services. All three forces have established their own separate intelligence directorates of services, which supported the military functions and meet the requirement of intelligence plan. The chairman of the Directorate of National Security Intelligence and Intelligence Forces is remained under the direct supervision of Advisor to the President. The Special Branch of police has work with an Intelligence Wing and increase both the Directorates' of intelligence capabilities. The other organization of Presidential Security Forces was formed by General Ershad when he was working in the capacity of Chief martial law administrator; and his job given the guarantee to the physical security of General Ershad and family.

Fragile Democracy

The politics of Bangladesh is dominated by two party system and they make their link with small groups. Awami League is considered to be more social democratic party, whereas the Bangladesh Nationalist is considered as a general conventional group. Both the groups are involved in the murder, killing, threats and corruption by the oppositions as a result of non cooperation and disbelief. The majority of political parties are responsible for prevailing political systems; self interests which exist in the country. On 7th May 1986, the parliamentary elections were held in the country and these elections were supported the Upazila system in the form of rigging, disturbance of voters and hijacking of ballot boxes. The opposition party challenged the winner party through a media campaign and other activities.

Therefore, right of people to cast their vote freely, fairly, bravely and wisely has been damaged by the force and violence done by the ruling party. The causes of weak democracy in Bangladesh were occurred in the light of verbal communication and clashes among the different groups. The honesty of communication is a vital element of the government, however after the independence of both the channels of Radio and TV which has used their functions as an administrator in the government of Bangladesh.¹¹⁶ In August 1975, after the fall of Sheikh Mujib-ur-Rehman government, the overthrow of military rule in politics has become the common characteristic in the politics of Bangladesh.

Conclusion

Causes of Military

The causes of military interventions in the politics of Pakistan & Bangladesh have stayed a major debate after their birth. The numerous causes of military interventions in politics are found during the research. The vested interest of the military, low political culture, weak political institutions, corruption, poverty, political crises, legacy of the British army, poor ideologies and legitimacy crisis etc. The military overthrow is often done on the basis of awful condition and corruption. Military interference in politics is always remained a key phenomenon in the politics of two countries. It is also observed that military never come back the political power to the civilian. The common things which are found in Pakistan and Bangladesh i. e, economic crisis, political crisis, poverty issue, inflation, elite class crisis, and

¹¹⁶ Baxter, Craig and Rahman, Syedur. Bangladesh Military: Political Institutionalization and Economic Development, *Journal of Asian and African Studies*, Vol. xxvi, No. 1-2, 1991, (Holland), pp. 50-51.

role of religion in politics. The civilian government are badly failed to fulfill the need of the general masses. Following things are relates to each and every citizen which they wants in their routine life like economic matter, poverty, illiteracy, diseases etc. The political issues are highlighted in connection with ringing, corruption, nepotism and constitutional modification that are the main point of military interventions in the politics of both countries.

The causes of military interventions in the politics of Pakistan and Bangladesh are needed to follow the strict measurement and stop the way of military involvements in the politics of both countries. To strength the political institutions and given the freedom to each and every institution, the institution will be kept far away from the internal as well as the external interference.

It is suggested that to build the strong political institutions in both countries and also provided the entire autonomy to each and every political units under their jurisdiction. Each and every institution should be kept free and fair from the participation of internal as well as external. The criteria for the selection of candidate as representative of people should be at least Master degree holder in the discipline of Political Science/International Relation including L.L.B. An appropriate mechanism for check and balance should strictly be followed. Corruption, nepotism, riggings, political victimization, and other political weaknesses should strictly be removed from the politics. All these things are the main sources of military interventions in politics.

The significant role of economic stability and the successful growth of democratization should be adapted. The economic position of the democracy should strictly be followed by all the political parties in connection with their participation in the political developments of both countries. Particularly the young generation should take part the in political activities and moderate the responsibilities of politicians. The role of youth will stop the military interventions in the politics of two countries. The opportunities should be provided to the middle class to take part in the politics. The strict measurement for check and balance of each and every government should be followed by any responsible department of the government. A separate political unit should be established for the training of politicians. The ban should be imposed on care taker government with the request that not to participate in the functions of any political parties during the activities of their elections.

IMPACT OF CHILD DOMESTIC LABOUR ON CHILD POVERTY : A CASE STUDY OF LUSAKA CITY IN ZAMBIA

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Abstract

The challenge posed by child domestic labour remains very large in Zambia. Children forced out of school and into labour to help their families to make ends meet are denied the opportunity to acquire the knowledge and skills needed for gainful future employment, thereby perpetuating the cycle of poverty in the family. Child labour therefore not only violates children's rights, but also has consequences for social development in Zambia. This study therefore sought to investigate the impact of child domestic labour on child poverty in Lusaka City of Zambia. The study employed an exploratory qualitative case study design. Data collection methods included semi-structured interviews and document analysis. Child domestics, parents and social workers were purposively sampled for study. Snowball was also applied to locate children. The results of the study showed that children who engage in domestic work come from households affected by HIV/AIDS, and families whose income and education levels are very low. Child domestic employment perpetuates child poverty, resulting in cycle of poverty among children and their families because it deprives children of schooling opportunities and lifelong skills which they can use to fight poverty. Inadequate government legislation poses a challenge to address child poverty and protect the rights of children against child labour and abuse. In order to address poverty and other vulnerabilities that lead children to engage in domestic work, child-sensitive social protection policies and poverty alleviation programmes should be devised by the Zambian government.

Keywords: Child, domestic labour, poverty, rights

Introduction

Child domestic labour is one of the most widespread and exploitative forms of child work in the world today, and is also one of the most difficult to tackle (Blagbrough, 2008). Child domestic workers may be especially prone to exploitation and abuse due to the invisibility and inaccessibility of the work setting. To this effect, the ILO has identified a number of hazards to which domestic workers are particularly vulnerable. Some of the most common risks children face in domestic service include, long and tiring working days; carrying heavy loads; handling dangerous items, such as knives, axes and hot pans; inadequate food, and humiliating, inhuman or degrading treatment, including physical and verbal violence, and sexual abuse. These hazards need to be seen in association with the denial of fundamental rights of the children such as access to education and health care, the right to rest, leisure, play and recreation (ILO, 2011). Child domestic work is therefore a child labor issue, as well as a children's rights issue. It is a child labor issue as it involves economic exploitation and hazardous working conditions. It is a children's rights issue because the nature and condition of the work is unfavorable for child development (Flores-Oebanda, 2006).

Empirical evidence (ILO, 2011) has asserted that there are many root causes of domestic child labour, include poverty and its feminization, social exclusion, lack of

education, gender and ethnic discrimination, violence suffered by children in their own homes, displacement, rural-urban migration and the loss of parents due to diseases such as HIV/AIDS. The available research (UNICEF, 1999) suggests that child domestic workers most commonly come from poor, often large, rural families. However, other factors that determine the likelihood of children becoming domestic workers must also be taken into account, such as orphanhood.

In Zambia, the challenge posed by child labour remains very large (ILO, UNICEF and World Bank Group Report, 2012). Empirical evidence (Oyaide, 2000) has shown that in Zambia child domestics are often exploited, maltreated and sexually, physically and psychologically abused. They miss out on schooling and skill training opportunities, family life, play and recreation. The children generally get very low wages, and work very long and irregular hours (Matoka 1994). The implications are that the work is harmful and not in the best interest of the children involved. Furthermore, it is harmful on the long run to the society at large because it generates a reservoir of future unskilled labour force (Oyaide, 2000).

Despite that empirical studies (Oyaide, 2000; and Matoka, 1994) have revealed the causes of child domestic work, conditions of work and gender dimension of child domestic work, none of them have unearthed the impact of child domestic labour on child poverty in Zambia. This study thus sought to investigate and analyze the impact of child domestic work on child poverty. The findings of the study would generate interest and create awareness about the impact of child domestic work on child poverty among child rights advocates, social workers, policy makers and the public. In this regard, the following research questions guided the study: (1) What is the impact of domestic work on the livelihoods of children and their families? (2) What are the challenges affecting the protection of the rights of child domestic workers?

Research Design

This study employed an exploratory case study approach and qualitative research study to investigate the impact of child domestic work on child poverty. Key (1997) affirms that qualitative research study produces more in-depth, comprehensive information and seeks to understand people's interpretations, perceptions and lived experiences. Zainal (2007) asserts that the case study method enables a researcher to closely examine the data within a specific context, and thus gives in-depth information on the subject under investigation.

This study therefore employed the case study approach and qualitative research study because the design enabled the researcher to explore and examine in-depth the lived experiences of child domestic workers in Lusaka City of Zambia. More so, qualitative case study allowed the researcher to collect data using different methods (such as interviews and document review) so as to provide the complete story (Neale, Thapa, & Boyce, 2006). Additionally, the approach allowed the researcher to use different sources of information (such as child domestics, parents and social workers) in order to obtain in-depth information about the impact of child domestic labour on child poverty.

Sample Size and Sampling Design

Purposive sampling was employed because the researcher intended to get insightful information about the impact of child domestic labour on child poverty. Snowball sampling was also employed as a back up to purposive sampling because child domestics were very difficult to locate in private homes in which they work. Bryman (2008) asserts that with this approach to sampling, the researcher makes initial contact with a small group of subjects who are relevant to the research topic and then uses these to establish contacts with others.

Mark (2010) asserts that samples for qualitative studies are generally much smaller than those used in quantitative studies. According to Onwuegbuzie and Leech (2007), sample

sizes in qualitative research should not be too large as it may be difficult for the researcher to extract thick and rich data. Marshall (1996) affirms that an appropriate sample size for a qualitative study is one that adequately answers the research question. In this study, the researcher purposively sampled 10 live-out child domestic workers on the basis of their experiences. Specifically, children aged between 10 and 14 years were sampled for the study since the Zambian Constitution and the Employment Act set the minimum age for employment at 15. The study also purposively selected 9 parents and 5 social workers on the basis of their knowledge of child domestic labour. This sample size was easy to manage during data analysis since the study was qualitative in nature.

Data Collection Methods

Data collection methods included semi-structured interviews and document analysis. Semi-structured in-depth interviews were used to collect data from child domestic workers, parents and social workers. Kvale (1996) asserts that qualitative research interviews enable researchers to understand something from the subjects' point of view and to uncover the meaning of their experiences. Interviews also allow people to convey to others a situation from their own perspective and in their own words. Berry (1999) also asserts that in-depth interviewing is a type of interview which researchers use to elicit information in order to achieve a holistic understanding of the interviewee's point of view or situation. This method therefore allowed the researcher to ask open-ended questions, probe and ask follow questions in order to solicit for in-depth information from participants. This method also allowed the research participants to freely express their views, feelings, opinions and share experiences. The face-to-face interview also enabled the researcher to take field notes during the interviews.

The researcher also conducted document study to collect data on the impact of child domestic work on child poverty. Payne and Payne (2004) describe the documentary method as the techniques used to categorize, investigate, interpret and identify the limitations of physical sources, most commonly written documents whether in the private or public domain (Mogalakwe, 2006). In the current research, official and public documents, including reports from the Zambian government, articles, newspapers and organisational documents were used to give the researcher a deeper understanding of the subject under investigation. Document analysis provided access to empirical evidence based on the earlier studies carried on child domestic work in Zambia and other parts of the world. It also enabled the researcher to formulate and refine research questions based on the existing knowledge on child domestic labour.

Data Analysis

Thematic content analysis was used as a method for analyzing qualitative data in order to allow the researcher to extract conceptual categories of data with similar meaning. This is called meaning categorization according to Kvale (1996). In this regard, categories were established, resulting into content themes, consistent with the value of thematic content analysis in qualitative methods. Categories of data with similar meaning generated themes that were used to interpret data based on research questions. The themes summarized the meaning of the data which addressed the purpose of the study during interpretation of data.

Ethical Considerations

Ethical issues such as informed consent, confidentiality and consequences for the interviewee should be taken into account with any qualitative interview (Kvale, 1996). In this study, ethical issues were considered when carrying out this study as all the research participants were informed about the purpose of the investigation and the features of research

design. Informed consent was obtained from individual children and their parents in writing in the local language which research participants understood better. The researcher also ensured that confidentiality and anonymity were employed in which the information collected was strictly used for research purposes. More so, identities of children, parents and key informants were not disclosed.

Results

Effects of Child Domestic Labour on the Livelihoods of Children and their Families

The study investigated the effects of child domestic labour on the livelihoods of children and their families. Data from the study revealed that child domestic work perpetuates poverty among children and their families because it deprives them of opportunities to go to school and acquire lifelong skills. Consequently, domestic work results in capability poverty as children are deprived of capabilities or vocational skills which they can use to fight poverty and become socially and economically empowered. Social workers who participated in the study said that child domestic work also results in income poverty since the income that children get through domestic employment is not enough to sustain the livelihoods of children and their large families. Hence, children and their families hardly survive as they are not able to meet all their basic needs. In this regard, child domestic work results in family poverty, and eventually families remain in the vicious cycle of poverty. One of the social workers remarked:

“Poverty becomes a vicious cycle because children are not going to school, and therefore they will not get education and appreciate the importance of education. This is because they consider work as the best opportunity to earn a living.”

In terms of gender, the study revealed that most of the girls drop out of school, while others never even enroll for education because of poverty. This leads to high illiteracy levels in the country, child poverty and feminization of poverty. There is feminization of poverty in the sense that more girls than boys drop out of school to engage in domestic work in order to earn a living. There is also child poverty because children drop out of school and engage in exploitative domestic work which doesn't give them enough money. In this regard, children's rights are affected in that children are forced to do domestic work for the upkeep of the family.

However, the study also revealed that domestic work helps to keep children away from begging in the streets and indulging in vices such as stealing, child prostitution and drug abuse. Therefore, domestic work acts as a source of livelihood for most of the children from poor family backgrounds, especially orphans and vulnerable children who have no other means of sustaining their livelihood. One of the parents remarked:

“My child has been forced to work because I am not employed and we have no money to pay house rentals, buy food, clothes and other basic needs. We have no any other means to sustain our livelihoods apart from sending children to go and work as domestic workers in private homes.”

Responses of child domestic workers confirmed that domestic work enables children to earn money in order to buy food, clothes and meet other day to day requirements. It also emerged from the study that child domestic work helps children and their families to survive as they are able to earn a living even though domestic work is exploitative and unfavourable for children's psychosocial wellbeing and development. Therefore, child domestic labour acts as a buffer for poverty reduction for poor households in high density areas of Lusaka City from where child domestics are recruited.

Challenges of Protecting the Rights of Child Domestic Workers

The objective was to examine the challenges of protecting the rights of child domestics. It emerged from this study that inadequate government policies on education and child protection pose a challenge to address child poverty and protect the rights of children against child labour and abuse. For example, one of the social workers said:

“The biggest challenge faced by government and NGOs is that government policies and programmes on social protection are inadequate to cover orphans and vulnerable children (OVCs) who opt for domestic work as a means of sustaining their livelihoods at the expense of schooling. More so, the policy or legislation on universal primary education is not effectively implemented by government and NGOs.”

All the social workers who took part in the study indicated that education for all in terms of access and quality is not effectively implemented through existing educational and child policies. There is therefore no opportunity for orphans and vulnerable children to access education because school fees are very high. More so, there are few facilities to cater for a large number of vulnerable children. In the end, these children opt for domestic work to earn a living. To this effect, it is the inadequate legislation on education and child protection which greatly hinders the protection and promotion of children’s rights in Zambia. On a related issue, one of the social workers revealed that protecting children from the worst forms of child labour and promoting their rights pose a challenge since the welfare state in Zambia collapsed when state owned companies were privatized. To this effect, the government has left the huge responsibility of taking care of children to NGOs which do not have the capacity or resources to deal with child labour related issues.

The findings of the study also revealed that the social structure or the extended family system and its norms and values have been eroded. Thus, families and communities, especially in urban areas no longer take the responsibility to take care of children of their relatives once their parents die. This leaves children alone without financial and social support. As a result of lack of family and government structures to deal with child labour and promote child welfare, children are left at the mercy of the community, more so to fend for themselves.

In view of the above, one of the social workers remarked:

“The collapse of the welfare state in Zambia, as well as the disintegration of extended family system due to poverty and HIV/AIDS makes it difficult to address child labour issues in Zambia.”

It is clear from the above statements that social safety nets (such as the extended family system) have disintegrated because of liberalized economy, high poverty levels and HIV/AIDS which deprived children and their families of breadwinners. In this regard, the high prevalence of HIV/AIDS coupled with high levels poverty pose as a major challenge for the Zambian government and NGOs to deal with child domestic labour in Zambia.

Discussion

Effects of Child Domestic Labour on the Livelihoods of Children and their Families

In this study, it was established that child domestic work perpetuates child poverty and eventually results in family poverty because it deprives children of opportunities to go to school and acquire lifelong skills which they can use to move out of poverty. Therefore, poor family background and lack of vocational skills put children in the position of vulnerability and force them to occupy low class jobs that exacerbate poverty in their families. The implications of child domestic work for child welfare is that children are subjected to poor terms of employment and working conditions which deny them the right to better salaries, social and economic security. Hence, children are trapped in the vicious cycle of family

poverty. In this regard, child domestic work is a violation of children's right to adequate standard of living as children and their families struggle to earn a living. They hardly survive because their monthly income is not enough to cater for large families. In light of the above, domestic work perpetuates socio-economic inequalities and injustice among children. This in turn results in children becoming vulnerable to various forms of abuse, discrimination, marginalization and oppression in society.

Furthermore, results of the study showed that domestic work exacerbates feminization of poverty because it deprives many girls of the right to education which is the key to enjoyment of other rights. There is feminization of poverty in the sense that more girls than boys drop out of school to engage in domestic work in order to earn a living. In this regard, domestic work cannot help these children to move out of poverty as they remain illiterate and work in these low class jobs for the rest of their lives. Child domestic labour therefore jeopardizes children's rights, including the right to education, adequate standard of living, psychosocial wellbeing and development. To this effect, domestic work is not in the best interests of the children because it denies them schooling opportunities and skills training which they can use to fight poverty. The implication is that many girls remain poor as they lack education and vocational skills which they can use to find better employment with higher income. This therefore results in gender, social and economic inequalities among girls in society. This also has negative consequences on the social development of the country since majority of the girls and their families remain in abject poverty.

It is clear from these findings that child domestic work perpetuates child poverty and eventually families remain in the vicious cycle of poverty. In this regard, domestic work results in capability poverty as children are deprived of schooling opportunities and lifelong skills which they can use to fight poverty. More so, child domestic labour exacerbates income poverty since the income that children get through domestic employment is not enough to sustain the livelihoods of children and their large families. Capability poverty is understood as "capability deprivation, which expresses itself in restriction in freedoms or capabilities, inequality and denial of human rights" as conceptualized by Sen (2001, p. 366). Child domestic work therefore limits children's freedoms, that is, better opportunities, choices, privileges, and the full development of their capabilities which they can use to realize their aspirations. In this case, children do not have the capabilities or opportunities to engage in better employment which can enable them to get enough money and have a sustained livelihood. Basing on Sen's capability approach, child domestics are incapacitated by lack of education and vocational skills to fight abject poverty. The only opportunity or option that children have is domestic work which acts as source of livelihood for them and their families. Hence, children and their families hardly survive as they are not able to earn enough money to meet all their basic needs.

The results of this study were corroborated by empirical evidence provided by ILO, UNICEF, and the World Bank Group Report (2012). The evidence indicated that child labour not only harms the welfare of individual children, but also slows broader national poverty reduction and development efforts. Children forced out of school and into labour to help their families to make ends meet are denied the opportunity to acquire the knowledge and skills needed for gainful future employment, thereby perpetuating the cycle of poverty in the family. Moreover, child labour can lead to social vulnerability and social marginalization, and can permanently impair the attainment of personal and productive potential, in turn influencing lifetime patterns of employment and earnings, and generating important constraints to national development goals. This has a long term bearing on children's future aspirations and social development in the country.

Notwithstanding the empirical results that child labour perpetuates child poverty, it is also established that work enables children and their families to earn a living as they are able

to find money to meet their day to day needs. Thus, without engaging in domestic work, children and their households can hardly survive. In this regard, domestic labour enables them to meet their basic needs though it is not in a sustainable way. The findings of the current research therefore revealed that domestic work acts as a source of livelihood for most of the children from poor family backgrounds, especially orphans and vulnerable children who have no other means of sustaining their livelihood. Domestic work therefore helps to keep children away from begging in the streets and indulging in vices such as stealing and child prostitution. Domestic work also enables children to find money to pay school fees and buy materials required for school. Further, single mothers, widows and old grandmothers look at children as the only helpers or people who can help in bringing income in the households. In this case, child domestic work helps children and their families to survive as they are able to earn a living, although domestic work is considered to be abusive and exploitative form of child labour by various stakeholders such as governments, civil society organisations and UN Agencies. Consequently, child domestic labour can be seen as the only option for vulnerable children and their families to make ends meet. The earlier research conducted by Oyaide (2000) in Zambia corroborated the findings of the current study. The empirical results showed that the fundamental reason why children are engaged in domestic work is because child domestic labour is one of the ways that families cope with poverty. Therefore, child domestic work is good as it removes children from streets and destitution. As a result, some tend to regard it as a better alternative to poverty and destitution.

However, domestic work is not in the best interest of the child because it jeopardizes children's right to adequate standard of living, health and psychosocial wellbeing as guaranteed by the United Nations Convention on the Rights of the Child (UNICEF, 2009). Domestic work therefore perpetuates child and family poverty as it deprives children of their right to education which is the key to success and enjoyment of other rights. Moreover, the money that children earn through domestic work is not enough to address abject poverty that affects households and communities where these child domestics come from. To this effect, domestic work makes children to be trapped in the vicious cycle of abject poverty.

Challenges of Protecting the Rights of Child Domestic Workers

Articles 32 and 36 of the Convention on the Rights of the Child (CRC) United Nations Convention on the Rights of the Child (1989) stipulate that children should be protected from work that is dangerous or harmful to their health, education, welfare and development. Additionally, article 4 states that governments have a responsibility to take all available measures to make sure children's rights are respected, protected and fulfilled (UNICEF, 2009, pp. 79-80). More so, article 26 of the United Nations Convention on the Rights of the Child (1989) stipulates that children have the right to help from the government through social protection if they are poor or in need. In this regard, the best interests of the child must be the primary concern in making policies, programmes, laws or decisions that may affect children's psychosocial needs and development. However, the results of the current study revealed that the Zambian government and civil society organisations are faced with challenges in their quest to protect children from child domestic work that is harmful to their health, education, welfare, adequate standard of living, psychosocial wellbeing and development. The findings showed that inadequate government policies on education and child protection is the biggest challenge for the NGOs and government institutions to address child labour, abuse and neglect. In this regard, the existing policy on child protection doesn't give maximum protection to children since the legal and policy frameworks for coordination, implementation, monitoring and evaluation of child protection and welfare programmes are not adequately addressed. The empirical work by Mulili (2010) on the psychosocial consequences of domestic labour on children in Kenya affirmed the findings of this study.

The evidence indicated that there are major gaps in eliminating child domestic labour due to inadequate implementation of the child labour policy. More so, there is a gap in providing viable alternatives such as formal and informal education that would empower child workers with vocational skills.

Further, the findings of the current study revealed that another major gap in protecting children's rights is that the Zambian government has left the huge responsibility of taking care of children to NGOs which do not have the capacity or resources to deal with child labour related issues. Most of the vulnerable children and their households do not receive maximum social protection from the Zambian government despite that poverty levels are so high among people, especially child-headed households and homes headed by widows and old grandparents. Therefore, absence of social protection policies and programmes contribute to social and economic inequalities, injustice, exploitation and violations of children's human rights. This is because children who are the most vulnerable members of society are not protected by government through its policies and programmes that can address their vulnerability. In this way, children are left alone to fend for themselves since the social structure or the extended family system and its norms and values have been eroded. Mainly, social safety nets such as the welfare state and the extended family system have disintegrated because of liberalized economy, high poverty levels and HIV/AIDS which deprived children and their families of breadwinners who used to provide for them.

In the Zambian society beset with high levels of poverty and HIV/AIDS, families and communities, especially in urban areas no longer take the responsibility to take care of children of their relatives once their parents die. This leaves children alone without financial and social support. As a result of lack of family and government structures to deal with child labour and promote child welfare, children are left at the mercy of the community, more so to fend for themselves. Above all, the empowerment of children orphaned by HIV/AIDS has not been addressed adequately, and hence children are left alone without support. To this effect, children decide to work at tender age, while some become street kids and homeless, and end up engaging in anti-social vices. In this case, children are neglected and their rights are violated since they are left alone without protection from exploitation and abuse. To this effect, children take up domestic work to earn income in order to meet their basic needs, though their income is not adequate to sustain their livelihoods.

From the findings of this study, it is established that the biggest challenge faced by government and civil society organisations in protecting children from child labour is lack of effective implementation of child labour policies and programmes. More so, effective educational policies that would promote free compulsory education and provide children with lifelong skills which they can use to fight poverty are absent in Zambia. Therefore, the only way children can be protected from exploitative forms of child domestic labour is to put in place inclusive educational policies, as well as child-sensitive social protection policies and programmes that would cover all orphans and vulnerable children in Zambia. By and large, the government should take all necessary measures to ensure the best interests of the child. More so, financial support as well as skills training should be given to parents or guardians whose children are engaged in domestic work so that they can be self-reliant and lead sustained livelihoods.

Conclusion

It has been established from this study that child domestics come from households affected by HIV/AIDS, and families whose income and education levels are very low. It is also revealed established that child domestic labour perpetuates child poverty because it deprives children of schooling opportunities and lifelong skills which they can use to fight

poverty. However, domestic work acts as a source of livelihood for most of the children from poor families, especially orphans and vulnerable children who have no other means of sustaining their livelihood. Thus, domestic labour acts as a means to earn ends meet for children and their large families. Largely, it is established from the study that domestic work exacerbates feminization of poverty because it deprives many girls of the right to education which is the key to enjoyment of other rights. The implication is that these children remain poor as they lack education and vocational skills which they can use to find better employment with higher income. This therefore results in gender, social and economic inequalities among girls in society.

It is also discovered from this study that the biggest challenge faced by government in protecting children from child labour is lack of effective educational policies that would promote free compulsory education and provide children with lifelong skills which they can use to fight poverty. Therefore, the only way children can be protected from exploitative forms of child domestic labour is to put in place inclusive educational policies, as well as child-sensitive social protection policies and programmes that would cover all orphans and vulnerable children.

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GLOBALIZATION, HUMAN SECURITY AND SOME INTERVENING CONCERNS

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Abstract

Traditionally the concept of “security” has been couched in neo-realist terms, relating to protecting the territorial integrity and political sovereignty of nations. This continues to be a legitimate concern for scholars and policy-makers alike, but at the current state of human development it is clear that an alternative or even complimentary conception of “security” needs to assume critical importance.

A conceptualization of security that is centered primarily on the individual or community can be understood as human security. This notion grows from the assumption that there are needs, problems, and issues that are common to all of mankind no matter what part of the world they live in, for example, poverty; the spread of communicable diseases; environmental degradation; the loss of faith in institutions; population pressures; and economic crisis.

It is imperative that we view these concerns in terms of global trends and forces that affect the individual. The question then is ; how can we ensure human security? This can be achieved not through force of arms, but through policies that lead to the empowerment of people and an attack on the sources of intervening concerns and contemporary problems as such poverty, migration and income inequality challenges. These issues form the kernel of the present paper. In concluding, the paper proffers suggestions by way of some reversal policies that can mitigate some of the challenges identified so as to ensure improved human security on the global plane.

Keywords: Globalisation, Human Security, Environmental Security, Global Natural Environment, Environmental Degradation, Climate Change

Introduction

It has been argued by some (Beck, 2000; Bhagwati, 2004; Bisley, 2007; Wolf, 2004) that globalization of democracy in developing countries has contributed to human insecurity in some countries. It is further argued that while political rights and freedom from political oppression is desirable, the spread of democratic values has simultaneously and quite ironically produced societal instability. It is posited that as some states experience an improvement in political or civil liberties, they shortly thereafter experience civil strife (e.g. the former Yugoslavia and the conflict between Russia and the ethnic separatist Chechens).

The spread of economic and political liberalization policies and their human security implications are producing a new form of social alienation. Societies that were once traditional, community-oriented, informal, and personal are now suddenly exposed to the formal, abstract character of modern institutions, the economic detachment of the state, and a more competitive political economy. The eruption of violent conflicts is, at times, an attempt to address human economic existential anxiety caused by globalization's effect on the "social contract" between the state and the society resulting in the possible loss of economic support systems. Thus, it is seen that globalization affects and is affected by societies, peoples and communities and their individual components.

According to the 1994 Human Development Report

Human security is people-centered. It is concerned with how people live and breathe in a society, how freely they exercise their many choices, how much access they have to market and social opportunities-and whether they live in conflict or in peace.

(United Nations Development Programme, 1994: 24).

In other words, human insecurity broadly conceived affects not just economic security but other areas of existence as well. This is why the first major reference to human security in 1994 identified seven areas of concern. These are the following (United Nations Development Programme, 1994:32):

1. economic security (e.g., assurance of a basic income),
2. food security (e.g., access to food),
3. health security (e.g., access to health care and protection from diseases),
4. personal security (e.g., freedom from threats by the state, groups, or individuals),
5. community security (e.g., freedom from harmful community practices),
6. political security (e.g., enjoyment of human rights, and freedom from political oppression),
7. environmental security (e.g., protection from harmful effects of environmental degradation).

The effects of these and other contemporary issues seem to be exacerbated by the globalization process – a concept that seems to have both developmental (positive) and debilitating (negative) influences.

Apart from an examination of the debate on the concept of globalization – its positive and negative consequences in section two, the paper goes on, in section three, to review the impact of human security forces on the African continent with particular reference to two major intervening concerns – climate change and environmental degradation. In the final and concluding section, the paper offers suggestions by way of some reversal policies that can mitigate some of the challenges identified.

Globalisation

The term ‘globalisation’ has taken several meanings and definitional connotations over the centuries. It has had etymological, anthropological, socio-cultural, politico-legalistic, and indeed economic-financial implications and attributes over this period. “The overland Silk Road that connected Asia, Africa, and Europe is a good example of the transformative power of trans-local (globalising) exchange that existed in the ‘Old World’”. Philosophy, religion, language, the arts, and other aspects of culture spread and mixed as nations exchanged products and ideas in the 15th and 16th centuries.....(and) by the year 2010, global movement of people, goods, and ideas had expanded significantly and the advent of electronic communications, most notably mobile phones and the Internet, connected billions of people in new ways“ (Wikipedia, the free encyclopedia).

Thus, the term *globalization* has come to be referred to the emergence of an international network of social and economic systems. Social scientist Paris (2001) defined globalization as ‘the compression of the world and the intensification of the consciousness of the world as a whole’ as sociologist Martin Albrow (1996) defined it as ‘all those processes by which the peoples of the world are incorporated into a single world society’. As Waters (1995) also explains, ‘globalisation is a social process in which the constraints of geography on social and cultural arrangements recedes and in which people become increasingly aware that they are receding’ and in the same vein, Martin Albrow (1996) opined that ‘globalisation involves the supplanting of modernity with globality and thus an overall change in the basis of action and social organisation for individuals and groups’.

According to economists, there are a lot of global events connected with globalization and integration. They include the following :

1. Improvement of International Trade.

Here, it is argued that because of globalization, the number of countries where products can be sold or purchased has increased dramatically.

2. Technological Progress.

Through the need to compete and be competitive globally, governments have upgraded their level of technology.

3. Increasing Influence of Multinational Companies.

A company that has subsidiaries in various countries is called a multinational. Often, the head office is found in the country where the company was established. While the head office controls the subsidiaries, the subsidiaries decide on production. The subsidiaries are tasked to increase the production and profits. They are able to do it because they have already penetrated the local markets. Globalization has a lot to do with the rise of multinational corporations.

4. Power of the WTO, IMF, and WB.

Another effect of globalization is the strengthening power and influence of international institutions such as the World Trade Organization (WTO), International Monetary Fund (IMF), and World Bank (WB).

5. Greater Mobility of Human Resources across Countries.

Globalization allows countries to source their manpower in countries with cheap labor. This aids international migration which brings human resources to producing countries for employment.

6. Greater Outsourcing of Business Processes to Other Countries.

From existing trend of global business outsourcing, global companies in the US and Europe take advantage of the cheaper labor and highly-skilled workers that countries like India and the Philippines can offer

7. Civil Society.

An important trend in globalization is the increasing influence and broadening scope of the global civil society often referred to NGOs (nongovernment organizations). There are institutions in a country that are established and run by citizens. The family, being an institution, is part of the society. In globalization, global civil society refers to organizations that advocate certain issue or cause.

The point however is that the term 'globalisation' defiles being put in a scholastic, albeit sociological or economic, cubicle. A transformative concept, the term ramifies different disciplines and incorporates expansive spatial connections, and there can be no clear or coherent formulation of this term. Manfred Steger, a professor of Global Studies, went on to identify five dimensions of globalization: socio-cultural, economic, political, ideological and (indeed) ecological. It is further argued that a satisfactory definition of globalization must capture each of these elements: extensity (stretching), intensity, velocity and impact. Indeed a Globalized society offers a complex web of forces and factors that bring people, cultures, markets, beliefs and practices into increasingly greater proximity to one another.

One of the major set of forces impinging upon globalization and is likewise impinged upon is the natural environment. Thus, environmental challenges such as climate change, cross-boundary water, air pollution, and environmental degradation are linked with globalization. Some of these issues catch the attention of this paper and are highlighted in the third section of the write-up. In that section, it is pointed out that while globalization might have 'brought benefits to millions of people and helped secure the biggest ever falls in the proportion of humanity in extreme poverty (Wolf, 2004), globalization results in ecological

damages including global warming, extinction of animals and plants, rapid spread of communicable diseases and many others (Adebogun, 2013).

Human Security and Africa

Proponents of the concept of 'human security' view it as a people-centered, community-related notion necessary for national, regional and global security. That school of thought has posited that the interest of the people in traditional explanations on the notion of national security has often been overshadowed by the interest of the state, emphasizing 'defence' rather than 'development' as the fulcrum. For instance, Canada's foreign policy, "three Ds", has been criticized for emphasizing defense more than development (Spiegel, J.M., and R. Huish. 2009).

In its 1994 Human Development Report, the United Nations affirmed that global security could only be brought about in the world by ensuring 'freedom from want' and 'freedom from fear' for all persons. In its definition of 'human security' it argued that the scope of global security should be expanded beyond mere 'national security' with its emphasis on military might. Thus the UNDP's 1994 Human Development Report's definition of human security argued that the scope of global security needed to be expanded to include *threats in seven areas*, namely :

- **Economic security** — Economic security requires an assured basic income for individuals, usually from productive and remunerative work or, as a last resort, from a publicly financed safety net. In this sense, only about a quarter of the world's people are presently economically secure. While the economic security problem may be more serious in developing countries, concern also arises in developed countries as well. Unemployment problems constitute an important factor underlying political tensions and ethnic violence.
- **Food security** — Food security requires that all people at all times have both physical and economic access to basic food. According to the United Nations, the overall availability of food is not a problem, rather the problem often is the poor distribution of food and a lack of purchasing power. In the past, food security problems have been dealt with at both national and global levels. However, their impacts are limited. According to the United Nations, the key is to tackle the problems relating to access to assets, work and assured income (related to economic security).
- **Health security** — Health Security aims to guarantee a minimum protection from diseases and unhealthy lifestyles. In developing countries, the major causes of death traditionally were infectious and parasitic diseases, whereas in industrialized countries, the major killers were diseases of the circulatory system. Today, lifestyle-related chronic diseases are leading killers worldwide, with 80 percent of deaths from chronic diseases occurring in low- and middle-income countries. According to the United Nations, in both developing and industrial countries, threats to health security are usually greater for poor people in rural areas, particularly children. This is due to malnutrition and insufficient access to health services, clean water and other basic necessities.
- **Personal security** — Personal security aims to protect people from physical violence, whether from the state or external states, from violent individuals and sub-state actors, from domestic abuse, or from predatory adults. For many people, the greatest source of anxiety is crime, particularly violent crime.
- **Political security** — Political security is concerned with whether people live in a society that honors their basic human rights. According to a survey conducted by Amnesty International, political repression, systematic torture, ill treatment or disappearance was still practised in 110 countries. Human rights violations are most

frequent during periods of political unrest. Along with repressing individuals and groups, governments may try to exercise control over ideas and information.

- **Community security** — Community security aims to protect people from the loss of traditional relationships and values and from sectarian and ethnic violence. Traditional communities, particularly minority ethnic groups are often threatened. About half of the world's states have experienced some inter-ethnic strife. The United Nations declared 1993 the Year of Indigenous People to highlight the continuing vulnerability of the 300 million aboriginal people in 70 countries as they face a widening spiral of violence.
- **Environmental security** — Environmental security aims to protect people from the short- and long-term ravages of nature, man-made threats in nature, and deterioration of the natural environment. In developing countries, lack of access to clean water resources is one of the greatest environmental threats. In industrial countries, one of the major threats is air pollution. Global warming, caused by the emission of greenhouse gases, is another environmental security issue" UNDP's 1994 Human Development Report.

As pointed out by Thomas (2001), all of the challenges to human security are further magnified in Africa, with global implications:

- Bad governance often resulting in popular protest and even violent resistance on the part of certain groups against the forces of repression.
- Regular violations of human rights perpetrated against the most vulnerable in society (e.g. women, children, the poor, and unarmed citizens).
- Drug trafficking that is linked to a deadly global network.
- International terrorism, with African states and people both as victims and perpetrators.
- Increasing international migration as a function of population growth, poverty, and political and economic insecurity on the continent.
- Population growth, which increases the pressure on non-renewable resources and is intimately related to global poverty, environmental degradation and international migration.
- Internal wars fought by "irregular forces" of ethnic and religious groups equipped with small arms.

As can be seen from the two maps below, for both Year 2003 and Year 2008, most of Africa exhibited low level of Human Development.



The 2003 map, Coloured world map indicating Human Development Index (as of 2003).

Note : Countries coloured green exhibit high human development, those coloured yellow/orange exhibit medium human development, and those coloured red exhibit low human development.



The 2008 Map, Coloured world map indicating Human Development Index (as of 2008).
 Note : Countries coloured green exhibit high human development, those coloured yellow/orange exhibit medium human development, and those coloured red exhibit low human development.

Continuing conflict and human rights abuses all over the world into the Third Millennium including in Africa, and the fact that two-thirds of the global population seemed to have gained little from the economic gains of globalization, led to fundamental questions about the way development was practiced. Accordingly, human development has emerged in 1990s to challenge the dominant paradigm of liberal economy in the development community. It is often argued, and quite correctly, that economic growth with its diverse indices such as Gross National Product (GNP), Gross Domestic Product (GDP), Gross National Income (GNI), is insufficient to expand people's choice or capabilities, areas such as health, education, technology, and that economic development with its variants such as the environment and employment, should not be neglected.

The concept of 'human security' could be said to further enlarge the scope for examining the causes and consequences of underdevelopment, by seeking to bridge the divide between development and security. Stewart (2004) argued that like the International Commission on Intervention and State Sovereignty (ICISS) in its 2001 Report "The Responsibility to Protect" (a comprehensive report detailing how the "right of humanitarian intervention" could be exercised) that the human security approach emphasizes very useful main principles:

- The protection of individual welfare is more important than the state. If the security of individuals is threatened internally by the state or externally by other states, state authority can be overridden.
- Addressing the root causes of humanitarian crises (e.g. economic, political or social instability) is a more effective way to solve problems and protect the long-term security of individuals.
- Prevention is the best solution. A collective understanding of the deeper social issues along with a desire to work together is necessary to prevent humanitarian crises, thereby preventing a widespread absence of human security within a population (which may mean investing more in development projects).

Investing in development projects while mitigating environmental disasters remains the ultimate objective of the human security paradigm as discussed in the next section.

Global Natural Environment and some Intervening Concerns

The natural environment is described as encompassing all living and non-living things occurring naturally on Earth or some region thereof. Of serious consequence to it now is a major and long-term threat – climate change - that has the potential to affect every part of the globe. In West Africa, particularly in the Sahel, temperatures have increased more sharply than the global trend. And the predicted rise in temperature between 1980/99 and 2080/99 is between 3°C and 4°C which is more than 1.5 times the average global trend.

Accelerated climatic changes are expected to lead to potentially large impacts across Africa in the future. The scale of climate change will increase with high anthropogenic emissions, greenhouse gas concentration, and average global temperature. In view of the

resultant disruption of economic activities, climate change is no longer just an environmental issue but a development concern. It has become a major threat to the sustainable development of many developing countries and the challenge to Africa is to keep climate change from reversing all the developmental gains accumulated in the last few decades.

Africa has been highlighted as the most vulnerable continent to climate change. This is because the economies of most developing countries in Africa are generally dependent on climate-sensitive natural resources, high poverty incidences, coupled with low adaptive capacity. Given the dependence of these countries to environmental and natural resources, economic growth and the livelihoods of both urban and rural populations are vulnerable to climate variability and change. But by working within the United Nations Framework Convention on Climate Change (UNFCCC), Africa could respond from both mitigation and adaptation angles which require strategic approaches from policy, regulatory and institutional capacities.

Other areas of concern are those related to the challenges of land degradation (deforestation, desertification, and coastal and marine environmental erosion), air and water pollution, urban decay and municipal waste, as well as hazards of drought, coastal surges and flood. Documented impacts of climate change in the East African Community region include sea level rise, submergence of some islands in the Indian Ocean, salt water intrusion and contamination of fresh water wells along the coast in Tanzania, beach erosion in Mombasa, Kenya, and rampant floods and droughts across the region. By way of concerted responses, African countries must try to achieve sustainable development against all of these phenomena by doing the following :

- secure a quality of environment adequate for good health and well-being;
- promote the sustainable use of natural resources;
- restore and maintain the ecosystem and ecological processes, and preserve biodiversity;
- raise public awareness and promote understanding of linkages between environment and development; and
- cooperate with government bodies and other countries and international organizations on environment matters.

Concluding Remarks

The term globalization implies transformation. Indeed the term ‘globalization’ has brought out the essence of the concept of ‘human security’. Richard Jolly and Deepayan Basu Ray, in their UNDP report, suggested that the key criticisms of human security include the fact that human security does not have any definite boundaries, therefore anything and everything could be considered a risk to security. This makes the task of policy formulation nearly impossible. Human security, when broadened to include issues like climate change and environmental degradation, complicates the international machinery for reaching decisions or taking action on the threats identified.

Despite the possible debilitating influences of human security, by 2008, a Human Security Index (HSI) had been prototyped and released. The project coordinator, David Hastings noted that “if one were challenged to create an index on the condition of people-centric Human Security, such as the authors of the Human Development Index faced in 1990 and expanded qualitatively in 1994, one could now begin to do so – at least for the sake of discussion and resultant improvements.” The release document and a United Nations Bangkok Working Paper (Hastings, 2009) led to the publication of the following :

- **An Equitability/Inclusiveness Enhanced Human Development Index** – in which each of the components of the HDI (education, health, and income) are modified by an indicator of equitability in an attempt to adjust, for example, for the gap between

the indicator of Gross Domestic Product (GDP) Per Capita (adjusted for purchasing power parity) and the desired measure of financial resources “in the pocket” of a typical person in a country. In that index some countries with relatively equitable ratings compared to their Human Development Index (such as Iceland, the Slovak Republic, and Estonia) do relatively well, whereas some countries with relatively inequitable ratings compared to their HDI (such as Ireland, Greece, and the USA) do less well.

- **A Social Fabric Index** which enumerates human security with respect to environment, diversity, peacefulness, freedom from corruption, and info empowerment. This was blended with the Human Development Index to form the prototype Human Security Index.

A 2010 enhancement to the HSI recast the composite index around a trinity of Economic, Environmental, and Social Fabric Indices (Hastings, 2012) which also included efforts to balance local and global context, individual and society concerns, left-right political issues, east-west and north-south cultural and social issues. Current Version 2 of the HSI ingests about 30 datasets and composite indicators, and covers 232 countries and dependencies. It is released at HumanSecurityIndex.org.

Considerable differences in national ratings and standings have been noted between the HSI and indicators such as GDP per capita or the Human Development Index. Several small island countries and development oriented countries such as Bhutan and Botswana do considerably better in the HSI than they do in GDP per capita or HDI. Conversely, Greece and some Eurozone peers such as Ireland and Spain, several countries in the Gulf, Israel, Equatorial Guinea, the USA and Venezuela do worse in the HSI than in GDP per capita or HDI. Influential factors vary but include diversity and income equality, peacefulness, and governance.

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A BACHELOR OF SOCIAL WORK PROGRAMME IN CANADA: ASSESSMENT OF NEED AND FEASIBILITY

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Abstract

Social Service Worker students, both past and present, were surveyed to determine their interest in enrolling in a Bachelor of Social Work Programme at Douglas College in British Columbia, Canada. Without a predictable catchment of students from the community it would be difficult for faculty and management at the college to justify funding the programme, designing new curriculum, hiring additional instructors, etc. Students were surveyed using a mixture of qualitative and quantitative measures over a period of approximately two months. Summary of the data met with positive results yet ongoing research challenges include developing curriculum for approval by college management and the Canadian Association of Social Workers, securing funding from the Ministry of Advanced Education, and hiring additional faculty. As part of its strategic plan the management at Douglas are committed to developing a college with the highest level of Bachelor level programmes offered in the province of British Columbia. As a research problem then it remains to be seen if the interest expressed by those surveyed will translate into the BSW actually being created and delivered.

Keywords: Social work programme, Canada

Introduction

The Douglas College Community Social Service Worker Program (CSSW) is submitting this proposal to deliver a Bachelor of Social Work Degree (BSW) at Douglas College.

One of the key objectives of the BSW is to meet the market demand for BSW level workers which continues to expand in relation to the growth in social service agencies across the province. This fits within the context of strategic planning at Douglas to meet “the demand for degree credentials which is growing substantially.”

As more people find themselves dealing with issues such as poverty, mental health, addictions, and family breakdown, agencies have responded by generating new programs or shifting the focus of how those programs were run traditionally (www.fraserhealth.bc.ca). At the risk of seeming too obvious, as the issues of clients become more complicated, the training of those attempting to help them must also be more advanced. Social workers are required now to be much more than case managers, and while providing resources for people contains evident value, they need to understand in depth the subtleties of each situation systemically and adjust their interventions accordingly. Professionals trained at the BSW credential would have a greater likelihood to appreciate these complexities and to respond both at a micro (individual/family) and macro (community/policy) level to the multiple barriers that clients are experiencing. This may be especially relevant now given the high level of economic uncertainty related to a global recession, increasing personal debt, and a lack of reliable and sustainable employment for many to meet even basic needs (www.fraserhealth.ca/vacancies). According to the BC College of Social Workers, the need

for bachelor level practitioners will continue to grow as the challenges clients experience and their possible solutions require a broad repertoire of skills from the social workers involved. Between 1998-2010 1,890 new social work positions were required to be filled in the province representing a growth rate of 1.7% with 58% of these becoming available due to retirements of the baby boomer generation (www.mcfed.gov.ca). Moreover, changing demographics (an aging population) will result in a rapidly expanding need for professionals to work with seniors.

Second, establishment of a BSW would contribute to the expansion of credentials offered at Douglas College as a comprehensive college. Delivery of a BSW would build upon and enhance the reputation of the College as a vital centre of human services education in metro Vancouver. The addition of the BSW is consistent with the Education Division's three key strategic academic directions/goals for Faculty-based academic programming for 2011-13:

1. Support CSSW graduates to achieve their academic, professional and employment goals.
2. Enhance and strengthen the local and regional profile of Douglas in the B.C. post-secondary system and in human services communities.
3. Provide high-quality social work curriculum, program and faculty development.

The BSW will: further the reputation of CFCS to "offer high quality programs by creating new programs, credentials and career pathways,"; continue to "expand collaborations with community and academic partners,"; and "increase faculty and student engagement in Scholarly Activity." (CFCS, Tactical Plan, 2010-2013)

Implementation of the BSW meets many of the criteria outlined in the 2013 Strategic Plan:

1. Douglas College will be the largest and most progressive baccalaureate degree-granting college in British Columbia.
2. The College will respond to learner and labour market demand through: developing new programs/courses/pathways such as bachelor's degrees, post-degree credentials, diplomas, certificates.
3. Develop new upgrading curriculum for professionals in the workforce.
4. Enhance linkages with professional associations and accreditation bodies
5. Douglas College will develop superior learner pathways and support students to make transitions both within the institution and external to the college.

Faculties from which students would typically transfer into the BSW include: Child, Family and Community Studies (CSSW, CYC, CCS); Humanities and Social Sciences; and Language Literature and Performing Arts at Douglas, other institutions in BC and elsewhere in Canada.

External partners directly involved with the BSW will include;

- the Canadian Association for Social Work Education (CASWE-ACFTS) which is responsible for accrediting degree granting institutions based on curriculum design, governance, resources, etc...

The Ministry of Advanced Education will be responsible ultimately for funding the BSW and

The BC College of Social Workers will be involved in granting status for those graduates who wish to be registered.

- BCAT (admissions and transfer) will be responsible for determining the transfer credit of courses between the BSW and other institutions. In addition to these regulatory bodies an Advisory Committee of social work professionals in the field will be struck to provide suggestions for how the degree meets the requirements of agencies hiring our graduates.

This is a standalone BSW, operating within the governance and academic systems at Douglas College. It is not intended as a collaborative degree with another institution. That being said the CSSW department will have opportunities for interdisciplinary work with other faculties at Douglas in areas of interest which may include community development, administration, women's studies, mental health, culture, healthcare and other opportunities which will develop as the BSW degree is discussed across the College (www.douglas.bc.ca/bachelors-degrees).

Geographically, students interested in pursuing a BSW would benefit from courses being offered at Douglas College with its central location in the Lower Mainland rather than having to travel to other institutions in BC. Increasingly time and transportation costs are an issue for students entering applied academic programmes, many of whom have young families and are working (www.statscan/student). This differs markedly from the educational trends of the recent past, when students entered college immediately after high school, lived at home, and bore less of a financial burden to fund their education. According to the Ministry of Advanced Education (www.gov.bc.ca) these costs are predicted to become even more challenging with a rise in the number of single parent students who will be seeking to upgrade their education at the post-secondary level. Additionally, the Community Social Service Worker Programme at Douglas College, currently a diploma level credential, would attract a larger contingent of students knowing that they could continue their education within the institution where they received their initial training. Professionals employed in the human services field currently would be attracted to the BSW at Douglas to advance in their careers, for job security, to expand their knowledge and expertise, or some combination of the above (www.gov.bc.ca). With a larger student base to draw upon, filling seats in the BSW becomes less of a logistical and funding concern (www.douglas.bc.ca/bachelors-degrees). Development of the BSW within the college will proceed through the typical structures for submitting full program proposals. The letter of intent has been approved by Senior Management and this submission is the next stage in the process.

Institution and system coordination

There are currently nine BSW Programmes being offered in British Columbia from Vancouver Island to the Northern Interior of the province. The impact of the BSW degree at Douglas appears to be twofold.

Benefits include offering a social work degree to those students who would normally travel from the catchment area of Surrey, New Westminster, Coquitlam, and Burnaby to the University of the Fraser Valley or the University of British Columbia. These individuals would be much more likely to complete their BSW at Douglas based on proximity closer to home and the ensuing lower costs of travel and the reputation of the CSSW program with its strong practice base. Students, who had taken courses at Douglas previously, including those in the CSSW programme, would be inclined to remain here for the BSW given a sense of familiarity with the institution, faculty, quality of instruction, practice reputation, and student services. Similarly, CSSW diploma graduates who are now entering the CYCC degree stream might see the BSW as more aligned with their initial studies. Students taking distance education BSW courses through another institution such as UVic might be more attracted to the traditional or hybrid form of delivery provided at Douglas. Despite its growing appeal there remains a problem of attrition for online courses but, for many, the classroom environment provides a culture of support and belonging that can help students be successful.

These benefits for Douglas might also pose a concern for other institutions. UFV and UBC for example would have less students applying to their programs from our region. Online registration at UVic and other schools could drop for those students who prefer the

classroom environment and now have the option, likely closer to where they live, of Douglas. The CYCC degree program would likely receive fewer applicants from the CSSW diploma than they have currently.

Once accredited, graduates of the BSW will have an opportunity to pursue graduate training for an MSW and/or complete courses of interest through continuing education programs. These are offered at institutions locally, across Canada, and internationally.

Effectiveness and efficiency

BSW programs in many ways begin at third year. The first two years consist of several social work specific courses and many arts and science electives. Although this list of electives is prescriptive, it does present a pathway for arts and science students into a social work degree. With some planning, the selected electives could be consistent with the proposed Foundation year. This would strengthen connections between the Faculties of HSS, LLPA and CFCS and would retain students at Douglas.

With the advent of the Applied Psychology degree and the proposed Criminology degree, the BSW will be able to share in a range of courses which will appeal to the varied interests of students in each of the degree programs.

The Child Protection Specialization is currently delivered over two years to CYC students. The Ministry of Children and Families this year has 100 positions open for Child Protection workers. We anticipate that some students in the BSW will take the Child Protection specialization. We think its likely that the combined demand for specialization will permit us to offer the full citation on a yearly basis rather than every second year. We will also need to increase the frequency of offering Disabling Conditions – a course required in the Child Protection Specialization and in Disability and Applied Behaviour Analysis. This course will also be of interest to some student in the Applied Psychology and Criminology degrees.

We do not anticipate other sources of revenue than base funding and student fees.

Institutional human resources

The CSSW programme has a very experienced, innovative faculty who have, in recent years, developed the Uganda project and the Co-occurring disorders programme. One faculty member is the author of a widely adopted text on counselling. Faculty specializations include: counselling, addictions, mental health, family work, gerontology, and international human services.

All faculty have completed their Masters degrees and additional training in areas of interest. All are respected practitioners in the field and are qualified to teach at the BSW level.

Student and labour market demand

The social services sector has undergone significant changes since 1996. Since that time the major funder for social service agencies (the provincial government) has required these agencies to become accredited through one of two accrediting bodies, COA or CARF (www.mcf.gov.ca). The result has been that over 150 agencies are now accredited in B.C. Although these agencies represent less than 10% of all provincial agencies, they hold close to 80% of all MCFD contract dollars. Accreditation requires agencies to hire at an undergraduate level for the majority of line positions whereas historically they were able to hire at a diploma or certificate I level or hire for either credentials or competency. Following this latter practice now costs the agency points in its accreditation (www.mcf.gov.ca). Most agencies now require a BSW degree to assume a full-time, “regularized” position and as a result, employers now require that most managers have a Masters degree in order to ensure

appropriate supervision of staff with degrees. Agencies would hope to hire and retain employees with a background in social work education rather than hire BA level candidates who lack the appropriate training in the field and/or the theoretical and philosophical underpinnings to guide their work

The second major change affecting agencies is the government practice of listing specifically what education a worker must have if the agency is planning to use government dollars to hire. The standard expectation is a BSW degree and this is especially true in the Lower Mainland where the competition for positions is greater than what it would be in more remote areas of the province. Douglas is ideally positioned in the region to meet the demand for educating workers locally but could also provide the necessary credential (BSW) for those who wish to work elsewhere in B.C (CFCS Tactical Plan, 2013).

Twenty years ago, workers needed only a one year certificate in order to satisfy agency hiring standards. Ten years ago, that standard shifted to the 2-year diploma. It is of little surprise to those of us who work and teach in the field to see this evolution. This trend will continue because diploma graduates with the goal of working in large, multi-service accredited agencies and those graduates interested in moving into supervisory and management positions will continue to need to look at ongoing education to achieve their goals. Entry level positions in Social Service Work (diploma) offer a salary in the range of fifteen to twenty dollars an hour, with higher salaries in a larger agency or government settings (www.mcf.d.gov.ca). While this is a manageable starting salary for a young adult beginning their career, a diploma level graduate realizes quickly that the opportunity to obtain a BSW opens the door to higher salaries, career advancement, and job security. Support for the BSW degree is illustrated by the following comments from a recent employee survey (Hanover Group, 2011):

“I currently hold a Diploma in the CSSW program from Douglas which I acquired in 2000. I am also currently enrolled in the Advanced Co-occurring Disorder Citation Program at Douglas College. I do not have a vehicle to drive out to Fraser Valley Institute, and I would rather take the BSW program at Douglas rather than the CYCC Degree program to get into the Ministry of Child and Family Development. There is a DEFINITE need for this program, and when it becomes available at Douglas College I will definitely be one of the first to enroll. Thank you for this opportunity.”

“I like the idea of not having to travel all the way out to Abbotsford, Vancouver, or Victoria to complete my degree. I wouldn’t do my degree at UBC due to time and cost considerations and the fact that the university is unfamiliar to me. I have obtained my diploma through Douglas and absolutely loved the school and the teachers. I would love to continue with Douglas.”

In terms of the quantitative data 15.8% of employees reported that they would **definitely** enrol in a BSW with 38.6% **perhaps** enrolling. Career advancement (77.8%) constituted the main reason for choosing to complete the degree followed closely by improving knowledge and skills (63.5%). Part-time studies were supported by 76.1% of respondents with a further 11.9% preferring to study full-time (Hanover Group, 2011).

BC Work Futures projects that almost 2000 new social workers will be needed in the next five years (730 new positions and 1250 openings due to retirements). According to the Canadian Occupational Projection System (COPS), employment for social workers in B.C. should grow at an annual rate of 1.7% which is somewhat faster than the average for all occupations. An approximate total of 1,540 openings are projected between 2005 and 2013. Of these openings, more than half (57%) are expected to be the result of workers retiring.

In a survey of current students 41.9% reported that they were very likely to enrol in a BSW Programme while 27.4% were somewhat likely to enrol. With the prospect of the BSW being offered at the New Westminster campus, these percentages increased with 45.2% likely

to enrol and 32.3% being somewhat likely to enrol. In terms of course load 47.2% preferred part-time studies while 35.8% preferred full-time studies. When asked why they would enrol in a BSW Programme 79.2% reported to improve knowledge/skills, 88.7% for career advancement and 66% for job security.

The following is some of the qualitative data from the student survey (Hanover Group, 2011):

“I know of many students within my program that are interested in a BSW—Douglas College is an affordable and easily accessible option for many of us. Also, after completing a two-year diploma program at Douglas, it feels like ‘home’ – the instructors are excellent, and location is ideal. I would definitely complete my degree at Douglas if the option was open for me.”

Both the quantitative and qualitative data are supportive of the BSW being a popular option for current students and recent graduates. The percentages are high in favour of the degree being offered with only a small percentage (11.3%) reporting that they would not be interested in enrolling (Hanover Group, 2011). These respondents indicated that family commitments, financial concerns, and satisfaction in their current work precluded them from being interested in a BSW at this time.

“To date I have searched for knowledge and didn’t put a lot of emphasis on a degree but I’m rethinking that.”

“If credits were accepted for previous learning and perhaps relative experience I would most likely go for it. I have a number of credits now but I am also 60 and couldn’t waste a whole lot of years going to school.”

“I am unsure how many of my credits are transferable, and at my age (56) it would not be cost effective.”

It is encouraging for faculty to discover that a majority of students view the prospect of a BSW in a positive manner.

In recent discussions with BSW granting institutions in the province approximately 15-25% of BSW graduates go on for further studies to complete an MSW. These percentages are predicted to increase over time in response to the demands for higher level credentialing across the social service sector. An accredited BSW degree at Douglas will be viewed on par with other BSW’s in the province despite it being new, with less historical precedence as a transfer programme into graduate training. Matching the curriculum at Douglas with other BSW degrees would be one way to maximize portability as much as possible. Meeting the accreditation standards of CASWE-ACFTS would be crucial along with the attendance of faculty and management at province wide forums to promote the programme.

Collaboration

We will review this proposal with the Faculties of HSS and LLPA.

CYC will be consulted specifically about the child protection stream. CCS will be consulted re the Disabilities course.

Programme review

One method to determine if programme objectives have been achieved will be a comprehensive review of those students in the first cohort of the BSW. This can be analyzed in a survey format comparable to what happens currently with the BC Student Outcomes Survey as administered through the institutional research office at Douglas College. For example, data in the 2012 report noted that CSSW diploma students were very satisfied (47%) or satisfied (42%) with their education for a total of (89%) in this category. Fully (76%) of graduates believed the training was very related to their employment. When asked about the usefulness of knowledge and skills gained in performing their job (76%) believed it

was very useful. (86%) of respondents believed that their studies were useful in getting a job, which is a testament to the applicability of the learning and the value of the diploma in the professional community. In terms of finding employment (46%) took less than one month to find a social service position while (38%) found work in 1-2 months. In a similar manner the BSW students could be asked about the relevancy of the curriculum to their professional aims, and whether the programme met their expectations in terms of training and future employment. Attrition rates would need to be monitored and whether the degree helped grads secure advanced employment in the social services.

We find that 100% of respondents were employed in the social service field and we would hope to have these results emulated in the BSW Programme. It would be our intention to continue this same level of commitment to the education of students within the BSW degree.

The Faculty of Child, Family and Community Studies has developed both course and instructor evaluation forms to assess curriculum design and delivery methods. Faculty consistently use these forms after a course is completed to ensure that they are updated regularly and can make informed decisions about assignments, workload for students, and teaching techniques. In addition, student representatives from each year of study are invited to participate in CSSW team meetings. Faculty values the input from students and has made a number of changes to the program based on this feedback. A similar process would be followed to ensure that the BSW is responsive to the learning needs of students, is delivered in a manner that meets accreditation standards, and uses assignments that are both challenging and achievable.

Employer satisfaction will be assessed through feedback at the BSW Advisory Committee and at practicum meetings in which instructors are engaged with students and supervisors in the field. The design of the current curriculum will incorporate this input in terms of making it specific to social workers entering front line positions. Feedback from the employer group has been very positive about the level of practical training within the diploma and we expect this to continue within the BSW. Our aim is for students to have the combination of skills, knowledge and self-awareness to be prepared for employment and to deal with ethical and personal challenges as they arise.

Douglas College faculty, under the terms of the Douglas College Faculty Association Collective Agreement, are evaluated in a formative and summative manner in the first two years of their appointment (www.douglascollege.dcfa). These evaluations are then reviewed by the Associate Dean and/or Dean who compiles the results and meets with individual faculty to review areas of strength and future growth. Following probationary evaluation, faculty are evaluated every three years using the Douglas College post probationary faculty evaluation protocol. The common practice within the CSSW Programme currently moves beyond these basic requirements as students are asked by faculty in each class they teach for evaluative feedback. This same process would be followed to ensure that the BSW degree is responsive to the learning needs of students.

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HISTORICAL AND CULTURAL IMPLICATIONS OF HUMAN IMMUNODEFICIENCY VIRUS (HIV) AND WOMEN'S RIGHTS IN NIGERIA: A CONTEXTUAL CLARIFICATION

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Abstract

Nigerian women are undeniably Nigerians. This bestow on their rights and privileges enjoyed by other Nigerians. However, over a decade now, numerous cases of women's right violation such as acid baths, murder of women, rape, widow abuse, and physical assaults have occurred in Nigeria (Okeke, 2008). Ironically, it is only extreme cases of women's right violation which results in death or permanent disability that earn media attention and police interest. Similarly, it is instructive to note that the sexual practices of male partners are likely to be the primary source of risk to women of infection with HIV or the STDs. Women (including wives) are often not in the position to negotiate safe sex and may have not yet imbibed the condom culture as a means of protection against AIDS and other sexually transmitted infections (Ndubusi 2007). Human immunodeficiency virus in Nigeria remain a major public health crisis and since its first reported case in 1999 as Monjok, Smesny and Essien (2000) noted, the prevalence of HIV among women attending antenatal clinics in Nigeria rose from less than 1% to 21%, context of a phenomenon which has assumed a frightening dimension in recent times. This article seeks to examine the cultural context of stigma on the rights of women living with HIV in Nigeria bringing into recommendation the enforcement of women's right as human rights as the opposite will stultify the attainment of Millennium Development Goals (MDGs) and general development.

Keywords: Women's rights, Physical assaults and Stigma

Introduction

Undoubtedly, AIDS stigma and discrimination exist worldwide, though they manifest themselves differently across countries, communities, religious groups and individuals. As a matter of fact, they occur along side other forms of stigma and discrimination, such as racism, stigma based on physical appearance homophobia or misogyny and can be directed towards those involved in what are considered socially unacceptable activities such as prostitution.

Further afield, stigma not only makes it more difficult for people trying to come to terms with HIV and manage their illness on a personal level, but it also interferes with attempts to fight the HIV and AIDS epidemic as a whole on a national level, the stigma associated with HIV can deter governments from taking fast, effective action against the epidemic, whilst on a personal level, it can make individuals reluctant to access HIV testing, treatment and care.

United Nations Secretary General Banki Moon expressed that “Stigma remains the single important barrier to public action. It is a main reason why too many people are afraid to see a doctor to determine whether they have the disease, or to seek treatment if so, it helps make AIDS the silent killer, because people fear the social disgrace of speaking about it, or taking easily available precautions. Stigma is a chief reason why the AIDS epidemic continues to devastate societies around the world”.

As aptly argued by Merson in Agweda&Dibua (2009), the epidemic of fear, stigmatization and discrimination has undermined the ability of individuals, families and societies to protect themselves and provide support and reassurance to those infected.

Stewart, Pulerwitz&Esu-Williams (2002) described stigma as ‘a social process that marginalizes and labels those who are different and defined discrimination as the negative practices that stem from stigma, or “enacted” stigma’. Enacted stigma refers to actual experiences of discrimination. This may further include the experiencing of domination, oppression, exercise of power or control, harassment, categorizing, blame, silence, denial, ridicule, exclusion, resentment, inferiority and/or social inequality. Parker & Aggleton (2002) observed that it may sometimes lead to violence against the person living with HIV/AIDS, stigmatization is a dynamic social process that arises from the perception that an individual has undesirable attributes, therefore, reducing such person in the eye of the society (Nwagwu 2004).

Human Immunodeficiency Virus or Human Immunodeficiency Virus (HIV) has been recognized as the causative agent of Acquired Immunodeficiency Syndrome (AIDS). The Virus attacks and impairs the immune system of the body so that the infected person becomes susceptible to infections of various kinds. Historically, HIV was discovered by a French physician LUC Montagnier and his team at the Pasteur Institute France in 1983 (Ferrand 2007). AIDS epidemic officially started in June, 1981, when the United States Centre for disease control and prevention (CDC) reported unusual clusters of pneumocysts pneumonia (PCP) with no identifiable cause in five gay men in Los Angeles, United States of America. The disease was known by several different acronyms and names such as GRID (gay-related Immunedisorder) CAID (Community –related immune deficiency) and Gay Cancer (Ferrand 2007). HIV has also been called human lymph tropic virus type III, the lymphadenopathy associated virus (LAV) and the lymphadenopathy virus (Medicine Net 2009). By late 1982, the disease was referred to by its new name Acquired Immune Deficiency Syndrome AIDS.

Nigerian Women and HIV/AIDS

Globally, when HIV/AIDS was perceived as a public health problem and declared an epidemic, the initial response was that of denial, eventually, the first case of AIDS was reported in Nigeria in 1986 by the Federal Ministry of Health FMH in 2003. The Immune deficiency Syndrome (AIDS) caused by the Human Immune Deficiency Virus (HIV) and spread mainly through sexual intercourse, blood transfusion with an infected person, breast milk, mother to child transmission etc has attracted much concern from government, nongovernmental organizations, as well as international communities.

Nigeria has the fastest rate of HIV infection in West Africa. In 1999, the prevalence of HIV among women attending antenatal clinics in Nigeria rose from less than 1% to 21%. Current projections show an increase in the number of new AIDS cases from 250,000 in the year 2000 to 360,000 by 2010. Women are reported to make up to 60% of HIV/AIDS sufferers in the country. (Achime 2000) and (Gupta 2002) asserts that out of every 23 infected people, 13 infected are women, it was reported in a survey of HIV/AIDS in Nigeria as conducted in 2003 showed that 3.3 million were living with the scourge and of these 1.9 million (57%) were females. Perhaps this trend is largely due to ignorance, unprotected sex and the inability of women to negotiate condom use. To a very large extent female

adolescents are more afraid of pregnancy than contracting HIV infection. So also in Nigeria, it has been revealed by the National Reproductive Health Survey (NARHS 2003) that men have a higher HIV/AIDS awareness when compared to their female counterparts. In sub-Saharan Africa Nigeria Inclusive, it was discovered that there were 12 to 13 infected women for every infected men in 2001.

Further afield, it is worthy of note to state that socio-cultural norms, particularly gender norms often discourage people from using preventive measures in the era of HIV/AIDS, even when they risk contacting the virus. Relatively, norms encourage men to take sexual risks and also discourage women from questioning their partner's sexual activities. Similarly, the low status of women and their lack of access to education may aggravate vulnerability to HIV infection.

It is of note that in Nigeria as it is elsewhere, the acceptable norm is for men to practice extra marital affairs which in advertently placed women at higher risk for HIV. Along the same line, critical observation of gender inequality of many cultures placed men far above women, especially women have no right in using contraception and they could not ask their husband to make use of such either.

Without doubt, in Nigeria, the society is dominated by men as Ali-Akpajiak&Pyke (2003) observed, the culture of the society expects women to be responsible for child bearing and take care of their children, thus young women often feel powerless protecting themselves against HIV infection.

To a very large extent, it is remarkably noted that harmful marriage practices violate women's human rights which invariably leads to increasing rates of HIV infection in women. There is no legal minimum age for marriage in Nigeria and even the lawmakers of recent are debating early marriage for girls which may further place them at risk of contracting HIV from their husbands since it is acceptable for men to have sexual partners outside marriage and same men have more than one wife.

Closely related to the above is also the fact that Nigerian women are also exposed to HIV infection through traditional rites they have to perform at the death of their husbands, the widow's head is shaved with a blunt unsterilized razor blade thus, and it exposes them to contact the scourge of HIV infection. Culturally, in the Eastern part of Nigeria, it is required of women to drink the water used to bathe her late husbands' bodies in order to prove the woman's innocence of her husband's death.

Women's rights against cultural context of stigma

Remarkably, the notion of human rights flows from the philosophical concept of natural rights based on divine injunctions. Basic rights bestowed on human beings simply for being human by the creator personally irrespective of conceived differences like age, sex, race, ethnicity, economic status, condition of birth, nationality amongst others. By this trend it means, there are everyday rights of all human beings which ought to be visible in all levels of human intervention.

Significantly, women's rights as human rights depicts that women as part of human race have their rights covered by the definition of human rights given by God and guaranteed under international treaties, it should be stressed that women's right are human rights peculiar to women individually and collectively. Arguably, women themselves and even the entire world highlight women's rights because of the historical and traditional Subjugation of women in many societies. Women suppression however persists in patriarchal societies, shrouded in cultural and religious system. The Universal Declaration of Human Rights (UDHR) has from inception envisaged women's human rights; historically the articulation of women's right frame work came into being in 1979, with the international Convention on Elimination of all forms of Discrimination against women (CEDAW). As to clear any

misconception, the 1993 United Nations World Conference on Human Rights in Vienna, specifically states that “The human rights of women and of the girl-child are an inalienable, integral and indivisible part of human rights.

The constitution of Nigeria guarantees the fundamental human rights of Nigerians as enacted into law by the National Assembly. Be that as it may, Nigerian women cannot truly be said to enjoy right to life when they account for more than 10% of the world’s material deaths. Unsafe abortion is another evil messenger violating Nigerian women’s right to life. Wife inheritance and other forms of widowhood malpractices practiced in some parts of Nigeria debase women by reducing them to commoners. As earlier pointed out, in some communities, widows are forced to drink water used in washing their husbands’ corpses to prove innocence and non complicity in husbands’ death. Far more importantly dignity entails that women must have control over their bodies, but this is not so as sexual violence is rife even within matrimony. Sexual violence increases Sexually Transmitted Diseases (STDS) and unwanted pregnancies which mostly will be aborted. Women living with HIV infection are stigmatized even if she is a victim of sexual violence. In Nigeria rights of women have been grossly violated through rape, defines as an unlawful carnal knowledge of a woman or girl without her consent or in the case of married women, by personating her husband. In addition custom that discriminatorily disinherit women either as mothers, wives or daughters under intestacy is expressly discriminatory. It is equally significant to note that, Nigerian women are not enjoying their fundamental human rights as many of them are forced into marriages even when they should be in schools. When women are risking death to give life, they are entitled to have their own right to life and health protected and anything less is discrimination. Nigerian women are subjected to all forms of inhuman treatment in the name of culture and religion. For instance Female Genital Cutting (FGC) rooted in religions and cultural beliefs, commonly practiced in Nigerian, is a degrading and tortuous act. It is a sine qua non for marriage in some parts of the country and therefore reduces women to second class citizens who need it to induce men into marrying them. FGC violates women’s rights it is a clear demonstration that men thrive on women’s subservience. Again, the pain from the act is nothing but torture. Besides the immediate pain, the victim may suffer perpetually, the consequences of infection like the HIV/AIDS and damaged reproductive organs in the form of Vesico-Vaginal Fistula (VVF). There is no national legislation prohibiting this gruesome act. Few states like Rivers, Osun, Ogun, Bayelsa, Ondo, Delta, Edo, Akwa- Ibom and Cross-River have enacted laws prohibiting FGC despite the fact that this FGC goes on in other states. However, FGC has neither reduced in these states prohibiting it nor has any perpetrator been prosecuted. A possible explanation is that victims are discouraged from reporting because of social consequence as well as unwillingness of law enforcement officers to prosecute such matters still viewed as family affair and therefore within the confines of private sphere.

Conclusion & Recommendations

The stigma associated with HIV/AIDS has resulted in the attempt by some women living with the disease to think of committing suicide, or to carry out their frustration on the society by keep spreading the disease by deliberate infecting others in one way or the other, just to ensure that the carrier does not die alone.

As relatively observed, the stigma attached to individuals can be extended to those who associate with them. As a matter of fact families share in the effects of HIV infection and the related stigma, for instance children whose mothers died of the condition are sometimes faced with stigmatization. It is paramount to note that stigma and discrimination place emotional burden both on the affected and infected women.

Thus, superstition and ignorance are contributory factors to HIV/AIDS related stigma. Many people see the disease as synonymous with death; certain derogatory terms are used to describe HIV/AIDS and the people living with the disease. Many Christians equally associate disease of HIV infection with sin, collaborating this. As a matter of fact the dominant Christian religions discuss about AIDS in Nigeria is that it is a scourge visited by God on a society that has turned its back on religion and morality. The secrecy attached to women's sexual experiences through religious cultural norms contributes in no small measure to women's vulnerability to HIV/AIDS. Severely and stigmatization also explain to a large extent why potential victims of HIV/AIDS often refuse to be tested. Most women are therefore not aware they are infected.

Recommendations

The campaign of the war against HIV/AIDS should be made realistic for women in Nigeria. Decisions or safe sex are not to be left at the mercy of men alone, campaigns for safe sex should take into account the conditions of women in Nigeria.

It is also recommended that sex education should form part of the school curriculum to prevent the transmission of HIV/AIDS.

Stigmatization and discrimination against women living with HIV/AIDS should be stopped and their rights sustained. Women should further be empowered to make decisions about their ownbodies and men should be persuaded to accept responsibility of living a decent life because without men, there would be no AIDS epidemic.

It is further recommended that women should be encouraged to resist religions, cultural and economic pressures to engage in unwanted sexual relationships and be in the best position to avoid unprotected sex.

Government at all levels should intensify efforts in providing public enlightenment programme on HIV/AIDS and provide in-depth knowledge concerning stigma against women living with HIV/AIDS especially in the local community and rural areas.

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Acronyms

AIDS	Acquired Immune Deficiency Syndrome
CAID	Community – Related Immune Deficiency
CDC	Centre for Disease Control and Prevention
CEDAW	Convention on Elimination of Discrimination Against Women
FGC	Female Genital Cutting
FMH	Federal Ministry of Health
GRID	Gay Related Immune Disorder
HIV	Human Immunodeficiency Virus
LAV	Lymphadenopathy Associated Virus
MDG	Millenium Development Goals
NARHS	National Reproductive Health Survey
STD	Sexually Transmitted Diseases
UDHR	Universal Declaration of Human Rights
UNWCHR	United Nations World Conference on Human Rights
VVF	Vesico - Vaginal Fistula

OLYMPIC VOLUNTEERS, A SOCIOLOGICAL PHENOMENON OF THE MODERN SPORTS

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Abstract

This research is aimed to evaluate from a sociological point of view the Olympics volunteers' phenomenon, a movement by which those so famous and followed summer and winter Olympic Games couldn't be held, likewise; those special, Paralympics and Youth Games couldn't be held either. We used the documentary analysis and historical logical methods to carry out the investigation; being its greatest contribution the evaluation of the Olympic volunteer's socio-psychological characteristics and the socio-political and economical environment they live in, which allow them to take part in these international competitions of a greater magnitude. This work labels and identifies the volunteers taking into consideration the role they play during the contests and makes a proposal for a way of contribution to make internationally wider the Olympic ideal through the Olympic volunteers' phenomenon.

Keywords: Sociology, Olympic Games, Paralympics Games, competitions and workers

Introduction

According to the Royal Spanish Academy of Language Volunteer concept, *voluntarius* comes from Latin and means "In an act: that is born of the will, not by force or foreign to that need. That is done by spontaneous will and not out of obligation or duty. They work on a whim. Person among several required per shift or designation to perform any work or service is paid to do so voluntarily, without waiting for you to touch her again. "

Volunteering, in general, is a phenomenon that develops worldwide and is practiced by different age groups, where their motivations are diverse and depend on many factors among which are identified: social and economic status, religious thought, affiliation political parties, tastes, preferences, gender, race, gender, etc. This phenomenon is also associated with various branches of economic, social and political life of the countries, such as sporting events (Olympics, world, continental, regional, national, provincial and municipal); cultural events (music, theater, film, visual arts, etc.) political demonstrations; religious expressions; social events; among others.

Volunteers are people who give nothing in return, offer their services for pleasure, spiritual fulfillment or social recognition, but never expect to change monetary or wage payment; this point may seem simple, but holds the key to the problem situation that is looming as a sociological phenomenon of volunteering. Since it is generally considered that

people are not willing to offer their services without obtaining financial reward; regardless of their social position, economic, political, religious, likes, preferences, gender, race, etc.

So study this sociological manifestation of volunteering, making today great importance to the world of sport, it could not perform their major competitive events without the unconditional support of this great mass of humanity that serves as volunteers. According to (Durantez, C. 1998) "Olympism is the world's largest sociological organization today," the authors of this research believe that without the active and meaningful participation of the Olympic volunteers, the claim could not be realized.

With regard to this matter (Palomo, M. 2013) states that: "the role of civil volunteer during the Olympics has increased throughout history. Today, the figure has become essential, both economically and in organizing the event. Experts on the subject say that symbolize the Olympic volunteers, along with the games, "hope in a more caring, egalitarian and participatory world."

Thence the general objective of this research is to appraise the socio- psychological characteristic of the Olympic volunteers that engage in the big international competitions.

Methodology

The research is focus in a materialistic orientation because of the objective reality, the contradictions of the object of study in its development and evolution, as well as how they resolve these contradictions are evident.

For the development of the research were used the following methods:

Document Review

Was used throughout the investigation to the conceptual and theoretical framework for the diagnosis to be included in policy documents to state the problem under study.

Historical and Logical Method

Allow to establish the necessary correspondence between the elements of the logical and historical methods, in order to analyze the historical development of the phenomenon of Olympic volunteers and the logical projection of future development in the socio- psychological influence on society.

Results and discussion

Many people hold that the Modern Olympic Games would not be possible without the generous and selfless cooperation of Olympic volunteers and do not make wrong those who think like that: Olympic volunteers really are a key part of the organization, implementation and development of the Games.

Who are the volunteers? What are their characteristics? What are their culture, religion, profession, and social status? What age and sex averaged? These and other questions are answered below.

Olympic volunteers are primarily noble people with a great heart, able to sacrifice their free time and to work at a so fair work and human like the Olympic Games; them at every opportunity, waiting with joy and excitement the arrival of a major competition to provide their solidarity aid without waiting for their work to be paid, they are happy and they are pleased with their work, providing their input as true gentlemen, serving each in a position which according to their professional features.

These professional features are diverse and are preferably grouped taking into account the knowledge about the sport are those who have the great army of global Olympic volunteers ; this is related to the staff formation on sport each volunteer has successfully

developed and can serve in multiple positions in the competitive world, as assistants, scorekeepers, massage therapists, judges, among others.

Also play in other positions offered by the Organizing Committees of the Olympic Games in question (OCOG), these include: security personnel, transportation, computers, protocol translators, lodging and meals, group coordinators, sports, sports statistics, radio and TV broadcasts, guide delegations, among others. As you can see, there are multiple volunteer roles within the scenario of a multi-sport games, always related to their training; all are important, regardless of training, because we also need to load the hurdles and collect the clothes of the competitors on the track, to cite just one example, namely, that all efforts are accepted with the same respect and appreciation.

Their cultures are varied, depending on the country in which they arise; but in those countries whose religious patterns governing the conditioning of these social behavior is evident; in most countries where different religions are expressed, these will not condition the cultural patterns that are governed by feelings of cultural identity of their nation. In all these cases, the work of the volunteer develops in an environment and cultural multireligion where a deep respect for all persons without distinction of any kind prevails. The predominant races are set on the basis of the country and host city of the games, it is logical to expect that predominated in the Hellenistic Athens 2004. Although the ages of the volunteers are varied, it can be said that there is a predominance of young people willing to cooperate, and that the characteristics of this age people tend to have a spirit of adventure. With regard to sex, one can assert that usually behave evenly and benefits of any sex over another are usually not significant.

These are some of the main characteristics of the volunteers, however, it is also necessary to assess some features deeper sociological case that few authors have related and correspond to the social status of origin of the volunteers and their average behavior.

Based on these valuations should be noted that volunteers can also be classified as domestic and foreign; national, as the word implies, are permanent residents in the country where the games are made (although it may be the case that there is a national citizen but has permanent residency and citizenship or dual citizenship country) in conclusion, These are the citizens who live in the country where the games will be made; foreigners are self-explanatory, that is, citizens of other countries traveling to the country of the games to volunteer.

Another social group corresponding to native-born citizens of the games, but have migrated abroad for multiple causes and return the country back to work as volunteers motivated by games and a national pride.

This analysis still follows other social assessment related to economic power of volunteers ultimately latter assessment will be determined by the participation or non-citizens as volunteers within a multi-sport games national signals or international (later explain why it specifies national) citizens economically disadvantaged practically are unable to offer their services as volunteers but his desire was to cooperate since the absence of sufficient financial resources to man taken them and their families, spend much of their time looking for that financial support, especially if they are unemployed.

Poor citizens still have some more opportunities to offer their services as volunteers to employees, but are also limited their participation. States and family stability depends on having at the time of the games developed; that family stability will therefore depend to a poor citizen can register as a volunteer. It's interesting how global poverty affects up to Olympic volunteers and denies them offer their solidarity contribution.

In all cases discussed above, the references have been residents volunteer in the country of the games, because even dream, with a few income citizen of another country to provide services as an Olympic volunteer. Moreover, those who enjoy economic stability in

income, which are mostly offer their voluntary services, whether foreign or not; they use their free time or vacation to volunteer, not only in games but in other social sectors. Thousands of volunteers working in conservation and environmental protection in many countries, to give just one sector.

There are countries that also use volunteers to develop the national sport as in the case of Cuba. In 1961, an organization run by the National Institute of Sports, Physical Education and Recreation (INDER) called Volunteers Sports Councils, which plays similar to the Olympic volunteers within the functions within a few games, but are not limited created their activities only to games of national or provincial nature that have a specific sport, but many of them serve as directors and teachers of sports teams at various levels of education, particularly at primary and secondary levels of the national education system all with a strict supervision of INDER.

Clearly, there are citizens of poor countries who also want to participate as Olympic volunteers because Olympism is a philosophy of life, exalting the balance of soul and spirit, (Coubertin, P. 1916);but are also a means of education and peace among peoples and a great work of human fairness and cultural development.

Hence the purpose of this research: to create a commission to help aspiring Olympic volunteers to participate in the games; this should select people who may be disadvantaged in relation to the objectives thereof, which may, inter alia, the dissemination of the Olympic ideal in every continent. The Olympics is a unique experience that can only be lived and experienced in the development of these games; by magazines, TV or radio is not possible to capture the Olympic atmosphere that permeates the city host the games, without being there.

The dream of every lover of philosophy of Olympism is to participate in any way in an international multi- games; those who never achieve being a super national or international athlete will have the opportunity to live great experiences that only live there; those who see the Olympic spirit, thousands of volunteers are happy to work for the work they do and contribute to better development of games and diffuse ideal of Olympism.

Conclusion

1. Olympic volunteers are characterized by noble people, who enjoy providing their work voluntarily for the proper conduct of sporting competitions.
2. Olympic volunteers working in multiple positions in the competitive world, as assistants, scorekeepers, massage therapists, judges, security, transportation, computers, protocol translators, lodging and meals, group coordinators, sports, sports statistics, radio and TV broadcasts, guide delegations, among others.
3. From a cultural and religious manifestations are varied, voluntary work takes place in a multi-religious and cultural environment, where a deep respect for all persons without distinction of any kind and creed prevails.

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THE AFRICAN ORPHANS' LIFE: YESTERDAY AND TODAY

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Abstract

The orphanhood phenomenon is much pronounced among the developing countries of the world. Looking at the life of the orphan from the African perspective, one would really wonder how and the life has taken such a radical change. The African philosophy was that when a child lost both parents the extended family members would bear the burden of caring for that orphan. The orphan enjoyed everything in the family including the food, clothing and life skills development in preparation for the future life. Such efforts by the families helped to maintain the social harmony and to keep the family intact for the enhancement of social, economic, cultural and spiritual sustainable development. The life of the time was fully characterised by love and respect for each other with the moral values being the order of each day. The orphan enjoyed the comfort of the home and the entire environment. As the time passed by, the whole situation changed as a result of a myriad of factors including the increase in deaths of parents, poverty, family disharmony and disintegration as well as laxity of the moral values and social stratification. Such changes saw the orphan treated as an outcast and a second class citizen in the family. Life became unbearable for the orphan who then would choose to make life in the street. Such situation gave rise to some orphanages to replace the home (family) system. When in the orphanage the orphans still face some challenges especially within some individual-based institutions because they usually fail to fit into their families. This research therefore was conducted to unravel what exactly the challenges are. Mutare urban in Manicaland Province-Zimbabwe was used as a case study. The qualitative paradigm was employed and case study design was adopted for this research. From a population of 4000 a sample size of 50 (30 females and 20 males) was selected using the stratified, purposive, systematic and the random sampling techniques. The questionnaire, direct observation and interviews were used to generate the data. Ethical and legal implications were also considered. The researcher used some theories such as the systemic, grounded, functionalism and the constructivism. The data were descriptively presented. The research findings were that the orphans are ill-treated and abused by their extended family members to the extent that they choose to find safety in the streets from where some of them are picked and placed in some orphanages such as the individual-based ones. While they are in these orphanages they experience some challenges which include lack of resources and life skills. The research recommended that there is great need for the restoration of family harmony for the social, economic, spiritual, psychological and moral transformation. This is because the society is anchored on the family system. It is therefore the duty of the government to initiate some programmes which are focused towards sensitizing and educating the communities on the value of the family systems within the context of the African culture.

Keywords: Transformation, programmes, individual-based, orphanages, orphan, family systems, restoration and challenges

Background of the study

In many African communities, the population of orphans in the past was not as significant as it is today. In fact, an orphan was not different from other children within a family institution. According to the African culture, when a child lost both parents he/she remained under the custody of an elderly family member whose role was to nurture the orphan (Murdock, 1994). The custodian would make sure that the orphan received adequate share just like other children. In most cases the orphan received the largest share. This was an effort to make him/her feel comfortable and also to maintain the relationship intact. In this case families remained highly functional (Parson, 1989). Because material, psychosocial support and moral resources were adequately shared, the life of an orphan was made easy (The Times Magazine, 18 July 1985). From an African perspective, when families are compatible, homeostatic balance and collectivism are achieved (Kanyowa, 2003). The concept of "Ubuntu" which means, "I am because we are" becomes evident from a societal point of view. Such attitude reinforces self-confidence, positive self-concept as core attributes and ingredients for nurturing an African child (Kanyowa, 2003). From the symbolic interactionist theory, the language used in nuclear institutions would never isolate the less privileged because a culture of "weness" was deeply imbedded in the society (Katiro, 2011). Therefore, an orphan who was brought within such accommodative environment would feel very comfortable and warm. As one of the family members, participation in community activities and household chores as a grooming and training process was nurtured. Compatibility within the nuclear family in which the orphan lived would encourage the him/her to be focused and determined for self-actualisation. Even when old the orphan ever cherished a life of his/her family. With the values, norms and beliefs being the family's important social capital, the orphan's interests were focused towards identifying him/herself with his/her family. Despite insufficient financial resources, however, love, respect and unconditional regard of self and others were sufficient to constitute a strong familyhood as important social capital (Makamure, 1985). Such conditions made the life of an orphan easy and comfortable. What this translate into was that the African orphan was groomed to be patriotic and to be proud of his/her identity as an African...and to be a proud to be a valuable resource within the family institution and society (Boudillon, 1994). Thus, was the life of an orphan yesterday.

However, life has taken a new twist in many countries of Africa. With the advent of the H.I.V. and AIDS pandemic, the number of orphans has risen tremendously with every family registering not less than two orphans. In Zimbabwe, for example, the number of orphans rose by 860% between 2004 and 2010 from 163 000 to almost 2 million (National AIDS Council (N.AC) 2011). This is too large a number for a small country with a population only 14 million. The social life in Zimbabwe has completely changed. So many factors have negatively influenced the family life with each member struggling for survival. Economic decline, high rate of unemployment, drastic increase of orphans as a result of HIV and AIDS pandemic and gender inequalities have made the life of many orphans unbearable. Many children in Zimbabwe experience orphanhood long before their parents die, as the "time lag" between the infection and death of parents progressively reduces their capacity to be productive and provide care for their children. During this period, child-parents relationship may be altered seriously often characterised by children caring for their parents in their stages of terminal illness (UNAIDS, 2010). The reality is that such children start assuming adult roles prematurely and this may deprive them from receiving proper education. If they are lucky to attend school, their participation is poor, resulting in reduced academic performance.

According to the Annual Report of 2010 by Simukai Protection Programme in Mutare, Manicaland Province, some of the orphans become destitute because of lack of basic resources by the guardians. They become vulnerable and are prone to any form of abuse

(Childline Annual Report, 2009). This gave rise to some Residential Care Homes or Children's Homes. According to the International Save the Children Alliance report of 2001, the purpose of creating Children's Homes is a response to the increasing number of orphans and vulnerable children due to HIV and AIDS pandemic. The aim was to provide care and support to the orphans. As such, in Manicaland Province Zimbabwe, some Orphanages or Children's Homes were established. Rekayi Tangwena Orphanage Home in Mutasa District, Forward in Faith Children's Home in the City of Mutare and Bakorenhema in Mutare District are some of the orphanages which were established. Zimbabwe, as a signatory to the International Convention on the Rights of the Child (ICRC), has the obligation to save the life of all children through observing the general principles that are basic to implementation of all rights contained in the ICRC document.

This implies that orphanages, should work in the best interests of the child. This aspect of life seems to be missing because the orphans usually fail to reunite with their family members. According to the Zimbabwean culture, a child is attached to and identified by his/her totem and ancestral genealogy. Some of the orphans only know their carers in the orphanages, and when they grow up what becomes of "their identity" is the big question. A very good example is of an orphan who was brought up at an orphanage in Zimbabwe. Upon reaching the weaning stage, the child was supposed to leave the institution for the country life. He totally refused arguing that he had nowhere to go because the "Home" was the only home that he knew and the carers of the "Home" were his parents (Manica Post 9-15 April 2010). Another incident is of an orphaned girl who was brought up in another orphanage in Zimbabwe. Upon reaching the weaning stage she did not go anywhere but opted to stay and get employed in the "Orphanage". When she was about to get married she chose the carers to be her relatives to deal with her marriage processes. One would wonder how culturally the marriage proceedings would be conducted. These examples and many others that are unfolded are a clear testimony that the issues of identity and attachment are critical in the life of an orphan (Katiro, 2010; The Sunday Mail September, 9-15, 2012 and Bowlby, 1972). From the Analytic Conflict Theory point of view, lack of the individual's full package of personal identity in the society/community is one of the sources of gender marginalisation (Giddens, 2011). This also becomes a fertile ground for the development of some abnormal behaviour in a person (Sarason and Sarason, 1994). If a child lacks attachment with the biological parents he/she is likely to develop some emotional and psychological disturbances.

A report by Keep the Child Alive Organisation in March 2013 stated that, with Zimbabwe facing a myriad of social, economic and political challenges, the proportion of child rights, particularly for the HIV orphans, is proving to be a challenge. Their stay in some orphanage homes is generally unpleasing; especially those institutions which are currently run by individuals, in some cases, those under the government. The orphans seem to be facing some challenges which include lack of life skills, health facilities, birth certificates as well as guidance and counselling to prepare them for future life. According to UNICEF report of 2011, Zimbabwe had a total of 1, 6 million orphans and of these orphans, 4 000 were in some orphanages. Because of the economy which continues declining and political instability continues to increase, the orphans also continue to be victims of abuse, especially in some orphanages. A report by The Destiny Orphanage in 2010 also concurred with the above views on the orphans in Zimbabwe. Orphans were living in an environment where there were no robust health policies and Social Welfare services were very minimal. The Destiny Orphanage 2010 report also believes that the legal framework in Zimbabwe seems not to fully address the challenges faced by the HIV and AIDS orphans and vulnerable children, especially those in the orphanages. Such challenges as access to birth certificates, life skills, reintegration programmes, guidance and counselling seemed to be inadequately addressed, and the children in orphanages continued to suffer.

Echoing the same sentiments on the orphans' challenges in Zimbabwe, The Morning Line of July 2012 on its heading "The Forgotten Orphans," stated that the situation in Hwange was not pleasing because the orphans were facing challenges of inadequate food and proper accommodation. Some of the orphans failed to attend school because the local authorities did not have money. It appears that the situation was exacerbated by a decade long melt-down of the economy with a record of inflation, unemployment and shortage of basic commodities having been the order of the day.

From a brief interview with one of the District Social Welfare Officers at one of the orphanages in the rural area on 14 December 2012, it was revealed that the institution lacked so many basic resources such as food, stationery, recreational facilities only to mention a few. How orphans would develop their full potentials when they have such unfavourable backgrounds was / is something to wonder. From the above examples, therefore, the researcher was initiated to find out what exactly the orphan's life is by looking at are the challenges that the orphans face in the Orphanages in Zimbabwe with much emphasis on the individual-based orphanages in Manicaland Province. If such challenges are brought to surface some strategies may be mobilised to improve the life of the orphans in the orphanages and make what it should be.

Statement of the Problem

When the orphans are weaned from the orphanage they usually struggle or even fail to fit into their family systems resulting in some choosing to stay in the streets, while some refuse to leave the orphanage.

Purpose of the Study

The purpose of the study was to bring out the challenges faced by the orphans in the individually-based orphanages and make some recommendations that may help improve the conditions of life more favourable for the orphans.

Objectives of the study

The research was guided by the following objectives:-

- i. To find out how the orphans lived in past.
- ii. To establish how the family life has changed the orphan's life.
- iii. To assess how the orphans feel being in the orphanage.
- iv. To examine the attitudes of the society towards orphans in the orphanage.
- v. To establish the challenges faced by the orphans in the orphanage.
- vi. To suggest some strategies to improve the life of orphans in the orphanages

Research Questions

- i. How did the orphans live in the past?
- ii. In what ways has the family life changed?
- iii. How have changes in the family life affected the life of the orphan?
- iv. What are the society's attitudes towards the orphans' life in the orphanage?
- v. How do the orphans feel being in the orphanage?
- vi. What are the challenges faced by the orphans in the orphanage?
- vii. How are the orphans prepared to reunite with their families?
- viii. What can be done to improve the life of the orphans in the orphanage?

Significance of the study

The findings of this study will:

-encourage mobilisation of resources for the well-being of the orphans in the orphanage.

-make the Zimbabwean community aware of the challenges that the orphans face in the orphanages. This will inspire the community to take some responsibility to shoulder the burden of caring for their orphans because the future of any community rests on the present generation of that community.

-motivate the government and the donor community to carry effective programmes that are aimed at encouraging effective linkages between the orphanages and the orphans' family members for smooth reunification with the orphans.

Assumptions

It is assumed that:

- Although there are some challenges in the orphanage, the orphans find the life better than staying as slaves with their family members.
- The family members have limited resources to care for the orphans.
- Care-givers in the orphanages have little skills to care for the orphans.
- If the orphans are provided with sufficient and relevant resources, their life in the orphanages will improve.
- Orphans are not provided with some life-skills to prepare them for the future life.

Delimitation

The research was confined to the individual-based orphanages in Manicaland Province-Zimbabwe. The study was confined to the life of the orphans yesterday, today and how the life should be.

Limitations

The topic was sensitive such that some of the participants were reluctant to release important information. The researcher assured them of anonymity and confidentiality.

Some of the participants were engaged in some activities which they felt could not be disturbed. The researcher gave appointment through phoning or emailing and had to be strictly on time to avoid embarrassment.

It was not easy to drive each time from Mutare to the orphanages because of the distances and financial constraints. The researcher used some lifts or other public transport for travelling and at times he could put up at some neighbours' homes near the orphanages.

Theoretical frameworks

The following theories were used for the research:

The substructural theory:

This explains deviance in terms of the substructure of a social group. It argues that a certain group of individuals develops norms and values which are to some extent different to those held by the other members of the society. In this study the researcher wanted to find out if the orphans developed different values and norms which make them fail to fit into their family systems.

Interpretivism

According to Carson (2001), this theory assumes that reality is relative and multiple. This means that in qualitative research in-depth study looks into the changes in behaviours, attitudes and feelings of the respondents and interprets them to make meaning. The

knowledge that is generated from Interpretivism is perceived through socially constructed and subjective interpretations. In this research, the researcher was receptive to meanings in human interaction and was capable of making sense of what was perceived as multiple realities. As Hudson and Ozanne (1983) state, the researcher remained open to new ideas throughout the study and let it develop with the help of the informants.

Constructivism

From the view of Hudson and Ozanne (1983), constructivism is a theory that explains human learning as an active attempt to construct meaning in the world around us. It is a theory that is based on observation and scientific study about how people learn. In this study, the researcher observed how the orphans are equipped and empowered with some life-long skills and to learn to be active explorers of their environment. The researcher found out if the orphanages linked the orphans with their families during their life in the orphanages and upon weaning them from the orphanages. The theory was also used to find out if the systems that are involved in the caring of the orphans and the orphans themselves create some meanings out of the life of orphans in the orphanages.

Humanism

McLeod (1996) explains that the humanistic theories assume that human beings have the inherent ability for self-growth, self-realisation and self-actualisation. Such abilities need to be inculcated throughout one's life span. Therefore, knowledge and skills for self-development are important for the orphans as they live in the orphanages in order to prepare them for future life and to be able to effectively and independently participate and interact with the environment. In this study the humanistic theories were used to find out whether the orphans are empowered with skills for self-growth, self-realisation and self-actualisation to prepare them for future life.

Systemic

Guttman (1991) believes that a system is a unified whole with interrelated parts. In this research, the researcher used the theory to find out how the orphanages live with orphans from different systems and prepare them to reintegrate with their systems without facing some problems. This became the main purpose of this research in which the researcher would want to unveil the challenges faced by the orphans in the orphanages. In the African culture, systems are important to promote collectivism and to maintain the value of "Ubuntu" within individuals. It is within the context of this value that the researcher wanted to find out the extent to which this concept is inculcated in the orphans so that they are not divorced from their families and cultures.

Grounded Theory:

It asserts that the researcher gets into a research without a concrete theory for the problem. As the researcher interacts with the participants and gets new knowledge, insights and concepts on the problem through continuous generation of new data, he/she establishes some theories from which to choose the most appropriate one(s) for the research. In this study the researcher used the grounded theory through immersion and debriefing with the participants as well as triangulation of instruments.

Ethical and legal implications

The researcher sought written permission from the local authorities such as the Social Services Personnel and the councillors. Dates were set for the interviews with the consent of the authorities. Some codes were used to maintain confidentiality and anonymity

Research methodology

Research paradigm

The qualitative paradigm was employed in this study because it enabled the researcher to collect in-depth information on what the community say or do in their natural settings, (Borgdan and Biklen, 1990). The design involved in-depth study of the phenomena by focusing on the affective, cognitive and behavior domains of the respondents on the plight of the orphans in the orphanages. The question of perceptions and attitudes is an abstract concept and requires direct inquiry so as to unravel perceptions because they lie at the heart of the respondents (Barbie, 1998). Punch (2009) also argues that qualitative paradigm involves intense contact with life situations which are normal and reflective of the everyday life of the society. The researcher's role was to obtain a holistic overview of the context under study. Marshall and Roseman (2006) contend that in qualitative paradigm, the researchers explicate the way people in particular settings come to understand, account for, take action and manage their daily situations.

The method

For the purpose of this study, the researcher employed the case study in order to establish the problems that the orphans in the individually-based orphanages in Mutare urban faced. Stake (1994) in Punch (2009) defines case study as a bounded system that emphasizes the unity and wholeness of that system, but confining the attention to those aspects that are relevant to the research problem at that time. A further definition of a case study by Theodoson and Theodoson (1969) in Punch (2009) is that it is a method of studying phenomena using a thorough analysis of an individual case among many. Marshall and Roseman (2006) contend that a case study provides a unitary character to the data being studied through triangulating facts that are derived from a variety of instruments. Therefore the richness of a case study lies in its ability to provide in-depth understanding of important aspects of a new problematic area.

Population

During the time of study, the population of around the three orphanages under study was 4 000. This figure included the orphans.

Sample and sampling procedures

The researcher had 50 participants (30 females and 20 males) for the research. The females were more than males because they were always available when the study was carried. Because the researcher worked with different villages, excluding the orphanages, he chose to use stratified and systematic sampling techniques to have the sample. Using the systematic sampling technique, every 100th house was selected as a sample, excluding the gate-keepers of the communities. Purposive sampling was used to select some influential people of the communities because of their and direct influence to the orphans. The random sampling technique was used to select the orphans.

Instruments

In order to collect data the researcher used the questionnaire, direct observation and interviews

Questionnaire

The questionnaire had open-ended questions to solicit in-depth understanding of the phenomenon (Borgdan and Biklen, 1992). Questionnaires were easy to complete because they were self-administered. Each participant received a questionnaire to complete at his or

her own time. The participants were given ample time of seven (7) days to complete the questionnaires; this would give them enough time to attend to all the items on the questionnaire. The researcher collected the completed questionnaires from the selected participants.

Direct Observation

According to Hill (2005), observation allows the researcher to collect data in respondents' natural environment. This was rich because it enabled the researcher to record what was happening in the real world of the participants (Johnson, 2007). The researcher also observed the orphans in their natural environments and how they lived. This facilitated for accurate and unbiased data.

Semi- Structured Interviews

The interview questions were prepared to guide the researcher on what to ask the participants. The questions were structured in such a manner that they were short and precise and enabled the researcher to interact with the participants and to get their in-depth feelings and attitudes towards the phenomena, (Marshall and Rossman, 2007). However because the issue seemed to be sensitive, some participants were not willing to release information for fear of victimization. In this case, anonymity and confidentiality were assured. Each interviewee had a code.

Data Collection Procedures

The researcher sought permission from the kraal-heads, Ward Councillors and the orphanage carers in order to get into the area. The councillors provided the researcher with statistical data for the total number of the residents in the area. The data were collected using questionnaire, direct observation and unstructured interviews.

Data presentation, analysis and discussion

Data Analysis Procedures

Collected data were carefully coded and presented descriptively and discussion was done

The orphans' life in the past.

They had peace of mind.	90%
They received adequate resources.	88%
There was no difference between and the biological children in the family	85%
They were taught to respect the family's values	90%
They were taught some life skills	95%

From the above views it is quite clear that the orphans were moulded to become effective participants and explorers of their environment. This made them to be fully functional in the development of their society. From the functionalist point of view, (Davis and Moore, 1067) the family systems stressed the element of harmony and togetherness of the different sub-systems of the family. If the family system respects and gains the value of unity then the homeostatic balance exists. The roles and responsibilities of each member become evident thereby increasing production and development. Such characters were inculcated in the orphans when they became new members of the extended families. From the systemic stand the orphans were taught to contribute to the development of the society because they were also important units of the society (Talcott, 1979). From the constructivist angle (Silverman 2008) the family systems focused on those social attributes that influenced positive self-identity and self-concept as key elements for the society's integration. In this respect, therefore, the orphan felt warm, accommodated and free. With the life skills fully

imparted to him/her, the orphan encountered no problem in life when grown up to be an independent individual. Thus, was the orphan's life in the past.

How the family life has changed.

Family disintegration as a result of poverty	92%
Family disintegration as a result of hatred	96%
Increase of the orphans in the extended families	94%
Value of humanity has diminished	94%
Massive mismanagement of morals within the families	96%

From the Interpretivism view (Giddens, 2011) most of the family systems have developed laxity of rules and values such that the moral philosophies which used to bind the sub-systems together have vanished. Poverty as a result the ever increasing economic melt-down has forced some parents to seek better life in the diaspora where they can take their biological children leaving the orphans impoverished and struggling for life. Within the families themselves, hatred has fuelled family disintegration. This has caused some serious damages to life of the children because when their parents are dead they are left in isolation and no extended family member will bother caring for them. This has influenced the development of child-headed family units (UNICEF, 2012) especially in the developing countries.

The H.I.V and AIDS pandemic has also contributed to some changes in the life of children. The number of orphans has sharply increased in the last decade as a result of the pandemic. For example, in Zimbabwe, the number of orphans rose by 860% from 163 000 to 2million between 2004 and 2010(N.A.C. 2011). According to UNICEF(2010) most of the deceased were young parents of not more than forty years. This suggests that the children were left without breadwinners and assumed parental responsibilities at a very early age. This is just shocking especially when such victims were left with no income. Cultural liberalism has to some significant degree caused a lot of changes in the life of orphans. Each family unit has created its own culture that is divorced from that of the society, thereby creating a subculture with its values and norms. The value and ideology of humanity "ubuntu" and collectivism have all been destroyed and this has perpetuated confusion in the life of an orphan. With the family morality decayed, and laxity of rules and norms unmanaged, the orphan finds no place in the family system. Therefore the radical change within the family institutions has made some negative impact to the life of the orphan.

Why the orphans prefer life in the orphanage to home life

Lack of family support	90%
To escape from abuse by family members	95%
To seek refuge	80%
To mix with other orphans	60%

The above views indicate that some of the orphans face unhealthy living conditions once their parents are no more. In the Zimbabwean culture(Kanyi, 1996)when a child lost both parent she/he remained in the custody of the family members and received equal, if not the best, treatment so as to make him/her feel comfortable in the home. This was so because of value of humanity that was vested in the society of that time and also life was affordable as resources were in abundance. The reasons that were given by the participants indicate that all is not well with orphans even with their immediate family members. Perhaps such ill treatment by the family members could be as a result of economic decline and poverty (UNFPA 2012). Despite such unfortunate social factors, every child deserves maximum care and support irrespective of his/her status as the Shona adage states

(Chengaosemanhangahapanarisinamhodzi) meaning “We should care for all child because they are equally important.”

From a sociological perspective (Giddens, 2011), the family system is important for the maintenance and sustenance of the value of “Ubuntu” which is an important social capital within the African culture,(Kanyowa ,2010).Therefore, if the family is disintegrated it means that the value also shrinks and the system will fail to function as a unit.

It also emerged from the interview that some of the orphans ran away from their family members because there was no communion within some families. When, therefore, children lose their parents no-one is willing to care for them. This would imply that hatred among family members seriously affects the children.

Society’s attitudes on the orphans’ life in the orphanages.

Positive-----30%
Negative-----70%

The responses above are a clear indication that the society feels uncomfortable to stay with some orphans. This would also suggest a circular process within families (Momnsem,2000) because the families only meet after a long time when something serious happens which would demand each other’s presence. What appeared to be amazing was the fact that some of the participants were point blank that the orphans were not supported because they would think that their relatives were rich and would come back to them upon weaning from the orphanage. Therefore they keep neglecting them and to make them learn life the hard way. It is unfortunate that we still have communities with such attitudes in a Christian world today. Such degree of neglect is hurtful and demonstrates untold gender marginalisation within the society (Durkheim, 1982). However, despite such attitude by some members of the society, the orphans were lucky that that they were given some attention by the larger portion of the community members around as evidenced by the responses above. This would also imply that the orphans have some hope built on nothing else other than the community. Therefore in times of sorrow and crisis, (Van Pelt, 2006) the orphan finds some solace

The orphans’ feelings being in in the orphanage.

We feel uncomfortable-----96%
We feel rather happy-----88%
We feel protected-----92%
We feel loved-----94%

The responses above are a testimony of the orphan’s sense of security despite lack of other basic needs such as food and clothing. There are no such things as threats to the orphans’ life from the environment. From a Humanist stand, when the human being receives love and protection from the environment, freedom and peace of mind prevail,(Sprinthall and Sprinthall, 1996).If therefore the orphans feel protected against some environmental abuse, they experience easy and free life(UNICEF, 2009). From a gender perspective, every human being, regardless of his or her status deserves love and protection for effective socialisation and communion (Sweetman, 2007).It is this love for one another that consolidates the society’s social capital and achieves meaningful reconciliation for sustainable development. In this case, therefore, the communities around the orphanages are sensitive to the life of the marginalised populations such as the orphans (Giddens, 1998).

However, it emerged from the study that the orphanages lacked such basic resources as food and clothes as a result of some financial constraints. Indeed, such basic resources are equally important for the upkeep of the child. However, this is no-one’s blame because as

each day passes, the country's economy also goes down and the financial constraints continue rising leading to a perpetual cycle of poverty and suffering for the whole nation. Nevertheless, what is sympathetic is that the orphan is deprived of a healthy living condition.

Educational challenges

Lack of stationery had 75%; lack of literature at home had 100%; Lack of school fees, no future plans and lack of school wear had 80% each.

The impression of the responses is that the educational challenges for the orphans are unbearable, considering that such children have hopes for some of career in future. Such challenges seriously reduce the learning desire of the vulnerable orphans (Sweetman, 2007; Oxfam 2009). The self-esteem and future plans are shattered (UNICEF 2012). Some life-skills become difficult to impart because the brain lacks some motivation and encouragement from the home. To them education becomes just a thing to do and the spirit for competition shrinks. From a functionalist angle (Giddens, 1990), usually poverty inhibits effective participation and involvement in the developmental issues. The reason for most orphans failing to fit into their society upon graduating from the orphanages could be lack of preparation for the future and reinforcement during their stay in the orphanages.

Health related challenges

Lack of food, recreational facilities and toiletries each had 90%; inadequate clothes scored 80%.

The in-depth study of the orphans' problems revealed a serious deficiency of the basic health promotion commodities expected at any institution. The health and all round development of a child is built as early as from birth to about 6-7 years (Freud, 1959). Most importantly is the development of the mind through provision of a healthy environment. If the basic necessity as food lacks, therefore, the intellectual ability will deteriorate (Van Pelt, 2011).

The sociological interpretation of the health related problems could be that the orphans are within societies which are also poverty stricken but willing to care for the vulnerable children. This translates to a life cycle of perpetual poverty and misery for the orphans.

Psychological challenges

30% of the participants said that the orphans would feel neglected; 90% said the orphans would feel safe, proud and wanted.

What is very interesting from the responses here is that although the orphans have poor experiences in the orphanages, they were contented with the life because of the safety and love that they received from the carers than the hostile family life. Comparatively, therefore, the orphans would not mind failing to get food; what is important to them is to receive love and security and all other things are secondary. This implies that in life we sometimes forego other very important issues in order to survive (Haralambos and Holborn, 1994). Learning life the hard way sometimes motivates the mind to grow stronger and stronger each day.

One would also interpret this adjustment as a strong and positive intrinsic force that compels the ego to feel adequate and worthy despite fearful challenges around. If at this tender age the orphans are able to reach such adjustment levels, surely, the society needs to extend its helping hand.

Challenges related to preparation for reunification

Nolife-skills-----	90%
No guidance and counselling programmes-----	90%
No visiting by relatives-----	90%
No communication-----	90%

The study revealed that the orphans lack some reunification programmes such that they are weaned for the world almost unaware of what to do next. In Ukraine, the orphans without the benefit of guidance and counselling in many areas find a place to live, find something to eat and a job in order to survive. Similarly, the orphans lack benefit of reintegration processes while in their preparatory institutions, thereby making life very difficult for them. This may imply that some of the orphanages are simply places of safety for the orphans, and the carers are not sensitive of what the orphans should benefit to prepare them for the future life. Lack of life-skills such as morals, decision-making, self-empowerment, communication, social and many others adversely affect the orphan in his/her effort for self-enhancement. To further impede the orphan's life, is the blockade that may be permanently built between the orphan and the external environment in which he/she will finally settle for the rest of life. Therefore, when shadowed with blank future due to poorly planned future prospects, the orphan finally feels inadequate to be part of this world; “----and what next?” asks Taylor,(1983). It not surprising that some of these orphans end up in the streets, live a life of crime and prostitution or even taking up their lives, because to them life and everything else is unbearable and cruel.

Conclusion

The revelations of this study were that orphans experience hard times with their extended family members and usually, they are victims of all sorts of abuse ranging from physical to neglect. This indicates that some of the orphans' guardians are insensitive and inconsiderate of the life and the needs of the orphans. It also suggests a complete change of cultural and human values. Poverty and economic constraints should not be seen as reasons to put the human life to waste. In fact, it is during the hard times that love and respect for the human should be demonstrated at their heights. It seems our culture no longer recognises that family union as an important social capital for sustainable social, political, cultural, economic and spiritual development. It also emerged from the research that when weapons are sharpened within a family system, it becomes difficult to feel for one another in times of problems, especially when children are left without parents. To worsen the situation, the property, on which the orphaned children may have very little say, is shared among the deceased's family members leaving the children with almost nothing. Faced with such situation, the orphans become vulnerable and many choose to seek refuge in the orphanages or in the streets, making some of the family members feel some form of relief. Therefore, torturing the orphans becomes a nonverbal message that they are unwanted within the system. Such attitudes within some communities has forced some of the orphans to remain at their parents' homesteads as child-headed families- a situation which may expose the orphans to further abuse. This scenario suggests that the orphan is never at peace with life. Some peace and happiness are experienced when he/she only joins the orphanage in which safety and love remain open to shepherd him/her.

Although the orphans find some relief in the orphanages, they still face a lot of challenges which include educational, health, psychological and lack of adequate preparation for future life including reintegration with the family members. The poor background suggests that the orphanages are also poorly equipped, although they may have the much needed values and vision for the promotion of the life of those who are marginalised and trapped in the cycle of poverty. As a system, the society expects the orphans to be provided

with all the relevant knowledge and skills that enhance their future capabilities including those of facing life's challenges with courage, and to learn to emancipate themselves through being productive. Such preparations in the African context are very important.

Recommendations

The study recommended that:

- Family members should be encouraged to take responsibility of caring for the orphans so as to maintain the value of 'ubuntu' which sustains social, cultural and political development of a society.
- Government should encourage community programmes that facilitate restoration and promotion of family ties and relationships for the effective and sustainable social, economic, political, cultural and spiritual transformation and development.
- Government should intensify gender-based violence and abuse on the minority and marginalised populations through initiating behaviour change programmes that aim at educating the communities to be sensitive on the rights and values of humankind.
- Government should encourage, intensify and support multifaceted programmes towards assisting some orphanages with resources for the relief and enhancement of life of the orphans.
- The orphanages should make efforts to put in place programmes that empower and equip the orphans with some life-skills to prepare them for the future life.
- Orphanages should organise programmes aimed at promoting effective and purposeful linkage between the orphans and their families so as to create smooth reunification when the orphans graduate from the orphanages.
- Orphanages as the replacements of the family systems should regularly offer guidance and counselling to the orphans to enhance their positive self – concept, self-efficacy, self-worth and to change their mind-set.

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MULTI-DIMENSIONAL FUZZY SEARCH FOR PERSONAL INFORMATION MANAGEMENT, SYSTEMSPROCESSING, MULTIMEDIA INFORMATION PROCESSING, IN THE CONTEXT OF SOCIAL NETWORKING

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Abstract

Explosion of information is driving data users for complex search tools to have access to heterogeneous data in a simple and efficient manner which is the critical need of the hour. As users store and collect large amounts of personal data it is becoming increasingly important to quickly retrieve files in personal information systems. Numerous search tools have been developed to locate personal information stored in file systems. Existing tools often allow IR-style ranking on the textual part of the query, but consider structure (e.g., file directory) and metadata (e.g., date, file type) as filtering conditions.

In this paper we propose a novel multi-dimensional approach to semi-structured and heterogeneous data searches in personal information management systems. The paper highlights the suite of techniques that allow search tools to effectively and efficiently evaluate query conditions. The paper identifies how to score fuzzy conditions in each query dimension (content, structure, and metadata) in the search, providing a complex query interface. Furthermore, the paper proposes to integrate the three dimension scores into a meaningful unified score, such that users can specify a single query and that can be evaluated at once across file boundaries. Finally, algorithms and data structures are designed to support efficient processing of the multi-dimensional as well as unified queries. We perform a thorough experimental evaluation of our approach and show that the proposed system has the potential to significantly improve ranking accuracy. In addition, we show that scoring efficiently evaluates fuzzy multi-dimensional queries and also show that query processing strategies perform and scale well, making our fuzzy search approach practical for every day usage.

Keywords: Personal Information Management Systems, Fuzzy Search, IR Ranking, Information Retrieval

Introduction

The evolution of memory technology shows a permanent increase of capacity in the last few years which is accompanied by a decrease in size and price (Williams, 2011)[11], (Parrenson, 2011)[10], (Gantz and Reinsel, 2011)[5]. So users are able to store large amount of heterogeneous data (structured and unstructured) on their personal computers. The general study of personal aspects of everyday document management is known as personal information management (PIM). The study of how individuals find and use the information they collect has been an area of focused study for information scientists. The key to the study of personal information management is the idea of an 'individual' or 'unique' way of finding,

storing, and working with information in more private spaces. Overtime, the definition of PIM has become more extensive. Jones and Teevan [6], they define PIM as both the practice and the study of the activities people perform to acquire, organize, maintain, retrieve, use, and control the distribution of information items such as documents (paper-based and digital), Web pages, and email messages for everyday use to complete tasks (work-related or not) and to fulfill a person's various roles. Researchers studying PIM include information scientists, psychologists, computer scientists, and lately, even domain knowledge experts, such as engineers (Lansdale [9]; Jones [7]; Hicks, B.J., Dong, A., Palmer, R., & McAlpine, H.C [4]).

Interest in the study of PIM has increased in recent years with the growing new applications, new gadgets, and with the overall complexity of PIM. The amount of data stored in personal information management systems is rapidly increasing, following the relentless growth in capacity and dropping prices of storage. This data explosion is driving a critical need for search tools to retrieve heterogeneous data in a simple and efficient manner. PIM systems are becoming more ubiquitous and present a need for improving and enhancing information search results using wide range of tools and procedures to store, manage, retrieve and show information. Numerous search tools have been developed to perform keyword searches and locate personal information stored in file systems, through commercial tools like Google Desktop Search and Spotlight.

Existing tools typically index text content, but only consider structure and metadata as filtering conditions. These tools usually support some form of ranking for the textual part of the query but only consider structure (e.g., file directory) and metadata (e.g., date, file type) as filtering conditions. Thus, it is too rigid to use this information only as filtering conditions since any mistake in the query will lead to relevant files being missed. Because of the structural and data heterogeneity in PIMs, we believe it is critical to support approximate matches on both the structure and content components of queries and to allow for query conditions to be evaluated across file boundaries. Keyword-only searches do not exploit the rich structural information typically available in Personal Information Management Systems.

The scope of the project is a novel approach that allows users to efficiently perform fuzzy searches across three different dimensions: content, metadata and structure. We propose a framework to combine individual dimension scores into a unified multi-dimensional score. We adapt existing top-k query processing algorithms and propose optimizations to improve access to the structure dimension index. Later, we evaluate scoring framework experimentally and show that approach has the potential to significantly improve search accuracy over current filtering approaches. We empirically demonstrate the effect of our optimizations on query processing time and show that our optimizations drastically improve query efficiency and result in good scalability. While our work could be extended to a variety of data space applications and queries, we focus on a file search scenario in this paper. Of course, our techniques could be extended to a more flexible query model where pieces of data within files could be returned as results.

This paper is divided into 5 sections. The paper is structured as follows: In Sec. 1 we present the overview of Personal Information Management (PIM). We also examine the PIM concepts followed by a more in-depth examination of various PIM research conclusions about organization; In Sec. 2 we present the proposed multi-dimensional scoring framework; Sec. 3 describes the overall architecture of the system and the algorithms we use to aggregate scores and return the best answers to the queries. In Sec. 4 we present our experimental results. This literature review concludes by introducing the concept of personal organization. in Sec. 5.

Multi-dimensional scoring framework

Information retrieval (IR) is finding data of an unstructured nature satisfying information needs within large data collections. IR is becoming the dominant form of information access. Fuzzy set theory techniques have been proposed to improve the effectiveness and flexibility of search engines. Modern web search engines are based on boolean keyword-based formulation of queries, and a bag-of-words representation of documents.

Retrieval models (Bordogna and Pasi [1]) (Kerre, Zenner, and Caluwe [8]) in which documents are represented as fuzzy sets have also been proposed. Conceptually, fuzzy IR models are similar to that of the vector-space model. In fuzzy IR model the relevance of a document is calculated using fuzzy logic connectives, measuring the degree to which a document 'implies' a query term, and subsequently combining these degrees using flexible alternatives for the operations of boolean conjunction or disjunction. The main advantage of fuzzy IR models is in the flexibility they give users to specify their queries.

Top-k processing is a crucial requirement in interactive environments that involves massive amounts of data. The main objective is to return the K highest ranked answers quickly and efficiently. One common way to identify the top-k objects is scoring all objects based on some scoring function. Data objects are usually evaluated by multiple scoring predicates that contribute to the total object score. A score function is therefore usually defined as an aggregation over partial scores. Top-k processing techniques are classified based on the restrictions they impose on the scoring function. Most proposed techniques assume monotone scoring functions.

Inverse Document Frequency (IDF) is a popular measure to quantify words importance. Documents are represented as weighted collections of terms. Document can formally be modeled as a vector in a multidimensional space, with one dimension for each term occurring in the document. IDF is believed to measure a words ability to discriminate between the documents. IDF invariably appears in a host of heuristic used in Information Retrieval (Salton and McGill [3]). DF (Sparck Jones [7]) is defined as the logarithm of the ratio of number of documents in a collection to the number of number of documents containing the given word. Inverse document frequency (IDF) is defined as

$$\text{idf}_t = \log\left(\frac{N}{\text{df}_t}\right)$$

Thus the idf of a rare term is high, whereas the idf of a frequent term is likely to be low.

Tf-idf weightingscheme assigns to term t a weight in document d given by

$$\text{tf-idf}_{t,d} = \text{tf}_{t,d} \times \text{idf}_t$$

The weight of a component of a document vector is calculated based on the frequency of the occurrence of the corresponding term in the document (term frequency), and on the number of documents of the collection in which this term appears (inverse document frequency). This vector form will prove to be crucial to scoring and ranking. As a first step, we introduce the overlap score measure: the score of a document d is the sum of overall query terms, of the number of times each of the query terms occur in d. We can refine this idea so that we add up not the number of occurrences of each query term, but instead the tf-idf weight of each term in

$$\text{Score}(q, d) = \sum_{t \in q} \text{tf-idf}_{t,d}$$

The query of the user, which is provided as a list of keywords, can also be represented as a vector, by treating it as a document. A common approach to estimate the relevance of a document to a query calculates the cosine of the angle between the corresponding vectors.

Vector-space model of information retrieval (Salton, Wong and Yang [12]) has traditionally been the most popular approach to information retrieval, and is still considered state-of-the-art approach. However, state-of-the-art performance in the vector-space model is obtained for variants of the aforementioned cosine-similarity which are difficult to interpret intuitively and rely on careful tweaking of the parameters involved (Zobel and Moffat [14]).

Our model allows users to query both the content of files (using a standard keyword-based model) as well as their structure (internal and/or external). A query over unified data model is a combination of structural patterns and content terms. Our query model allows for approximation in both the structure and content dimensions, as well as across the two dimensions to avoid discarding relevant information because of mistakes in the query. We decompose a query into component path queries. Similar to many popular search approaches, we focus on a ranked query model where only the k best matches are returned to the user. We score individual paths of a given query using TF_IDF approach. Our strategy is to compute scores for answers based on how close they match the original query conditions. The score of a match is defined by a scoring function. Content closeness is based on the frequency of keywords in the query condition. For structure, we use query relaxations that make queries more general. IDF scores for relaxed queries and TF scores for matching files are computed. Individual path scores are then combined together into an overall score representing the answer's relevance to the query to produce a unified score. This computation can be viewed as a multidimensional scoring problem, with each component path query representing a distinct scoring dimension. The lowest matching node in the path query is identified as a match point. A file is an answer if its structure and content contain one or more match points. We argue that allowing flexible conditions on structure and metadata can significantly increase the quality and usefulness of search results in many search scenarios. We adapt the existing and popular Threshold Algorithm (TA) to efficiently solve multidimensional scoring problem.

Desktop search facilities can search across different forms of information providing a tremendous potential to support a more integrative access to information. Some of this potential has already been realized in available facilities such as Google Desktop, Spotlight, Longhorn, SIS etc. A variety of desktop search programs are now available. Few of the desktop search programs (Noda and Helwig [13]) available in the market as free test version include Microsoft Windows 7 search, Copernic Desktop Search, Google Desktop Search, Hulbee Desktop, xFriend personal Desktop Search, Archivarius 3000, Find and Run Robot (FARR) etc. For an effective retrieval of heterogeneous data a desktop search engine (DSE) is used more and more often. The goal of desktop search is to find some particular item. These tools check the contents of user's PC to find information relating to web browser histories, e-mail archives, text documents, sound files, images, videos etc. Historically, desktop search was initiated by Apple Computer's Advanced Technology Group in early 1990s as AppleSearch technology. Most desktop search engines build and maintain an index database to achieve reasonable performance when searching several gigabytes of data. Indexing usually takes place when the computer is idle and most search applications can be set to suspend it if a portable computer is running on batteries, in order to save power. Their disadvantage is that they can only feasibly search a certain folder tree, not the entire computer. In desktop search, the semantics of keyword queries are often context-aware. Untapped productivity and security are the two major concerns for large firms in implementing Desktop search. Nonetheless, TF-IDF scores do not always work well, for the following two reasons:

- TF-IDF scores only consider the frequency of the appearance of the keyword in the documents.

- Document with high TF-IDF score often does not mean it is the particular item that the user is trying to find.

The use of fuzzy search algorithms in real search engines is closely related to the phonetic algorithms, lexical stemming algorithms, which extract base part from different forms of the same word, statistic-based ranking or the use of some complex sophisticated metrics.

Architecture of the system

Before developing the tool it is necessary to determine the time factor, economy and company strength. The feasibility study of the proposed approach has been carried out. It is to ensure that the proposed approach is not a burden to the company/ organization. Three key considerations involved in the feasibility analysis include: Economic feasibility, Technical feasibility, Social feasibility.

Economic Feasibility: This study is carried out to check the economic impact that the system will have on the organization. The amount of funds that the company can pour into the R & D of the system is limited. Thus the proposed system is well within the budget and this is possible because most of the technologies used are freely available. Only the customized products have to be purchases.

Technical Feasibility: This study is carried out to check the technical requirements of the system. The proposed system has modest requirements, null changes or only minimal changes are required for implementing this system.

Social Feasibility: The aspect of the study is to check the level of acceptance of the system by the user. It included the study of the process of training the user to use the system efficiently.

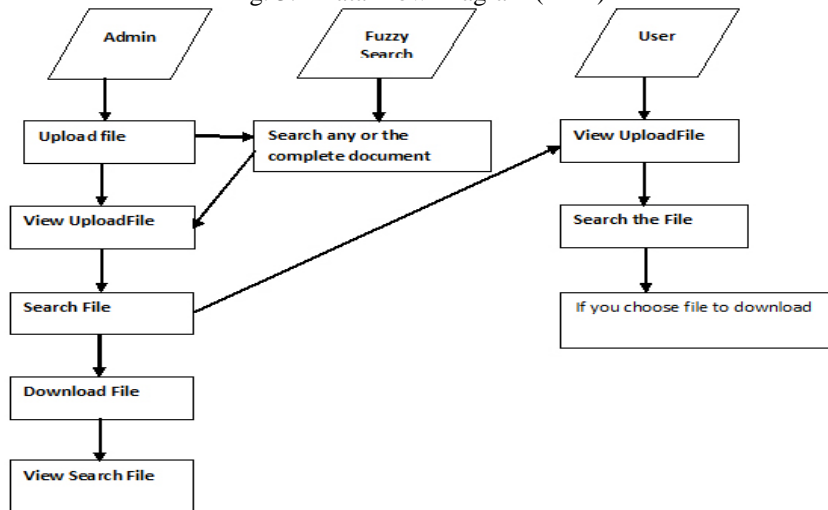
Process

In this approach we are creating a metadata for all the system files. In addition to saving all file names in a database it also saves some information from the text file in this module. While searching, the user enters the text to be searched for in the required file. It starts search from the database based on the filename. Later, it checks for some related file name. It then collects some text of the file and makes another search. Finally, it produces search results for corresponding text of the user.

Design

In Fig. 3.1 a simple graphical formalism of the system is represented with the terms of the input data, various processing activities carried out, and the output data that is generated.

Fig. 3.1 Data Flow Diagram (DFD)



In Fig. 3.2 a detailed process of information flow is depicted in the form of Activity diagrams, sequence diagrams and class diagrams (UML Diagrams).

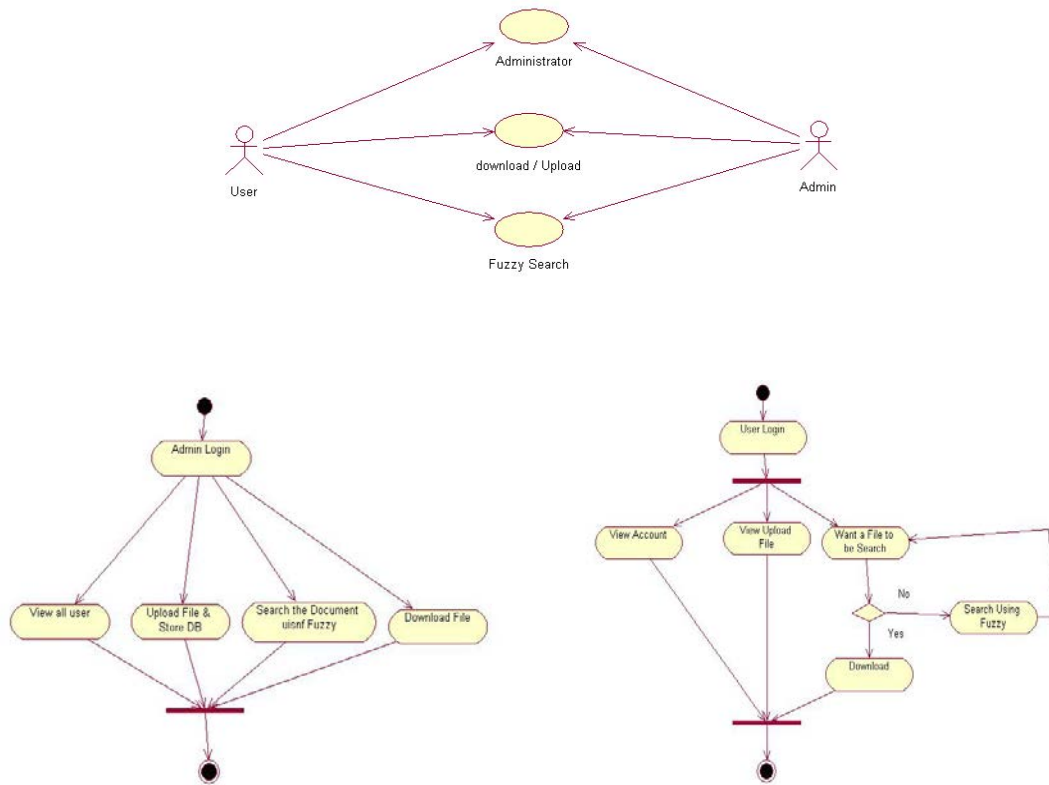


Fig. 3.2 UML Diagrams

Experimental results

Once the feasibility study is completed, which operating system and programming language should be used needs to be determined. We now experimentally study and evaluate our unified search approach. Prototype of unified search tool is implemented using Tomcat 6.0.18 as Application Server; HTML, Java, JSP for designing front end applications; Scripting language used is Javascript, and Mysql 5.0 is used to store all indexes using JDBC Database connectivity. This tool is run on a PC with a 2.4GHz Pentium IV, 512 MB RAM, and 40GB Hard disk capacity. Windows 95/98/2000/XP Operating System is used to run this tool effectively. Reported query processing times are averages of 40 runs, after 40 warm-up runs to avoid measuring JIT effects.

Testing is the process of exercising software with the intent of ensuring the software system to meet its functional requirements and user expectations discovering every conceivable fault or weakness in a work product. Unit testing ensured that each unique path of the business process accurately performed to the documented specifications. Functional testing demonstrated systematic functioning against the business and technical requirements. In integration testing the components of the software system and the software applications were checked. System testing, white box testing, black box testing, unit testing and acceptance testing were also conducted to validate the tool designed. The tool designed has passed the tests successfully. No defects were encountered.

Conclusion

We presented a unified scoring framework for multi-dimensional query processing over both content and structure in personal information systems. Based on the proposed approach we specifically defined structure and metadata relaxations and proposed IDF-based

scoring approaches for content, metadata, and structure query conditions. Our experimental evaluation shows that our unified approach improves search accuracy by leveraging information from structure, content as well as relationships between the terms. We implemented and evaluated our scoring framework and query processing techniques. We have designed indexing structures and dynamic index construction and query processing optimizations to support efficient evaluation of multi-dimensional queries making multi-dimensional searches efficient enough for practical everyday usage. Our work shows that multi-dimensional score aggregation technique preserves the properties of individual dimension scores and has the potential to significantly improve ranking accuracy resulting in good overall query performance and scalability. Our evaluation shows the importance of structural query approximation in personal information queries and opens important research directions for efficient and high-quality search tools. In this paper, we have focused on files as the result unit. In the future, we will relax this restriction to allow for logical units of data to be returned.

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THE MELTING POT: WHERE ARE WE! THE DEMISE OF THE EXTENDED FAMILY SYSTEM IN ZIMBABWE: A CASE OF CHIVHU RURAL COMMUNITIES IN CHIEF NESHANGWE AREA

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Abstract

Prior to this present state of cultural erosion, the Shona tradition in Zimbabwe regarded the extended family system with high esteem. Those good old days seem to have disappeared and the all-embracing family concept is in a melting pot status. The paper sought to investigate the major drivers leading to “social decadence” of the extended family system and attempt to develop an indigenous socio-cultural model meant to resuscitate and revive the dying culture. A qualitative case-based research philosophy was adopted, with thirty families interviewed to provide information required to make informed conclusions on the status of extended family. Data was thematically analyzed and the results of the study indicated that the culture of extended family was in a “decomposition” state, and there was urgent need to find meaningful resuscitating strategies to keep the culture afloat. The paper recommends the adoption of the *ubuntu* philosophy as a basis of revival. The paper also encourages further public debate on the need to revive a culture of collectivism which once upon a time was dominant.

Keywords: Family system, Chivhu Rural Communities

Introduction

The journey that we about to travel (the story of the extended family system in Zimbabwe) can best be summarized by the three following biblical references:

- “Now the Lord said to Abraham, “Go from your country and your kindred and your father’s house to the land that I will show you...”. So Abraham went as the Lord had told him, and Lot went with him. Abraham was 75 years old when he departed from Haran and Abraham took Sarah his wife, and Lot his brother’s son...” (Genesis 12:1-5).
- “Paul urged timothy saying, “Honour widows who are truly widows. but if a widow has children or grandchildren let them first learn to show godliness to their own household and to make some return to their parents, for this is pleasing in the sight of God.... but if anyone does not provide for his relatives and especially members of his household, he has denied the faith and is worse than an unbeliever.... if any believing woman has relatives who are widows let her care for them. Let the church not be burdened, so that it may care for those who are really widows (1 Timothy 5:3-4, 8, 16).
- “Jesus was not the biological son to Joseph.... but Joseph was his father....”

In honest, if there is one institution in Zimbabwe and Africa that has stood the test of time, it is our traditional extended system. In Africa, not only Zimbabwe, South of Sahara, we have a system that is foreign to the social life of people in the west (Basil, 1978). This is the extended family system it goes: “my biological father’s brothers are also my father’s and

my biological mother's sisters are also my mothers. The wives of my biological father's brothers are my mothers and the husband of my biological mother's sisters is my father. In our Shona Tradition, you can go further to say: my father's sisters are not my mothers, they are my aunts, and my mother's brothers are not my fathers, but my uncles. Similarly, their children are not my brothers and sisters, they are my cousins. Even when you go to the next generation, their children are not my children but my nephews and nieces. Yes, they stand in the different relationship with me compared to the grandchildren of my father's brothers and my mother's sisters." Unless we understand this, we will not be able to understand the African extended system, late alone Zimbabwe's. The above scenario can further be explained mathematically. "If my late father had four brothers and late mother had four sisters, and all of them are married and alive, then I have four fathers and four mothers still alive and well on the planet".

This scenario is only understood from an African perspective where we often talk of young father and big father referring to brothers of my father (Bourdillon, 1998). An often told joke about the African concept of families: "An employee got leave from work to attend the funeral of his father and then asks for permission some six months later to attend yet another funeral of his father. The western employer gets angry and says: "how dare you think that you can cheat me, six months ago, I gave you permission to go and bury your father. Do you think that I have already forgotten that? How many fathers have you got? Well, of course, the employer is shocked out of this, when the man begins to count them. That's Africa and its family unit ties.

Background

"If you are the one who invited him, just make sure by the time I get home she is gone. She cannot just come without our consent"- charged a young woman talking to her husband over the mobile phone. The idea of coming home and only to find her husband's sister from Chivhu made her feel disturbed. As far as she was concerned, her family was complete with her husband and their five year old son. She considered other relatives a burden she was not prepared to carry.

The above picture provides the basis upon which this paper hinges on-the demise of the extended family system in Africa. Historically, children were cared for by parents and the extended family until they grew to become independent and as parents grew older, their offsprings and other family members made arrangements on how to care for them (Bhengu, 2010). Orphans were never left without care in our society as they would fit into their immediate relative's families. Surprisingly, these days, many of our grandpas in our communities no longer enjoy the benefit of having quality care from their offsprings in their twilight years with several of them crowded in old people's institutions and nursing homes. In Zimbabwe, the old people's homes used to be more like homes for destitute and homeless senior citizens and many people do not like having their loved ones in such places. Surprisingly, it is the in-thing. It is like fashionable. A disgrace to our culture!

Historically, again, throughout the world, "cultural erosion" as Helena Norberg-Hodge refers to "The March of Monoculture" was forced upon "traditional peoples" by world conquerors. According to Goulet, (traditional peoples must be shocked into the realization that they are living in abnormal, in-human conditions as psychological preparation for modernization". Today, however, as Norberg-Hodge suggests, western influences including advertising, television, the internet and other technologies bring about cultural erosion on their own, by introducing these media, a westernized way of life that seems (erroneously) more luxurious, more glamorous and relatively effortless especially compared to their own jobs, books and lifestyle. Moreover, as DrVaran suggest the imposition by media and trans-globalization, of western values and influences creates:

“... *cultural abrasion, resulting from friction between contrasting values reflected in a cultural terrain and a foreign media agent, cultural deflation, whereby least consolidated facets within a culture*”.

It appears by allowing the desire for personal gain and aggrandizement to overcome our righteousness and sense of social obligation, Africans have fallen into the evil ways and this perverted our original nature. Thus relying on our sense of perception without subjecting them to control of mind we have neglected our traditions and values without asking questions about our children and grandchildren's future in a cultureless society from the peripheral, our traditional values are sinking and we are facing cultural death.

Last but not least, most of us went to school on the strength of the extended family system, including this researcher, otherwise we would have been stark illiterates, walking, sulking or even marauding about with native and naïve intelligence. In Zimbabwe, the situation in most homes is not easy to look, untouched and unperturbed at an indigent family especially if one is in a position to at least render a little help. Sometimes money is not everything but just subtle words of encouragement to struggling members who have manifested positive potentialities (Murove, 2007). There are raw talents in our communities that what most of them need is just a little pep talk to move them to aspire and aim higher.

We should explore this extended system in Zimbabwe bearing in mind that the country has been experiencing severe socio-economic and political problems that have impacted negatively on the culture of its people. Poverty in Zimbabwe has not only widened but it has also deepened as more and more people join ranks of the unemployed and low-income earners. Thus the process of re-awakening and recovery has to be one of a historical deconstruction, consciousness raising and restatement not in the way the post-modernity and post-structuralists have argued, but by Africans, tracing the origins and achievements of their civilization with a view to developing new epistemologies of knowledge production based on African new experiences in their own communities.

Zimbabwe is a patriotic nation managed by mostly African, black middle-class, heterosexual male nationalists who participated in the national liberation war for independence from the British colonial agents. Blood et al (1998) argue that “Patriarchy is not just a power structure “out there”; it is mainly enforced by our own acceptance of its character ideals for our lives”. The Zimbabwean network of cultural systems operates from a dual cultural point of view with was born and raised in colonial Zimbabwe, most of the political leadership were educated in west or in the former eastern block.

My personal experience of a black Zimbabwean extended families is that one which is not limited to siblings, cousins, uncles, aunts, nephews, grandparents, grandchildren and current in-laws, instead the network may extend to former in-laws, in-laws of other relatives, relatives of in-laws, close neighbours, church members, close workmates and friends (*madzisahwira*) of both the individual and his/her spouse as well as the friends of the parents.

Traditionally, the extended families were sustained by collective family production in which kingship groups worked together and shared economic wealth (Nkomo 1998 and Mikeu, 1997). With the advent of the western nuclear type of family, many Zimbabwean families started to move away from kingship dependences.

Statement of the problems

The rapacious and venal individualism and selfishness we are experiencing, is a cause for concern as the spirit of solidarity, *ubuntuism*, oneness and social responsibility seems to unreservedly continuing and causing cultural decay throwing to the terraces the extended family philosophy which is part of African history. The thorn issue, that has motivated this study is the cultural erosion, decay, decadence underpinned by ubuntu deferment and

abrasion of the extended family system which the western world would otherwise refer to as the state welfare system.

Research Question

Given the platform of problems stated above, the major research question is therefore:

- What are the major drives of the erosion of the extended family system in Zimbabwe?
- Can the extended family system be regarded as a burden to African tradition?
- How do we save our valued culture and tradition of belonging to many “fathers and mothers”, “sisters and brothers”, “nephews and nieces” and “uncles and cousins”?

Research Objectives

- To investigate the major drivers causing the erosion and decay of the extended family system in Zimbabwe
- To evaluate whether the extended family system is a burden or not to African tradition
- To establish ways in which the extended family system can be resuscitated

Significance of the study

The study is significant in many ways. We can not comfortably watch the death of a culture that we so cherish as Africans. The study is an attempt to open a “Pandora box” full of cultural worms. Society and Africans in particular should begin to debate ways of resuscitating, rejuvenating, re-birth of a once popular practice that brought families, villages, clans and communities together. The study should also provide guidance to cultural leaders, government and societies in general on ethical and moral construction.

Methodology

This study is a phenomenon in design and a case study based approach was adopted focusing at Chief Neshangwe area, in Chivhu an area dominated by Shona speaking people. I happen to be a son born and bread in the same area. The study was done in two phases: Phase one, was entirely devoted to literature review on extended family systems in Africa and Zimbabwe in particular. Most of the sources and happen to be newspaper articles, textbooks and a sizeable number researches done. Phase two was based on actual field work in Chief Neshangwe area, which bordered Buhera, Sadza and Masasa. Areas under Neshangwe include Guvamombe, St Pauls, Dzidze, Zinatsa, Munyimi and Govere. Thus interviews were carried out with heads of families, the headman themselves and Chief Neshangwe. Thirty families, whose information is used in this paper, are servants of Chief Neshangwe. The families were chosen conveniently and through snowballing. The discussions and interviews held drew on the families’ responses to questions pertaining to their family experiences. The study attested to determine how these families’ experiences and communities around then affected their family trajectories. As part of the gathering, I also relied heavily on my personal experience of the Shona culture, used observations and general discussions at various for a. The information obtained here, provided a rich context upon which translation became a reliable approach to get the “most out of the least”.

Literature Review

There are quite a handful of studies on the extended family systems in Africa, late alone Zimbabwe. However, a sizeable volume of the literature is built upon from my personal experience and as a beneficiary of the extended family system in Zimbabwe.

Definition of key terms

Ubuntu: It is an African philosophy that spells out that we are human only through the humanity of other human beings, (Nelson, Mandela, 1994).

Extended family: literally, it means a collection of members of a family (fathers, mothers, sisters, brothers, uncles, aunties, nephews, nieces and in-laws put-together). It is defined by relationships (kinship) and ensures that communities support each other. This kinship helps to define marriage patterns, dictates inheritance, provides a safety net for disadvantaged members and makes it mandatory for the community to accord their deceased a decent burial (Bhengu, 2010).

Kinship: Kinship is the web of relationship woven by family and marriage. Traditional relations of kinship have affected the lives of African people and ethnic groups by determining what laws they could form, whom they could marry, and their status in the communities (Dangarembwa, 1989).

Types of extended family set-up

These are classified broadly under four major types:

Patrilineal descent: this emphasizes the male side of the family tracing relationships through generations from fathers (Masubane, 1999). It is mostly practiced in China, the Middle East, South Africa, Swaziland, Zimbabwe, Islamic people of North Africa and Arabia.

Matrilined descent: traces lineage mothers, and is found in many African societies including the Bemba people of Zambia and Malawi. Mothers own fields and can pass them on to their daughters.

Double descent : is where every individual belongs to the patrilineal group of the father and matrilineal group of the mother. Rights, obligations and inheritance are split between the two. Double descent exists in Western and Southern Africa among such people as the Yako of Nigeria and the Herero of Namibia and Botswana.

Bilateral descent: refers to a kinship set-up in which an individual is considered equally related to kin on the father's and mother's sides. This system is uncommon in Africa and is practiced in other parts of the world.

Focus on extended family practices

It should be borne in mind that connectivity and collectivism are central tenets of the traditional Shona culture, as illustrated in the typical greeting exchange among them. Connectivity and collectivism are central tenets in the development of effective African Communities (Nkomo, 1998; Adjibolosoo, 1998; Chombo 1998; Maphosa 1998). Mugo (2003) uses the Shona greeting as an illustration "the initiator of greetings among the Shona people in Zimbabwe asks: "How are you?" the one being greeted will respond by saying "I am only well, if you are well". What it implies is that one's wellness depends on the wellbeing of the others. Hence, it is not surprising that members of the extended family obligated to support and assist fellow members despite their own personal or immediate family needs.

In black Zimbabwean culture, relatives come together to comfort each other in times of trouble (Nicholson, 1997). Therefore, funerals have been known to be good places to meet relations one might not have known about.

With reference to the African context, Toungara (1997) writes about the way traditional marriages were and still are arranged by elder male members of the extended patriarchal and patrilineal family where traditional marriages involved adult male members of the extended patriarchal and patrilineal family. According to Nyathi (2001), in Zimbabwe "marriage is not between two individuals but between two families. The intricate

involvement of the family makes marriage a more socially and economically inclusive unit that places more burdens on women than men.

Traditional kinship generally means much more than blood ties of a family or household. It does include a network of responsibilities. Privileges and support in which individuals and families are expected to fill certain roles. In modern Africa, society and economic changes have begun to loosen the ties of traditional kinship especially in the cities.

It is clearly understood that kinship is based on relationships of descent in which kin groups define themselves as descendants of common ancestors (Nyathi, 2001). In one type of descent group the lineage- all members know their exact relationships to one another. The clan is another type of group larger than the lineage. Members recognize that they are all part of a group but do not know how they are related to each other.

Individuals have important ties with two different kin groups, the mother's and the father's. As such kinship is not limited to lineage. Such ties are extended to outside the village or community, offering certain advantages. If a community suffers from drought, war, disease, food shortages or other disasters its members may go to live with their kin in other areas (Hans, 1972). This is brief African kinship in a cooperative relationship between household members and a set of social obligation and expectations that ensures that no one faces tragedy alone. Thus in societies without welfare services, especially sub-Saharan, African kinship provides a safety net for vulnerable members such as orphans, widows, the elderly, the disabled and divorced women. Though in Zimbabwe, kinship appears to grow weaker and weaker everyday, they continue to serve this function. It remains a critical part and practice of life in contemporary Africa.

One of the key features of social life in Africa's patrilineal societies is the close relationships between a man and his sister's son- his nephew. Anthropologists call this relationship avunculism (brother of the mother/uncle) and in African cultures it is mandatory for the uncle to give his best cattle to his nephew or to accept teasing from the nephew (Boudillion, 1998). A brother might also be expected to support his sister's children or to participate in the rituals that mark certain stages of their lives.

In southern Africa where avunculism is a common practice, a boy's uncle on his mother's side may be called his "male mother" in recognition of the special link. In other groups, the opposite relationship occurs with a boy's father's sister- his aunt seen as an authority figure called the "female father". The Tonga of Mozambique, the Shona of Zimbabwe and the Nama of Namibia are some of the groups that practice avunculism.

Technology has brought a global media influence to even the most isolated villages of Zimbabwe, so that parents and custodians of our culture and traditions have been caught up in the web of cultural erosion (Aneku, 2008). The general feeling is that they are worried elders who say young people and some adults suffer a disconnect that gets some of the blame for chronic problems in communities – alcoholism, cultism, domestic violence, ritual killings, get-rich quick syndrome. It appears nobody is fighting back. Villagers have watched cultural dances, festivals and stories of our forefathers (*ngano*) disappear, replaced by hip hop and novels characterized by violence and sex.

According to the principle idea advanced by MeniMengi Tzu (c 372-c289) known under his Latin name Mencius, every human being is born well, hence if man maintains his original nature, he will remain good. In man's original nature there is a sense of shame, a sense of courtesy and a sense of right and wrong. If a man relies only on his sense of perception without subjecting them to the control of mind, he falls into evil and prevents his original nature. The bane of moral decadence in Zimbabwe and Africa at large is the erosion of that sense of shame, courtesy and right and wrong in the past two decades. It should be noted that the cultural erosion and re-orientation of our traditional core values of honest,

integrity, equity communal social responsibility and good behaviour has left us in this dire state of social and cultural corrosion of the extended system.

Among the Shona, close associations such as church, family, neighborhood family, or friendship-family seem inadequate. Zimbabweans seem to legitimize these “relationships” via some totem connections regardless of how distant the connections might be. Tong (1998) in her discussion of patriarchy determines the totem as “the symbol of the father”. Therefore, the boundless extended family network usually extends to other acquaintances who share the same totem (*mutupo*) with the immediate family members, blood relatives, and or with other members of the existing extended family.

Bourdillon (1998) states, among the Shona “the relationship between individuals is treated as a relationship between two clans”. The boundless extended family has deep roots in the Zimbabwean culture and is an integral part of everyday activities even for the modern and educated people. Though we have a lot of people now living in urban areas, they also have extended family networks, most of these members are somewhat related to them either through close/remote blood ties or marriages. The boundless extended families actually gets broader in close-knit rural areas where it includes many with no traceable blood or clan ties such as relatives of neighbours, friends and some-totem relations as alluded to earlier. TsitsiDangarembwa (1989) portrayed of the extended family in nervous conditions provides a good overview of the working of a typical, albeit not very extensive extended Zimbabwean family. Bourdillon (1998) discusses the role played by the Shona clans and sub-clans in kingship. he write, “when two people with no traceable kingship ties meet, they may adopt rules of behaviour towards each other based on any relationship they know exists between other members of their respective clans. Thus if a Shona meets an elderly stranger and discovers that a young man from her clan has married a young girl from his, she can address him as “father-in-law”.

The phenomena of the extended family is consistent with the African ethic of collectivism which Maphosa (1998) posits as the emergence of the importance of the group over the individual

Results and Analysis

Major drivers of the demise of extended family system

The study's intention was to investigate causal factors for the demise of the extended family system in Zimbabwe. A number of responses emerged as cited by respondents from Chief Neshangwe area. In view of the cultural tenets of the Zimbabwe people, the live response are provided below and the phase provide the clue in-terms of the state of the extended family system in Zimbabwe. In the presentation, for anonymity purposes, names of the respondents are not given, and what are given are pseudo-names. It should also be noted that, most of the interviews' were done in Shona and then translated to English. Effort was made to try to be as accurate as possible in the translation to avoid loosing meaning of “first instance”.

Many respondents (90%) pointed out that the major driver of the erosion of the extended family system was modernization, which they constantly referred to as “*chizvino-zvino*”. The main issue was that Zimbabweans no longer respect their cultures' due to western influences. Headman Jambwa had this to say “*the inner culture which is for accessing the 'programme of order' that is shaping force of the harmonious social life, an essential pre-requisite for man's spiritual growth and the flourishing of all social institutions has been replaced by the western 'outer culture'*. He went on to say: “*western cultures which are unique to their own rights have been introduced to Africa, brought contradictions to our traditional values such as respect, sense of caring for others and a concern for the well-being of others. This is obviously a clash of civilizational cultures. The most unfortunate thing is*

that western culture seems to be more dominant and as such our traditions have been undergoing abrasion for some time now. "HIV and its influence, the Diaspora effect too are other causes." These findings concur with findings by Dowdon (1998) who argued that modernization and western influence played a central role in eroding Shona culture. Father Guvamombe a prominent farmer in Chivhu took his time to shed light on the demise of extended family in Chivhu and Zimbabwe in General. His major concern was that urbanization, industrialization and economic hardships and the adoption of western values were major hurdles to the death of extended family system. His sentiments were: *"due to economic hardships some people now try to avoid extended families and some people do not even disclose to relatives where they are staying and working."* He continued on *"the cost of living that has been going up since the introduction of economic reforms in 1991 has made our situation worse than ever. It was from this period that we have been experiencing the cultural shift. Prior to that people used to help each other but (pakauyamhukaiya)-(when this animal come) things started to navigate wrongly"*.

Mudziwaperera, a father of six children also expressed sentiments on the problems of the extended family practices: *"In the last decades people used to do things together and there was a strong bond between and among families. We used to go to our holidays during school holidays. I was personally supported by my uncle; all my school fees were paid by him when my father had passed away. These days it's one man for himself and God for us all"*.

Mother Guruuswa, whose husband passed away twenty years ago, was not amused. She said: *"relatives are more concerned with their immediate families, with some even failing to look after their own children. Urbanization has added on to the problems forcing people to adopt different cultures, some of them focuses on individualism which in turn will result in values such as sharing and consultation fading"*.

An elder, MrModzi expressed his disappointment of political; leadership and parents for failing to uphold African principles and values. He has this to say; *"In the past grandmothers and Aunties played the role of counsellors to our children but nowadays, it is not the same. Do you know that the care of the elderly in African culture has been the responsibility of the community? We are now send to old people's home as if "hatinakubereka"(we did not bear children). Aaah, pasipapanduka"* (the world has badly changed-spiting on the ground) . These sentiments echoed here agrees with Onwujesgwu(2000) where he found in his study of the extended system in Nigeria, that community neglects their culture due to globalization.

Ambuya(Grandmother) Nzungudzaora questioned the role of government and community leaders for failing to uphold the extended family system. She even alluded that this could be why *"rains are no longer consistent-hainganayezvakadai"* (which literally mean, it cannot rain when it is like this.) Some of the narrations are; *"Children are cared for by parents and the extended family until they grew to become independent and as parents grew older. Our orphans were not neglected as we see today. Tradition is no longer considered in this modern society. The current generations of young couples is concerned with the nuclear family. Budgetary constraints have been ordering relatives to notify them if they want to pay a visit so that they would be factored into the budget."*

With all the above sentiments above, one is left wordless. Gone are the days when kinship was the pillar to Zimbabwean culture. There are more questions than answers as the general feeling among many Zimbabweans is that we need to uphold this noble collective practice for cultural survival and modernization.

Resuscitating the extended system

A question was proposed on what respondents thought would revive the once popular collective practice. More than 75% of the respondents expressed mixed feelings on this

matter, others saying it was too late to resuscitate. *‘with the current state of the extended family system, no one is able to bring its fortunes back, there is a lot of individualism, diaspora effect and western culture influence. The sense of collectivism is dwindling’*.

Those who feel that something can be done to resuscitate provided various ideologies impressing upon that culture is learnt, hence it is possible to orient the Zimbabwean people on the significance of collective orientations, selfishness and in calculating a spirit of oneness...’we can orient our children first through introducing a curriculum on extended family system from primary until the tertiary education level.’

Zimbabweans should emulate what is good. As a Christian nation, we need to practice what we preach. The spirit of extended family is more Christian than just being an African culture, so why can not we preach about it in our churches, schools, homes and all gatherings.

Discussion

We must realize that from the study, the extended family system has been portrayed as just culture which is not worth loosing. It is unfortunate that the state of these systems is in an erosional state, undergoing decay, in a melting state and almost reaching a point of no return. It is imperative from cultural point of view that every Zimbabwean contributes in one way or the other in attempting to bring back the spirit of collectivism and the sense of sharing. The outcome of the study clearly indicates that the major drivers of socio-cultural degradation with reference to the extended family system is western cultural influence, urbanization, industrialization, diasporism, HIV scourge and the other related factors.

Traditionally extended families were sustained by the collective familial production where by kinships groups worked together and shared economic wealth (Nkomo, 1998, Mikell 1997). This is no longer the case as societies have changed. In an African setup, you cannot separate or treat for example, culture and economy separately or you cannot separate philosophy from science and you cannot separate mathematics from culture or philosophies neither can anyone separate ontology from metaphysics. The interconnectedness of disciplines enabled Africans to serve humans best. What it implied then was, no vacuum was allowed and the more there is a vacuum, the inner part of an African fails to communicate with the outer part because the outer part is foreign and the ultimate occurrence is imbalance, lucid as it were lacking power to direct the process that shape African behavior and culture (Auttenni, 2005). The implications are that the concept of separate beings of substance which find themselves side by side from an actual perspective, entirely independent of one another, an intimate ontology relationship, comparable with the casual tie which the creative and creator animates is created.

An African psychology cannot conceive of a man as an individual, as a force existing by itself and apart from its ontological relationships with the living beings and from its connection with animals or intimate forces around but human beings are regarded as ‘a collection of beings’. One cannot be above group interests. That is African. That is the extended concept. In terms of Ubuntu, apart from Nelson Mandela emphasis-what Mahatma Gandhi of India once said: *‘I value individual freedom but you must not forget that man is essentially a social-being. He has risen to his present status by learning to adjust his individualism to the requirements of social progress. Unrestricted individualism is the law of the jungle. We have learnt to strike the mean between individual freedom and social restraint, willing submission to social restraint for the sake of well being of the whole society enriches both the individual and the society of which one is a member.’*

Given the above views of Gandhi, I am also at liberty to say that any harmful action against another individual is a threat to the whole society, a restriction on individuals cultural and social activity places severe constraints on the social and cultural welfare of the whole society and if the individual prospers, so does his family, extended family and society at

large. An individual could prosper so long as his/her pursuit of prosperity does not conflict with the interests of the community, the society's interests have to be paramount. Any action taken by an individual in society should be ubuntu oriented, it should of course preserve the totality, fullness and harmonious collectivism of a human person and should not contradict the fullness and totality of humanism, upon which the extended family system is an offshoot. I believe that for Zimbabwe late alone Africa to have universal human collectivism, it would have to have a strong African-oriented "substantivist" socio-cultural philosophy, that is culturally routed and grounded in African ideology. The ideology of 'Hunhu' (*ubuntu*).

Recommendations

It is important at this juncture of the study to point out a few workable suggestions that we see continuous sustenance of the extended family system in Zimbabwe and in Africa. Parents should play a pivotal role in liberating the dying culture of the extended family through adopting an indigenous extended family framework which emphasize on *ubuntuism* as a pillar to societal development. A merge of *ubuntuism* and Christian values will provide a good starting point to resuscitate the dying culture which we cannot do without.

The genuine involvement of men in breaking the unfair patriarchal-set gender practices is necessary (Hooks, 1984, Collins 1990), for example husbands could liberate their wives by advising their parents, siblings and relatives to retain from anti-retrogressive behaviours. Massy et al (1998), contributing to extended family issues can be adopted as a recommendations too. He concludes that due to men's structural and patriarchal advantages, which have more power to exercise their values and make choices than women, they can more easily change the status in promoting collectivism of individualism.

There is need for targeted educational drive on the importance of extended family. The school and the church should play a pivotal role in this drive. Government can give tax rebates to members of family who are taking care of children or elders from other families. This will increase their net income and leave them with more income to meet the needs of the extended family system. There is need to promote an African -centric and Afro-centric philosophy that promotes "I am African" and 'I am because, there are' motto.

Africans should attempt, through an organized process to de-colonize and overhaul western culture so that it can serve humanity well and we can do that we move from "outside to the inside" concept and begin to domesticate all the socio-cultural methodology, approaches and practices that are ideologically constructive. We need to begin to problematise new epistemological approach that are based on our own cosmogonies, that is look at the world and society events from within and re-humanise the socio-cultural order.

Simply and straightforward, *we need to uphold the core-values of extended family system as people born out of ubuntu.*

Conclusion

The challenge we have as Africans is to continue from where we started erring, where we ended our goodness, our collectively thinking, our hope and start to develop our locally brewed socio-cultural constitutive rules, norms and values, untangle the western and eastern constitutive rules, and set in place our new cultural normative tenets, which will be globally competitive and create equilibrium in the global socio-cultural order. I am aware that it is easier said than done but we have to and it has to be done, by you and me. We need to extend our thinking, extent the way we do things and uphold the value of the extended family system. Remember, Joseph was not the biological father of Jesus but he looked after him well. The extended family system is biblical illustrated by Joseph-Jesus scenario, Abraham – Lot, Timothy and the case on widows (Genesis 12 v1-5; Timothy 5 v3-4; 8, 16). It is a sin,

not to look after even those who are not of your blood ties .Where could we be, if Jesus was abandoned? *Aluta extended family culture! Aluta!*

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THE HUMAN DIMENSIONS OF SOLDIERING: A PERSPECTIVE ON FUTURE REQUIREMENTS IN THE COMPLEX OPERATIONAL ENVIRONMENT

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Abstract

For centuries past and likely for centuries to come, military leaders have debated the qualities desired in a soldier. It is easy to find that nearly every prominent military leader and researcher has advocated the importance of attributes such as courage, integrity, perseverance, intelligence, loyalty and self-confidence. All militaries considers the soldier central to mission success and emphasized the importance of better understanding moral, cognitive, and physical aspects of soldier performance across a full spectrum of operations. The human dimension of soldiering meets the complex operational environment which exists today and in the near future, with the range of threats during this period extending from smaller, lower-technology opponents using more adaptive, asymmetric methods to larger, modernized forces able to engage forces in more conventional, symmetrical ways. Due to these increasing complexities coupled with rapid state of the art technological advancements, in future soldier technology envisage a different operational environment in the future but without the consideration and understanding of the capabilities of our soldiers both physically, mentally in both moral and cognitive dimensions which will ultimately limit the effectiveness of both the technologies and our soldiers. This paper describes the human dimension as the moral, cognitive, and physical components of soldier and organizational development and states that the Army concepts acknowledge the soldier as the centerpiece of the Army, but none, individually or collectively, adequately addresses the human dimension of future operations.

Keywords: Human Dimension, operational environment, complex operational environment, military leadership

Introduction

Soldiers need to be mentally prepared to perform well on operations. But there is little agreement on how commanders can best prepare the individual soldier and the unit for deployment. The Armed Forces cannot afford to focus only on current operations as a predictor of the future. It must prepare people so that future commanders can sustain operations in a time of persistent conflict. Approved military concepts describe the employment of soldiers in the future. This concept reaches beyond the issues of equipping soldiers with hardware tools of war into the more subtle moral, cognitive, and physical components of soldier development.

The human dimension is based on professional mastery and mission command, and requires high standards of training, education, doctrine, organization, and leadership¹¹⁷. The dimension is about the way people collaborate to share their awareness of the situation, so

¹¹⁷Australian Department of Defence. (ADF) (2002) *Force 2020*. Australian Department of Defence, Canberra, ACT.

that they can fight more effectively. It requires trust between warfighters across different levels, and trust between warfighters and their supporting agencies. This emphasis has evolved from the increasingly complex and diverse operating environments in which soldiers perform, and the increased demands and stresses that are unique to current conflict (e.g., small-unit conflicts and asymmetrical warfare). Furthermore, due to these increasing complexities coupled with rapid technological advancements, the development of the very technologies aimed at supporting the military mission without the consideration and understanding of the capabilities of our soldiers will ultimately limit the effectiveness of both the technologies and the soldiers. The military leverages enhanced means to identify, access, retain, and develop soldiers with unsurpassed cognitive, physical, and social (moral and cultural) capabilities¹¹⁸. Soldiers are enabled by technology, cognitive, medical and social sciences to achieve excellence in small unit competence and to dominate increasingly complex operational environments. Soldiers are able to leverage technologies and processes that optimize and restore cognitive and physical performance.

This paper will look at the human dimension of soldiers in meeting the challenges of the complex operational environment (COE) in the moral, physical and cognitive components in reaction to the man, machine, and method interface whereby leadership skills will spearhead the major challenge. This paper will also highlight on the potentials, relationship and correlation of the human dimension of soldiers in meeting the challenges of the current and future complex operational environment.

The human evolution

Human characteristics are defined as those traits that distinguish people from other species. They include the ability to change or alter their surroundings makes them to be unique from the rest of the animals. "Human are self-aware social mammals generally possessing the ability to reason, speak and use complex tools in complex environment to achieve an objective" (Skelton, 1999). Then we have the human trained to be soldiers who kills without care or remorse, shows no fear, can fight battle after battle without fatigue and generally behave more like a machine than a man? "A soldier is a man or woman who selflessly devotes their life to ensure that all citizens of their country can sleep with peace of mind and live out day to day without fear. A soldier gives you your freedom, and asks nothing in return" (Celestine, Ntuen and Park, 2010).

Differences exist in individuals' genetics, their environmental and social/psychological influences, and the complex genetic-psychological interactions, which influence virtually everything about an individual soldier. For centuries past and likely for centuries to come, military leaders have debated the qualities desired in a soldier and has advocated the importance of attributes such as courage, integrity, perseverance, intelligence, loyalty, self-confidence and many more (Gifford, 2005). Technology can provide the tools and avenues by which wars are fought but it is the individual soldier on the battlefield facing life and death who remains a constant. Due to the increasing complexities coupled with the rapid state of the art technological advancements, future soldier technology envisages a different operational environment in the future which is rather complex. A soldier differs from a civilian in that he calls the final shots with his thinking cognitive capabilities and the psychomotor actions on whether he kills the enemy or the enemy kills him.

¹¹⁸Army Capabilities Integration Center, US Army Training and Doctrine Command. North Carolina A&T State University. 2009 ICCRTS, Washington, DC, June 15-17

The complex operating environment landscape

History also shows us it is very hard to do, and particularly with the military, it always seems to be preparing for the last war instead of the next. Predicting the future is not possible, but tools such as trend monitoring, scanning, and scenarios are very useful in assisting leaders with developing vision and strategy about future conflicts¹¹⁹. The Fourth Generation War (4GW) holds that warfare has progressed through four generations from the use of *massed manpower* to *firepower*, then *maneuver*, and now evolved in the form of *insurgency* that employs all available networks political, economic, social, military to convince an opponent's decision makers that their strategic goals are either unachievable or too costly (Lind,2007).

The operational environment is a composite of the conditions, circumstances, and influences that affect the employment of military forces and bear on the decisions of the unit commander (Alberts, 2007). The complex operational environment (COE) is the overall operational environment that exists today and in the near future, with the range of threats during this period extends from smaller, lower-technology opponents using more adaptive, asymmetric methods to larger, modernized forces able to engage forces in more conventional, symmetrical ways. In some possible conflicts (or in multiple, concurrent conflicts), a combination of these types of threats could be especially problematic (Stothart, 2007).

The Operational Environment (OE) sets the conditions that may lead to conflict. An ever-shrinking pool of vital resources, (food, water, energy), combines with the growing global population to stress the capacity of the world to provide an acceptable quality of life for all. The current operating environment will continue to evolve, presenting ground forces in the future with an ever increasing challenge to defeat irregular and hybrid enemies that are connected by cell phone, computer network and satellite phone technology(Robert,2011). In most cases, support from the local population in defeating these threats cannot be assumed. In addition, the possibility of major combat operations remains real. The future complex operating environment will include adversaries ranging from well-led, well-trained and well-equipped conventional military formations experienced in close fighting to irregular and hybrid forces.

At the same time, the information age has dramatically expanded people's access to knowledge and information(Alberts, David S. and Hayes, Richard E, 2003). These phenomena in shrinking resources, growing populations, ubiquitous access to real-time information to interact and merge to create a global relative deprivation. Collectively, these trends in the domestic and worldwide OE will affect the military's most critical resource, the soldier. These trends include social and cultural factors; the dynamics of geopolitics and governance; the globalization of economics and resources; the revolution in science, technology, and engineering; and, global climate change¹²⁰. While globalization is not a new phenomenon, the rapidly accelerated blending of business, technology, and culture coupled with near instant media coverage offers both opportunities and threats for the future. The effects of globalization include interdependent economies, the empowerment of non-state actors, porous international boundaries, and the declining ability of the nation-state to control fully its own territory and economy, and to provide security and other services. Globalization shrinks the world and forces the interaction of differing societies and cultures.

The human dimension characteristics of a soldier

The human dimension encompasses the moral, physical, and cognitive components of soldier, leader, and organizational development and performance essential to raise, prepare, and employ the military in full spectrum operations. This definition recognizes that soldier

¹¹⁹Research Methodology & Cognitive Science, Vol. 8, No. 1, April 2010 ; September 2010

¹²⁰The U.S. Army Functional Concept for Movement and Maneuver 2016–2028

readiness everything from training proficiency to motivation to well-being is fundamental to the military’s future success. It introduces the concept of holistic fitness, a comprehensive combination of the whole person including all components of the human dimension triad. The Army leverages enhanced means to identify, access, retain, and develop Soldiers with unsurpassed cognitive, physical, and social (moral and cultural) capabilities. Soldiers are enabled by technology, cognitive, medical and social sciences to achieve excellence in small unit competence and to dominate increasingly complex operational environments. Soldiers are able to leverage technologies and processes that optimize and restore cognitive and physical performance¹²¹.

The human dimension definition also acknowledges that war, notwithstanding the inevitable changes in the purposes, ways and means, will remain a savage clash of wills. Future conflict will remain complex and chaotic, and human frailties and irrationality will continue to characterize war’s nature¹²². Ambiguity, danger, physical exertion, friction, and chance, constitute the climate of war, which contributes to the fog of war with which commanders must contend in future operations. The ‘ugly human implications’ of persistent conflict is also evident in the rising number of soldiers identified with Post Traumatic Stress Disorder. “By one estimate, more than 300,000 of the nearly 2 million U.S. servicemen and -women deployed since 9/11 suffer from the often-debilitating condition, with symptoms that include flashbacks and nightmares, emotional numbness, relationship problems, trouble sleeping, sudden anger, and drug and alcohol abuse (Reno,2009).Researchers at Stanford University feel this number could climb to over 500,000 in the next few years.

Technology, intelligence, and operational design can reduce uncertainty. However, commanders must still make decisions based on incomplete, inaccurate, or contradictory information. These factors will continue to play a predominant role in the environment of future full spectrum operations.USMilitary Academy, Department of Systems Engineering,West Point conducted a research on the Whole Soldier Performance (Dees,2006)which displays the final functional hierarchy of US soldier performance attribute groupings in the moral, cognitive, and physical domains as seen in **Figure 1**.

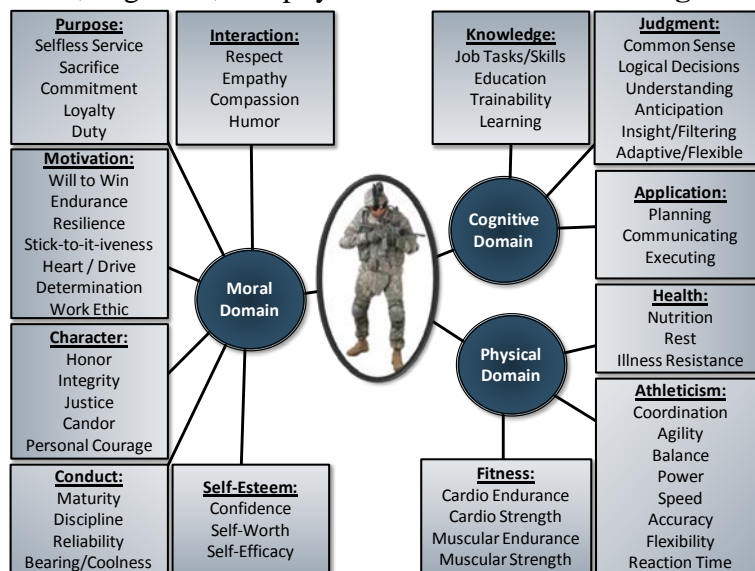


Figure 1. WholeSoldier Performance Attributes. Source: Dees,2006)

¹²¹Army Capabilities Integration Center, US Army Training and Doctrine Command.

¹²²The Future Belongs to Those Who.... a Guide for Thinking About the Future.” *Institute for Alternative Futures*, 2-4. <http://www.altfutures.com/The%20Future%20Belongs%20to%20Those%20Who.pdf>. Internet. Accessed 9 July 2009.

In relation to a human dimension variable research, the Human Dimensions Research (HDR) team from the US Army was sent to Haiti to assess the psychological status and adaptation of the U.S. Army force deployed for Operation Uphold Democracy in 1995¹²³. Research questionnaires were collected from 3,205 soldiers, interviews were conducted with 267 soldiers, and 1,250 soldiers provided 2,650 verbatim comments regarding the operation which were content analyzed. The HDR results demonstrated that, when viewed as a population, soldiers deployed to Haiti did not report unusually high levels of psychological distress or physical health symptoms. Subsamples of individuals did report elevated reports of psychological distress and physical health symptoms. Four sets of factors are discussed which were found to be significantly related to the well-being of soldiers in Haiti: (1) stress associated with the operational environment, (2) stress due to family separation, (3) unit and work issues, and (4) broader policy issues. The results have implications for unit leaders at all levels, mental health and medical personnel, and policy makers.

Man machine method interface on human dimensions in soldiers

The Improved Man-Machine Interfaces research area is motivated by the fact that technology designed to enhance soldier performance often imposes both physical and cognitive stress on the soldier in ways that equipment developers do not envision (Gerras, 2002). Many research areas address optimization of the way used soldiers use emerging technology by providing system designers with the knowledge and tools necessary to design equipment that does not enhance one aspect of performance while sacrificing another aspect that is critical to overall mission success. Research areas focus on understanding the interaction between physical and cognitive stress and their effect on individual dismounted soldier and small team performance, and additionally understanding the value of using alternative technologies, such as bone conduction communications and tactile displays, for providing information to the soldier (Petraeus and David, 2007). The complex operational environment focuses on the machine and method which are dependent variables in correlation with the man or the soldier who is the independent variable. The soldier has emotions, feelings, reasoning and cognitive thoughts which invariably changes according to the battlefield environment. The machine platform management is the changing environment from modern fighting equipment in land forces to aircrafts and ships promulgates from different dimensions of tactical requirements, the method, but the man ie the soldier remains a thinking platform requiring the human dimension perspective as a strong foundation in anticipation of the complex operational environment

A typical case study is the National Defence University Malaysia model of learning and education transforming from a Military Academy to a full fledge University. This conversion requires the cognitive learning from the cadets in the academic field and the end state of the defence university is to produce intellectual leaders of character through the cognitive education learning and the psychomotor requirements of military training. This is illustrated in the NDUM Model of Officer Development Construct in **Figure 4**¹²⁴.

¹²³Headquarters, Department of the Army Training and Doctrine Command (2008). *TRADOC PAM 525-3-7-01, The U.S. Army Study of the Human Dimension in the Future 2015-2024*, Ft. Monroe, VA.

¹²⁴NDUM Strategic Plan[Revised] 2012-2015. Creating a Future Excellence. (2013)

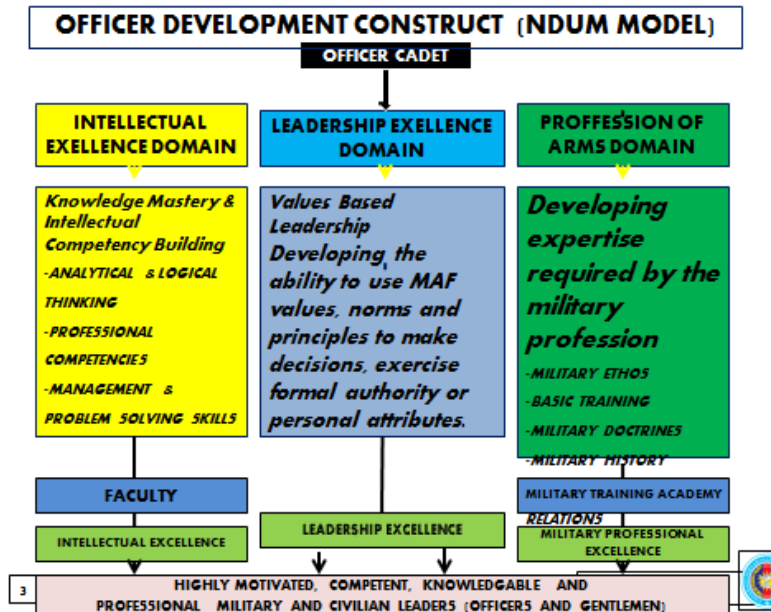


Figure 4. National Defence University Malaysia Model of Officer Development Construct (Source: NDUM Strategic Plan[Revised] 2012-2015.Creating a Future Excellence)

A mix of laboratory, simulation, and field experiments are used to determine the effects of soldier equipment (load carriage devices, helmets, weapon sights, information systems, tactile systems, etc.) on performance (Skelton,1999). New approaches to measure human-system performance that are both operationally relevant and minimally invasive are being developed.

A study by US Army TRADOC¹²⁵ describes the human dimension as the “moral, cognitive, and physical components of soldier and organizational development” and states that “Army concepts acknowledge the soldier as the centerpiece of the Army, but none, individually or collectively, adequately addresses the human dimension of future operations.” Within the context of the expected future global operating environment, this study looks in depth at expected soldier performance in the moral, physical, and cognitive domains. **Figure 53** is a visual depiction of the established operational problem statement:

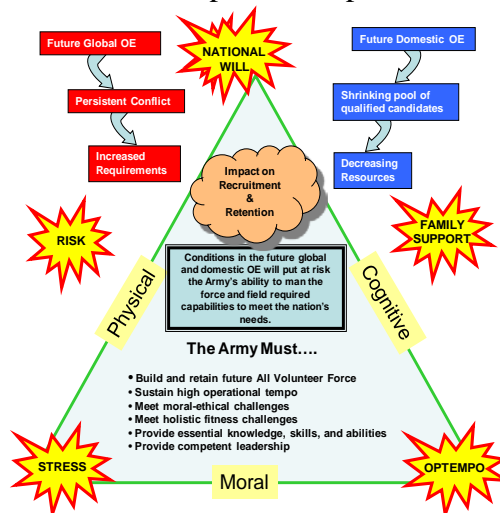


Figure 5. Depiction of Human Dimension Operational Environment (Source: TRADOC 13 SEP 2008)

¹²⁵TRADOC Pamphlet 525- 3-7-01: The U.S. Army Study of Human Dimension in the Future 2015-2024; Chapter 1. 1 April 2008

In **Figure 5**, the expected future global operating environment is characterized by persistent conflict, resulting in increased demand for quality soldiers while we expect to simultaneously observe a future domestic operating environment characterized by decreasing supply. All the while, “the military will require extraordinary strength in the moral, physical, and cognitive components of the human dimension, existing accessions, personnel, and force training and education development efforts will not meet these future challenges.”

Current operational requirement for soldiers

Current trends in the global and domestic operational environments will challenge all militaries operational ability to maintain a future responsive, professional and reactive force. Soldiers will operate in an era of persistent conflict amongst populations with diverse religious, ethnic, and societal values. The psychological individual and collective readiness is attributed to their combat performance as soldiers are convinced that their team or unit would perform well on operations, this will bolster their sense of readiness, increase how much effort is put into group tasks and augment the degree of persistence when group efforts do not deliver expected outcomes (Hannah and Sweeney, 2007). In an Israeli Defence Force study Shamir, Brainin, Zakay and Popper (2000), beliefs about collective readiness in combat units were examined. Out of a range of variables (soldier experience levels, leader tenure in the current unit, leader confidence in the unit, soldier confidence in leadership, unit discipline levels and identification with the unit) the strongest predictor of perceived combat readiness was the identification with the unit. Unit identification has been called “vertical cohesiveness”, “vertical bonding” and “organizational cohesion” but most commonly known in the military it is known as spirit de corps¹²⁶. Faced with continuous employment across the full range of military operations, the military will require extraordinary strength in the moral, physical, and cognitive components of the human dimension. Existing accessions, personnel, and force training and education development efforts will not meet these future challenges, placing at grave risk the military’s ability to provide combatant commanders the forces and capabilities necessary to execute the all military and national defense and security policies. Improved capabilities must address the broad range of human dimension actions necessary to prepare, support, and sustain this force.

Relationship between human dimension of soldier and coe

People accomplish the mission. It is the human dimension with its moral, cognitive and physical components that enables land forces to deal with the situational complexity of tactical actions with strategic impacts and adapt to rapidly changing conditions. This emphasis has evolved from the increasingly complex and diverse operational environments in which soldiers perform, and the increased demands and stresses that are unique to current conflict (e.g., small-unit conflicts and asymmetrical warfare).

Future operations such as the Three Block War concept illustrate the complex spectrum of challenges likely to be faced by soldiers on the modern battlefield (Krulak, 1999). Soldiers may be required to conduct full scale military action, peacekeeping operations and humanitarian aid within the space of three contiguous city blocks. The thrust of the concept is that modern militaries must be trained to operate in all three conditions simultaneously, and that to do so, leadership training at the lowest levels needs to be high.

For the foreseeable future, militaries will continue to operate in complex environment that challenge soldiers, leaders and organizations. The military cannot afford to focus only on current operations as a predictor of the future. It must prepare people so that future

¹²⁶1 TRADOC Pamphlet 525-3-7-01. The U.S. Study of the Human Dimension in the Future 2015–2024. <http://www.tradoc.army.mil/tpubs/pams/p525-3-7-01.pdf> (accessed 2008). (Training and Doctrine Command [TRADOC], 2008).

commanders can sustain operations in a time of persistent conflict. Approved military concepts describe the employment of soldiers in the future. This concept reaches beyond the issues of equipping soldiers with hardware tools of war into the more subtle moral, cognitive, and physical components of soldier development(Gifford,2005).

Leadership challenges in a complex future environment

The crucible of combat both requires and forms leaders. The complexity of the future OE creates new demands on future leaders, most evidently in information management. Today, individual soldiers from the lowest to the highest echelon follow the situation across entire theaters of operation. Knowing more and sharing a common operating picture reduces uncertainty, increases situational awareness and understanding, and enables mission command and self-synchronization,tenets of both current battle command doctrine and future battle command concepts (Matthews,2005). Having such visibility may also create stress and the potential for information overload.

Developing the means to manage knowledge and to get the right information to the right people has both technical and human solutions. Successful leaders learn what is critical and what is not. This skill or talent rises from experience more than any other source. It suggests that one of the critical issues in leader development in the future will be creating opportunities for leaders to cope with complex information and high-pressure rapid decision making.Full spectrum operations demand the ability to transition from major combat to humanitarian assistance, and everything in between, repeatedly and rapidly. Soldiers will face life and death decisions with little time to reflect.

Persistent conflict presents another present and future leadership challenge. Humans respond relatively well to short bursts of tension followed by periods of respite. Soldiers steeled for a lengthy deployment in a non-linear conflict of indeterminate duration must respond in a new way. In such conflicts, Soldiers must focus on mission progress while tolerating setbacks and understanding that settling the basic conflict may take years. Unpredictability and changing circumstances tax even the best of highly motivated units. Leaders must learn to mitigate this for their subordinates and cope with it in themselves.The list of ‘human implications’ caused by persistent conflict is probably infinite. However, the aforementioned cover many of the main issues and help identify three strategic issues that must be addressed by leaders in all Armed Forces (Gates,2007):

- How to best exploit the positive effects of persistent conflict.
- How to balance the training, readiness and force structure to win the current conflicts and stay ready for the future.
- How to achieve and maintain the proper end strength to reduce stress on the force now and in the future.

Leadership changes in meeting future human dimensions in soldiers

Leadership in the future more than ever will require adaptive decision making based on an assessment of the situation as viewed through the eyes of subordinates armed with the commander’s intent and support. Research will focus on how to improve leader adaptability across the full spectrum of operations, including personal and interpersonal skills such as perspective taking, self-awareness, and influence techniques within the chain of command and across organizational and cultural boundaries¹²⁷. Leader stability, optimism, open communications, and frequent presence at training are essential to developing an environment

¹²⁷Canadian Forces Leadership Institute (2005), Leadership in the Canadian Forces: Doctrine, Canadian Defence Academy, Kingston.

of confidence, trust, and respect. Research efforts will develop and empirically validate measurement and feedback techniques to assess and improve leader effectiveness.

Military training and education

Developing future leaders will require rebalancing the combination of training, education, and experience the Army currently uses. Training develops skills and techniques through practice and observation. Educating leaders must include emphasis on developing a cooperative leadership style that releases authority to the lowest level of competence. Training and education on theory and application of both cohesive and leader team building skills and conflict resolution is necessary at all levels of the professional military education system. Mid-level and senior leaders will have to learn to function in joint, civil-military, and coalition-based operations, understanding the differences in style, culture, and expertise necessary in those settings. Experience will remain progressive and will influence selecting and pairing of leader teams for compatibility not in terms of similar attitudes or complementary leadership styles, but in terms of their ability to work together and respect each other's views¹²⁸. Future leaders must excel in their ability to build rapidly adaptive, cohesive, and high performing teams. Future soldiers must excel in their ability to be effective team members and effective followers. The shift from training for operations within sharply defined institutional chains of command, to the conduct of highly decentralized, politicized, and collaborative operations involved in future full spectrum operations, has placed a high value on negotiation skills. Traditionally military leaders have a great deal of experience negotiating but not necessarily in contexts of ambiguous authority, limited political guidance, and significant cultural diversity. This set of trainable skills needs to be progressively more sophisticated as leaders increase in grade and responsibility.

Future leaders must excel in their ability to build rapidly adaptive, cohesive, and high performing teams. Future Soldiers must excel in their ability to be effective team members and effective followers. Geographical dispersion will heighten the need for shared understanding of the commander's intent and teamwork built on trust. Emerging communications methods (force tracking, on demand teleconferencing, instant messaging, virtual collaboration, e-mail, text messaging, podcasting) will become the norm for interactions among team members and between leaders and their teams. Teams and task forces will form and operate without opportunities for face-to-face encounters between leaders and subordinates. Leaders and their followers must learn the principles of effective teamwork at a distance and understand the roles and impacts of various communication media in building effective distributed teams.

Reassessing the future requirements of human dimension in soldiers

The move from traditional warfare engages soldiers with traditional weapons and traditional human dimensions and mindsets. But the future soldier needs to be rebranded and seek away from the mainstream generic responsibilities as the future warfare looks at different dimensions of the playing fields and the rules of the games has changed drastically. The universal traditional battled field has moved from the traditional threats to nontraditional threats which require a different approach of training and leadership skills.

To operate effectively under conditions of uncertainty and complexity in an era of persistent conflict, future forces and leaders must strive to reduce uncertainty through understanding of the situation which gazes at the volatile, uncertain, complex and ambiguous (VUCA) environment and situation in which we are facing in complex operational

¹²⁸TRADOC Pamphlet 525- 3-7-01: The U.S. Army Study of Human Dimension in the Future 2015-2024; Chapter 1. 1 April 2008.

environment(Satish, Usha and Streufert 2006). This emphasized the importance of future soldiers' attributes in knowledge; skills and attitude which need to be relook and synchronized with the training cultures to meet the demand of COE. The military must exploit current and emerging human dimension developments to increase the effectiveness of our human dimension programs and policies. Army decision makers will have to support that effort by identifying the most critical required capabilities across all doctrine, organization, training, materiel, leadership and education, personnel, and facilities domains. Then Army policy executors will have to partner with the influencers who specialize in the components of the human dimension and the art and science of leadership in order to recruit, lead, and manage the next generation of Soldiers.

Conclusion

The human dimension encompasses the moral, physical, and cognitive components of soldier, leader, and organizational development and performance essential to raise, prepare, and employ the Army in full spectrum operations. Army concepts acknowledge the soldier as the centerpiece of the Army, but none, individually or collectively, adequately addresses the human dimension of future operations. The soldier performance attribute groupings in the moral, cognitive, and physical domains provides a platform for the intangible factor needed in the human interface in man machine method. Today the across the world everyone is facing several challenging, dangerous, and potentially inescapable geo-strategic trends. These trends include social and cultural factors; the dynamics of geopolitics and governance; the globalization of economics and resources; the revolution in science, technology, and engineering; and, global climate change.

The machine is just a tool for the soldier in battlefield and the tactics is the method but overall the soldier is the platform using all his training in cognitive reasoning in making significant decisions in the battlefield whereby the machine an method is just the psychomotor aspect in assisting him meet his goals. At such what would the emphasis be for the future COE in relation to the human dimensions of soldiers especially the Y generation soldiers? How will Armed Forces deal with such changing environment and technological advancements to ensure the human dimension in soldiers continue to uphold the warrior spirit? Maybe the future training and education for individual and collective training for soldiers need to be relook and seek new avenues in terms of the push and pull factor for soldiers? The solution probably will be derived from how best we recruit, train, and retain our forces including the package of training methods of which soldiers can operate across the spectrum and range of military operations in the future operational requirements.

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WORSENING OF PSYCHOLOGICAL SYMPTOMS IN ALCOHOLICS COMPARED TO NONALCOHOLIC ANALYZED IN BRAZILIAN RESEARCH

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Abstract

This article resulted from a research done on the psychological symptoms in alcoholic and non-alcoholic individuals and the analysis of differences between groups of alcoholics and nonalcoholic men and women. From the hypothesis whether there is difference in symptoms between alcoholic and nonalcoholic subjects some guided interviews were conducted for the application of the SCL 90-R instrument (*Symptom Check List 90 - Revised*) (Derogatis, 1983). This instrument intends to measure the intensity of symptoms, specifically in cases of alcoholism. The psychological symptoms evaluated were: Psychosis, Interpersonal Relationships, Anxiety, Paranoid Ideation, Hostility, Depression, Phobia and Obsessive Compulsive Disorder. The study population included not consuming alcohol persons in the community and alcoholic persons belonging to AA (Anonymous Alcoholics). It was found that, generally, there are differences between alcoholic and nonalcoholic subjects regarding to psychological symptoms, and that symptoms in alcoholics subjects are worsened.

Keywords: Psychological Symptoms, Alcoholic Individual, Non Alcoholic Individual

Introduction

Alcohol substance abuse produces dependence among different effects. Predisposing or risk factors account for a multifaceted context, so that, in terms of alcoholism, it is not possible to speak of a key factor. People develop a relationship with alcohol in a gradual manner, which evolves into dependence.

The National Policy on Drugs in Brazil published in 2011, a handbook to guide and prevent Brazilian young people on the use and abuse of alcohol. One such study was conducted at the Forensic Medicine Institute of São Paulo, in 1994, which examined the reports of all the people who died from accidents or violence in the Metropolitan Region of São Paulo.

Therefore it was found that 52% of homicide victims, 64% of deaths from drowning and 51% of those who lost their lives in traffic accidents had alcohol in the bloodstream at higher levels than allowed by law at that time for drivers of vehicles (0,6 grams of alcohol per liter in blood). In 2007 the Brazilian Center for Drug Information presented a survey done involving the 108 largest cities in Brazil. The result shows that between 12 and 17 years old, 47% of boys and 49% of girls never tried alcohol. Another study introduced in 2007 shows that 66% of adolescents aged 14 to 17 years never drank or drank less than once a year. For adults older than 18 years, the survey indicates that 48% of respondents are abstinent, ie, never drank or drank less than once a year.

Such aspects motivated this research that tried to identify the differences in psychopathological symptoms for alcoholic and non-alcoholic people, as well as differences between genders with regard to the aggravation. It opens thus, the possibility of clinical work

as well as social and communitarian considering the news of incidence of toxic substance use by individuals, as well as the rate of violence in families and individuals in the community.

Research findings of psychological symptoms among alcoholics and non-alcoholics of both sexes

Statistical findings of the comparative study of psychopathological symptoms in a Brazilian sample of alcoholics and non-alcoholics, men and women, are arranged in the sequence below in table with the information of the evaluated symptoms, groups of alcoholics and non-alcoholics and the number of individuals per group and the averages, standard deviation and p^* corresponding to each symptom evaluated per group.

Symptom	Group	No.	Average	Standard deviation	P*
Psycho	Alcoholics	30	1,08	0,66	0,000
	Non Alcoholics	30	0,48	0,47	
Paranoid Ideation	Alcoholics	30	1,59	0,69	0,001
	Non Alcoholics	30	1,00	0,64	
Phobia	Alcoholics	30	1,22	0,67	0,000
	Non Alcoholics	30	0,56	0,53	
Hostility	Alcoholics	30	1,35	0,69	0,292
	Non Alcoholics	30	1,14	0,79	
Anxiety	Alcoholics	30	1,47	0,68	0,001
	Non Alcoholics	30	0,87	0,63	
Depression	Alcoholics	30	1,45	0,64	0,003
	Non Alcoholics	30	0,95	0,70	
Interpersonal Relationship	Alcoholics	30	1,75	0,72	0,000
	Non Alcoholics	30	1,03	0,65	
Obsessive Compulsive Disorder	Alcoholics	30	1,50	0,62	0,022
	Non Alcoholics	30	1,13	0,59	
Somatization	Alcoholics	30	1,59	0,73	0,000
	Non Alcoholics	30	0,94	0,54	

Descriptive statistics and comparison of means of each symptom among groups (Men + Women).

It was found that there is a statistically significant difference between the average scores of alcoholics and non-alcoholics in all symptoms, except Hostility ($p=0,292$) through the Student's t test, by using a significance level of 5%. Although alcoholics show a higher average, the difference is not statistically significant in the symptom Hostility. In all other symptoms, the averages of alcoholics were invariably higher, indicating a greater symptom severity.

Discussion on the Results

Several considerations have resulted from the research on the symptoms that were analyzed in detail. In alcoholics, the Interpersonal Relationship symptom ($p = 0.000 < 5\%$) was in first place when it comes to average (1,75), followed by Paranoid Ideation ($p = 0.001 < 5\%$) and Somatization ($p=0,000 < 5\%$), second in the average (1,59), and the Obsessive-Compulsive symptoms ($p = 0.022 < 5\%$) thirdly, compared to the average (1,50). The evaluated symptoms suggest a range of reactions that are symptomatic, so the result of something that was happening with the subject analyzed at the time of the survey.

Considering the group of symptoms related to the Interpersonal Relationship ($p=0,000 < 5\%$) refers to the projective aspects of self-esteem and self-referral of alcoholics and non-alcoholics studied. Derogatis (1983) and Laloni (2001) state that the alcoholic feels shy, insulted, criticized by others, and feel inferior, as if people did not like him. The alcoholic feels embarrassed and uncomfortable with other people, as evidenced by the survey,

which showed that self-esteem in alcoholics is less than in non-alcoholics, according to definition of terms. In the survey, the results suggest that alcoholics had a higher average in this symptom compared with non-alcoholic individuals.

For Robaina (2010), alcoholism seems to be one of the main consequences of abandonment of school, family conflicts, fights and many different anti-social factors. Marques et al. (2010) in a sample of 2346 individuals over 18 years found that drinkers have a high level of risk consumption. The prevalence of problems related to the use, abuse and dependence on alcohol is statistically significant.

Ramos and Bertolote (1997) and Vespucci and Vespucci (1999) show that with unemployment the alcoholic social crisis increases. The economic disorganization appears as one of the inducing factors of alcohol potentiating the group of symptoms Interpersonal Relations. Not paying bills or delaying them, not keeping the house with dignity, ie, clean, tidy, on minimum conditions for living, without cut of minimal resources, make social life negatively affected. Alcoholic keeps neighbors and friends away, and gets isolated and distant from family members and community.

Regarding the symptom Paranoid Ideation ($p=0,001<5\%$) the items in the table above suggest that the subject does not have sufficient internal resources to ensure safety, because cannot trust people, feels himself observed by others and believes that does not have the deserved value, according to Derogatis (1983) and Laloni (2001).

Apart from not being able to trust others, the alcoholic believes that others do not give real value to his work, which leads to low self-esteem making him distrustful.

The alcoholic feels like his place, existence as a person, and emotional support were failed. The results found can be compared to what Melman (2000) says when describing that the alcoholic person does not feel that gets some feedback from the others against his own supposed effort. For Freud (1917/1980) a part of the ego is against the other taking it as its object and criticizing it. The recriminations, which alcoholic apparently does to others can be recriminations to a part of himself, the result of the displacement of the object over his own ego. For Edwards, Marshall & Cook (2005), alcohol dependence causes jealousy, being the psychodynamic explanation, that for fear of losing his manhood, men seek alcohol. However, alcohol also causes impotence, and the consequent pathological jealousy, common in alcoholics, is explained by the "alcoholic paranoia".

The Somatization ($p = 0.001 <5\%$) symptom stood out statistically significant in the comparison between alcoholic and non-alcoholic, along with the symptoms of Paranoid ideation, as a set of symptoms related to sensations that is present in the body. According to Laranjeira and Pinsky (2001); Focchi et al (2001) and Edwards, Marshall and Cook (2005), Somatization refers to the physical manifestations that are added to anxiety, due to the reality faced by the alcoholic, which comes from deterioration of his body. The complaints raised by alcoholics are true with respect to complications with alcohol consumption and the Somatization.

The Obsessive Compulsive symptom ($p = 0.022 <5\%$) was the symptom that appeared in third place when comparing the averages between alcoholics and non-alcoholics. The Obsessive Compulsive symptoms for Derogatis (1983) and Laloni (2001) point to the following items: unpleasant thoughts, negligence, difficulties in doing any work or doing everything slowly, since alcoholic is not sure if what is being done is well done.

The family, as well as the employment of the problem drinker, is constantly threatened. Unpleasant and risky situations occur because the alcoholic's actions are, in most cases, structured around alcohol obsessively. Compulsively reliving memories on alcohol is one of the findings on the involvement of the person who drinks with the alcohol. For the authors, Campbell and Graham (1991), Vespucci and Vespucci (1999), Vaillant (1999), and

Edwards, Marshall and Cook (2005), alcohol is part of the life of the alcoholic person and its absence does not mean that the subject is not around alcohol.

As for the Obsessive-Compulsive symptom in which difficulty in making decisions is present, concentration difficulties, forgetfulness, difficulty in remembering past and present things also occur. For Campbell and Graham, (1991) and Vaissman (2004), this symptom reflects in the lives of workers who consume alcohol, becoming a problem within the organizations.

Regarding the symptom Hostility ($p = 0,292 > 5\%$) in the finding results there is no statistically significant difference between the average scores of alcoholics and non-alcoholics. From 1995 to 1999 it was applied CAGE an instrument of problems detection related to alcohol use (CAGE), so named because it contains in its structure four questions related "Cut down", "Annoyed", "Guilty" and "Eye-opener", by performing a General Review of Chronic Alcoholism through a simple four-question questionnaire that allows detecting alcoholism translated and validated in Brazil (SEIBEL, 2010). The research demonstrated the relationship between alcoholism and violence among workers, with the occurrence of ten deaths among workers in an institution, all of which are determined directly or indirectly by violent attitude of subjects consuming alcohol.

The Hostility symptom can also be understood from the core of the human development. In Freud (1915/1980), the instincts of life lead to growth, development, reproduction and extension of life. The death drive struggles to make the body back to inertia, to the inorganic. However, the death drive taken as a manifestation of aggressive behaviors helps in the pulse of life, because the aggression must be shown so that the person can fight, survive and extend life. Only when there are very intense conflicts, the death drive is exacerbated and overlaps the pulse of life. The Hostility symptom, therefore, when not stood out in the alcoholics in this comparison may suggest that, at the time of the research, is shown as a manifestation of impulse control or the pulse of life.

Conclusion

Alcoholism is linked to psychological factors in which characteristics of psychic structures associated with alcohol consumption are identified, such as depression, anxiety, obsessive compulsive symptoms, difficulties in interpersonal relationships, hostile reactions, psychotic symptoms and paranoid.

Hostility, according to the results of this research, is not a symptom that is more prevalent in alcoholics. These results indicate a discrepancy in relation to the theoretical findings, which found that symptoms of Hostility occur more frequently in alcoholics. Research shows that violence and death are related to alcohol consumption. For Gigliotti, A.; Guimarães, A. (2010), alcohol is responsible for about 60% of traffic accidents and is found in 70% of cadaveric reports of violent deaths shown in the Brazilian research. Alvarez (2007) found among the risk factors that favor recidivism of alcoholism, negative emotional states such as anxiety, depression and anger.

The research was conducted with alcoholics from the AA in abstinence. The conclusion is that the Hostility shown in the observable behaviors of alcoholics, is not necessarily generated by the consumption of alcohol, but prior to its consumption, because when not differentiated it is understood that being hostile is in the subject and the use of the drink just brings out what he does not want or can not reveal.

The alcohol consumed generates effects and works as a symptoms release. It is highlighted that the theories, research findings and statistics suggest that an alcoholic manifests himself in a most symptomatic form with respect to psychological aspects when consuming alcohol. Thus, it is assumed that alcohol is the substance that reveals the mask of symptoms of the alcoholic. The alcoholic regardless the type presents similar symptoms

which makes believe that alcohol is a masking for conflicts, psychological structuring for both the man and the woman

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RELATIONSHIP BETWEEN WORK STRESS AND AGGRESSION AMONG EMPLOYEES OF THE RESOURCE GROUP (TRG)

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Abstract

The present study is aimed to find out the relationship between work stress and aggression among employees of The Resource Group (TRG). A pilot study was conducted on a convenient sample consisting 30 employees from KASB Bank. A sample of 120 employees (60 males; 60 females, Married = 58; Unmarried = 62) was selected for the main study from TRG. The instruments used in the study were The Aggression Questionnaire (AQ) and Professional Life Stress Scale (PLSS). The results revealed that there was a significant relationship between the two variables ($r = 0.58$) at $P < 0.01$.

Keywords: Work stress, aggression, employees

Introduction

Work stress is a seen source of creating discomfort and distress among the employees. It also affects their level of job satisfaction. On the other hand workplace aggression is an emerging problem as it creates an uneasy environment for all employees to work in harmony, also, disrupting relations among colleagues.

Contemporary definitions of stress tend to favor a transactional perspective; this emphasizes that stress is located neither in the person nor in the environment, but in the relationship between the two (Cooper, *et al.*, 2001).

Stress can be of two types; short term and long term stress. Short term stress refers to a sudden burst of energy and emotional feelings in response to situations which are seen as emergencies. Short term stress is sometimes known as acute stress. Usually people describe their short term stress in terms of feelings of anger, anxiety, and excitement rather than in terms of their physiological responses. Long term stress can occur either when a stressor is prolonged, for example long term exposure to cold, or because several stressful events occur one after another. Long term stress is sometimes known as chronic stress. People sometimes describe their experience of long term stress with phrases like 'I always feel tensed', 'I am constantly under pressure' (Haralambos & Rice, 2002).

Within the perspective the term 'work stress,' refers to the overall transactional process, not to specific elements, such as the individual or the environment. Stress arises when the demands of a particular encounter are appraised by the individual as about to exceed the available resources and, therefore, threaten well being, and necessitate a change in individual functioning to restore the imbalance (Lazarus, 1991).

To understand work stress, it is necessary to understand several concepts that are involved in the stress process. A job stressor is a condition or situation at work that requires an adaptive response on the part of the employee. Being reprimanded, having too little time, and being told about the possibility of being fired are all examples of job stressors. A job

strain is a potential aversive reaction by an employee to a stressor, such as anxiety, frustration, or physical symptom such as a headache (Spector, 2003).

Stress in the workplace is a going problem, with extensive cost to individuals, organizations and society. In 1992, the United Nations described 'job stress' as the 20th century disease because over 70% of employees worldwide describe their jobs as stressful and more than one in five reported high levels of stress at work on a daily basis (Akinboye, Aki & Adeyemo, 2002).

The National Institute of Occupational Safety and Health cites the following statistics in a report presented in 1999: 40% of workers reported their job was very or extremely stressful; 25% view their jobs as the number one stressor in their lives; three fourths of employees believe that workers have more on-the-job stress than a generation ago; 29% of workers felt quite a bit or extremely stressed at work; 26 percent of workers said they were "often or very often burned out or stressed by their work (Ueunion, 2011).

Cox and Leather (1994) stated "Human aggression is typically the product of interpersonal interactions wherein two or more persons become involved in a sequence of escalating moves and countermoves, each of which successively modifies the probability of subsequent aggression".

Aggression is a specific response that individuals make to frustration. They describe frustration as an unpleasant state which an individual experiences when their attempts to attain some goal are hindered. Their theory claims that frustration always leads to aggression and that every aggressive act is the result of some form of frustration.

No matter how it is defined, workplace aggression is counterproductive and, as shown in a nationwide survey of 600 working adults, affects annually nearly 10% of the workforce. Acts of aggression are either overt or covert. Overt aggressors use physical and direct acts and make no effort to hide their identity. However, most acts of workplace aggression are covert, more subtle and anonymous, using words rather than physical measures (Douglas & Martinko, 2001).

Method

Objectives

To determine the relationship between work stress and aggression among employees of The Resource Group.

Hypothesis

H1: Employees working under high stress will score high on aggression.

Sampling Strategy

A convenient sampling strategy was used.

Sample (Pilot Study)

A sample of 30 employees (20 males; 10 females) was taken from KASB bank for the purpose of standardizing the tools. The age range was from 21 to 35 years and consisted of both married and unmarried employees.

Sample (Main Study)

The sample for this study consisted of 120 employees (60 males and 60 females; 58 were married and 62 were unmarried) taken from The Resource Group. The age range of the subjects was from 22 to 42 years.

Research Design

The correlation method of research is used as the researcher is determining the relationship between the two variables.

In this study, work stress is the independent variable and the independent variable is aggression.

Instruments

Two instruments were used for the study.

The Aggression Questionnaire

It was devised by Buss and Perry in 1992. It attempts to measure the level of aggression. It is comprised of 29-items designed to measure the different dimensions of the hostility/anger/aggression construct. All the 29 items are rated on a 7 point Likert scale. The individual has to select a number from 1 to 7 for each of the given statement which best describes the characteristics of that individual (where 1 is least like him and 7 being the one that best describes him). It consists of 4 subscales that assess: (a) anger, (b) hostility, (c) verbal aggression, and (d) physical aggression. The range for total score is 20 to 200.

Professional Life Stress Scale (British Psychological Society, 1989) which is used to assess the level of stress that the individual experiences at work. It has a cronbach's alpha reliability of 0.636. It was adapted from *Managing Stress*, the British Psychological Society and Routledge Ltd., by David Fontana. It has three ranges of scores: 16-30 (moderate stress), 31-45 (stress is a clear problem), 45-60 (stress is a major problem). It consists of a total of 24 questions, out of which 11 are yes/no questions, 2 are self evaluative questions, 10 questions are multiple choice and one questions consists of 22 sub questions which are based on common features of life events and the individual has to agree or disagree with each statement.

Procedure (Pilot Study)

A pilot study was carried out in Khadim Ali Shah Bukhari (KASB) bank, Lahore. The main aim of the pilot study was the standardization of the tools being used for the main study. The researcher took a random sample of 30 employees (10 females and 20 males) for this purpose from KASB bank. It took an average of 4 to 7 minutes for every participant to fill both the questionnaires.

The pilot study results showed that both the scales had a cronbach's alpha of 0.636 which is a significant reliability thus ensuring standardization of the tools used for the main study.

Procedure (Main Study)

The procedure of the main study followed the same pattern as that of the pilot study and data was collected from a sample of 120 employees of TRG. These participants voluntarily filled out 2 questionnaires namely, The Aggression Questionnaire; and the Professional Life Stress Scale. The responses were entered manually into SPSS. Pearson product moment correlation was used to examine the degree of relationships among the two variables.

Results

Hypothesis 1:

Employees working under high stress will score high on aggression.

Table 1 Pearson Correlation Product Moment between Work Stress and Aggression (N=120).

	r	Sig
Work Stress	0.58**	0.00
Aggression		

Note: **P < 0.01

As the tabulated value above shows, there is a significant positive relationship between work stress and aggression at alpha level of 0.01.

Discussion

The results of the present study showed a significant positive relationship between work stress and aggression at a significance level of 0.05 with an r value of 0.58. Therefore, this hypothesis is accepted. This is because when employees feel high stress, they exhibit more aggression than usual. In stressful situations, individuals are more likely to use anger as a way of expressing high stress in the workplace.

Many research studies in the past have supported this significant relationship between work stress and aggression. The nature of work is crucial in determining the relationship of work stress and aggression, so single nature organization (software house) limited the results applicability. Also the sample size studied was small thus; the research findings cannot be generalized to other organizations and situations.

Conclusion

The results of the study relationship between work stress and aggression among the employees of The Resource Group showed that work stress and aggression had a significant relationship. In order for a better understanding of this relationship future research should also incorporate measures of coping skills to investigate how individuals cope with their stress and aggression levels.

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A STUDY OF EMOTIONAL EMPATHY AND DELINQUENCY

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Abstract

In their study of personality and delinquency, psychologists have tried to understand the developmental trajectories leading to an antisocial youth. It has been noted that affective arousal in response to others in distress can promote interpersonal responsibility and inhibit harmful acts. It follows that deficits in the capacity to emotionally empathize would be related with delinquent acts, which may have harmful consequences for others. The present study investigated the relation of emotional empathy with delinquency in adolescent boys. The study was conducted on a sample of 125 adolescent boys, with an average age of 16.9 years, S.D. = 1.8 (ages ranging from 16 to 18 years). Participants were administered the Emotional Empathy Scale (EES) (Ashraf, 2004) and the Urdu translated version of Self-Reported Delinquency Scale (SRDSG), which was originally developed by Gibson (1971). Following hypotheses were tested: (a) Emotional empathy will be negatively correlated with delinquency, and (b) EES subscales will be negatively correlated with SRDSG scale. Consistent with expectation, a significant negative correlation coefficient of $-.28$ ($p < .001$) was obtained between the scales of EES and SRDSG. In addition, all EES subscales were also found to be significantly and inversely correlated with delinquency (ranging from $r = .21$ to $-.29$, $p < .001$). The negative relation found between the two scales supports the notion that affective empathy inhibits delinquent actions towards others.

Keywords: Delinquency, Emotional Empathy, Youth Behavior

Introduction

Emotional empathy is thought to promote the ability to attend to and feel the emotional needs of others (Hoffman, 1975, 2000). Empathy plays the role of an emotional connection, which helps to effectively form a bond between the emotional states of one individual with another. It is believed to motivate other-oriented behavior (Batson, 1991). Thus, the idea that empathy is a major determinant of prosocial orientation, and plays a critical role in human bonding has been widely empirically accepted among psychologists (see Eisenberg, Eggum, Giunta, 2010; Eisenberg, Guthrie, Cumberland et al., 2002; Eisenberg, Zhou, & Koller, 2001; Underwood & Moore, 1982).

As opposed to prosocial behaviors, delinquency is characterized by wrongful acts that may have injurious effects for others, both physical and mental. Deficits in empathy are expected to be related with aggressive and antisocial acts, such as delinquency, towards others (Feshbach & Feshbach, 1982; Parke & Slaby, 1983; Robinson, Roberts, Strayer, & Koopman, 2007). Social and developmental psychologists have used empathy to refer to the tendency to be vicariously aroused by another person's affective states, a response that is very similar to what the other individual is perceived to experience. Therefore, it is argued that those individuals are less likely to continue their aggressive behavior towards another, who are predisposed towards vicariously experiencing the pain/distress feelings of the victim.

In this way empathy discourages negative behavior. On the other hand, individuals who lack in the capacity for feeling another's emotional states might engage in disruptive acts that depict failure of sociomoral development, such as antisocial behaviors and other forms of externalizing problems. Thus, one might expect individuals who express aggressive, delinquent, and antisocial behavior to exhibit less empathic responsiveness toward others (Cohen & Strayer, 1996; Hastings, Zahn-Waxler, Robinson, Usher, & Bridges, 2000; Hepper, Hart, Meek, Cisek, Sedikides, 2014).

The primary objective of the present research was to examine the relation of emotional empathy with delinquency in adolescent boys. It was expected that individuals who exhibit negative behaviors which have harmful consequences for others are likely to be lower on emotional empathy.

Empathy: Conceptual Distinctions

In order to understand the relation of empathy with delinquency it is also important to know how different psychologists conceptualize empathy. In their study of empathy, psychologists follow two paths, based on its two definitions. Some psychologists focus on the cognitive processes, while others take it to mean an affective process. "Cognitive empathy refers to the ability to accurately cognize things from another's perspective (Hogan, 1969), whereas emotional empathy can be defined as an inclination to vicariously experience the emotions of another (Hoffman, 2000; Mehrabian & Epstein, 1972). For the present study, empathy is conceptualized in affective terms. We believe that whereas cognitive role taking definition is the recognition of another's feelings, the emotional responsiveness also includes sharing of those feelings. It not only comprises of emotional component, it also involves some cognition as well, which to most theorists is a prerequisite for experiencing empathy (Batson, 1987; Feshbach, 1978). It is also assumed that the emotional characteristic of empathy plays an important function in reducing harmful behavior towards others. Emotional empathy enables an individual to not only attend to another's feelings but respond/be moved at an emotional level to the plight of another. A review of the research literature showed that *emotional* empathy has been found to be related with prosocial orientations and moral development (see Eisenberg & Miller, 1987; Eisenberg & Strayer, 1987). Other researchers have found empathy, defined in affective terms, to play an important role in the inhibition of aggressive and antisocial behaviors ((Feshbach & Feshbach, 1982; Lovett & Sheffield, 2007; Mehrabian, 1997; Parke & Slaby, 1983).

The Relation of Emotional Empathy with Delinquency

Delinquency is a form of antisocial behavior that has negative consequences for others, consequences which are similar to, if not often more serious than, those for aggression in general. Psychologists continue to define delinquency in legal rather than psychological terms. According to Trojanowicz and Morash (1987), "delinquent behavior is prohibited by law and is carried out by youths approximately up to the age of eighteen. Two types of behaviors are legally prohibited by the State laws for juveniles. The first included behavior which is criminal for adults, such as the serious offences of murder, rape, fraud, burglary, and robbery. Offences such as trespassing and drug abuse are also included in this category. Status offences are the second type of delinquent behavior, and they are not legally prohibited for adults (e.g., running away from home, being unruly, being truant from school)."

Similarly, for Yoshikawa (1994), juvenile delinquency is a legal concept that includes chronic truancy, vandalism, stealing, or otherwise breaking the law, and is also subsumed under conduct disorders. Whereby, conduct disorder is a persistent pattern of repeatedly violating the rights of others or age-appropriate social norms. Children, who chronically lie, cheat, run away from home, or show disregard for others, fall into this category.

In their study of personality and delinquency, psychologists have tried to understand the developmental trajectories leading to an antisocial youth. Research literature seems to be quite clear in indicating a general developmental delay in moral reasoning abilities on the part of delinquents (Quay, 1965). Emotional empathy has been found to be underlying mechanism that engenders moral behavior. It has been suggested that perspective taking and emotional arousal in response to others in distress can promote interpersonal responsibility and inhibit harmful acts (Eisenberg & Mussen, 1989; Feshbach, 1975; Hoffman, 1982). According to Feshbach (1975) and Hoffman (1984), emotional empathy engenders an aversive affective arousal in an individual when he observes the expressions of another's emotional distress or pain. The pain cues from the victim may generate personal distress in the perpetrator of aggression. Reduction of harmful behavior toward another would be reinforcing to the aggressor, because it would result in less vicarious negative arousal. Hoffman further suggested that feelings of such distress would inhibit immoral behavior primarily when the individual feels responsible for the distress state of the other person.

In research on the association between vicarious emotional responding and prosocial behavior, researchers generally have found that people who report relatively high levels of sympathy as a result of empathizing, frequently try to assist others in distress even if they can escape from the distressed person (Batson, 1991; Eisenberg & Fabes, 1990) and are expected to engage less in negative behavior. Staub (1986) maintains that sympathy may evolve from a sense of connectedness with others and a positive valuing of others, both of which should preclude harming others. Moreover, role-taking activities that often are a part of sympathizing and mature empathy should result in a reduction of misunderstandings, accompanied by a lessening of conflict and aggression (Feshbach & Feshbach, 1986). Consistent with the above theorizing, such situational factors as the immediacy and intensity of pain cues have been associated with lower levels of aggression (e.g., Baron, 1971; Mehrabian & Epstein, 1972). These cues should evoke aversive personal distress reactions or sympathetic concern, either of which could inhibit aggression. Hare (1994) contended that psychopaths have a shallow understanding of emotional realm. In his study, he found that psychopaths about to receive an electric shock show no sign of the fear response that is normal in people about to experience pain. He suggested that since psychopaths do not feel fear, they have no empathy or compassion for the fear and pain of their victims.

Chandler (1973) has pointed out that a sizable body of literature links prosocial behavior to the development of age-appropriate role-taking and/or perspective-taking abilities, and that a variety of antisocial behaviors have been linked with the persistence of egocentric thought. Individuals characterized by developmental delays in these capacities "*.....have been shown to systematically misread societal expectations, to misinterpret the actions and intentions of others, and to act in ways which were judged to be callous and disrespectful of others*" (p. 326). Chandler compared the social egocentrism of serious and chronic delinquent and nondelinquent youths. Marked and significant differences were observed, with almost no overlap between the distributions of the two samples. Moreover, in another study, Chandler (1973) found that highly aggressive 11-to-13 year old delinquents who participated in a ten week program designed to make them more aware of other people's feelings subsequently became less hostile and aggressive, compared with a second group of delinquents who had not participated in the program. Feshbach and Feshbach (1982) reported similar results in an empathy-training program with 9-to-11 year-olds. Although this effect was also found for a group of children who received training in social-problem solving strategies, it is consistent with the previous research to expect aggressive behavior to be mediated by social-cognitive factors as well as empathy (see Dodge, 1980; Parke & Slaby, 1983; Perry, Perry, & Rasmussen, 1986).

Little and Kendall (1979), in one of their studies, administered Chandler's measure to 37 female delinquents in a state learning centre and found role taking deficits in 73% of the sample. It has also been reported that efficacy of role-taking training with delinquents has been minimal (Chandler, 1973). Other studies (Gough, 1948; Sarbin, 1954) also attributed the deviant behavior and thinking of delinquents and psychopaths to role-taking deficiencies.

Other studies, however, which compared the relative deficits of delinquents and nondelinquents on both cognitive and affective role-taking abilities found only the latter to be lacking (e.g., Rottenberg, 1974). Kaplan and Arbuthnot (1985) found no differences in cognitive role taking, and no significant differences in affective empathy, for 13- to-15 year old male and female delinquents and nondelinquents. However, significant differences did favor the nondelinquent group on a production measure of affective empathy. Taken together, these studies suggest that while cognitive role taking may play an enabling role in preventing delinquency, it appears not to be a sufficient factor by itself. Affective empathy—that is, not only seeing the situation from other's perspective but caring at an emotional level about other's plight—appears to play a significant role in moderating aggressive and delinquent behaviors.

Carr and Lutjemeir (2005) studied the relation of facial affect recognition, empathy and delinquency in a sample of 29 male youth offenders at a probation placement facility. A moderate positive relationship between ability to recognize the expression of anger in adult faces, and self-reported acts of delinquent behavior was found. Findings also revealed a moderate inverse relationship between ability to recognize facial expressions of emotions in child faces and self-reported acts of physical violence. Additionally, a strong inverse relationship was found between ability to empathize with the emotional experiences of others and self-reported acts of delinquent behavior.

Some longitudinal data suggests that the negative relation between sympathy and aggression/externalizing, like that for empathy becomes more consistent with age. Hastings et al. found that 4- to 5-year olds high and low in risk for behavioral problems (internalizing and externalizing) did not differ in their observed concern for others. However, there was a significant decrease in concern for others from age 4–5 to age 6–7 only for the high-risk children. At age 6–7 years, the high-risk children were relatively low in self-reported empathy and in teacher-reported prosocial/empathic responding. Greater concern at 4–5 years predicted a decline in the stability and severity of externalizing problems at age 6–7 years and greater concern/empathy/prosocial behavior (a composite) at age 6–7 years predicted a decline in the stability of these problems by 9–10 years. More recently, Hepper et al. (2014) studied the role of narcissism (at both clinical and sub clinical trait levels) and empathy, by comparing levels in young adult males currently serving a prison sentence to those with no history of criminal convictions. The study demonstrated narcissism predicts offending via empathy deficits, i.e., high narcissism leads to low cognitive empathy, which leads to low affective empathy, which leads to offender status.

Thus, deficits in emotional empathy may be held as one of the hallmarks of antisocial behaviors. On the basis of the preceding theoretical considerations and overwhelming research evidence, it was hypothesized that emotional empathy would be negatively related with delinquency. The study employed the affective measure of empathy to assess the role of emotional empathy in delinquency.

Method

This study was conducted to examine the relation of emotional empathy with delinquency. In view of theoretical considerations mentioned above, the relationship between the two variables was expected to be negative. In addition, the psychometric characteristics of the Emotional Empathy Scale (EES) and the Self-Reported Delinquency Scale (SRDSG,

Gibson, 1971) such as, means, standard deviations, and Cronbach's alphas were analysed. The following hypotheses were formulated: 1) Emotional empathy will be negatively correlated with delinquency, and 2) EES subscales will also be negatively correlated with Self-Reported Delinquency Scale (SRDSG).

Participants

A sample of 125 adolescent boy students from the Gordon College for Boys, Rawalpindi; Asghar Mall College for Boys, Rawalpindi; and, F. G. College for Boys, H-9, Islamabad, was used for the present study. The average age of the participants was 16.9 years, S.D. = 1.8 (ages ranging from 16 to 18 years). Of the 125 participants, 70% were from natural sciences and 30% were from the social sciences as regards the areas of study.

Instruments

The details of the instruments employed in the present study are as follows:

Emotional Empathy Scale (EES): The EES, developed by Ashraf (2004), was used for the assessment of the trait of emotional empathy in adolescents. It is a 26-item self-report measure of the tendency to experience vicariously the (positive and negative emotional experiences of others. It measures individual differences in the trait of emotional empathy. The theoretical model of emotional empathy proposed by Mehrabian (1996) was used as a basis for the development of the EES. Respondents use a 7-point scale, on which "1" represents "strong disagreement" and "7" represents "strong agreement" to indicate the extent to which each item described them. To reduce response bias, 17 items were worded positively, and 9 items were worded negatively. The EES is intended for use with adolescents and general adult population. The norms for EES are as follows: Mean = 143; Standard Deviation = 20.

EES is a multidimensional measure of the trait of emotional empathy. Factor analysis revealed three factors, which collectively explained 42.7% of the total variance. The three subscales are (a) Tendency to be moved by others' positive and negative emotional experiences, (b) Emotional responsiveness, and (c) Susceptibility to emotional contagion. The alpha coefficient for EES is .85 and split-half reliability coefficient is .82.

Evidence for the convergent validity of the EES has been demonstrated through its significant positive correlation with the Balanced Emotional Empathy Scale (BEES, Mehrabian, 1996), $r = .65$, $p < .000$. Discriminant-related validity studies showed that emotional empathy was positively related with affiliative tendency ($r = .48$, $p < .000$), and trait emotional awareness ($r = .41$, $p < .000$), and negatively related with delinquency ($r = -.28$, $p < .001$).

Self-Reported Delinquency Scale (SRDSG): In order to explore the relationship between emotional empathy and delinquency, the Urdu version of 37 items Self-Reported Delinquency Scale (SRDSG) was used. This scale was developed by Gibson (1971). Rifai and Tariq (1999) translated SRDSG into Urdu language, and examined its psychometric properties. The SRDSG consists of 37 items and uses a dichotomous response format (1 = No; 2 = Yes). Rifai and Tariq reported that the alpha coefficient for the scale was .90. The item to total score correlations ranged from .32 to .64 with an average of .43, thus indicating high internal consistency among items of the scale. Factor analysis of the scale items revealed one major factor that explained 26% of the total variance.

For the present study, the Self-Reported Delinquency Scale (SRDSG) was further refined. The yes-no format of the scale was changed. The yes-no response format has been regarded as too simplistic which makes it difficult to capture the full subtlety of human behavior with such items (Heim, 1975). Respondents often have trouble with yes-no items, preferring to say whether an item applies to them more or less rather than yes or no. Such a response-format is not highly informative, with the result that the questionnaire will not be as

accurate as it should be. Accordingly, current psychometric practice favors a Likert format of at least a 4-point scale. Consequently, a 4-point response format that ranged from “never” (1) to “often” (4) was used for the SRDSG in the present study.

Procedure

For testing the hypotheses of the present study, the EES and the Urdu version of Self-Reported Delinquency Scale (SRDSG) were administered together to the students. The students were approached individually or in groups. They were not informed about the exact purpose of the study. The participants were informed that the purpose of the study was to gather information anonymously about their personal experiences. It was observed that some of the respondents were initially hesitant about revealing information that could mar their reputation. Therefore, participants were assured that their responses were important only for psychological research, and would not be revealed to any of their teachers/authority figures. All participation was anonymous. They were given a choice to participate or not. Those who agreed were asked to complete EES and SRDSG. They were encouraged to be candid and open in their responses.

After having collected the data, correlation coefficient was computed to test the hypotheses of the present study. Descriptive statistics and Cronbach alphas for the EES and the SRDSG were also determined.

Results

In order to evaluate the internal consistency of the Emotional Empathy Scale (EES) and the Self-Reported Delinquency Scale (SRDSG), Cronbach’s alpha coefficients were computed. The alpha reliability of the EES ($\alpha = .84$) and SRDSG ($\alpha = .93$) was found to be considerably high. Means and standard deviations were also computed for the scores on the EES ($M = 140$, $SD = 18.0$) and SRDSG ($M = 56.6$, $SD = 21.5$).

Hypotheses Testing

A correlation coefficient between the scores on the Emotional Empathy Scale and the Self-Reported Delinquency Scale was obtained to assess the proposition that the two scales would be negatively related. The negative correlation found between the two scales supports the notion that affective empathy inhibits delinquent actions towards others. The results are indicated in Table 1.

Table 1 Correlation Coefficient Between the Emotional Empathy Scale (EES) and the Self-Reported Delinquency Scale (SRDSG) (N= 125)

Scales	2
1. Emotional Empathy Scale (EES)	-.28**
2. Self-Reported Delinquency Scale (SRDSG)	

**($p < .001$)

In addition, all EES subscales were found to be significantly and negatively correlated with delinquency (ranging from $r = -.21$ to $-.29$, $p < .001$). Thereby, confirming the second hypothesis of the study. Table 2 presents the results.

Table 2 Correlation Coefficient Between Emotional Empathy Subscales and Self-Reported Delinquency Scale (SRDSG) (N= 125)

EES Subscales	SRDSG
Tendency to be Moved by Others’ Emotional Experiences	-.26**
Emotional Responsiveness	-.29**
Susceptibility to Emotional Contagion	-.21**

**($p < .001$)

Conclusion

The present study was an attempt to evaluate the relation between emotional empathy and delinquency on a sample of 125 adolescent boys. Emotional empathy was found to be negatively related with delinquency.

There is a general consensus that empathy itself is a good thing—both intrinsically and in terms of its empirical relation to other desired states of being, such as mental health (Bryant, 1987). A particularly exciting aspect of emotional empathy is that it relates with socially adaptive behavior, which lies at the heart of all healthy growing relationships. There is considerable body of research in which emotional empathy has been found to be related with moral and positive social behaviors (Batson & Coke, 1981; Eisenberg, Eggum, Giunta, 2010; Eisenberg & Miller, 1987; Eisenberg & Strayer, 1987). Consequently, emotional empathy should typically lack in those who commit mean-spirited acts. It has been postulated that feedback from the victim of aggression elicits an emotionally aversive response in the observer. Thus, an empathic individual is discouraged from using harmful instrumental behavior, which has the goal response of injury to another (Hoffman, 1984; Feshbach, 1978; Feshbach & Feshbach, 1982), such as delinquency (de Kemp, Overbeek, de Wied, Engels, & Scholte, 2007; De Wied, van Boxtel, Zaalberg, Goudena, & Matthys, 2006). In a classic study, Chandler (1973) found that highly aggressive delinquents who took part in an intervention program aimed at making them more aware of other people's feelings became less hostile and aggressive, compared with a second group of delinquents who had not participated in the program. Moreover, various researches have also shown that it is the affective component of empathy, which promotes the reduction of negative social behaviors, such as delinquency (Kaplan & Arbuthnot, 1985; Rottenberg, 1974).

In the present study, the Emotional Empathy Scale (EES), based on the affective definition of empathy, was used for exploring the relation of emotional empathy with delinquency. As a preliminary step, psychometric properties of the Emotional Empathy Scale (EES) and Self-Reported Delinquency Scale (SRDSG) were examined. The Cronbach's alpha coefficients for the EES and SRDSG were found to be reportedly high for the given sample.

In order to test the hypothesis that the two variables would be negatively associated with each other, correlation coefficient between the EES and SRDSG was computed. A significant negative correlation of -0.28 ($p < .001$) was found between the two scales. Thus, implying that an empathic disposition tends to discourage the development of delinquency. Delinquent behaviors are predominantly marked by high cruelty, disrespect, and disregard for the consequences of one's own actions toward another, which include; using dangerous weapons in fighting, being insolent and arguing with people on the streets, destroying other people's things, running away from school, carrying out planned robbery into a house or apartment, and engaging in petty crimes such as shoplifting, theft, and drug use; to name a few. As is evident from the present study, it would be reasonable to suggest that such a sweeping drop in emotional and interpersonal competence might be due to lack of social capacity to vicariously experience feelings of another. A person with an empathic bent is likely to experience aversive arousal in response to witnessing another's negative state and is, therefore, discouraged from severely hurting another and seizing for himself. The EES subscales were also found to be negatively associated with delinquency (ranging from $r = -0.21$ to -0.29 , $p < .001$). The highest negative correlation was observed between *emotional responsiveness* and delinquency. Emotional responsiveness represents inclination towards experiencing vicariously the emotions of others and a need to assist others. According to Hoffman (1981), an individual's assistance is motivated by a concern for another as well as by the desire to relieve his distress. A high negative association of emotional responsiveness with delinquent behavior signifies that individuals who experience compassion and are motivated to behaviorally respond to another's emotional states are less likely to engage in

behaviors that cause serious harm to another. These findings not only verified the hypothesis, but, were in turn consistent with the existing theory and research suggesting that affective empathy plays an important role in inhibiting antisocial actions toward others (Chandler, 1973; Chandler & Moran, 1990; Cohen & Strayer, 1996; Gibbs, 1987; Hastings et al., 2000; Mehrabian, 1997; Parke & Slaby, 1983). The negative direction of correlation suggests that the two traits may be viewed as opposite ends of a single continuum.

However, it is noteworthy that the magnitude of relation between the two scales is modest. This relatively weak correlation could be interpreted in two ways: First, some of the behaviors tapped by the SRDSG, though delinquent, but may not be *perceived* by youth as leading to serious damage/harm to another person (e.g., “*riding a bicycle without lights after dark*,” “*absence or running away from school*”). Second, the concept of delinquency needs to be explored more elaborately within the context of Pakistani culture. This society, as much as many other developing societies, unfortunately, is marked by poverty, crime, and social injustices. Due to the deterioration of social values, many delinquent behaviors have become an accepted mode of behaving. Some items in the SDRSG tap behaviors, which are no longer considered as against the law by people (e.g., “*driving car, motor bike, or motor scooter under the age of 18*”), and have become a part of daily enjoyment (e.g., “*setting off fireworks in the street*”). As far as these indicators are concerned, empathy is not the issue. Thus, a culturally specific operationalization of delinquency is needed.

The present study is an investigation, which extends some understanding of the factor, namely emotional empathy, which when lacking in an individual may predispose him to delinquency. Thus, deficits in emotional empathy have consequences for negative social behaviors. If one hopes to produce compassionate people, empathy should be of particular interest to society. The findings of the present research hold implications for counseling and therapy, where emotional empathy could both be a tool and a goal. Because of the likely role of empathy in delinquency, future investigations could target on planning interventions/prevention programs for implementing in regular education, in order to promote emotional empathy.

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THE VOICE AND THE FILIATION

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Abstract

Filiation according to Legendre is a structural order linked to the reproduction of the word meaning that no human being can be subject of a word of his own if he has not previously come across the incest prohibition by an instance called “Father”. Father¹²⁹ *conceived* as a ternary instance culturally embedded. It is always said “on behalf of”. The possibility of reproducing the word could not be achieved without voice. Voice exceeds the word. According to Freud, it deals with a fragmented past, linked to desire, which historicizes itself in a singular matter in the analytical process. It accomplishes this through the enunciation of a mixture of ancestral voices, which inhabit the subject in an instance called *Id*. Freud read this historical legacy in an oscillating mode: sometimes from a ideological perspective, sometimes from a biological predisposition. As Lacan proposes, the voice is a crucial resource of generational transmission and a vehicle for filiation. In neoliberal times, the desymbolization of culture, as proposed by Dufour, has several consequences on filiation. Finally I will present three cases in which filiation is affected. Each case belongs to an ethnic group from México and Guatemala.

Keywords: Psychoanalysis, filiation, voice, “Name-of-the-Father” culture desymbolization

Introduction

The filiation comprises the bond between ancestors and descendants. Filiation comes from the term *filus* which means son in Latin. The filiation in the human order is a legal right whether it is determined by a legal act or a natural event. Anyway it is a legal sanction naming it as such because procreation is covered under the law in every culture. The most important filiation is not the biological one. Legal filiation is necessary but not sufficient; for a subject can be the subject of the word and the subject of desire. The filiation is a fact of language. It is not a biological inheritance.

Legendre (1994:20) has shown the important place that society has given to incest and homicide in relation to filiation. Due to these prohibitions of these two crimes the social pact founds its culture. But the Holocaust attacked the symbolic reference of the law when the Nazis placed science in substitution of the symbolic law as a reason for extermination. Legendre notes that the Nazi’s logic has not disappeared to the extent that it attacked the references system of the European world (1994:19). But has this only reached Europe? Legendre remarks that it is not indifferent that two opposed systems of faith, the Jewish and the Christian religions, were interweaved to the Holocaust.

The logic of the Nazi’s extermination has returned in many ways and in various places around the world. One of the premises is giving to science the place that the ancestor’s knowledge had before. Nowadays, child procreation runs more in the trading criteria as a metonymy of a craving which is asked from a scientist in exchange for money; the actual generation demands to determine the genitor, the donor, the womb that gestates a son, the

¹²⁹ Father with capital letter refers to the ternary reference notion, it’s a concept; and father with small letter refers to the colloquial sense.

infant's sex, the eye and skin color and so on instead of the infant as a metaphor of the parents' love, and instead of having the chance of weaving their fantasy into the expectance of a new life.

The law has changed considerably recently on filiation when it comes to assisted reproduction. One of the first countries to deal with it was Spain. The law oscillates to establish filiation for adoption or for nature, especially when it comes to gay couples, particularly when it comes to two women (Romeo, 2006:1). But even if the law changes, the importance of the *signifier* of the *Name-of-the-Father* proposed by Lacan (2006a:230), that humanizes the child, remains intact. And it even emphasizes that the lineage that constitutes the subject of desire, is not a matter of consanguinity.

The filiation is an issue of great interest to psychoanalysis; it is not reduced to the legal nor religious order. These orders are understood and transcended by psychoanalytic filiation sense. They are committed to the "network" of desire and transindividual discourses in which the subject is immerse at birth and on which its *subjectification* depends. In this sense, this implies not only the direct ancestry and descendency but also other significant family members.

I am going to use three meanings of myth in this work: Freud built a myth for modern humans that I am going to explain later. The second meaning is proposed by Lacan: the myth is a way to encrypt the truth of the subject and defines the myth as an objectified representation of a feat that expresses, in an imaginary way, the fundamental characteristic relationships of a certain way of being human in a given time; and that it is possible to appreciate its role in the neurotic's experience called *individual neurotic myth* (Lacan, 1985:40). The third meaning is *the family myth*, a notion proposed by Rodulfo (1989).

Legendre claims that the very foundations of the social and subjective rationalities are based on the Father conceived as the great ternary mythical reference. The essential idea of the mythological link is the course of procedures to access the identity. This involves mobilizing the institutional framework by each newcomer to humankind. He states that places of father and mother are operative because they are based on a logical relationship to the ternary reference. This reference brings into play the notion of Father (1994:168).

Thanks to the hypnotic command, Freud notices the split between "enunciated" and "enunciation". He abandoned the hypnotic technique. From the voice of his patients he realized how memory was built. In the enunciation there could be words or fragmented words belonging to different times, themes and contexts of one patient's life. In attempting to explain this "collage", Freud drew this scheme in his called "M" manuscript (1986a: 293). Fantasy is the way the subject attempts to answer the question: What was lacking in my parent's life before my birth, so that I was conceived?

The archive of the social and family memory that pre-exists before the emergence of a subject is in the discourse. Before a child is born, the family file is already in the form of a myth that encrypts vital dramas of a family and its response to them. This file is updated and cuts through the voice that parents direct to the infant.

The voice has two dimensions: The first is as sounding phenomena that conveys the signification (Julien, 2005). The second is its evanescent character which transmits the enigma. The voice carries the words. The voice could be meaningful in the origin of the infant's breeding. Then it is devoiced and remains a leftover of the voice. This devoicing happens thanks to the intervention of the *signifier Name-of-the-Father*. One part of the voice is symbolized and the other part rests in real register (Vives, 2001: 165). The voice returns in at least two ways: As *superego's* voices and as auditory hallucinations. When Vives speaks of *devoicing*, he does not refer to the registration of the audible. It means being "deaf" to it so that the Subject disobeys it and attends his own desire (Vives, n/d). Erik Porge (2011:9)

emphasizes that the consideration of the voice in the *auditory* hallucination opened the way that allowed Lacan the psychosis treatment and deep study of the *superego*.

Parental voices and the Freudian myth

Voices that the parents use has a privileged place to decipher and name their child's cry. Every mother and father have to face the anguish of the infant's prematurity and crying and bring into play the *signifier* system to give meaning to it. These *signifiers* were transmitted by their voice, their tone, their inflections, the evanescent character of the voice, what this manifested and what this concealed. In some countries called "first world" the grandmothers are not asked how to breastfeed anymore; now the question is for "technicians". Now there is a North-American gadget called "Why cry?" It is expected to be bought by the parents and to become an indispensable commodity. This appliance has limited and pre-set options: bored, sleepy, hungry, annoyed, and stressed.

What consequences does this substitution have on the infant? The voices are crucial on body's formation. This is intended to expel the *big Other* and with it the genealogical system built by mankind over thousands of years, in the act of raising a newborn who renews filiation generation by generation. The gadget "*Why Cry?*" is designed by a logic that reduces a kid, in the genesis of the human constitution, to his more animalistic and instinctive dimensions (Ribeiro, 2014: 80). It leaves no place for the *drive* in the Freudian sense (*Trieb*). The gadget stops the privileged field for filiation: precisely that which relates to the constitution of the object of desire. It emerged in "the first world"; the very important thing is not how a lot of it is consumed, but that it exists. That gadget reflects the intention to supply an ancestral function.

The voices of the ancestors are updated in the analytic clinic by the voice of the analysand. The *signifier* is manifested not in what it is thought was said, but in what is "heard".

Freud, to account for singularity, required a social reference. How to do it without considering a historical legacy? He changed the meaning of the notions of phylogeny and ontogeny of Haeckel; it was the boom of evolutionism. Each subject repeated ontogenetically in his own life what mankind has made over thousands of years (phylogeny).

In the 19th century Linguistics did not exist, neither the discourse studies. Freud required social references to explain the subjectivity, and he suggested two: one that today we could say it is a myth of origins, and that he considered "history"; and another that he formalized as a concept which he called *Id*. The first contribution resulted in a book, *Totem and Taboo*, which today has no historical value, but a large mythical value. Psychoanalysis recognizes that there are forms of truth that can only be transmitted as myth. That myth was developed to build an empty chair, symbol of the law. The function of the law is to attempt the social bond between the members of the clan. The totem is a symbol of the ternary reference (Freud, 1986b). The law is a "chair" that no one can occupy, It says "... on behalf of ..." "In Memory of ..."

Freud invented a myth about the origins of the law for humanity to give phylogenetic support to the ontogenetical experiences that unfold in the Oedipus. The childhood would be a kind of update of phylogenesis (Duvernay, 2001:13-34). Despite the trends of his time, with his discovery of the *unconscious* processes, he moved away from evolutionism. Freud discovered how the *unconscious formations* (the joke, the slip, the symptom, the dream) are interwoven with word games and letters. *Wo es war soll ich werden* (Freud 1986c: 74); Fink's translation is as follows: "Where it was, there must I come to be as a subject" (Lacan, 2006b:734). It is a thesis that today we can read as Freud's explanation of the relationship between subject and discourse.

The *Id* for Freud was a clinical evidence of thoughts that were imposed on subject and from which the subject could not escape. In order to be enrolled in filiation as speaker and then to be subject of the word, the *symbolic register* is required. Legal sanction of paternity and genetic determination are not enough. To be subject of their own word implies to recreate the discourse of the father.

Vives (2001:160) points out that in "Totem and Taboo" Freud highlights two references to voice question: First, Freud insists on a kind of identification that would be in part an imitation of vocal essence. He analyzes the Onomatopoeia sound emission of the totemic animal after the sacrificial feast, once the sons have ingested the father (Freud, 1986b:142). The second idea is Freud's reference to the chorus in Greek tragedy. The hero has to take on the blame himself to exonerate the choir from that burden; and at the time of the assassination of the hero, the singing of the choir would be a sublimated form of the dying father's scream (Freud, 1986b:157).

The other contribution of Freud, to which I refer, is the concept of *Id*, which was suggested by Groddeck (Freud, 1977:89) but that Freud had also read in Nietzsche (Freud, 1986c:67) in his work *Beyond Good and Evil*¹³⁰. In this book Nietzsche emphasizes that a thought comes to mind not when the subject wants it and believes to think rationally, but it comes alone; Nietzsche employs even the notion of "it" that would call into question the idea of thinking as a cause of thoughts (Nietzsche, 1978:38). Which means that thoughts that inhabit the subject and that "speak" on it do it as impersonal, not because of but despite ego. This *Id* of Freud is not a biological instance. Thoughts are from discursive order.

Parental voices may or may not resonate in the infant's body. Freud argued that *the drive (Trieb)* makes a brazing (*Verlötung*) with the body. The *drive* builds the body.

The voices on the body's imaginary constitution

Lacan takes up the term from Charlotte Bühler *transitivism* on his work "The Mirror Stage" where it describes a time of undifferentiation on body constitution (Lacan, 2006c:79). The first speech of the infant called "*lalangue*"¹³¹ appears simultaneously with the body building. At that time the imago's body has not precise boundaries, the child is confused with the other. The "*lalangue*" is a protolanguage that the child builds with his mother from their phonemes and babbling. This "protolanguage" from which the child will gain access to language, then would be an unconscious knowledge.

The ego and the voice have a transitive dimension in the Mirror Stage. The voice of the *big Other* parasites the infant's body. As Dolto notes, the Subject is always going to carry his/her first image of the body; it is not a "stage" to be abandoned, it belongs to his narcissism (Dolto, 1990:38).

The voice will resonate in the child body and its cavities expressing what his parents expect from him. The inscription on the filiation happens with parents' demands to that child. Freud had thought that "voices" inhabit in both the *Id* (Freud, 1986d: 193) and the *superego*. But the signification that those voices acquired comes from the *Id* (Freud, 1984a:53). The *superego*, as an instance where the voices are settled, has been thought by post-Freudian and post-Lacanian psychoanalysts. On the other hand, the *Id* has not been widely explored in its dimension of voice, but only as a place for other drives. Freud emphasized that the *superego* was a surrogate of the *Id*. Clinically this difference between *Id* and *Superego* was not easily recognizable. What has been heard, is not necessarily recorded as a *word-representation*, another remainder of voice is ineffable.

¹³⁰ *Jenseits von Gut und Böse*

¹³¹ Lacan had a *slip* and with this neologism he constructed a concept from his Seminar 19 (session 4 XI-71).

The mother's voice may be replaced by her gaze, and produces favourable or unfavourable effects on breeding. This situation had been observed in clinical interviews with premature children and their mothers. Some children with poor medical prognosis, but "well regarded" by their mother, had a good evolution. By contrast, some children, with a favourable medical prognosis whose mother "read" possible perinatal damage resulted in a gaze that worsened the physical evolution of his/her baby (Colín, 2014:25). The gaze or voice could carry a *signifier* of maternal fantasy.

Freud proposes fantasy as a result of a combination of what was heard and experienced, the past of the parents and ancestry seen by the subject (1986e: 289). This finding is of great importance. In the first place, he discovered the crossed weave: eyes that hear and ears that look. In second place, this weave allows recognizing "the lens" to perceive the world; it is a selective cut of the voices of parents and ancestors that updated the family myth. Fantasy necessarily implies the body. Only one aspect of the *Id* has the consistence of voices. Not every voice becomes *drive*; but those voices that the infant has extracted from the protolanguage with his mother.

The Name-of-the-Father and the memory files

Lacan propose *unconscious* as a censored chapter. It is already written in encrypted form in traditions, legends which convey the history of the subject in a magnified way; and sums up what is also registered

- in monuments; this is my body, in other words, the hysterical core of neurosis in which the hysterical symptom manifests the structure of a language, and is deciphered like an inscription which, once recovered, can be destroyed without serious loss;
- in archival documents too: these are my childhood memories, just as impenetrable as such documents are when I do not know their provenance;
- in semantic evolution: this corresponds to the stock of words and acceptations of my own particular vocabulary, as it does to my style of life and my character;
- in its traces that are inevitably preserved in the distortions necessitated by the insertion of the adulterated chapter into the chapters surrounding it, and whose meaning will be re-established by my exegesis. (Lacan, 2006a:215)

The *individual's neurotic myth* (Lacan, 1985) and the structure of desire would not be a structuring entity if they were not organized around the notion of Father. Father is not in biological sense, but symbolic, as a ternary reference. So for psychoanalysis the father is not an interchangeable role. The notion of Father to Lacanian psychoanalysis also differs from the notion of paternal *imago*. Lacan proposed two basic terms of the paternal metaphor: *Mother's Desire* and *Name-of-the-Father*¹³². Is in the *Name-of-the-Father* that we must recognize the basis of the symbolic function (2006a: 230).

The Father is a *signifier*. On this thesis Lacan wove his theory, advancing on the Freud's tracks. The memory organizer and its transmission is the filiation through the *signifier* of the *Name-of-the-Father*. That is the filiation that humanizes us. There is no filiation in the animal world. *Being the son of ...* supposes the assignment of a name and a last name given by a father to his child as a gift, to inscribe this new being in a family genealogy.

Filiation means belonging to a family, collecting pieces of the story and inevitably playing a piece in the discourse. Recreating the family myth is one of the ways in which filiation is manifested. Thus, it is feasible to propose that the child will build the *individual's neurotic myth* from the family myth. The subject's fantasy is manifested in the *individual's neurotic myth*.

¹³² Lacan write the name of this signifier with capital letters and dash.

(...) My father made mistakes that I am absolutely condemned to reproduce –that what we call the super-ego. I am condemned to reproduce them because it is necessary to retake the discourse that he left me; not simply because I am his son, but because the chain of discourse cannot be stopped, and I am destined to transmit it to another one in its bizarre and ill-posed form; That is to say, to pose to someone else the problem of a vital situation where there are high chances that he will also stumble; Meaning that discourse creates a kind of small circuit where the whole family, an entire gang, a whole camp, an entire nation or half of the world are implied. This is called the circular shape of a certain word that is just in the limit of sense and nonsense, which makes it a problematic word." (Lacan, 19-I-55, the translation is mine)

We can see here, very early in his teaching, Lacan's interest in the discourse. Here we have evidence of his clinical finding. It is the heart of further development on the four discourses. He theorized deeply, fourteen years later, this discovery during the 17th Seminary.

A falsified filiation can produce devastation on the subject of very serious consequences, when the environmental constraint is applied to support the lie. It may be not less when, as a result of a man marrying the mother of the woman with whom he has had son, the son's brother will be his biological mother's half- brother. But if the son is later adopted - and I have not invented this example- by the sympathizing couple formed by a daughter of his father's previous marriage and her husband, he will find himself once again a half - brother, this time of his foster mother; and one can suppose the complex feelings he will have while awaiting the birth of a child who, in this recurring situation, will simultaneously be his brother and nephew simultaneously (Lacan, 2006a: 230).

Freud's *Id* is the *big Other* for Lacan, the treasure of *signifiers*. Each new generation, each subject, collects some *signifier* of that family network and makes a difference, something unprecedented and original. One can read in the *Id* of Freud the *misunderstanding of parents* according to Lacan. Freud places in his scheme the acoustic calotte (*Hörkappe*) on the *superego's* side (Freud, 2009: 264-265). The voices update the discursive surface to generate the *superego* as a substitute of the *Id*.

A falsified filiation dislocates places, generates silences and family secrets, and intentions to forget what is impossible to forget. There are two forms of forgetting: oblivion caused by *repression* (*Verdrängung*) that involves expelling painful thoughts from the conscious. This analogy of this oblivion is to put in "dead file" an archive without being resolved (Freud, 1984b); and another very different kind of oblivion that happens in psychoanalysis. In this case the subject can get rid of his physical symptoms (or of any other kind) thanks to the fact that those files have been transformed into knowledge. The subject can recognize its place in the discourse that was legated.

The *superego* is founded on a first *signifier*. This is the reason why that *signifier*, in its enigmatic dimension, procures the word; every enunciated is enigmatic in itself.

The misunderstanding as a result of lineage

The subject, Lacan said, is a place in the discourse. The subject's being is a porter of letters. In the French language *malentendu* (the misunderstanding) and *mal entendu* (bad listening) are homophones. The bad listening is a product of the voice that goes beyond the word, in which the signification is involved. The voice updates pieces of discourse. The parents' function is to create an historical and historicizing link (Lévy-Soussan, 2002:1).

The *misunderstanding* of the couple is the inevitable interpretation that a human being makes on the desire of another one. It is the cradle of every human being who comes into the world. The voice is a media that transmits *misunderstanding*.

The misunderstanding is recreated, with the advent of each child in a different form. Neither the lack of the parents that originated each child's birth, nor the circumstances

surrounding it, are the same. The *misunderstanding* is woven into the riverbed of what was transmitted on the transgenerational way. The body and the misunderstanding are result of lineage (Lacan, 10-06-1980).

The voice moves from one body to another. The voice of the mother is an object that can be separated from the word that resonates in the body of the infant. Thanks to that, the infant can separate from his mother; he recreates her presence with gurgles and babbling. These phonemes, noises with his mouth or screams, which are often joyous, recreate the absent mother.

The first infant's exercise as a speaker is the "*lalangue*". The notion of "*lalangue*" goes beyond the babbling's infant. It involves complex operations in the origins of the psyche.

With "*lalangue*" the child recreates and extracts the *signifiers* that come from the *big Other*, which he is also going to make his own. The "*lalangue*" is an exercise and is a product too, a knowledge that will be inaccessible as *unconscious* in the future.

The desymbolization of culture according to Dufour

According to Dufour (2007) the world today suffers from a growing culture desymbolization. With the emergence of the global market, money is the maximum reference, it declines all symbolic forms in a culture and this also has an effect on the relationships and in the order of the word. The word sets up differences and assigns places; it recreates the institutions. The side of the word, which is the guarantor of truth, declines.

The capitalism' discourse brings on the dimension of the replaceable interchangeably with merchandise. It promotes an incessant objects production. Those objects are easily disposable in order to generate created-needs to encourage endless consumption. Capitalist logic introduces, on trade chain, a mutation where all values are homogenized and declining symbols that set up differences. Everything could be purchased and replaced, even that which once was sacred. This is the reason of culture's desymbolization. Human beings become disposable as merchandise and this is the most representative image of capitalism in its neoliberal phase.

Millions of people are displaced by hunger. The conditions produced by these movements could be originated slowly as in the case of migration or abruptly generated such as in cases of war or community violence related to drug trade. This logic affects the symbolic order as mentioned earlier. Migrants are faced with more difficulties for insertion into the filiation. Parents find more difficult to enroll their children in a weave of desires that can be realized. Economic and educational limitations are increasing.

We are facing the impunity of the horrors of the drug war and organized crime, in addition to the negligence of authorities about any other forms of corruption. The most basic human rights, in cases of those who suffer appalling losses, are virtually nullified. The irresponsibility of governments to provide legal and psychological solution to the survivors of these tragedies is the "norm", indirectly dictated by the big monopoly interests that make diminish the governability and increase only the governance (Dufour, 2009:27). In this context, violence dominates as a form of evil and death becomes wild (Allouch, 1995). The filiation is hindered if the institutions do not act in accordance with the law. As Soler said (2009:141) the multiplication of traumas occurs because today the discourses are too loop holed to serve as a screen against the unbearable *real*. As an example Auschwitz can be considered as the maxim paradox: on behalf of law, the most heinous crimes were committed.

Desymbolization resonances of culture in the filiation

In today's world, the recognition of filiation and logic operation has been affected by several aspects. British historian Hobsbawm (2009:13) states that the destruction of the past,

or rather of the social mechanisms that link one's contemporary experience of the individual with that of previous generations, is one of the most characteristic and bizarre phenomena of the late twentieth century. He adds that mostly young men and women of the late twentieth century grow in a sort of permanent present lacking any organic relation with the past.

The rite strengthens social cohesion, resignify events causing distress to a community and create *symbolic efficacy* in Levi-Strauss (1987) sense. The rites that were of utmost importance to ethnic groups have now been undermine.

Hurstel highlights three fault lines that affect the filiation (2001:11-15): the one from the parental power to parental authority, that is to say, the tendency to think of father and mother as if they were interchangeable roles. The second is the medically assisted reproduction legislation intended to find a "biological truth". That is to say, it believes the truth of a father is going to be known by DNA. A sperm-cell is not a father.

Medically assisted procreation, places the gynecologist or fertility specialist like as a merchandise provider; either to prevent conception or to procure it. This is an example of a culture's desymbolization. Earlier, the procreation occurred merely in gift's logic; now, often it is reduced to a commercial matter. The procreation is not a disease. However, Chatel says (1993:14) that in the contemporary positivist context, the procreation is entirely placed in the hands of medicine. She states that today the medicine occupies the sacred place that once belonged to magicians, wise men, diviners, and to priests who were invested with powers to deal with begetting or not begetting life.

A third rupture line according Hurstel is the rebuilding of families from divorced members. The stepfather's voice is often disallowed because he is not the father. The "real father" cannot intervene because he doesn't know what happens in the context of his son or daughter. This aspect has also been perceived by Perret (2004).

In the case of Mexico we can add to Hurstel and several authors' propositions, a fourth and fifth rupture scene that affect the logical operation of filiation: the migration of peasants and the gradual disappearance of native languages originated from racism and centralism in Mexico and in other countries of the so called "third world" (Colín, 2011:12).

Three cases in which filiation is affected

Case One: son of a Mexican immigrant.

A Nãñho boy, son of a migrant worker, was born in the United States. His illegal status would not allow him to be registered. He was baptized in USA. After arriving to his community in México, he started school without a birth certificate. So the child is American by birth, but he has not legal nationality. He has many difficulties at school. Now he has 12 years old. All the time he rises up from his chair to ask the teachers if he is doing well. He needs to stand up again and again to confirm if he is not wrong. Teachers get tired of his questions because the child gets up to ask every ten minutes.

We were doing a research at his school. By request of the prefect I listened to him in order to help him and to understand what was happening. When I asked him: why did he need to know so often if he is doing well, he said: "to know if I'm not mistaken". When the child came with me to talk, he showed me his identity school credential. He has a huge need to confirm with others *who he is*, showing his credential; this gesture is repeated with several people (teachers and prefects).

This gesture calls attention. It talks about a fragile constitution of the ego because the filiation is suspended. When he was asked about his family tree, he said that neither his father had a birth certificate. His father was carrying an identification of a friend and was posing as him. This act prevented the imminent deportation. When he was asked about his family tree, he said that, at least, his father did not have a birth certificate.

In Mexico he cannot register for the same reason, because he has no official documents. In his school's credential ID the surname of her mother is incorrect (Colín et Al. 2009).

There is a failed symbolic inscription in the family discourse. His inscription in a culture is failed because his nationality and maternal language are missing. The usual legal acts to recognize a child as a son and as a citizen are hampered. This reality allows us to understand what anguishes him. He does not know *who he is*, and his parents don't know how to arrange this illegal situation. He does not speak well the *ñäñho* but his mother does. He is not confident with Spanish. The family members communicated among themselves in English.

He has not a "learning" problem. The repetition highlights the question: It is about the name and his symbolic inscription in genealogy. It lacks a symbolic recognition, in an institutional act, to register who he is, and who are his parents, his language, and country (Colín et Al. 2009:74).

The problem of filiation is affected in at least two ways at least: by name and by language. The *Ñäñho* transmission was truncated. In the same article we referred to the fact that the child's uncertainty is complicated by other questions. When children cannot speak well their maternal language nor the official language, they have *subjectification* problems.

These kinds of problems show the articulation between the global political orders on the *subjectification*. The politico-economic conditions of the world expel the peasants from their homeland and force them to migrate in appalling conditions.

In this community,¹³³ the mother is the guardian of tradition when the father migrates to USA or other countries: some of them speak in her language to their children. Others do not talk to them in *ñäñho* language to prevent a deportation or to protect them from the possibility of being discriminated because of their ethnicity.

Although the tradition of culture is preserved, the filiation is affected if the child cannot see the father for several years. The father's voice is not heard. The child doesn't have his father to know what does his father expects from him daily. The mother can historicize only one side of the discourse but the other side, the historicization's of the father's desire, is missing.

Case Two: The birth registration.

In a community of Nahua indigenous tradition, at the civil registry office, N. was the officer. He received an elderly couple with a young mother and her baby, the following dialogue occurred:

- We want to register this child, but we want the grandfather to appear as the baby's father.

- We cannot remove paternity to anyone, for any reason. Who is the father? Asked the officer

- A young married man, but we want to punish him. So we do not want his name to appear in the document and instead my husband's name will appear, replied the grandmother.

- I cannot do that, where was the baby born? Insisted the officer

- Well, she was born in Tenancingo, but we were not given any document, only a receipt, said the grandmother.

- Well that's rare, because even the midwives are required to extend a proof of birth. Since children's robbery has increased this proof is requested, so that the child is protected. Stated the officer.

¹³³ San Ildefonso, Amealco, Querétaro, México.

- No, they did not give us any (says the grandmother while the young mother remains silent without intervening. All communication occurs between the officer and the grandparents.)

- Well, I recommend you to go get the document because otherwise I cannot register the baby. If you want, the mother may appear as a single mother. I cannot register the grandfather as the father. If the mother appears as single mother the name of the father is left in blank, the officer concludes.

He shows the grandparents a document as an example. (Colín, 2005: 459-460)

The grandparents hesitated on what to do, and considered that they had already lost one day. Finally they decided to come back another day with the requested document.

The subjectivity of the child is affected seriously if, by an act of corruption or negligence, an officer extends an official document with false names to satisfy this absurd request. In this case the mother could be at the same time the sister of her daughter.

The word "punishment" pronounced by the grandparents will be part of the family myth and it is unclear who punishes who and whether they themselves are not affected by this punitive will.

Case 3. The burial (1999).

A *Chuj* community in Petanac, Guatemala, was unable to put an end to the funeral rite that was interrupted for 17 years, because the survivors did not have legal authorization; eighty-six Indians were massacred by the army in a village now defunct. Seventeen years after, they insisted to perform a ritual. They request permission to Mother Earth to receive the remains of their dead in her womb. The funeral is interrupted (again): "the Ministry of Health did not authorize the grave and there was no court order." The army killed men, women and children after being accused of siding with the guerrillas, by providing them with food. The funerary rite function in this case is looked in a very different way for the *Chuj* community than for the authorities. For them to allow the fulfillment of the rite itself would be self-incriminating as murderers. For how could, a massive grave with the remains of eighty six persons including children, be explained? (Colín, 2005:53)

The filiation is *resignified* (*Nachträglichkeit*) by a duel. Mourning the death calls upon the whole symbolic system to give it some sense. This perspective is where the filiation is compromised. Grief takes us into a state of madness that is more or less regulated by social sanctions and rituals. In this case the duel was adrift because there is no social sanction to confirm in an official act that the dead were slaughtered. They were massacred by people who were supposed to be representatives of the civil population and who should have protected their rights.

Closing

The filiation is an unfolding "story" that starts when it is coming a child and then with the legal or ritual inscription of the personal name. Filiation is not possible without the law as one of the forms of the ternary reference. When the value of the law declines, the culture's *desymbolization* is a consequence. The second consequence is the subjective disorders.

The need to articulate new forms of organization as a counterweight to the deterioration of the social weave is now urgent. It is the social weave and the revitalization of ritual practices which could counteract to the devastating effects of neoliberalism as far as filiation is concerned, as here has been described in this article.

In the case of clinical devices, something similar happens. There are communities where there is no habit of going to seek help from a psychotherapist or psychoanalyst. They cannot go with the shamans of ethnicity as they have migrated. Even if they could go with an expert they would not have the financial resources.

The communities that most require these symbolic supports because they really suffer violence show a lack of them. The State is often negligent or part of that violence. State institutions impregnated by neoliberal logic increasingly neglect the needs of the civilian population in favor of monopoly interests.

Because *signifiers*, in Lacan sense, could not be translatable, speaking the mother's language to raise a child is crucial. If a native language of any ethnic group is discriminated against, the possibility that the voice could be the carrier of the ancestral *misunderstanding* is hindered. This situation has enormous consequences in relation to subjectivity.

Artistic activities have subjective effects but may not always have *symbolic efficacy*, if there is not a concerned audience to validate them. It is necessary to have a public to witness the artistic experience to help name the unnamable, especially when trying to process devastating experiences.

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AUGUSTINE, THE RELIGIOUS EDUCATOR: HIS RELEVANCE FOR EDUCATING CHRISTIANS IN CONTEMPORARY SOCIETY

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Abstract

Jesus came into the world purposely to inaugurate the Kingdom of God and invited people to repent and enter into it – cf. Mk 1: 15. He called his apostles and disciples to be with him in the course of his ministry here on earth. After forming them, he sent them into the world with these words, “Go therefore, make disciples of all the nations, baptize them in the name of the Father and of the Son and of the Holy Spirit, and teach them to observe all the commands I gave you. And know that I am with you always, to the end of time” – Matt. 28:19-20.

The apostles carried out this great commission in the apostolic times. After their demise, the mantle fell on the church Fathers like Clement, Athanasius and Tertullian.

One of the church Fathers who has greatly influence Christianity through his teachings is Augustine.

In this paper, Augustine’s First Catechetical Instructions and its relevance for Christians in contemporary society is examined.

Keywords: Religion, Christianity, Contemporary Society

Introduction

Christians proclaim God to be omnipotent. There is no question that God can do everything by Himself without the co-operation of human beings. Nonetheless, that is not what we have experienced in the course of human history. From time immemorial, God has used human beings to speak to God's people and the world. God used Moses to bring the Israelites out of Egypt. Judges, Kings and Prophets were used as mediums through whom God spoke to God's people. For us, Christians, God's love and care for God's people culminated in the incarnation of Jesus - (ct. Heb. 1: 1-2).

Throughout his ministry, Jesus announced the Kingdom of God, preached God's word and called people to repentance and renewal of life - (ct. Mk. 1 :15). When his time on earth was ended, Jesus instructed his disciples to continue the education of people about the Kingdom of God:

go therefore and make disciples of all nations, baptizing them in the name of the Father and of the Son and of the Holy Spirit, and teach them to obey everything that I have commanded you. And remember, I am with you always, to the end of the age. (Matt. 28: 19-20)

Following this mandate, the disciples of Jesus have tried to be faithful to the Lord. People have been educated and/or made Christians in the course of the history of the Church. Great teachers like Paul, Hippolytus, Cyril of Jerusalem, Augustine, John Chrysostom and Aquinas have come and gone. Today, the mandate has been handed on to the magisterium and the theologians of the Church. The work of educating Christians and

the world continues unabated. It is for this reason that the encyclicals like *Catechesis Tradendae* and *Veritatis Splendor* were issued by John Paul II in recent times.

In this paper, I intend to offer a critique of one of the great teachers in history who has very much influenced the Church and the world. I am speaking of Augustine. I must point out right from the beginning that I am not analyzing Augustine as a systematic theologian. Neither am I looking at Augustine's ethics nor his spirituality. I am only interested in Augustine from the point of view of religious education. In other words, I want to see whether as an educator, Augustine's approach of educating Christians has any relevance today. That is to say, whether as Christians of today, we can retrieve something from Augustine's *First Catechetical Instructions* (which henceforth in this paper will be referred to as FCI) written about 1,500 years ago.

In the paper, I will look at the Church at the time of Augustine. This will be followed by a brief history of Augustine's life. Then, I will discuss the FCI. Under this, I will examine the contents and the purpose of the FCI. The next point that I will discuss will be the relevance of the FCI for educating Christians today. The last part will be the conclusion.

The Church at the time of Augustine

One will appreciate Augustine and his FCI better if one has an idea of the structure of the Church at the time of Augustine. It has to be pointed out that Jesus did not give a blue-print of how the Church should be structured. In fact, one cannot say with certainty any real sense of institutionalization of the Church at the time of Jesus. As Marianne Sawicki points out,

it was the first century after Jesus' death that saw the growth of the church into an organization with institutional structures into which caring, celebration and teaching functions were departmentalized.¹

This does not mean that one cannot discern some form of institutionalization among Jesus' disciples at the time of Jesus. For,

institutionalization is a natural, sociological process, by which complex societies retain their identities over time and insure their own propagation. Where two or three gather, no matter in whose name, for longer than a week, an institution is sure to appear.²

All that I am saying is that Jesus and his original followers were wandering prophets. They left their homes and families in order to preach about the Kingdom of God. However, as the membership began to spread, the work was becoming too much for the original disciples. Therefore, people were appointed to take charge of certain functions such as the distribution of goods. This was the beginning of the diaconate (cf. Acts 6:1-7).

Through the preaching of the Word, communities were formed. These settled communities needed teachers and care takers. Thus, we read in both the disputed and undisputed letters of Paul, how overseers and teachers were appointed for the various communities (cf. Titus 1:5-16, 1 Tim. 3:1-13; 1 Cor. 12:4-11).

It was in the early part of the second century that the monarchical episcopate began to develop. Elaborate ceremonies were given about how bishops were to be chosen, how they were to be ordained and their functions clearly spelt out. According to Hippolytus, bishops were to be chosen by all the people. Upon acceptance, the community was to assemble on the Lord's day together with presbyters and other bishops. When all had given their consent, the newly - elected bishop was to be ordained but only by the bishops present.³ Thus, the organization of each church became under a single bishop having responsibility for all the affairs of the church. The role of the bishop gradually grew more important. In general, presbyters who were not different from bishops in many New

Testament texts began to be under the bishop. They assisted the bishop with cultic and teaching duties. Deacons and widows were also called upon to assist the bishop in the administration of the goods of the church for the welfare of the poor.

With the legalization of the Church by the empire in 313, the position of the bishop acquired an added civil status. Bishops began to be judges in disputed cases and their judgments carried the force of civil law. As Marianne Sawicki notes, "in the minds of the people, the bishop's role acquired aspects of the role of the civil governor."⁴ As Eliane Pagels also points out,

*Christian bishops, once targets for arrest, torture, and execution, now received tax exemptions, gifts from the imperial treasury, prestige, and even influence at court; their churches gained new wealth, power, and prominence.*⁵

This was the position of the bishop when Augustine came on the scene.

One of the important functions of the bishop was offering instructions to those in the catechumenate. In most cases, catechumens were given moral instructions before baptism and *eucharist*. It was after the reception of these sacraments that they were given instructions about the mysteries that they had participated in. Thus, we read that Cyril, bishop of Jerusalem took great pains to explain the rich symbols, the gestures and the rituals of the Church to new members of the Church in his *Mystagogical Lectures*.⁶ This task of instructing new members as a bishop is what Augustine is going to do in his FCI as we shall see later on in the paper.

A brief History of the Life of Augustine

Born to a very strong and a devout Catholic mother and a pagan father, Augustine had to struggle to be his real self. At sixteen, he broke even with his mother and began to live his own life to the displeasure of his parents especially his mother, Monica. He gave birth to a son out of wedlock whom he named Adeodatus, even though Augustine never mentioned the name of the woman.

Augustine was a brilliant student. From the time that he turned nineteen till twenty-nine, Augustine was fascinated by the Manichees who were considered as heretics by the Church. He joined them. However, after some time, he became disillusioned with their teachings and broke away from them. Even when he left the Manichees, he did not join the Church immediately. He left Carthage to teach Rhetorics in Rome. In Rome, he heard of Ambrose, an eloquent bishop of Milan. Augustine went to listen to the sermons of Ambrose, not out of any desire for a spiritual growth but because of the Rhetorics of Ambrose. That was the beginning of the turning point in his life.

The decisive moment of his conversion to Christianity came when he heard a voice say to him, "take and read, take and read." On taking a bible that was beside him, he opened randomly to Rom. 13:13-14. Augustine sought baptism afterwards together with his son and became a Christian. On their return journey home to Africa, his mother, Monica died. Augustine rose to become the bishop of Hippo.

The First Catechetical Instructions

As pointed out earlier on, one of the functions of the bishop was offering catechetical instructions to people. It was in pursuance of this function that Augustine came out with the FCI which in a way was his catechetical theory.

Purpose: The FCI was written at the request of Deogratias. Deogratias was a deacon at Carthage who wanted a format of how catechumens were to be instructed and what should constitute the subject matter of catechesis. The purpose of FCI was therefore to enable catechists to have something in hand that they could refer to when educating people in the Christian faith. Augustine never intended it to be used as a

blue-print. They were to be adapted for pastoral reasons -

*But before I do this, I would have you bear in mind that the aim of one dictating a catechetical instruction with a future reader in view is different from that of one catechizing with the listener actually present.*⁷

Augustine went on to say that;

*if this discourse, in which I have instructed a candidate if present seems long to you, you may treat the subject more briefly; I do not think, however that it should be longer. Though much depends upon what the actual case suggests, and upon what the audience present before you show that they not only endure, but even desire.*⁸

Secondly, the purpose of FCI was to encourage Deogratias to be enthusiastic about his work as a deacon and not to be dismayed because of his short - comings and failures.

Contents: The FCI is divided into two parts. The first part is the theory of catechesis. It consists of fifteen chapters. Chapters sixteen to twenty seven constitute the second part which deals mainly with the practice of catechesis.

Salvation History: - Augustine talked about what should be taught when catechizing. According to him, the whole economy of our salvation history should be the subject matter of catechesis. This means that the catechist must begin from God's dealings with people from creation of the world to the present period of Church history. To this should be added the Church's doctrine on the last things of human beings. Catechumens should also be instructed on temptation and scandals that they are likely to face during their catechumenate and on becoming Christians. According to Augustine, this ought to be presented "in a general and comprehensive summary, choosing certain of the more remarkable facts that are heard with greater pleasure and constitute the cardinal points in history."⁹ Nonetheless, the catechist *ought not present (these) as a parchment rolled up and at once snatch them out of sight, but we ought by dwelling somewhat upon them to untie, so to speak, and spread them out of view, and offer them to the minds of our hearers to examine and admire.*¹⁰

Love of God: Augustine, in giving the subject matter of what to teach, put strong emphasis on the love of God.¹¹ He admonished the catechist to have this in mind all the time and it should be the motivating factor in doing catechesis -

*with this love, then set before you as an end to which you may refer all that you say, so give all your instructions that he to whom you speak by hearing may believe, and by believing may hope, and by hoping may love.*¹²

Motive of the candidate: Augustine taught that candidates should be screened so as to know their motives in desiring to become Christians. If they were becoming Christians in the hope of deriving some benefit or to escape from an injury from people whose displeasure or enmity they dread, then in reality they did not want to become Christians. If they were becoming Christians out of fear of God, then they were to be instructed on the love of God. On the other hand, if they were becoming Christians because they desire true rest and true happiness, then they were to be instructed to raise their hopes from things that perish and pass away and place them in the Word of God; so that, cleaving to that which abides forever, they may also together with it abide forever.¹³

Exhortation: Augustine offered great encouragement to Deogratias to do his catechesis with enthusiasm in spite of his inadequacies. For Augustine, many a time teachers underestimate the great impact that they have on their students because teachers are always after perfection,

But as regards your reflections on your own case, I would not have you be disturbed because you have frequently seemed to yourself to be delivering a worthless and wearisome discourse. For it may very well be that it was not so

*regarded by him whom you were endeavoring to instruct to have something better for your hearers, on this account what you were saying did not seem worthy of other's ears.*¹⁴

Augustine offered himself as an example to Deogratias. He said that many times the eagerness of those who desire to hear him showed him that his discourse was not so dull as it seemed to him. From the enjoyment too which they manifested, he could gather that they had received some benefit from it even though he might feel unworthy.¹⁵

Style: It is worth noting that Augustine did not have one style of educating. His pedagogy was always adapted to the audience. So he wrote to Deogratias,

*It likewise makes a great difference, even when we are speaking under these circumstances, whether there are few present or many; whether learned or unlearned, or mixed audience made up of both classes; whether they are townfolk or countryfolk, or both together; or a gathering in which all sorts and conditions of men are represented.*¹⁶

Augustine's pedagogy of the educated was different from that of the uneducated. With regard to the educated, Augustine said that we must be brief and not dwell with annoying insistence upon things which they know, but, with discretion, touch lightly upon them.¹⁷ However, the catechist should find out what books they had read. If these books were written by Catholic writers of note, then the catechist should give approval of them. On the other hand, if the authors were considered heretics by the Church, then the catechist must earnestly instruct the one, setting before the one, the authority of the universal Church and that of other most learned people renowned for their disputations and writings concerning the truth of the Church's teaching.

On students from schools of grammar and rhetoric, Augustine had this to say, *when, therefore these men, who seem to surpass all other men in the art of speaking, come to be made Christians, we ought to convey to them more fully than to the illiterate an earnest warning to clothe themselves in Christian humility, and learn not to despise those whom they know as shunning more carefully faults of character than faults of diction; and also that they should not even presume to compare with a pure heart the trained tongue which they had been wont even to prefer.*¹⁸

Augustine, no doubt, was speaking from personal experience. For being a Rhetorician himself and having lived that kind of life before, he knew that knowing God was completely different from knowing about God. Secondly, he knew that students from schools of Grammar and Rhetoric tended to be proud and looked down on others who were not as smart as themselves.

In teaching, Augustine pointed out that the comfort of those being taught should be taken into consideration so as to make learning more enjoyable. He said to Deogratias

*It often happens, too, that one who first was listening glad becomes exhausted either from listening or standing, and now opens his mouth no longer to give assent but to yawn, and even involuntary gives signs that he wants to depart. When we observe this, we should either refresh his mind by saying something seasonal with a becoming liveliness and suited to the matter under discussion, or something calculated to arouse great wonder and amazement, or even grief and lamentation.*¹⁹

Augustine emphasized narration as preferred pedagogy. Nonetheless, he did not mean catechizing to be just an intellectual or academic exercise. The catechist must allow the catechumens to examine and admire whatever they have been taught.

Augustine's style of educating people can be summarized in these words,

And since the same medicine is not to be applied to all, although to all the same love is due, so also love itself is in travail with some, becomes weak with others; is at pains to edify some, dreads to be a cause of offense to others; is gentle to some, at stern to others; and enemy to none, a mother to all.²⁰

The Relevance of the First Catechetical Instructions Today

Even though Augustine's FCI was written about thousand six hundred years ago, there are many things that we can retrieve as religious educators when educating Christians today.

(a) Christians as a community: One cannot become a Christian and live an individual private life. To be a Christian is to belong to a community. The Christian community has an identity. To be identified with the Christian community, one has to know the history of the community. It is for this reason that Augustine pointed out that the subject matter of catechetical instructions should include our salvation history which begins with the creation of the world to the coming of Christ, without excluding the doctrines of the Church. Luther had the same concerns in his days when people supposed to be Christians did not know their catechism and so he complained -

although the people are supposed to be Christians, are baptized, and receive the holy sacrament, they do not know the Lord's Prayer, the Creed, or The Ten Commandments, they live as if they are pigs and irrational beasts.²¹

I think as Christians of today, we cannot neglect our past. Knowledge and wisdom of our past history that identify us as a Christian community should be made accessible to catechumens, though with historical consciousness, we must unlearn certain things like patriarchy and the subjugation of certain classes of people.

(b) Motive of the candidate: I think Augustine's scrutiny of candidates to know why they were becoming Christians is still relevant today. People (grown - ups) should become Christians out of their own volition and not out of compunction. They should become Christians, not for any earthly benefits or out of fear of God. Rather, as Augustine said it has to be because they want true happiness and true rest. Searching for the motive of the person to become a Christian can be seen today in the stage of the scrutinies during the Rite of Christian Initiation of Adults (RCIA).

(e) Exhortation of catechists: Catechists need to be motivated and encouraged today just as Augustine encouraged and supported Deogratias in spite of his failures and inadequacies. That is the only way that catechists can do their work with enthusiasm. Without enthusiasm in doing catechesis, the catechist can burn out easily in less than no time.

(d) Student - centered pedagogy: I like *very* much Augustine's student - centered approach in educating people in faith. This does not mean that the discipline of contents should be neglected. Rather, it is the student who becomes the subject or the main focus of the education process. The education process is to enable the student to learn what he/she needs in order to have a better life and to have a better relationship with others. As people from all walks of life desire to become Christians today, the catechist cannot use the same approach for everyone. As Augustine suggested, the discourse needs to be adapted to the audience. This suggestion to Deogratias is still relevant today.

Conclusion

Augustine is one of the great teachers of the Church. Despite the harsh criticisms levelled against him today by people like Elaine Pagels,²² I think that as a religious educator,

Augustine has something to teach us as we educate Christians today. After all we must be careful not to throwaway the baby with the bath water.

Notes:

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Augustine, *The First Catechetical Instruction*, Joseph P. Christopher trans. (Westminster, Maryland: The Newman Bookshop, 1946), p. 49

Ibid. p. 83, Ibid. p. 18, Ibid. p. Ibid. p. 21 Ibid. p. 24 Ibid. p. 53 Ibid. p. 14 Ibid. p. 16 Ibid. . 50 Ibid. p. 30 Ibid. p. 33 Ibid. p. 44 Ibid. p. 51

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THE PREDISPOSING FACTORS, CONSEQUENCES AND COPING STRATEGIES OF INFERTILITY IN MALES AND FEMALES IN KISUMU DISTRICT, KENYA

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Abstract

Infertility is a major problem that affects families in Kenya. In Kisumu district, high prevalence rate of infertility and the desire to depart from over-emphasis on fertility studies are the primary reasons for the study. The study aimed at establishing the level of knowledge on the meaning of infertility and assessing the socio-cultural beliefs and practices that predispose people to infertility. In addition, the research focused on the consequences of infertility besides examining the coping strategies used by persons suffering from infertility. A descriptive research was used to describe characteristics of events and experiences of couples faced with the consequences of infertility. Thereafter, the data was organized, tabulated, interpreted and described. Similarly, the study relied on a mixed method design which involves intergrating both qualitative and quantitative techniques. In particular, the study employed the use of semi-structured questionnaires to gather information from 200 respondents. Six Focus Group Discussions (FGDs) comprising of 10-12 individuals were conducted. Admittedly, the study revealed that although people in Kisumu district accord great significance to childbearing, they have low level of knowledge on the meaning of infertility, predisposing factors and appropriate treatment options. Infertile couples and individuals suffered socially, psychologically and economically. For instance, high cost of treatment was reported as a major economic challenge, and failure to raise huge amounts of money for diagnosis and treatment fueled adoption of medically unproven coping strategies. Socially, infertility poses serious threat to marital stability among childless couples. Issues of social isolation and stigmatization were also reported by the respondents as common phenomena. Few individuals especially who recognized infertility as a biological disorder sought medical treatment in health centres while majority relied on traditonal interventions. Establishment of infertility policy and improvement in diagnosis, treatment, education, counselling and foster care services are recommended in addressing consequences of childbearing problems in Kisumu district. The study concludes that several factors predispose couples to infertility and that infertility is nolonger an urban phenomenon, nor is it confined to women only.

Keywords: Infertility, Predisposing, Consequences and Coping, Kisumu

Background

sWith the increase in cases of infertility in Kenya, Kisumu is one of the worst affected by the condition. This has prompted researchers of Anthropological to categorize factors associated with infertility into traditional and natural classes. The former may be classified into personalistic (human) or mystic factors (Janzen, 1981; Gerrits, 1997). Personalistic factors include the inability to procreate as a result of witchcraft and other spiritual problems. Naturalistic infertility involves a close association between modern or biomedical factors, and traditional factors (Gerrits, 1997).

Lukse and Vacc (1999) posit that the term barren conveys the potent emotional toll that failure to produce children exerts on couples. Worldwide, statistics show that between 8 and 12 percent of couples suffer from infertility or the inability to conceive a child, at some point during their reproductive lives (Reproductive Health Outlook, 1999). According to a more recent yet shocking statistics is that one out of six couples face infertility related complications worldwide (Pittman, 2013) while one in every four couples in developing countries is estimated to be affected by involuntary infertility (WHO, 2013). A vast number of studies on reproduction reveal that women worldwide bear the major burden of infertility (Inhorn and Van Balen 2001; Van Balen and Trimbos-Kemper 1993). Inhorn (1994) and Van Balen (1995) add that infertility has social consequences for both the female and the male. Such consequences are more grave in non-Western settings, than in the Western World. As one woman struggling with infertility explains:

Infertility challenges everything ... your beliefs about yourself, about what's important about marriage, about what is fair and just. Being infertile makes you question the purpose of marriage and life.....nothing is left unaffected by this experience...Being infertile changes everything (as cited in Daniluk, 1997, p 103)

The total number of new cases of infertility reported in New Nyanza General Hospital since May 2007 to December 2008 were 839 (GoK, 2008). Kisumu District gynaecological records reveal that between 2006 and 2008 there were 484 reported fertility problems (KDH, 2008). Among these women, 290 were from Kisumu District 60%, 77 from Siaya 16%, 48 from Bondo 10%, 34 from Nyando 7 %, and 15 from outside Nyanza 3% (KDH, 2008). About three years later, the Kenyan Demographic Health Survey (KDHS) report released for 2008-2010 stood at a total of 862 new cases of infertility (KNBS and ICF Macro, 2012).

The problem of infertility is compounded by the fact that the health sector in developing countries is underdeveloped, and mainly targets basic primary health care. As a result, a lot of attention is given to the reduction of maternal and infant mortality, and the promotion of family planning usage. The great disparity between rural and urban health provision, is yet another factor that hinders infertility treatment (Bergstrom, 1992). While urban areas enjoy relatively better reproductive health services, rural areas lack basic health facilities and services. The situation is further made worse by the fact that many health practitioners prefer not to work in such remote areas. Bergstrom (1992) adds that in many rural areas of developing countries, women are exposed to the problem of excessive infertility and this confirms that infertility is indeed a major social and healthcare problem. In an attempt to clarify the difference between health provision in rural and urban areas, and in seeking to understand the points of divergence or convergence between the two unique areas, Mariolis et al.(2008) concluded that urban residents have varying health needs. This point justifies the reasons for selecting particular Public Health Centre (PHC) units in rural areas for the study. In addition, Mariolis et al.(2008) argue that proximity to health services and the public character of the urban health centre seem to be the main advantage of urban areas in so far as infertility treatment is concerned.

Statement of problem

In general, studies on reproductive health in developing countries over-emphasise fertility issues and family planning methods at the expense of infertility issues which are left untouched. This has inherently led to a gap in the reproductive health literature since few or no studies target socio-cultural issues associated with infertility within the communities. That notwithstanding, a couple of Kenyan government health reports disclose a widespread concern about a possible decline in male and female fertility in many parts of Kenya. The sources of the statement of problem in this study included personal interaction with people as well as nuances and anecdotes from the people in Kisumu District. The District has one of the highest prevalence of infertility and this is confirmed by the latest figure on infertility for 2011-2012 in Kisumu District which reveals that there were 261 new cases of infertility, 145 in Winam, 100 in Kadibo, 11 in Maseno and 5 cases in non Kisumu regions including Bondo, Kabondo and Mombasa (KDHS, 2012). An extensive literature review revealed loopholes both in methodological approach and in the coping strategies with infertility. Finally, previous infertility studies have mainly focused on females hence raising a lot of questions with regard to males.

Research objectives

The study sought to establish the level of knowledge on the meaning of infertility, to assess the socio-cultural beliefs and practices that predispose people to infertility, to find out the consequences of infertility and to examine the coping strategies used by persons suffering from infertility. By addressing the objectives, the study adds to the knowledge on infertility besides informing policy decisions.

Literature review

The World Health Organization (WHO, 1994) (as cited in Rowe, Comhaire, Hargreave, and Mellows, 1993) recommends modifying the clinical infertility definition for use in epidemiological research as follows: "The absence of conception in 24 months of regular unprotected intercourse." WHO proposed to extend the period of trying to get pregnant from 12 to 24 months, because it had been found that many couples who did not get pregnant in a period of 12 months, did eventually get pregnant without treatment. Although there is little information in developing countries on infertility, the World Health Organization (WHO) reports that infertility is a public health issue worldwide. It poses a major challenge to those involved in its treatment and assisted reproduction (Vayena, Rowe, and Griffin, 2001). It is estimated that over one billion women aged between 15 and 49 years were in marriage or in consensual unions as per by the year 2006. This included 122 million women in less developed countries (Boivin et al, 2007). Within the same category were 72 million women aged between 20 and 44 years living in marriages or in consensual relationships, and suffering from infertility. Of these women, 40 million were likely to seek health services for the management of infertility, while 32 million will not, due to the stigma attached to it. Out of the estimated 40 million women suffering from infertility, only 12 million accessed treatment (Boivin *et al*, 2007).

It is estimated that 15% of Kenyan men and almost a fifth of Kenyan women have infertility related problems, according to the recent statistics from the University of Nairobi, while most people do not know their fertility status (Muhoro, 2012). In Nyanza Province, the Kenyan Demographic Health Survey (KDHS) report released for 2008-2010 stood at a total of 862 new cases of infertility (KNBS and ICF Macro, 2010). According to the latest figure on infertility for 2011-2012 in Kisumu District, there were 145 cases in Winam, 100 in Kadibo, 11 in Maseno and 5 cases in non Kisumu regions including Bondo, Kabondo and Mombasa (KNBS and ICF Macro, 2012).

On a more specific note, infertility services are mainly offered at Kenyatta National Hospital and Nairobi Hospital. These hospitals are located in the city centre, out of reach of the rural poor. The Kenya Vision 2030 that envisages a high quality life by the year 2030 may not be attained if the country does not invest heavily in reproductive health services, which are equitably distributed the country over. For instance, there is need to decentralize infertility services from urban centres to remote parts of the country. In addition to that, there is an urgent need to research on the socio-cultural issues that impede on the reproductive health of members of the community. Such findings can be used to integrate biomedicine and traditional medicine, with the intention of ensuring a quality life for all Kenyans.

In Mombasa, Kenya, an IVF centre was created in 1995, and nearly 50 patients had attended by early 2003, according to an obstetrician/gynaecologist from Mombasa's Coast General Hospital. At a regional obstetrical conference, he reported that 19 of the patients seen at the IVF centre had conceived with the help of simple ovarian stimulation, and two babies have been born using IVF (Kibwana, 2003). Child fostering is another coping strategy which is really effective, it is reported to be wide spread in various parts of West Africa. Child fostering in Gambia especially has been identified to be of high percentages. Adoption and fostering therefore give infertile couples a chance at parenthood. This also solves two problems at once; not only for the infertile couples but also for the children who would have lived their childhood years without parental love. However, others consider adoption as an act that is less valuable and incomparable with biological parenthood, arguing that the adopted children cannot be real children for adopters due to their felt needs of biological generational continuity (Aseffa, 2011).

In terms of Theoretical Framework, Menning (cited in Schlossberg, Waters, and Goodman, 1995) proposed the life crisis theory of infertility similar to the grief model used with dying patients and their families. He believed in his Life-Crisis Theory that life crisis was as a major negative social setback. Proponents of this theory believe that infertility can increase anxiety and stress and negatively affect life coping skills of a woman (Schlossberg, Waters, and Goodman, 1995). While the life crisis theory postulates that successful resolutions depend on an individual's resources, the biopsychosocial theory illuminates the consequences of infertility over a period of time and across family relationships. The conceptual framework that fitted this study was the one associated with the symbolic interaction perspective. This conceptualized framework analysed the individual's action in relations to others besides capturing meanings of different phrases and sentences used by those affected by infertility.

Methodology and data

The study design

To pursue the study objectives, the study adopted a descriptive research design. Research design is simply as a blueprint or a detailed plan of how the study is going to be conducted. According to Messah and Kigige (2011), a research design is a programme to guide the researcher in collecting, analyzing and interpreting observed facts. Drawing on methodological best practice of previous work, the study adopted an integrated study approach/design. It utilized a descriptive research that focuses on issues in the lives of people reporting inability to contribute to conception, and how they relate with community members. Mixed method research was used to avoid the bias inherent in any single method and to describe responses surrounding the four main research questions. The decision to adopt a mixed methods strategy was also based on the fact that it "allows a wider, or more complete, picture to emerge than that presented by single methods work alone" (Williamson 2005:9). Thus, the use of quantitative methods integrated with qualitative approach mainly through semi-structured, in- depth, individual interviews and focused group discussion provided

another avenue to gather rich data whereas the use of quantitative information had a complimentary role of adding precision and clarity to words (Kraska and Neuman 2008). This study adopted the use of two sampling techniques namely purposive and stratified sampling techniques. Purposive sampling, also known as 'judgmental or theoretical', is a non-probability sampling strategy which involves the conscious selection and sampling of certain elements or subjects from a pre-specified group (Trochim, 2000) or "information-rich cases (Webb and Doman, 2008).

The semi- structured questionnaire examined issues ranging from the knowledge of infertility, its associate causes, consequences, and its management options within Kisumu District. This data collection technique targeted all the 200 respondents, who were asked to complete a set of 49 open-ended and close-ended questions. Open-ended interviews provided an opportunity to gain insights into the dynamics of infertility and the experience of the group. In addition, the researcher was able to assess the subtle interaction between an individual woman's behaviour and the larger social context.

In order to match the characteristics of preferred participants in FGDs, selection was also based on the following eligibility criteria: (i) Individuals or couples who had been trying to get pregnant for 1 year, (ii) at least 1 year of regular unprotected intercourse with at least one partner without conception after previous pregnancy (iii) experiencing childbearing problems at the time, and (iv) ages ranged from 20-44 years (v) living in the Kisumu District (Winam, Kombewa, Maseno and Kisumu town) (vi) sexually active, where being sexually active is defined as having had sex at least once in the last 2 weeks (vii) Willing and able to give written informed consent. Thus the technique enabled the researcher to involve households and key informants that included health practitioners, herbalists and TBA.

The researcher selected purposively 6 FGD composed of between 8 to 12 members: Out of this, 3 FGDs comprised exclusively women while the other 3 was composed of male participants. In total 6 FGD were selected purposively based on gender, locations and experiences of childbearing problems as well as health seeking behaviours at Rabuor (Winam), Kombewa (Kisumu Rural), Joel Omino (Kisumu Town) and Maseno health centres. Other FGD participants were selected based on information from the community members and due to the fact that they were qualified to provide key information needed for the study.

The Study Site

Kisumu District is the capital of Nyanza Province. The District is faced with high maternal and child mortality rates among many other health challenges. Other health related challenges in the District include high rates of malaria and HIV prevalence, poor staffing of health workers and rundown medical infrastructure. Kisumu District is also one of the leading Districts in Kenya with high prevalence of infertility, which for a long time has been an issue that is mostly blamed on women. Figure 3.1 illustrates the differences in prevalence within the research sites.

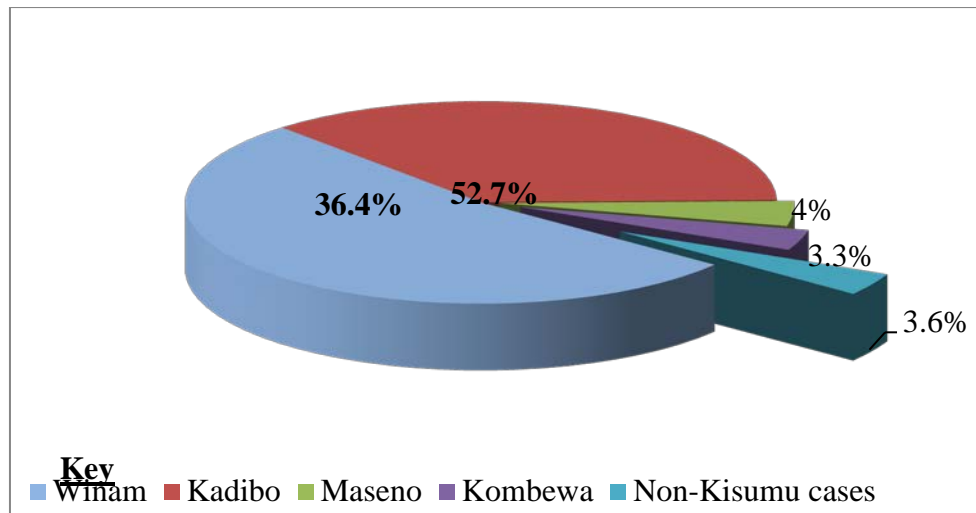


Figure 3.1: Kisumu District Infertility Statistics

Source: Kisumu District 2008-2012 Infertility Records

From the figure, it is clear that Kisumu District has the highest infertility rates as compared to non-Kisumu areas. Kadibo has relatively high rates of infertility and is closely followed by Winam 36%, while Maseno has 4%, Kombewa 3.3% and the rest 3.6% comprise of non-Kisumu cases including Kabondo, Bondo and Uyoma. The higher rates of infertility can be attributed to the frequent infection of reproductive organs and negative socio-cultural practices. Kisumu's main industrial activities include subsistence agriculture, trade and fishing in Lake Victoria. This study adopted the use of two sampling techniques namely purposive and stratified sampling techniques. Purposive sampling, also known as 'judgmental or theoretical', is a non-probability sampling strategy which involves the conscious selection and sampling of certain elements or subjects from a pre-specified group (Trochim, 2000) or "information-rich cases (Webb and Doman, 2008).

Data Analysis

In analysing data obtained from the questionnaire, the correlation and multivariate model was used to examine the association between different variables for instance socio-cultural factors namely premarital sex, slap with a ring, having sex with older women, vow never to have a child and socio-economic status, as well as education. A multivariate logistic regression was then used to determine the collective associations of the various variables as mentioned above.

The study adopted discourse analyses informed by the respondents written narrations to ensure that themes were identified by reading and re-reading the texts of each interview. Hence the researcher utilised discoursed analysis to illuminate how words, description(s), and metaphors were assembled to form discourse that socially constructs a concept such as infertility and societal realities. For instance, when some respondents were asked to explain the consequences and the coping methods used in handling infertility in their lives and a male FGD had the following to say:

*Take it easy – take it easy -you're worrying too much.
Don't think about it, and then it'll happen on its own.
You're trying too hard.
Give it time at least-Give it time...
Try to adopt a child.
May be your condition is a blessing from God
(FGD participant, female 34 years, 2011)*

From the text, analysis of the text revealed the frequency of occurrence of certain phrases like “take it easy” and “give it time”. Such repetition revealed is critical in emphasizing the meanings and the importance of the texts. Such discourses enabled the researcher to summarize and compare various expressions from the respondents.

Study findings and discussion

Level of Knowledge on the Meaning of Infertility

One of the major interests of this study was to review how the concept infertility as was understood by the locals and how such understanding compares with the standard definition of infertility given by WHO. WHO defines infertility as a reproductive system failure to achieve a clinical pregnancy after 12 months or 24 months of regular unprotected sexual intercourse. In this study, participants associated infertility to a timeless condition of childlessness, being bewitched and being unlucky. In other words, the respondents view infertility as a condition that can only be confirmed after one year of failed conception. While the Luo community in Kisumu District refers to a woman who has never given birth as *lur* after marriage, the Yoruba calls her *agan*. On the other side, Yoruba calls a woman who is unable to continue giving birth as *idaduro* (Okonofua et al.,1997). This study did not capture a term used by the Luo community to describe a woman who is unable to continue to give birth. The timeline for one to be declared *lur* ranged from one year to many years, the Yoruba viewed *agan* as somebody who could not conceive within a period ranging from one month to five years (Okonofua et al., 1997). However, the two ethnic groups viewed *lur* and *agan* as worse than *idaduro*, more or so if the couples had not managed to sire a male child. In relation to the objective two, both studies concur that the educated had a correct definition of infertility according to World Health Organization.

Correlations of the Different Meaning of Infertility and the Different Determinants

Determinant	Labeling	
	Person r	Sig.
Attribute		
level of education	0.587*	.000

Source: Field survey 2010

The above table shows different labels used to refer to the term infertility as dictated by the level of education where $P=0.000$ a value less than the critical value ($P=0.05$). This confirms the fact that a correlation between the different meanings of infertility and educational status exist, a point that is rightly observed by John Dewey who once defined the term education as ‘business of education might be defined as an emancipation and enlargement of experience’ (1933: 340). The same sentiment is shared by Bulvin (2008) who in his study about infertility knowledge revealed that the more educated respondents often had correct meaning of infertility.

Socio-Cultural Belief and Practices that Predispose Couples to Infertility

On the socio-cultural factor that predispose people to infertility, both the male and the females cited pre-marital sex, witchcraft, vow never have a child and slap by a ring. Other predisposing factors to infertility included being Circumcised, sex with older women, using sperms for rituals and improper handling babies at birth. Certainly all results are less than the critical value ($P=0.05$) and therefore indicates a positive correlation between the infertility and socio-cultural beliefs and practices. Furthermore, women often showed outward emotions easily than men and this was important in expressing their attachment to ideas or issues like witchcraft. One FDG participant remarked that:

“After waiting for sometimes (years) in marriage, I felt desperate and alone, I couldn’t confide in anyone,” she said. “I even started to believe something was wrong

with me, perhaps I was cursed or something, it got to the point that I almost considered going to a native medicine man,” (Female FGD participants, 27 years, 2012)

The close association between women and witchcraft is confirmed by Katz (1994) who asserts that females are generally associated with witchcraft. This view is supported by Dye (2002) studies which associated witchcraft and failure to adhere to cultural taboos to childbearing problems. Similarly, Foster and Anderson, (1978) postulated that the causes of infertility is associated with factors such as people or supernatural beings and forces, like spirits or witches. Dye et al (2004) acknowledge the fact that witches can be engaged by the jealous neighbours, in laws and co-wives to block one's womb. However, Ola (2012) study on the dilemma of infertility among adults in Osun State of Nigeria revealed that most meanings of infertility revolved around their socio-cultural makeup of the community.

Consequences of Infertility

Social Consequences of Infertility

From the study, a total of 65% and 64% of the respondents reported cases of divorce and separation respectively. These findings implied that infertility was a serious threat to the institution of marriage and family stability. Furthermore, most female respondents with unexplained infertility problems were worried about their marriages and many felt their husbands were likely to leave them. A similar finding agreed with that of Feldman-Savelsberg (1994) who found that infertility was a ripe ground for divorce among the Bangangte tribe in Cameroon. Okonofua et al., (1995) noted that infertility was a common reason for the expulsion of the woman from the husband's house, with or without divorce. In fact, among the Ewe and Ashanti of Nigeria, a man or woman who has no child is not considered fully adult and after death buried with no full adult funeral rights (Forster, 1978). Such separation and divorce led to low self-esteem and isolation on the women.

Economic Consequences of Infertility

Poverty was cited as an economic consequence of infertility by many respondents as agreed by a joint 77% of the respondents as opposed to 10% who disagreed with the view. Those who were not sure constituted 14%. Inability to have one's own children meant that a widow would not be entitled to community resources like land and livestock. This confirms the community's strong belief that children were a source of wealth. Further, Luo traditional community believed that when girls were married off then her family was entitled to wealth in terms of animals and so childbearing was viewed as a duty that had to be fulfilled by any normal couple. The study revealed that about 34% of those interviewed were concerned about possibility of less or no inheritance as a result of childlessness while 11% expressed lack of concern with notion on inheritance. This view is consistent with the Luo belief that an individual could only inherit parent's wealth if he had a child or children. About 49% of respondents interviewed indicated that it was difficult to concentrate in one's work due to the fear of losing job. However, close to 24% of the respondents were generally in disagreement with fear factor of losing job. Many respondents expressed their strong desire to have children and other were even willing to sell their properties to solve their infertility situations. In fact, one respondent said that he did not care about what it would cost him to have a child. The respondents interviewed also recounted cases of repayment of bride price, loss of land and sometimes underpayment in the work place due to low performance. Other notable economic consequences of infertility included: selling away of belongings, initiating costly adoption procedures and financial exploitation in the hands of herbalists. The same view is held by Feldman-Savelsberg (1994) who reveals that infertility resulted in women of Bangangte tribe in Cameroon to lose lands allocated to them by their husbands.

Psychological Consequences of Infertility

Although many many predisposing factors to infertility were closely associated with socio-cultural beliefs and practices, its psychological consequences were aggravated by physiological factors. For instance some of the respondents reported physical pain as they underwent various intrusive and invasive coping procedures. During focus group discussions, some respondents reported having felt physically defective due to diminished sense of body image that could not contribute to childbearing. An FDG respondent said “I feel let down by my parents who gave birth to me because they did not ensure that I was born complete”. Such negative feelings had profound effects on the male and the female self-esteem. However, psychological consequences were weakly correlated with infertility. The result may have been contributed to by the fact that many respondents tended to shy away from disclosing their psychological experiences. In addition, this being a study that relied on qualitative techniques, it did not capture much of the psychological consequences of infertility. Therefore, the study finding contradicts Greil et al., (2012) work titled “The Experience of Infertility: A review of Recent Literature” which reveals that many clinical infertility research leads to psychological distress. The next chapter deals with the coping strategies used by couples suffering from infertility.

However, there is a weak correlation between Psychological consequences and infertility. This is enough reason to reject the hypothesis which states that persons suffering from infertility are more likely to experience gendered, social, economic and psychological consequences of infertility. In this study, most couples experienced gendered, social and economic consequences of infertility. However, psychological consequences were weakly correlated with infertility. The result may have been contributed to by the fact that many respondents tended to shy away from disclosing their psychological experiences. In addition, this being a study that relied on qualitative techniques, it did not capture much of the psychological consequences of infertility. Therefore, the study finding contradicts Greil et al., (2012) work titled “The Experience of Infertility: A review of Recent Literature” which reveals that many clinical infertility research leads to psychological distress. The next chapter deals with the coping strategies used by couples suffering from infertility.

Coping with Infertility

The study revealed different modes of coping. For instance, about 10% either sought treatment from herbalists or resorted to prayers, 6% sought support from Self Help Group members, 1% sought solace from dead ancestors, 31% sought support from friends and 23% consulted with their relatives for advice. and others, sought for help from other sources of support (1%) while 17.7% resorted for help from. However, ridicule from friends and relatives posed a great challenge to couples reporting childbearing problems. Couple of respondents appeared to be selective or cautious when confiding with others about their situation. One FDG had this to say:

“In this place I have no relative who can help me, am left alone. I only depend on my friends but anyway they are only friends. For neighbours I think it is better not to tell out. In effect this shows that some are concerned about the privacy”.

(Male FDG participant, 35 years, 2012)

Meanwhile, others got solace from people they worshipped with. Religion offered a very good source of support and coping strategy. It is through such support that one of respondent had this to say:

“In the past I used just to be a church goer but today I am quite a different person. I have witnessed the power of fellowship and sharing with my fellow ‘brothers’ in Christ. I mainly pray for a healthy baby son and believe God is faithful”. (Male FDG participant, 35 years, 2012)

In one research carried out in South Africa, the entire group of women admitted that their faith based beliefs provided them with vital sources of support. However, in a study carried out in Taiwan some respondents adopted avoidance as a coping strategy that ensured emotional stability (Neff, 1994). Similarly, other studies have reported cases where those suffering from infertility admitted having received support from colleagues at work, friends and neighbours (Gerrits, 1997; Mariano, 2004). The same observation was also reported in a South African study where women revealed that their male partners or husbands were generally supportive, understanding, trusting and viewed them as friends.

In conclusion, although there is no confirmed medical evidence on the effectiveness of some of the traditional coping strategies, the strategies were positively associated with infertility as all the levels of significance are less than the critical P value, 0.05. This confirms the hypothesis that persons suffering from infertility were more likely to cope with infertility by seeking social support and were unlikely to visit bio-medicine practitioners. Further, some participants opted for support from church members, relatives, friends and 'others'. The study finding is supported by Wischmann (2008) who found out that couples suffering from infertility often resort informal coping mechanisms like talking to friends, spouse and relatives. In conclusion, all the tests for the three hypothesis were less than critical value $P=0.05$, and therefore indicated positive correlations, and that the respondents often used the four types of coping strategies namely reactive, anticipatory, preventive and proactive coping interchangeably.

Conclusion and recommendations

This study is deeply rooted in key theories, model and methodological considerations. The mixed –method approach to health research was thus progressively expedient and helped achieve respectability in this study. In terms of methodological implications, the use of discourse analysis is reflected in its challenge on the positivists' assumption of one reality out there. In this case, the one reality of failed conception, its consequences and coping strategies according to medical practitioners is challenged by the inclusion of socio-cultural beliefs and practices based findings. The study has elucidated many non-medical factors that predispose individuals and couples to infertility besides exposing numerous consequences of childbearing problems. Both life crisis and bio-psychosocial theories were accepted and used to understand the struggles and ordeals of childbearing problems in rural and urban parts of the District. The life crisis theory illuminated the negative effects of infertility in individuals and couples. For instance, infertility led to mental crisis which expressed themselves in the social, physical and economic spheres of the people. On the other hand, the bio-psychosocial theories were used to fill the gap in the study as far as the dynamic relationship in biological, psychological, and social aspects of predisposing, consequences and coping with infertility is concerned. However, the bio-psychosocial theories excluded financial resources that also play vital role in the access and treatment of infertility. The successful integration both bio-psychosocial and life crisis theories in this study confirms the need to adopt a holistic coping strategies in failed conception. In understanding the coping strategies, the study adopted symbolic interactionism model as proposed by Herbert Mead, Blummer and Cooley, which emphasized the unique characteristic of the human mind in the interpretation of symbols that pertains to the meaning of infertility, consequences and its coping strategies. Finally, the study concludes that several factors predispose couples to infertility and that infertility is no longer an urban phenomenon, nor is it confined to women only. Drawing from the conclusions the study proposes series of recommendations were suggested and therefore point out as follows:

1. In order to fill the gap in knowledge on infertility and shun the existing myths surrounding the subject, there is an urgent need for comprehensive education to the population in Kisumu District.
2. A new discussion fora need to be established in which the entire community can renegotiate the meaning of parenthood with a view to lessening the burden on those reporting cases of inability to conceive
3. There is need for further research on socio-cultural beliefs and practices that can promote and those that hinder health within the community
4. In further pursuit of the issue of socio-cultural beliefs, it is important that reproductive health policies appreciate socio-cultural beliefs that enhance human health
5. Further sensitization, counselling, foster care and awareness are needed so that the childless couples or individuals are not discriminated against.
6. A small portion of respondents reported having conceived upon the use of herbal drugs, meaning that some of the herbal medication may work. More scientific research is needed to ascertain the contents of the herbal drugs.

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FACTORS AFFECTING SAFE SEX PRACTICES AMONG FIRST YEAR STUDENTS AT THE UNIVERSITY OF NAMIBIA: A HEALTH BELIEF MODEL PERSPECTIVE

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Abstract

The aim of the study was to investigate the level of awareness of condom usage among first year's students at the University of Namibia. Data was collected among 578 students within the various disciplines of the university through self-administered questionnaires that tested their knowledge, attitude and beliefs regarding HIV and AIDS. Research assistants were at hand clarifying ambiguities during the completion of the questionnaire. To ensure a good response rate, the researcher arranged with lecturers for students to complete questionnaires during lecture periods. A multi-stage sampling technique was used - in the first instances the number of campuses were purposefully recorded and stratified in accordance with the subjects offered and then students were randomly selected from the various faculties. Data was analysed using SPSS version 21. Results indicate that 80.1 % of the students are using condoms with their partner (s) while 76.3% used a condom during the past 12 month's preceding the survey.

Keywords: Condom usage, Health belief model, theory of reasoned action, theory of planned behaviour, University of Namibia students

Introduction

Usage of condoms is advocated by HIV control programs in reducing the transmission of HIV among those that are sexually active. Condoms are also seen as a fundamental component of comprehensive efforts to control the HIV epidemic within those that know their status and those that do not (Winskell, Obyerodhyambo, & Stephenson, 2011). The 2006-07 Namibia Demographic and Health Survey (DHS) reports condom usage of 64% among women aged 15-19 years and 53% among men in the same age category. This is supported by Mufune (2005) who indicates that 8.9% of sexual active women between 15-19 years consistently used condoms during sexual intercourse. Peltzer (2000) argued that factors affecting condom use include situational, interpersonal and structural knowledge about HIV and AIDS, behavioural intention, perceived susceptibility, perceived barriers, self-efficacy and demographic factors. He further argued that usage of condoms basically depends on target behaviour (safe sex intentions and reasoned action as a planned behaviour in the context of HIV prevention). Literature indicates a traditional model, i.e. health belief model that include the theory of planned behaviour (De Visser & Smith, 2001, Reid & Aiken, 2011,

Heeren, et al, 2009). The Theory of reasoned action (TRA) and the Theory of planned behaviour (TPB) include predictors of behaviour in situations requiring condoms.

Research on the efficacy of the health belief model (HBM) for HIV preventive behaviours indicates that perceived susceptibility, perceived benefits, and perceived barriers are the good predictors of HIV preventive behaviours (Peltzer, 2000). Thus these components of the HBM are crucial in the understanding of attitudes and beliefs about condom use. To this end the TRA suggests that a person's behaviour is determined by his/her intention to perform the behaviour and that this intention is, in turn, a function of his/her attitude toward the behaviour and his/her subjective norms and their perceived behavioural control (University of Twente, n.d.).

The TRA deals with a person's readiness to perform a given behaviour as it is constructed within the ambit of attitude, and subjective norms (University of Twente, n.d.). TPB, although an extension of the TRA, was created to provide a model of how to produce these behaviours and perceived behaviour control was added to it, and constructed in the ambit of attitude, subjective norm and behavioural control (Hankins, French, & Horne, 2000 p152). According to Rashidian and Russell (2012) TRA regards individuals as *rational actors* processing information that translate into intentions and result in behavior.

Attitudes toward behavior (attitude), perceived social pressure (subjective norm), and perceived behavioral control (perceived control) result in the formation of intentions. Intentions are the underlying psychological factor for the formation of behavior, while perceived controls may also contribute to it. Intention is the cornerstone of the TPB, both as a predicted variable and a predictor of behavior, and the strength of intention is the important predictor of behavior (Rashidian and Russell, 2012 p 18).

This paper is not aimed at comparing the ability of HBM, TRA or TPB to explain and predict condom behavior *per se* but instead draws from these health seeking behaviour models (HBM, TRA and TPB). It draws from key elements of these models and argues that behaviour changes are embedded in perceived severity of HIV and AIDS, perceived personal risk of HIV infection, perceived efficacy of condom usage, perceived self-efficacy and perceived social support (Ngome, et al., 2012). The purpose of this paper is to investigate these factors, that we believe effect condom usage among first year students attending a Namibian University. The information as derived will assist the University in making some policy directives that will enhance condom usage among students.

Methods

The population was first year students attending the University of Namibia for the first time. A total of 578 students were interviewed. The study was implemented with the permission of the Dean of Students who acts as custodian of students at the University. A self-administered questionnaire was handed out to students during a lecture period of Social Contemporary Issues, after arrangements with the lecturers in charge of the module. Both the researcher and research assistants were at hand to answer questions students had during the completion of the questionnaire. The normal duration for a questionnaire was close to 45 minutes. After completion, the questionnaire was collected by the research assistants. The analysis of this paper is restricted to 186 (32%) of students who report having on condom use with both current partners and with all partners during the past 12 months. The questionnaire implemented for the study was developed in conjunction with four Southern African Universities¹³⁴. It was pre tested among 53 students (17 male and 36 female) for its

¹³⁴ Centre for the Study of HIV and AIDS, University of Botswana, Programme National Multisectoral de Lutte contre le Sida, DRC, Centre for Applied Social Research, University of Mauritius, Faculty of Health Sciences, University of Swaziland.

readability, understanding and any ambiguity, and the time it takes to complete. The final questionnaire covered a range of topics such as, general characteristics (7 items), general knowledge of HIV and AIDS (5 items), sexual behavior (10 items), condom knowledge and usage (21 items), tertiary institutions (29 items), personal experiences with HIV and AIDS (25 items), and general statements (2 items).

Measurement

Condom use was the dependent variable for the paper. It was captured by the questions: “did you use a condom with your current partner” and “Did you use a condom with all partners in the past 12 months?”

The paper constructed five predictor variables to explain current and or consistent condom usage among students. A positive response for each of the five main predictors’ variables was awarded a score of **1** otherwise **0**. A positive response was an answer conducive to use of condom as a way to reduce sexual and reproductive health problems.

The first predictor was the students’ perceived severity of HIV and AIDS. Two variables were used to determine students’ perception of the severity of HIV and AIDS threat to sexual and reproductive health. Students’ were asked whether there is no life after HIV infection. Secondly, they were asked if an individual diagnosed with HIV has AIDS. The second predictor variable constructed was that of perceived personal risk. Here two variables were included for the analysis. Students’ were asked to indicate their level of risk of becoming infected with HIV in the future. Secondly, they were asked whether being a student places them at greater risk of contracting HIV and AIDS. Perceived condom attributes was the third predictor constructed, and it included three variables. Firstly students’ were asked about their impression of the effectiveness of condom use in preventing sexually transmitted infections (STI). Furthermore, they were asked how they felt about a women carrying condom. Thirdly, they were asked the question - should the femidom (female condom) be made available to students. The fourth predictor - perceived self-efficacy - consisted of two variables. Here students were asked to respond to the questions - what would you do if you wanted to use protection but your partner refused, and secondly they had to respond to a Likert item “most of the time I want to use a condom but often end up not using it” with answers ranging from strongly agree to strongly disagree. The fifth predictor was social support. Here students were asks the question, apart from talking to your spouse/partner and children about HIV and AID do you have any conversations about HIV and AIDS with anyone else.

Analysis

Behavioural changes of students were constructed within the framework of “did you use a condom with, and did you use a condom with all your sexual partners in the past 12 months at the time of the study” was examined using a logistic regression analysis.

Results

Table 1 displays selected frequency distribution of students’ involvement in sex. A total of 186 students’ reported currently having sexual relationship as well as having had sexual relationship during the past 12 months. Just over half of the students reside in the central region. 58.1% of them were female. 35.5% falls in the age category of 19 years or less. With regard to the number of sexual partners, 14% of the students reported currently having more than one sexual partner as well as having had more than one sexual partner over the past 12 months.

Table 5: Percentage distribution of students who had a sexual relationship by selected background characteristics

Background characteristics	Number	Percentage
Region		
Central	98	52.7
North	88	47.3
Sex		
Male	78	41.9
Female	108	58.1
Age		
<=19	66	35.5
20+	120	64.5
More than one sex partner		
Yes	26	14.0
No	160	86.0
More than one sex partner in past 12 months		
Yes	26	14.0
No	160	86.0

Following Ngome., et al, (2012) we investigated five predictors of condom use found in the HBM. These are severity of HIV and AIDS, perceived personal risk, perceived condom attributes perceived self-efficacy and social support. As shown in Table 2, there were a low percentage of students that believed in the severity of HIV and AIDS. Thus 94.0 % of students in this sample said that there is life after HIV infection. Only 6% believed that there is **no** life after an HIV infection, and 10% believed that an individual diagnosed with HIV has AIDS. With regard to perceived personal risk, students at UNAM do recognise the importance of condom usage. Thus with regard to their perceived personal risk 76.1% felt that they are at risk of contracting HIV in the future if they do not use a condom. Similarly, 67.6% felt that being a student and being sexually active puts them at a greater risk of contracting HIV and AIDS if they do not condomise.

Theory of reasoned action (TRA) and theory of planned behaviour (TPB) predict how a person will perform or react to certain behaviours and or barriers to perform such behaviour. Attitudes toward behavior (attitude), perceived social pressure (subjective norm), and perceived behavioral control (perceived control) result in the formation of intentions that ultimately result in condom use behaviour. Thus, in line with TRA/TPB in the context of condom usage we looked at several perceived condom attributes. In particular, we tested students variables such as: belief that condoms are effective in preventing STIs, perception that it is acceptable for women to carry condoms, and that femidoms should be made available to students (Table 2). More than half of the students (67.2%) believe that a condom is effective in preventing a sexually transmitted disease. Almost all the students find it acceptable for women to carry a condom (94.9%). Possession of a femidom also seems to be very acceptable (84.8%).

Self-efficacy was constructed as a tool for behaviour change. Derived from the Social Learning Theory of Bandura, it suggested a high level of perceived behaviour in an individual as oppose to an individual with a low self-efficacy (Barkley & Burns, 2000) is important for change. Two questions asked students with regard to self-efficacy (refusing to have sexual intercourse if partner not willing to use condom and disagreeing to the statement that 'most of the time I want to used use a condom I often end up not using'). With regard to the former 88.8% are of the opinion that they might refuse to have sexual intercourse if no protection is used and 81.0% disagreed with the statement that "most of the time I want to used use a condom I often end up not using".

Evidence from the study show that students' with regards to social support are willing to discussed HIV and AIDS. 86.6% discussed matters with their spouse or partner, and at most 82.9% do have discussions with other people besides their immediate family.

Table 6: Percentage distribution of the selected variables indicating a positive influence of construct behaviour

Respondents Characteristics/positive Responses	Frequency	
	Number	Percentage
Severity of HIV and AIDS to health		
Believes that there is life after HIV infection	171	94.0
An individual diagnosed with HIV has AIDS	19	10.9
Perceived Personal risk		
Perceives being at risk of being infected with HIV in the future	134	76.1
Concerned that being a student places one at greater risk of contracting HIV and AIDS	117	67.6
Perceived Condom Attributes		
Believes that condoms are effective in preventing STIs	117	67.2
Acceptable for women to carry condoms	169	94.9
Femidoms should be made available to students	156	84.8
Perceived self-efficacy		
Can refuse to have sexual intercourse if partner not willing to use condom	150	88.8
Disagree that most of the time I want to use a condom I often end up not using	145	81.0
Social Support		
I talk to my spouse/partner about HIV and AIDS	155	86.1
I have conversations about HIV and AIDS with other people besides my immediate family	150	82.9

Use of condom with current sexual partner

Out of the 186 students with sexual relationships, 88.5% reported use a condom in their sexual encounters. Bivariate analysis shown that sexual encounter was significantly associated with the younger students i.e. younger students are more likely to condomise than older students. Table 3 shows that male students are less likely than female students to use a condom in their sexual encounter ($p=0.195$). Students from the northern region (mostly rural) are also less likely to use a condom in their sexual relationship ($p=0.856$). These results are however not significant.

Table 7: Percentage distribution of selected characteristics and current used of a condom

Current condom use with sexual partner			
Background Characteristics	Used (%)	Not Used (%)	Total (N)
Region			
Central	80.6	19.4	98
North	79.5	20.5	88
χ^2 p-value	0.856		
Sex			
Male	75.6	24.4	78
Female	83.3	16.7	108
χ^2 p-value	0.195		
Age			
≤ 19	87.9	12.1	66
20+	75.8	24.2	120
χ^2 p-value	0.049		
More than one sex partner			
Yes	88.5	11.5	26
No	78.8	21.3	160
χ^2 p-value	0.250		
More than one sex partner in the past 12 months			
Yes	80.8	19.2	26
No	80.0	20.0	160
χ^2 p-value	0.927		

Use of a condom in the past 12 months

Findings from the study show that 73.1% of students reported that they have used a condom consistently with their sexual partner during the past 12 months. There is again consistency with regards to the younger students' and condom use with sexual partner during the past 12 months. This is significant ($p=0.017$). Female students' seems not to be consistent with the use of condoms during the past 12 months ($p=0.875$). The northern region report inconsistent use of a condom over the past 12 months ($p=0.950$). These results however are not significant (see table 4).

Table 8: Percentage distribution of selected characteristics by condom use 12 months ago

Condom use with sexual partner in the past 12 months			
Background Characteristics	Used (%)	Not Used (%)	Total (N)
Region			
Central	76.5	23.5	98
North	76.1	23.9	88
χ^2 p-value	0.950		
Sex			
Male	76.9	23.1	78
Female	75.9	24.1	108
χ^2 p-value	0.875		
Age			
<=19	86.4	13.6	66
20+	70.8	29.2	120
χ^2 p-value	0.017		
More than one sex partner			
Yes	80.8	19.2	26
No	75.6	24.4	160
χ^2 p-value	0.567		
More than one sex partner in the past 12 months			
Yes	73.1	26.9	26
No	76.9	23.1	160
χ^2 p-value	0.673		

Multivariate Logistic Regression analysis

The two models presented in Table 5 include the predictors- severity of HIV and AIDS to health, perceived personal risk, perceived condom attributes, perceived self-efficacy, and social support. Model 1 predicts **current condom use** while model 2 predicts **condom use in past 12 months**. Only one component in model 1 is significant. This is under perceived self-efficacy (disagree that most of the times I want to use a condom I often end up not using it). The odds of current condom use for persons that disagree that "most of the times I want to use a condom I often end up not using it" is higher than those who disagree to the statement (OR=.166 $p<0.004$).

Several components in Model 2 are significant. They pertain to perceived self-efficacy, social support and age. The odds of condom use in the past 12 months for students that disagree that "most of the times I want to use a condom I often end up not using it" are higher than those who disagree to the statement (OR= .111 $p<0.000$). The odds of condom use in the past 12 months for students that talk to their spouse/partner about HIV and AIDs are much higher than those that do not (OR=.189 $p<0.040$). Similarly, The odds of condom use in the past 12 months for students that disagree that are younger are much more than for older students (OR= 3.752 $p< 0.048$) (see Table 5).

Table 9: Odds Ratios of the likelihood of currently using a condom and of using a condom in the past 12 months

Respondents Characteristics/Positive Responses	ODD Ratios	
	Current Condom use	Condom use past 12 months
Severity of HIV and AIDS to health		
Believes that there is no life after HIV infection	.370	.219
An individual diagnosed with HIV has AIDS	1.561	.405
Perceived Personal risk		
Perceives being at risk of being infected with HIV in the future	1.139	.764
Concerned that being a student places one at greater risk of contracting HIV and AIDS	.595	1.047
Perceived Condom Attributes		
Believes that condoms are effective in preventing STIs	1.185	1.492
Acceptable for women to carry condoms	.065	.041
Femidoms should be made available to students	2.719	.844
Perceived self-efficacy		
Can refuse to have sexual intercourse if partner not willing to use condom	.972	.490
Disagree that most of the time I want to use a condom I often end up not using	.166**	.111***
Social Support		
I talk to my spouse/partner about HIV and AIDS	1.073	.189*
I have conversations about HIV and AIDS with other people besides my immediate family	1.237	.109
Control Variables		
Region	.957	.834
Sex of respondent	.370	1.503
Age of respondent	1.226	3.725*
More than one sex partner currently	3.383	1.061
More than one sex partner in past 12 months	2.350	5.182
Predicted correct percentage	84.0	83.2
-2 log likelihood	97.687	105.777
(N)	(131)	(131)

*Significant at $p < 0.05$; ** $p < 0.01$, *** $p < 0.000$

Conclusion

Modern HIV and AIDS control programs advocate for the use of condoms in reducing the transmission of HIV among those that are sexually active. Condoms are also seen as a fundamental component of comprehensive efforts to control the HIV epidemic within those that know their status and those that are not (Winskell, Obyerodhyambo & Stephenson, 2011). As argued by Chirimhana (2012) certain behaviours will result in the prevention of infection with STIs. Condoms are seen as an important method of safe sexual practices. More than half of the students agree that condoms are effective in preventing STI's. Close to 94.9% find it acceptable for women to carry a condom. While 84.88% agree that femidoms should be available to all students.

Two distinct traditional models, i.e. health belief model and theory of planned behaviour explain usage of condoms (De Visser & Smith, 2001; Reid & Aiken, 2011; Heeren, et al, 2009). Peltzer (2000) in particular lists factors affecting condom as ranging from interpersonal and structural knowledge about HIV and AIDS, behavioural intention, perceived susceptibility, perceived barriers, and self-efficacy to demographic factors. It is in this context that we identified factors affecting current condom and predictors of condom use within the past 12 months. The percentage of condom use among students was very high.

Results of the study did show that younger students are more likely to use condoms as opposed to older students. This is supported by literature (e.g. Chandran et al., 2012) that participants who are young were more likely to use condoms compared to elderly unmarried to married Africans. Multivariate analysis failed to support region and sex of respondent as meaningful factors in condom use. Age of respondent was a significant predictor of both current condom usage and condom use over the past 12 months.

Attitude is mostly described as a tendency to impute positive or negative evaluation to a certain type of behaviour (Jonas, Broemer & Diehl, 2000) and this might result in an intention to behave in a certain manner (Reid & Aiken, 2011). Students in this sample showed some attitudinal ambivalence (low percentage of severity of HIV and AIDS to health, i.e. can survive; two thirds had a perceived personal risk; two thirds thought that condoms are effective; perceived self-efficacy was high and social support was high). *In summary: students believe in their own capability to protect themselves against HIV infection and do not perceive HIV and AIDS as a severe threat to their health (terminal illness) and most of them can talk openly about HIV and AIDS to someone they know. However, two thirds believe that being a student places them at greater risk and a third are not convinced condoms are an effective preventative measure (28% reported that a condom had broken during sexual intercourse). So it seems that student's awareness and knowledge of HIV/AIDS is not the problem, but perhaps advice concerning correct condom use would be helpful.*

The results of this study supports some key elements of the Health Belief and TRA/TPB models that indicate behaviour changes are embedded in perceived severity of HIV and AIDS, perceived personal risk of HIV infection, perceived efficacy of condom usage, perceived self-efficacy and perceived social support. In particular there is support for the importance of self-efficacy and social support in condom usage. With regard to social support, Genberg et al., (2008) say that personal experience with HIV and AIDS is related to individual behaviours that can conform or not conform to societal social norm. Multivariate analysis results indicated that talking to spouse/partner about HIV and AIDS (social support) enhances condom use. Self-efficacy is a personal belief in our capabilities to execute some course of action (Artino Jr, 2012). Findings indicate that students who disagreed with the statement that "most of the time I want to use a condom I often end up not using" used condoms more (81%). This is in line with the self-efficacy element.

In conclusion University of Namibia policy makers should take into account the age of students, personal efficacy and social support in enhancing condom usage among students.

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BURNOUT SYNDROME IN INTENSIVE CARE UNIT NURSES IN ZIMBABWE

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Abstract

Introduction Professional burnout is a unique type of stress syndrome that is characterized by emotional exhaustion. It leads to loss of energy and interest in one's job. According to literature review the hardest hit by burnout are the service providers like nurses, counselors and police officers. When a professional is affected by burnout they feel drained and used up and have little desire to return to work the next day. This problem is specific to the work context. It is generally perceived that Intensive Care Nurses are particularly exposed to burnout since they literally deal with life and death situations most of the time.

Purpose of the Study The purpose of this study was to investigate burnout and its associated factors on nurses working in Intensive Care Units in some major hospitals in Zimbabwe.

Methodology A descriptive study was conducted. The researchers gathered data directly from participants for the purposes of studying attitudes, characteristics, interactions of individuals in their natural setting. Descriptive research gives detail of a situation or phenomenon. In this study information was obtained from nurses working in intensive care units at selected three major hospitals in Zimbabwe.

Results Of the 23 participants, three were male and twenty were female. Eighty percent of the participants had less than five years working experience in ICU as more experienced personnel had migrated to the Diaspora in search of greener pastures. Only five nurses out of twenty three were ICU trained. Emotional attachment was found to be a contributory factor to burnout. 78% of the Intensive Care Nurses were caring for the dying while 43 % were involved in the end-of-life decisions. 13 % had not gone for vocational leave for the past six months. Spending prolonged periods in the ICU contributed to burnout. Emotional exhaustion with intensity of 39 to 40 % also contributed to burnout.

Recommendations Offer professional counseling services to the ICU nurses on a regular basis. Identify any issues that might be affecting ICU nurses early enough and recommend appropriate remedial action before a fully blown "burnout" feeling develops.

Have rest rooms that are away from the working area to give the nurses a feeling of rest during breaks. Grant compassionate leave on reasonable grounds when the nurse feels he/she cannot cope due to depleted emotional resources. Offer refresher courses and conduct campaigns by highlighting the role of the ICU nurse to the administrators and also the challenges they face. Offer adequate remuneration to try and reduce stress levels.

Keywords: Burnout Syndrome, Care Units, Zimbabwe

Introduction

In this paper, an overview of the research and why it was being conducted is highlighted

The study intended to find out about burnout amongst nurses working in Intensive Care Units (ICU's) in Zimbabwe. The ICU is highly mechanized with many machines that are used to monitor and check progress of the patients. There are artificial respirators used for those not able to breathe for themselves, cardiac monitors, oxygen machines and suction pumps which constantly make noises. The nurse often ends up being on the alert all the time. This can affect them even when they are supposed to be off duty. Burnout is a common problem which can often go unnoticed. Nurses often worry about how they are going to care for their patients without paying attention to their own emotional health. More so in the Intensive Care Unit which is a highly stressful area where the nurse is continually faced with life threatening conditions. Zimbabwe has been facing problems of brain drain due to harsh economic conditions resulting in staff shortages, which have compounded the stressful factors which face the Intensive Care nurse practitioner.

Before the harsh economic conditions, Zimbabwe has been facing recently, the Intensive Care Units used to be well staffed with qualified nurses or highly experienced personnel. In recent years, the bulk of the country's qualified personnel left for greener pastures. This has led to nurse shortages, which in turn leads to overworked nurses. At times the ICU nurse has just completed general nurse training and does not have proper ICU training. These factors above, and the economic hardships in the country can prove to be real stressors for the ICU nurses and can cause burnout.

Due to these stressful conditions, relationship problems with colleagues can result. This kind of nurse requires counseling services and other support services so as to be able to cope with stressful situations.

In most cases when the nurse displays signs of burnout they are mistaken for laziness or being insubordinate and instead of being referred for counseling or given support they may end up being reprimanded for inappropriate behavior.

It is the researchers' hope that in studying about burnout among the intensive care nurses, appropriate measures could be put in place to support the nurses working in these areas.

The economic hardships that bedeviled the country recently have led to a high staff turnover in the country's hospitals. Intensive care units in the hospitals under study have not been spared. Staff shortages, increased workload, economic hardships to a nurse who is already working in a stressful area, all have compounded the problem leading to burnout. The results would be poor patient outcomes, dissatisfied nurses and deteriorating standards of nursing.

Study Questions

The study tried to answer the following research questions:

What are the main contributory factors of burnout in nurses working in the Intensive Care Unit?

What are the signs and symptoms of burnout in these nurses?

What strategies can be applied to reduce burnout in ICUs?

What are the other non-work related factors to burnout?

Purpose of the study

The purpose of this study was to investigate burnout in nurses working in the Intensive Care Units at major hospitals in Zimbabwe. The significance of the study lies in that emotional issues concerning carers like nurses, cannot continue to be ignored. It has been a general assumption that, because nurses deal with people's health, they have no need for being cared for emotionally since "they know it all". The findings in this study can be used to develop appropriate intervention strategies and set up support systems and intervention

strategies for nurses working in ICU's. At present, there are no organized counseling support systems specifically for ICU nurses. Counseling services to nurses will not only be beneficial to them but to patients and the hospital. In addition, relatives of the patients will also benefit as they will be dealing with emotionally healthy nurses. This will greatly improve the efficiency of these units and improve the quality of care the patients get. The benefits of an emotionally healthy ICU nurse can be spread from patient to units and institutions.

It is also hoped that hospitals concerned will be made aware of the challenges facing ICU nurses and will be able to take measures to alleviate them. This research might provoke similar studies in other units so that this can lead to better client care. The researchers will also benefit by having a broadened understanding of burnout in nurses working in ICU's. This will in turn motivate the researchers to take greater interest in healthcare issues especially concerning counseling of ICU nurses and help support them.

Limitations

The study was carried out at three major hospitals' ICUs. The population boundaries were drawn around the ICU's of these institutions only, i.e. the nurses. The three hospitals are in the city of Harare. The study is also limited to work related emotional and psychological problems faced by nurses working in ICUs. Non-work related factors that can lead to burnout were also isolated. The sample size was small. The researchers did not focus on all hospitals with intensive care units in Harare. Findings therefore, cannot be generalized to other ICUs in Harare or other cities in Zimbabwe. The researchers, having had some experience in ICU, could have introduced some degree of subjectivity or complacency. To avoid this, the researchers avoided discussions about the study with the nurses concerned before data collection. However, prior knowledge of medical terms and operations in the units enabled the researchers to give a more in depth study.

Research assumptions

The researchers made the following assumptions:

That the participants would agree to participate in the research.

That the hospital authorities would cooperate with the researchers since the information gained will be useful to the organizations and their staff.

That permission would be granted by the Medical Research Council of Zimbabwe to carry out the study.

That relevant documents, for example, off duty schedules, would be made available to the researchers.

Definition of Terms

In order to create a common understanding of this research, key terms used were defined as follows:

Burnout – Professional burnout is a psychological syndrome in response to chronic interpersonal stress on the job.

Counselor – is often a trained professional who is a unique helper who can empathise, is genuine and can encourage client positively. The qualities of a counselor will determine the quality of service rendered according to Chigwedere (2004).

Counseling – it is a form of psychological helping which values and seeks to identify each client's innate internal resources, coping abilities and strengths according to Hough (1998). Thus counseling is concerned with helping an individual to utilize his or her own coping resources as well as to develop problem solving skills.

Emotional – pertaining to the emotions, e.g. how the person feels.

Highly mechanized – for this study this means that in the Intensive Care Units, there are lots of machinery used on the patients as opposed to patients in the general wards i.e. in ICU they use cardiac monitors, oxygen sensors, artificial respirators, suction machines on most of the patients.

Intensive Care Unit – it is a critical care unit also abbreviated as ICU.

I.C.N. – Intensive Care Nurse

Public Hospital – Hospital run by the government.

Private Hospital – Hospital not run by government but by private company.

Stress – it is a term in psychology denoting one's total response to environmental demands or pressures. It can be mental or emotional. In this study it denotes inappropriate psychological response condition.

R.G.N. – Registered General Nurse

AACCN – American Association of Central Care Nurses

Review of related literature

Literature about burnout in other parts of the world and narrowing it down to the local scene is explored. Perspectives from different authors are given and other related studies conducted on the subject are cited. Signs and symptoms associated with burnout and some strategies to reduce it are also discussed.

The subject of burnout is one that has raised some interest, mainly in work circles the world over especially in those jobs which provide human services. Many studies have been carried out on the subject of burnout to try and find intervention strategies to deal with the problem. A lot has also been done especially in Europe and America to find out more about burnout and how it presents in the workplace or in the affected individual. Many documented evidences of these findings have been presented either in the form of books or on the internet. On the local scene in Sub Saharan Africa, although studies on burnout have been carried out and documented, the subject has not been given as much attention to a large extent as has been the case on the international scene. Cries about 'who cares for the carers,' have been echoed locally but these do not seem to have been backed by appropriate action or strategies in human service professions to try and alleviate the problem of burnout.

In Africa as a whole some studies have also been carried out on burnout. There is need however to complement the studies done with further research to try and help professionals suffering from this syndrome to cope better. Most of the studies done in medicine were concerned with doctors and nurses in general with few documented studies done in South Africa on burnout in ICU nurses.

In Zimbabwe for example, other professionals have conducted studies on this subject e.g. in education but few studies have been done on medical professionals especially nurses in ICU. No documented studies done on burnout in intensive care nurses in Zimbabwe were found and this has prompted the researchers to conduct this study so as to provoke further studies in an effort to spearhead upgrading of the standards of ICU nursing and to improve patient outcomes in our hospitals and the country as a whole.

Burnout is a state of emotional exhaustion caused by long term involvement in emotionally demanding situations. According to Cordes and Dougherty (1993), it is a unique type of stress syndrome characterized by emotional exhaustion. It leads to loss of energy and interest in one's job. It is most commonly found in human service providers like nurses, teachers, counselors, police officers, lawyers and psychiatrists. These people in human service institutions interact with clients who have physical, psychological and social problems with no easy solutions at times. This becomes emotionally draining and therefore results in burnout. It is a gradual process over an extended period over time, i.e. it does not happen overnight.

Intensive Care Unit Environment

The intensive care unit is an enclosed specialized area for critically ill patients. It is characterized by high nurse patient ratios, is highly mechanized, that is, there are lots of machinery, and very often, the work is too demanding and stressful. The environment itself has been recognized as stressful since its inception in the 1960's according to Stone and associates (1984) . There is high technological equipment like artificial respirators, cardiac monitors, oxygen sensors, infusion pumps, suction machines and many other high tech gadgets. It is therefore a fast paced and emotionally charged atmosphere. It is also noisy and filled with sounds of intricate machines which can often be heard in unison with patients moaning noises according to Stone et al (1984). This kind of atmosphere keeps the ICU nurse hyper-alert at all times and the noises can continue to affect them even when they are off duty. Patients' lives are at stake and every second is very important. The ICU nurse is also on her toes all the time to be able to give her expertise at the right second all the time. A split second delay could cost the patient his life. All this contributes to a highly charged and fast paced atmosphere where the nurse is faced with death and dying.

Death and Dying

Intensive care nurses face death and dying and other ethical dilemmas on a regular basis. Their attitudes towards death and dying can be complex and could be related to their own fears, anxieties and personal attitudes towards death, Cox et al online document <http://members.cox.net/dinsw2/stressnicu.htm>. Some dying patients can linger on for long periods before death, and thus form a bond with the ICU nurse. In addition to providing vigilance to their patients, the nurses also interact with sometimes distraught family members of the patients. This can be very taxing for the ICU nurse who is already strained with working in a stressful area. In most cases, the family members will be asking questions that can be very confusing and can even blame the nurses that they are not doing enough.

In addition, the work itself requires heavy lifting at times because the ICU patient is very ill and cannot help themselves and the nursing care is wholly compensatory especially during procedures like, bed-bathing, changing linen or other procedures that require lifting. Most ICU patients are unconscious or semi-conscious.

Working Hours and Staff Shortages

Long hours and shift work means the nurse is away from their families for long periods. Some nurses skip breaks or stay beyond 12 hours to complete their work. The ICU becomes like the second home where the nurse spends most of her time. Because of the nature of the patient's condition, usually the long hours are spent on their toes with very little time to rest in between procedures. If the nurse rests a bit physically, mentally they still are not rested. This type of nurse is usually somebody who is a high achiever and highly motivated. Debriefing meetings, retreats, appreciation from the supervisor and a lot of support will help the nurse to cope better when stress levels go overboard.

Nurse shortages have also been found to cause stress in ICU nurses and this is according to a research done by the American Association of Critical Care Nurses (2002). Whether the nurse shortage is caused by lack of enough ICU trained nurses or due to high staff turnover, this has to be established by further studies. An article by AACCN (2002), concur that working short staffed can increase a lot of pressure for ICU nurse. There have been unpublished reports among former ICU nurses that even after they have left employment they still felt guilty to be sitting in offices or in some places where it was normal to sit, because they were used to standing for long periods or were hyper-alert most of the time. They cannot relax. To them, sitting down would represent a carefree attitude towards a very ill patient. According to Chigwedere (2004) the guilty feeling results from a discrepancy

between reality and the perceived self concept of an ICU nurse who is expected to be on her toes all the time.

According to a study done by Foxall and associates (1996), intensive care nurses experience significantly more stress related to death and dying than other nurses working in other areas in hospitals. These nurses give so much to their patients because of the nurse patient ratios which are usually 1:1 or 2:1 nurse to patient. There is therefore some form of bonding with the patient coupled with high expectations of patient recovery. If after doing so much they lose the patient, stress levels become very high and they end up disillusioned.

In intensive care units, aggressive life saving measures are employed as compared to palliative care in other areas of hospitals. These procedures could also be traumatic to the ICU nurse.

Certain ambiguities related to the nurse's value system and can create an area of conflict with relatives or doctors, Yang and Mcilfatic (2001). A good example is where discontinuing of life support or prolonging the same can differ. The doctor might suggest discontinuing life support because of the medical findings at the particular time but this can conflict with what the nurse believes in concerning preservation of life. Even if the relatives are consulted and they agree, if there is a conflict in their belief system to the nurse's value system, this can create a very stressful situation for the nurse who might feel her efforts are going to waste, and at the same time feel that God is the ultimate decider of life.

Disillusionment

Erlin and Sereika (1997), noted that sometimes nurse's decision making capacity in carrying out invasive procedures on patient's treatments is limited. This could be due to doctor's disregard for the opinions of nurses due to complexes that could arise preferably where the doctor feels that he is more knowledgeable and therefore holds more responsibility for the patient than does the nurse. The nurse can feel downtrodden and disillusioned. Involving the nurse in decision making and research activities on the unit can help give the nurse a sense of purpose. Poor relationships with physicians, supervisors or colleagues can also cause disillusionment. Debriefing meeting can also help to iron out differences.

Emotional Attachment

At times the ICU patient stays long in the unit and the nurse ends up bonding with the patient and relatives. This emotional involvement can be taxing for some nurses i.e. they feel intense feelings of grief and loss when the patient dies. This compassion and empathy can cause emotional fatigue. Calvie and Ter-Bagdasarian (2003) also noted in a study that nurses who are affected by these traumatic and critical events in ICU lose their capacity to perform well on the job, resulting in negative outcomes for their patients. It is sad to note how such normal humane feelings for patients can result being the very cause that result in the nurse being affected by stress. These feelings therefore need to have boundaries if the nurse is to cope well and strategies like periodic counseling and other intervention strategies can help the nurse to stay in touch with their self concept and become self aware without drowning in current problems.

Relationships with attending physicians and colleagues, verbal abuse coupled with condescending attitudes also inhibit collaboration in ICU Rosenstien (2002) <http://member.cox.net/dinsw2/stressnicu.htm>. Professionally the nurses values are geared towards 'care' and these disparities can be a source of conflict in the ICU if not handled well Greenfield (1999) Sudin-Huard and Faty-(1999). The physicians' values are geared towards 'cure' and these can present an area of conflict which can result in stress for the nurses especially in end of life situations.

According to the American Association of Critical Care Nurses Journal (2002), nurses are most of the time below what is required in terms of numbers. It takes longer to fill these posts because ICU nurses are fewer than general nurses Pierce (2001) Being short staffed in ICU increases pressure enormously for the remaining ICU nurse. This coupled with the need to have high nurse patient ratios becomes very difficult for the nurse or becomes 'mission impossible' as it were.

Amid the high technology mentioned earlier, there is ventilator alarms going off, infusion pump noises, alarms and oxygen saturation, all these are frequent occurrences which demand the nurses immediate attention, according to Smith and Associates (2001). In extreme cases the ICU nurse skips breaks and sometimes stays beyond their shifts to finish their work. In between, there is frequent interruption by the doctor, family or patient requiring the nurse's attention. If there is not enough support from supervisors or administration, the ICU nurse can end up being very stressed and this can lead to burnout. In some unpublished studies, this lack of support from administrators can be far reaching, especially where the administration feels that there is very little work in ICU because there are more nurses than patients. This lack of understanding by administration who do not fully understand how ICU works can be very retrogressive.

The results can be detrimental as errors are increased because the nurse is not able to make correct assessment or judgment as to the type of intervention that is required at that particular time. The patient care can be compromised because they cannot receive the type of care that they are supposed to receive and the nurse is incapable of performing their duties, resulting in the nurse having feelings of guilt and inadequacy and feels totally incompetent, Pierce (2001).

A survey done in September (2001) by the American Association of Critical Care Nurses, found that 70% of ICU nurses cited acute and chronic stress and overwork as their three top health and safety concerns. According to American Journal of Nursing of 2007 in November, on the same website, a survey was done, and half of the ICU nurses were found to be affected by burnout syndrome. It also included that preventing conflicts in ICU and participating in ICU research groups and paying attention to end of life care, lessens the risk of severe burnout syndrome in their contexts. The issue of participating in research groups can be tricky at times since most ICU's in our African context are not really involved in much research. Maybe if this was also introduced in our context it would be interesting to note the results especially in Zimbabwe.

Emotional Exhaustion

Studies conducted in France by Embracio (2007) <http://www.pulmonaryreviews.com/07/may/burnout.html>, concluded that heavy workload and strained duties as well as strained relationships amongst colleagues contributed to burnout in ICU nurses. These were documented in the American Medical journal of respiratory care. They concluded that 1/3 of the nurses working in ICU were found to have high levels of burnout and 24% of them had significant levels of depression as a result. This prompted another researcher Curtis, to write a question in the journal of that publication 'is there an epidemic in critical care'. Dr Curtis is a professor at the University of Washington in Seattle. He wrote that it was alarming that 40% of the medical personnel wanted to leave their jobs. Of significance in the studies of burnout are studies done by Maslach and Jackson starting from 1970 to 1980. These were done in many human service professions. They subsequently invented the Maslach Burnout Inventory, a tool that is widely used to ascertain presence of burnout in respondents.

In their studies they also noted that a key aspect in the burnout syndrome was increased feelings of emotional exhaustion. This in turn led to a sense of hopelessness in the worker due to depleted emotional resources. The worker feels that he cannot cope at

physiological level. They develop negative reactions to their clients and become cynical. Such negative reactions to clients may be linked to the experience of emotional exhaustion.

The problem of this attitude toward clients is that the nurse feels that the clients deserve to be in the problem they are in. Wills (1978) cited on <http://members.cox.net/dinsw2/stressinicu.htm>, states that this negative perception was found to be prevalent in human service professionals. The study done by Tracy (2000) cited in same on line document cited above, recommended that to reduce burnout, there is need to have integrated action between organization and employee. This includes better connection on workload, including adequate resources, work life balances to encourage staff to revitalize their energy, clear organizational values to which employees can feel committed, supportive leadership and meaningful relations with colleagues. Fairness is also recommended e.g. debriefing meetings to discuss and resolve perceived inequities on the job. The study revealed a reduction in exhaustion over time but did not affect cynicism and inefficiency indicating a broader approach is required. Neuton (2000) recommends stress management therapy for staff, social support, psychological support and other coping strategies.

Coming closer home in Zimbabwe, nurses are generally assumed to be callous and horrible to patients by the general public. However it is disheartening to note that some of the accusations landed against nurses for being callous and horrible, could actually be caused by burnout in the nurse in Zimbabwe. It could be a far cry by the nurse for help which she usually never gets. At times the nurse can be labeled to be difficult or to be lazy when they are in fact emotionally exhausted and psychologically stressed up that they have nothing more to give to their patients in terms of service delivery. This calls for knowledge about burnout issues on the part of the supervisors and administrators and the public as a whole. If they are not sensitive it can result in the rhetoric that one often hears in many of the Zimbabwe's hospitals 'nursing standards are deteriorating'. Strategies and measures need to be put in place to be able to care for these ICU nurses e.g. to give them time off, retreats, counseling services at the workplace and enough support and sensitivity from their superiors and colleagues according to Tracy (2000). Not only does the nurse benefit but better patient outcomes result.

In burnout the nurse can also experience feelings like self negative perception regarding their work and their patients, colleagues and family. This happens when the nurse is overwhelmed and often times, disillusioned because of probably the energy they put in versus the output i.e. patient outcomes, does not tally. They get overwhelmed and feel they are failing in their job. They end up being unhappy about themselves. That's when there is need to understand the importance of the interplay between exhaustion and disillusionment which affects the nurse. This phenomenon is so incapacitating and affects performance to a great extent.

Hans Selye (1997) <http://members.cox.net/dinsw2/stressinicu.htm>, conducted studies on stress on animals and noted that initially they had a period of adaptation, then they survived for long periods, but suddenly their resistance collapsed without any obvious direct cause. He also noted similar patterns in bomber pilots during the second world war. They would fly efficiently and accomplish missions, but would fall apart as fatigue set in. He likened this pattern of reaction to what happens in burnout. There is the initial energy, motivation and fervor for one's job and after a long period of stressful conditions, sudden exhaustion and disillusionment ensues.

Development of burnout

Elliot and Pinnes (2000) cited on line, <http://members.cox.net/dinsw2/stressinicu.htm> noted that most of the people who get burnout are usually those who are highly committed to their work. Generally in life people work so hard at something for a longtime, and then later

life loses its flavor and the things we used to do with fervor become a drag. That is when exhaustion sets in and a break is needed to regain vigor. It is the disillusionment that damages the person more than the exhaustion. Exhaustion can be alleviated with rest but a deep seated disillusionment can be dangerous. Most people get their sense of identity and meaning from their work. They therefore regard their work with high motivation and passion. This is normal and is what drives achievers to succeed in their work. The problem comes when the demand for the work becomes too much. Exhaustion sets in from working too hard, performance becomes compromised, resources to cope might be unavailable. This coupled probably with absence of sensitive mentors and supervisors to support the work being done, could worsen the situation. The supervisor or the employers might not be supportive to the employees' ideals. Team members may be less cooperative and relatives, not appreciating.

The ICU nurse sees little results for her efforts, becomes disillusioned, there is less satisfaction from job, and becomes fatigued with loss of energy and vigor. The drive and vision that motivated them in the first place gets lost. In extreme cases there is loss of a sense of purpose of what one is doing and the person becomes bitter with life which in turn becomes meaningless Elliot et al (2000). At this stage the nurse is no longer effective. If no counseling or support is offered to the nurse, this position can be detrimental to the patient.

According to an article which appeared in http://www.Helpguide.org/mental/burnout_signs_symptoms.htm, it was noted that there are some associated factors to burnout, such as lifestyle and personality traits. These can also contribute to the problem. Nurses who had less support from their families did not cope better than those with adequate family support or in mutual loving relationships. The need to be valued by others is important in relationships according to Maslow (1971) cited in Hugh (1998).

This observation seems to suggest that family support can also be a factor in overall coping of the nurses from pressures at work. Also personality traits as mentioned earlier seemed to be associated with burnout as well as highly motivated achievers such as the type 'A' personality.

Studies done in Europe and United Kingdom

Many studies on burnout in ICU nurses were done in Europe, United Kingdom, America and other Asian countries. Early researchers concluded by Kelly (1990) cited in Mims and Stanford, reported findings of burnout in critical care nurses. In one study, Azouley et al (2009) wrote in a critical care nurses journal (2009); 180, in their abstract that, the intensive care unit (ICU) is a highly stressful area, thereby concurring with other studies done by Stone and associates in 1984. He conducted a study in a French hospital ICU and concluded that, burnout was a real problem. He also said that, knowledge of demands faced by today's ICU nurse is critical for explaining how stress can be avoided in these areas. This will in turn lead to better patient outcome as a result of a nurse who is working with a healthy mental attitude. It can also benefit the hospital by reducing staff turnover and also having consistency in patient care.

Cordes and Dougherty (1993) concurred that burnout in the ICU can threaten the quality of care that the patient gets. Belner et al (2000) wrote an article cited on line on <http://members.cox.net/dinsw2/stressinicu.htm> on how nurses' working conditions in ICU and staff shortages mentioned earlier by other studies can also increase stress levels and therefore contribute towards burnout. In Zimbabwe this could be a real issue because most of our intensive care nurses left the country for greener pastures during the harsh economic conditions, leaving the intensive care units manned by very few nurses. Other writers on the same subject of burnout in ICU are Pomel et al, Toullie and Parpazian who wrote in an American journal of critical care nurses of 2006. They conducted a research on burnout in nurses in critical care. The article also cited conflicts in ICU thereby concurring with other

writers before them. They noted that burnout is rife in critical care nurses because they literally deal with life and death situations most of the time, thereby reiterating earlier studies by Stone and associates (1984). Moreover, the constant noise made by alarms and from different machines always keeps the ICU nurse on the alert all the time, thereby increasing stress levels. The hearing of noises can persist even when one is off duty. In some undocumented instances the ICU nurse carries this high impact highly stressful attitude of the environment with them, wherever they are. One ICU nurse reported answering her phone at home saying ‘ICU can I help you’ or refusing to be offered a seat in an office and feeling guilty about sitting as she was always on her toes at work.

Mims and Stanford cited in the literature review earlier on, did a study which concluded that, if critical care nurses were unable to adapt to their environmental stressors, levels of stress would raise leading to burnout. The use of effective coping skills to manage stress is a common way of adapting to the environment. Given the working conditions in ICU and stresses inherent with the work, there is need for further studies to be carried out so that intensive care nurses can benefit professionally. The resultant improvement in patient care and the benefits to the organization as a whole cannot be over emphasized.

African Perspective

In Africa, although studies have been done on burnout, few well documented studies have been found regarding burnout in ICU nurses. Some documented studies have been done in South Africa, but most of them did not go deep into why ICU nurses end up with a high degree of burnout than other nurses working in other areas of hospitals. This probably is an area needing further inquiry.

Studies done in other Sub-Saharan countries may not have been well documented to give a wider overview of ICU nurse burnout in Africa. From the above literature review, it appears that it is important to conduct further studies into this syndrome in intensive care nurses. Maybe further studies can be done to try and establish strategies to help these professionals so that they can perform their duties in environmentally suitable ICUs with adequate support and mentoring from their supervisors and employers. This could result in a highly motivated ICU nurse who is not only an asset to the organization but to the patient, colleagues, family and the country as a whole.

Lack of ICU nurses due to migration to greener pastures has put the patients at risk, and often the remaining nurses are tired, unhealthy and plagued by low morale, Tamar Khan (Jan 2009) <http://www.allafrica.com>

It is encouraging to note that the Zimbabwean government is supportive of work which looks to uplift the standards of health. Zimbabwe’s health care system was one to be proud of on the continent before the country faced the harsh economic conditions of the past decade. With the emigration of the highly qualified ICU cadres to greener pastures, the ICU units suffered and therefore need to be revived. The Vice President J Mujuru was reported in the Herald of 30 April 2010 encouraging more research in the health sector. She called for increased research so that service delivery can be improved in the health sector as she was speaking at the launch of the Centre for Health Strategies.

The Centre for Health Strategies is a private organization that has recently been launched by Dr Parirenyatwa, the Minister of Health. This Centre is geared at encouraging and spearheading research into the health sector so as to improve health delivery and take this country to higher levels of competences in healthcare delivery. She also noted that countries that have made significant strides in health delivery, invested heavily in research and development. Her call could not have come at a better time.

A study as this one might provoke further studies in this field as a step forward to taking the country’s healthcare system to greater heights resulting in better service delivery,

better patient outcomes, ICUs that can compete at international level and an ICU nurse cadre to be proud of.

Research Design

Research design is the “blueprint” for fulfilling objectives and answering questions according to Cooper & Schindler (2003) cited in Leedy (1980). It is the key to obtaining valid and reliable information for decision making, Latif and Maunganidze (2003). A descriptive research was used in this study. In descriptive design, which is qualitative research, data is gathered directly from participants for the purposes of studying attitudes, characteristics, interactions of individuals in their natural settings. Descriptive research is aimed at giving details of a situation or a social phenomenon Neuman (1997). Often a topic is first explored and then described. The researcher begins the topic with a specific definition to give a thorough description of that topic Neuman (1997). The outcome of the investigation should give a picture of the topic. This suited this research well because the topic under investigation was Burnout in I.C.U. nurses and the researcher hoped to give a picture of this phenomenon at end of research. In this study information was obtained from nurses working in intensive care units of three major hospitals of Zimbabwe to find out about burnout.

Population

The participants in this case were the nurses working in the intensive care units. These formed the target population.

The sample was drawn from nurses who had worked in the intensive care unit for one year and above. According to Wilson (1993), sampling is a feasible and logical way of making statements about a larger group based on what the researcher knows about a smaller group.

Sampling method used was the convenient sampling method. The researchers selected those elements which were easily accessible until the sample reached the desired size. This is a non-probability technique used in social sciences according to Blero and Higson (1995). This suited this research well because of the nurses off duties as some were on night duty or nights off and were not easily accessible. A sample of 23 nurses was selected.

The criteria used to select sample was registered general nurses, or I.C.Ns who had the necessary skills to interpret the questionnaire since they had at least five ordinary level passes. Participants had to also have working experience of more than one year in I.C.U. for them to be able to appropriately assess the interplay between contributory causes and signs and symptoms over a reasonable period of having been exposed to the ICU environment.

The researchers used self administered questionnaires and interviews. The questionnaire was adopted and modified from the Maslach Burnout inventory. The Maslach burnout inventory is a well studied measurement of burnout, developed by Maslach and Jackson who first described the term burnout in the 1970s. The scale measures the variables in both intensity of feeling and frequency of outcome.

Specific lists of questions were asked as a way of getting responses from the participants. There are advantages and disadvantages associated with this method of information gathering.

Advantages of interviews is that questions can be standardized and the participants do not have to be literate. It is easy for the researchers to note non-verbal communication.

Interviews allow the researchers to establish rapport with respondents, which can benefit later communication if need be. Additional information could be obtained by asking follow up questions if the answer was ambiguous. However, disadvantages are that, there can be a problem of bias because of demographics eg. race, gender or age etc. Interviews can be

costly because it involves travel expenses, etc. If many interviewers are used, there is need for training. The sample is limited in size if one is using interviews.

A pilot study indicated that there could be a weakness from lack of control of the participants' environment. This was thwarted by ensuring that the right person completed the questionnaires by closely monitoring the distribution and receipt of the questionnaires. The research embarked on hand delivery of the questionnaires and collected the completed questionnaire.

Data Collection

The researchers made appointments through letters and by telephone. Questionnaires with 10 sections were distributed to ICU nursing staff who were one year and above on the job. Face to face interviews were also used with head nurse. The respondents were given questionnaires to answer over a day since ICU is a busy place to allow nurses to care for their patients. The face to face interviews were conducted same day. Time was taken to visit each hospital on separate days.

Data Presentation and Analysis Procedure

Ratings of demographic data, contributory factors of burnout in ICU, signs and symptoms of burnout, non-work related factors and strategies that can be applied to reduce burnout in the ICU were used in the questionnaire. This, together with responses from face to face interviews, helped to solicit the participants ratings to determine the presence of burnout in the nurses in ICU. The respondents marked their best answer as well as give yes, no, not applicable responses and also gave solicited responses. Collected data was analyzed in table form and graphs showing ratings and percentages.

Results

Tables and graphs were used to further illustrate the information. The research questions were presented and answered according to findings. Some insight into the problem was given from the statements quoted from interviews carried out with the intensive care unit heads.

Demographic Characteristics of the Nurses

The following presentations on demographics characteristics of the respondents will help as supporting factors or challenges in the trends that were shown in the findings.

Table 1, Distribution of Participants by Age
N = 23

Age	No. Of Participants	Percentage
20 – 30	13	56.5%
31 – 40	9	39%
41 – 50	0	
51+	1	4.34%
Total	23	100%

Table 1 showed that most nurses working in the ICUs were within the age group of 20 – 30. This falls in the group which is in their childbearing age, or trying to establish relationships. They probably have a growing family, trying to balance family life and work. The group is still very active with a lot of ambitions both career wise, and high expectations in life. According to the literature review, if their high expectations careerwise are not met, they could end up being disillusioned or might even look for greener pastures or leave nursing because of burnout.

Table 2, Distribution of Participants by sex
N = 23

Sex	No. of Participants	Percentage
M	3	13%
F	20	86.9%
Total	23	100%

From the above table 2 it shows that most of the Participants were female. The reason could be that it is assumed that most carers are females because of their maternal instincts.

Table 3, Distribution of Participants by Hospitals
N = 23

Area of Speciality	Frequency	Percentage
ICU 1st unit	9	39%
ICU 2nd unit	13	56.5%
ICU 3rd unit	1	4.34%
Total	23	100%

The significance of table 3 was to find out if there are peculiar problems associated with a particular area of specialty. This would help to identify factors and recommend strategies that can exacerbate or reduce burnout in these units.

Table 4, Distribution of Participants by Experience
N = 23

Period of Experience ICU	Frequency (f)	Percentage
1 – 5 yrs	17	73.9%
5 yrs+	6	26.1%
Total	23	100%

The above table illustrates that the bulk of nurses working in ICU have less than 5 years experience. In Zimbabwe there has been migration of experienced nurses who left for greener pastures at the height of harsh economic conditions that prevailed in the country in recent years as cited in the literature review.

Table 5, Distribution of Participants by qualification
N = 23

Qualification	Frequency	Percentage
ICN & RGN	5	21.7%
RGN only	17	73.9%
OTHER	1	4.34%
Total	23	100%

Table 5 sought to find out whether there was any specific or peculiar problems associated with nurses who are lacking in other qualification or with different qualifications from others. It also helped to find out whether competency factors due to under qualification could play a role in burnout due to feelings of inadequacy.

Table 6, Distribution of Participants by educational level
N=23

Level of education	Frequency	Percentage
O' Level	14	60.8%
A' Level	8	34.7%
Other JC	1	4.34%
Total	23	100%

The study sought to find out whether there was any association between burnout and level of education. The responses show that the bulk of the Participants received at least O' Level education and as such level of education was insignificant.

Table 7, Distribution of Participants by position at work

N = 23

Senior sister	8	34.7
Junior sister	14	60.8%
SCN	1	4.34%
Total	23	100%

The bulk of the participants were junior sisters which contributed 60.8% of the sample and position at work was not significant.

The key in Table 8 was used to rate participants feelings in both intensity and frequency.

The feelings were rated on a scale of 1 – 3 according to both frequency and intensity. Although not all concepts from the Maslach burnout inventory were used, concepts of frequency and intensity were retained.

Table 8, Key to interpretation of graphs

Item score	(f) frequency	Intensity
1	A few times a year	Mild
2	A few times a year	Moderate
3	Nearly every day	Severe

The following were found to be the main contributory factors of burnout in nurses at the three selected hospitals.

Involvement/Emotional Attachment

Questions asked = 5

N = 23

Expected Responses: 115

Figure 1

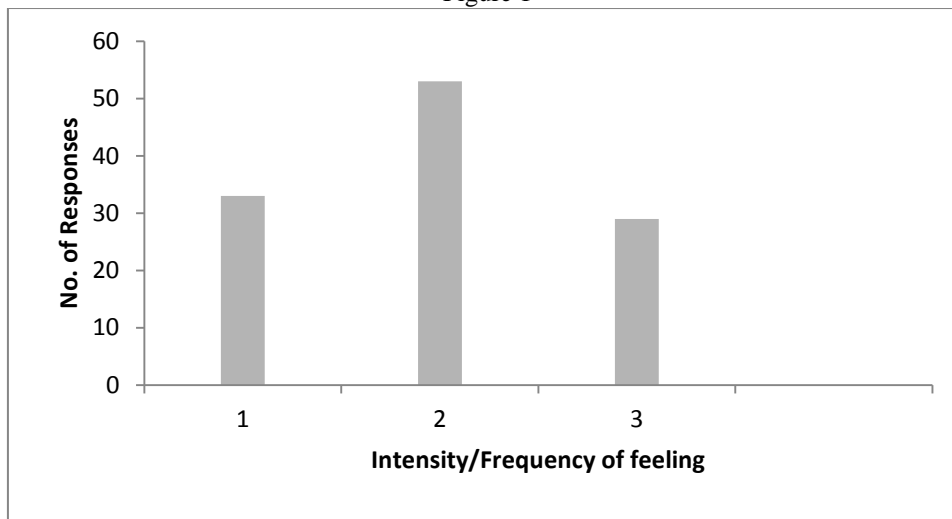


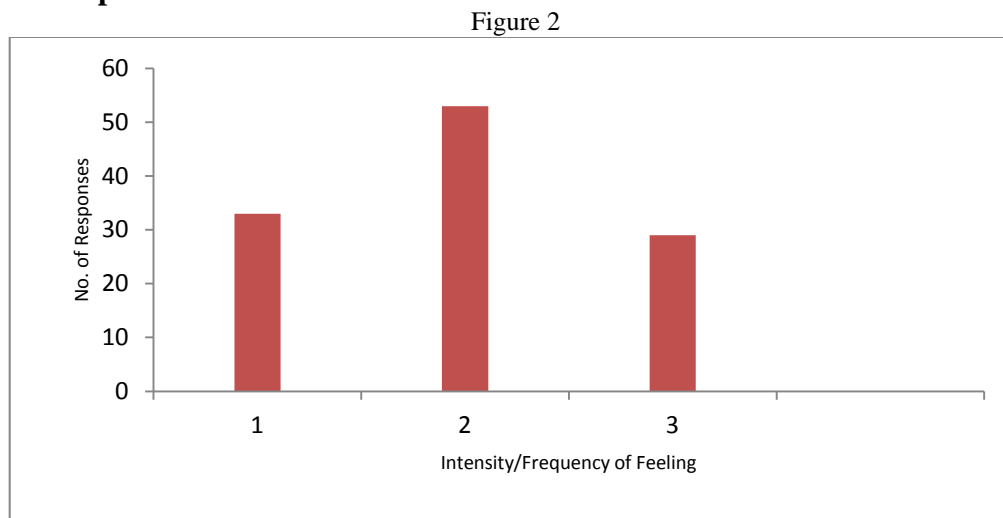
Fig. 1 represents involvement/emotional attachment and was included to try and demonstrate the emotional attachment and level of involvement of the nurse with their work and patients. There is evidence of emotional attachment from the evidence shown in the graph from mild 28% of responses, moderate 26% to severe involvement 26%, with a peak in the moderate category. The fact that there was severe level of emotional attachment also indicates that there is a possibility of these nurses in this category suffering from burnout.

Disillusionment

Questions asked = 5

N = 23

Expected Responses = 115



The presence of disillusionment is demonstrated in the above graph. The levels range from mild accounting for 28%, moderate 46% to severe 26%. This seems to be in line with the literature review where Erlin and Sereka (1997) concur that nurses can be disillusioned if their colleagues, supervisors or superiors disregard their contributions in the unit and this can lead to burnout.

Table 9, Death and Dying
N = 23

Activity	Number	Percentage
Caring for dying patient	18	78%
End of life decisions	10	43%

From the responses in Table 9, 78% of the nurses were caring for dying patients and 43% were involved in end of life decisions. Literature reveals that death and dying are issues that can affect nurses and result in burnout.

From the illustrations and tables above, there is a clear demonstration that death and dying issues could be contributing to burnout in nurses at the selected major hospital of Zimbabwe.

Working Hours

Working hours for ICU nurses in both hospitals were found to be the same. They all work a 40 hour week. Night duty is done on a rotational basis in both units. The nurses in charge do not do night duty.

The following is an illustration of some of the complaints about the working hours and off duties that came out from some of the responses.

Table 10, Complaints on working Hours
N = 23

Complaints of unfair off-duty schedule	7	30.4%
Off duties not done according to wish	4	17.3%
Changed too often	6	26%
Had gone on vacation in the past six months	3	13%
Happy with off duties	3	13%

However, from the data collected and shown in table 10 above, only 3 (13%) of the participants had gone on vacation in the past 6 months. In the literature review this has a bearing on emotional exhaustion and fatigue from constantly being in the unit for prolonged periods of time without vacation. The figures also illustrate varying levels of unhappiness with the off duties.

From the above findings, there was no demonstration of age, sex, educational level, work experience being a factor in contributing to burnout, neither did qualifications and position at work. The factors that have been presented above as contributing to burnout seemed to be found in all the ICU population.

The following signs and symptoms of burnout were found to be present in the nurses at Harare Hospital, Avenues Clinic and Baines Avenue Clinic:

Emotional Exhaustion

Items assessed = 5 part

N = 23

Expected responses = 115

Figure 3

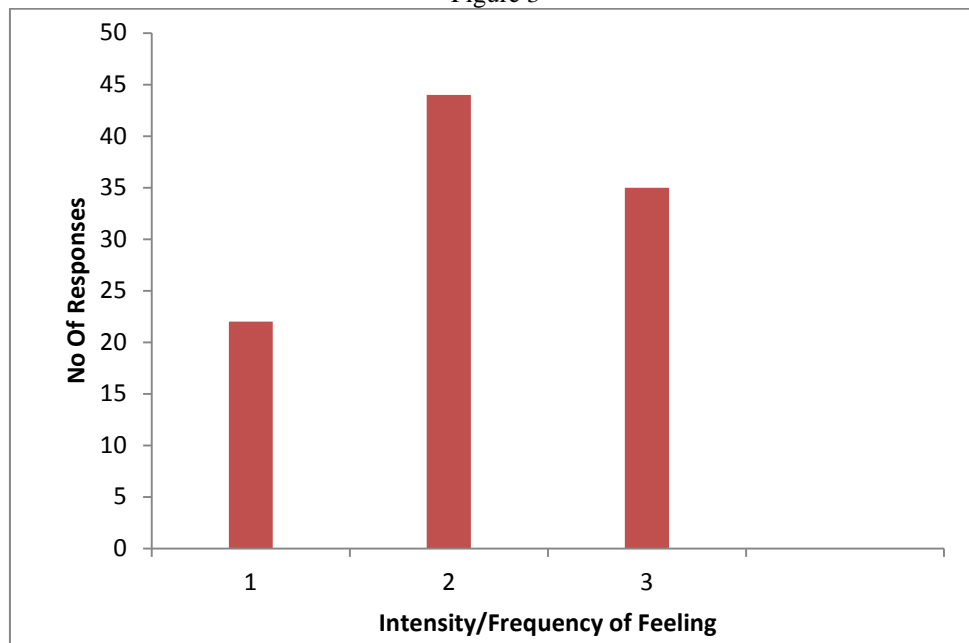


Fig 3 indicates that there was presence of emotional exhaustion with most responses in the moderate range in both frequency and intensity i.e. 39%, to severe feelings of emotional exhaustion which accounted for 40% of the responses. A smaller group of responses, i.e. 21%, indicated mild emotional exhaustion. Emotional exhaustion is one of the cardinal signs and symptoms of burnout. According to Maslach et al (1980), burnout is a syndrome of emotional exhaustion and cynicism where the nurse could end up even viewing themselves negatively resulting in depression.

Depersonalisation**Questions asked = 5****Expected Responses = 115****N = 23**

Figure 4



The above figure indicates that the majority response to the feeling of depersonalization were in the moderate feelings category i.e. 46.9%. Mild depersonalization accounting for 35.6% as well as feelings of severe depersonalization on 17.3%. This showed that feelings of depersonalization were present in nurses working at these ICU's.

From the responses demonstrated in the tables and figures, there was no demonstration showing the relationship between signs and symptoms found in the participants and their demographic characteristics. The feelings of emotional exhaustion that were illustrated in the findings were in line with the literature review, where Calvie Ter – Bagdasarian (2003), notes that feelings of emotional exhaustion result from intense feelings of compassion and empathy especially after losing a patient which the nurse has formed a bond with. The nurse then gets emotionally fatigued.

The figures and tables shown illustrated that 30.43% of participants indicated severe emotional exhaustion, 26% indicated severe disillusionment and 17.3% indicated signs of severe depersonalization. This indeed is cause for concern.

Possible strategies can be applied to reduce burnout in these ICU's

From the findings in the questionnaires and from the interviews conducted during data collection, certain areas were identified where steps could be taken to reduce burnout.

From the literature review, the service professionals who usually get burnout are those high achievers who are so involved in their work and are accomplishees. Disparities between their feelings of personal accomplishment and involvement with their patients and disillusionment if they don't feel they have accomplished, was shown to result in chronic stress resulting in "burnt out" feeling. Debriefing meetings on the units between physicians and nurses could be a way of trying to iron out these disparities and help the nurses re-ignite their sense of purpose. These help to dispel misconceptions according to Serecka & Erlin (1997) , and make nurses feel a sense of purpose and reduce disillusionment. From the

responses from the hospitals and interviews, debriefing meetings were not held regularly and at times not done for long periods.

The long shift of 12 hours could be reduced to try and give the nurse more time away from the ICU. Some nurses who do shift work tend to be away from home for long periods and this could affect family relationships according to literature review. The supervisor could also be more flexible when scheduling off duties so as to accommodate preferences of nurses. This is not to disregard that proper staffing of the unit. This has to be prioritized so that patients get the care they need. Measures need to be put in place also to help meet transport needs where the nurses work shift work and long hours.

The researchers mentioned in the literature review, that allowing nurses to go on retreats also helps them to refocus and regain some of their vigor. From the responses, only 3(13%) of the nurses had taken vacation during the past six months. It would seem to help if nurses could go on vacation more frequently, as long as the units are well staffed.

The ICU environment is intensely stressful and nurses need to have periods of rest during their break times. Nurses need rest rooms where they can rest during their break times where there is no continuous ticking of respirators or monitors.

In some of the ICU's the rest rooms are not restful enough and they are inside the unit where the nurse can still hear the ventilators and monitors ticking. Only one hospital rest room had a conducive rest room for their nurses.

Counseling of nurses working in ICU needs to be done because some of the nurses indicated that they are facing family and financial problems. Counseling helps the nurses to deal with their unfinished business, reduce stress levels and help them to function more effectively. This in turn also improves patient outcomes in the unit. From the responses, there is no counselor for these special units at either hospital ICU's.

Refresher courses also help to make nurses feel confident in their work and help remove a sense of inadequacy which can result when the nurse feels they lack in competency. Participation in ICU research groups can also help nurses regain a sense of purpose e.g. they could pick any research topic and start research in the ICU. This also needs to be supported by supervisors and employers.

In times when the nurses' resources are depleted the supervisor or employer could help by granting compassionate leave.

Adequate equipment will also relieve the ICU nurses' stress and therefore reduce burnout e.g. enough ventilators, monitors, and suction apparatus etc.

Adequate remuneration since some of the participants cited financial hardships, could be a way of trying to reduce stress levels since the Participants are mostly in the child bearing ages and could be having problems with growing families. The findings indicated 47.8% had too heavy family responsibilities.

What are the non – work related factors of burnout?

This question sought to find out whether non-work related factors in ICU nurses had anything to do with burnout in these nurses.

34.7% of participants reported conflict with family members, 47.8% reported family responsibilities were too heavy. Only 17.5% seemed to be content where non-work related factors were concerned. This is understandable in Zimbabwe currently as the country is still recovering from financial problems that have bedeviled it in the past few years. With nurses salaries in the public sector falling below the poverty datum line, this is bound to add more stress on a carer who is already facing other stressful situations at work.

Family conflicts can come in various forms, either due to financial problems or other psychologically and emotionally related problems. Major problems can arise in intimate relationships due to boredom as a result of a sense of predictability, Corey (1983). This

problem in relationships and need to be valued by others is very important, Maslow (1970) cited in Hough (2003). This can also contribute a lot to stress and contribute to burnout in nurses.

According to the findings in the questionnaire there was no set pattern that emerged to indicate that demographic characteristics of the ICU nurses had any bearing on the contributory factors of signs and symptoms of burnout that were noted.

There was evidence of burnout among nurses working in ICU in major hospitals of Zimbabwe. The findings revealed mild to moderate levels of burnout in these nurses as illustrated figuratively and diagrammatically. However the factors contributing to burnout in these nurses were also given as well as identifying the signs and symptoms of burnout in the nurses. Strategies to try and reduce burnout were documented as well as non-work related factors.

While the topic of burnout might be generally assumed to be far fetched in Zimbabwe, conducting this research proved that it was a silent problem that could be affecting a lot of nurses. From the results and the conclusions that were drawn from the findings, it was evident that some of the nurses working in the intensive care units showed some signs and symptoms of burnout and there was need to help them cope with their work.

The main concern of the research was to try and research the subject of burnout in nurses with the aim of highlighting possible strategies that could be put in place to help and support these nurses to cope with their work by trying to reduce burnout. The value of a possible reduction in burnout and the resultant levels of positive outcomes, benefits to the organization cannot be over emphasized.

Theoretical views were given from the literature review and empirical evidence given with the aim of enhancing understanding of the issue of burnout in these nurses.

In carrying out the study, a few challenges were met. Some institutions declined to have the study carried out at their hospitals and also some nurses were not available as they had gone on nights off. A sample of 23 nurses working in ICUs, and only those nurses who had completed at least a year in the intensive care units were selected.

Basic research questions were raised as a way of giving objectives to the research. These were:

What are the main contributory factors of burnout in nurses working in the intensive care units?

What are the signs and symptoms of burnout in these nurses?

What possible strategies can be applied to reduce burnout in these nurses?

What are the non-work related factors in burnout?

Demographic factors

The research found that the majority of respondents at the hospitals 56.5%, were in the age range 20 – 30 years old. This group is still very active and ambitious, career wise with high expectations in life. According to the literature review, if their high expectations are not met they could end up with disillusionment which is a contributory factor to burnout.

The study also found out that 86.9% were female nurses.

The study discerned the 73.9% of the respondents were five years in the unit, with only 26% having above five years. This agrees with the literature review that assumed most of experienced nursing staff left for greener pastures.

The bulk of the nurses i.e. 73.9% were RGN's only with no other qualification and 21.7% with formal ICU training. Although literature review cites feelings of inadequacy could affect nurses where there was inadequate knowledge the findings did not associate this with the finding at any of the hospitals.

What are the main contributory factors of burnout in the nurses?

The factors that were found to contribute to burnout in the research were death and dying, unfavourable working hours, emotional involvement/attachment, disillusionment and emotional exhaustion. The research showed that among the respondents, 39% had severe feelings of emotional exhaustion and 40% showed moderate feeling of emotional exhaustion, it showed 21% to have mild emotional exhaustion. This agrees with the findings in the literature review where Cordes & Dougherty (1993) described burnout as being characterized by emotional exhaustion is an important indicator of burnout.

78% of the respondents were caring for dying patients and 43% were involved in end of life decisions. This showed that this could be affecting the nurses at these institutions because literature review (Cox et al. 2003 cited on <http://members.cox.net/dinsw2/stressinicu.htm>) concurs that death and dying issues can be taxing for the ICU nurse who is already facing other stresses on the job. Exposure to death and dying can also contribute to burnout.

The issue of disillusionment is illustrated by that 26% of the respondents showed severe disillusionment, 46% moderate and 28% mild. According to the literature review Erlin & Sereka (1997) also agree that disillusionment forms imbalances in relationships of physicians and nurses or nurses and supervisors can cause disillusionment which can result in burnout. This was illustrated that 17.3% had severe feelings of depersonalization i.e. they had become cynical in their work.

Working hours were also found to be a contribution factor with 30.4% responses complaining of unfair off duty schedules.

What are the signs and symptoms of burnout in these nurses?

The major signs and symptoms of burnout that were demonstrated from the findings were in emotional exhaustion 21% mild, 40% in moderate range to 39% having severe emotional exhaustion. Depersonalization showed that 35% were in the moderate range, mild accounting for 46.9% and severe on 17.3% and disillusionment showed 28% in the mild range, 47% moderate and 26% severe. These were rated on a two dimensional rating of both frequency of occurrence and intensity of feeling.

What possible strategies can be applied to reduce burnout in the nurses?

From the findings in the research it was found that debriefing meetings between physicians and nurses and between supervisors and nurses were not done on a regular basis. This could be introduced on a regular basis to try and dispel misconceptions between the different cadres. The long shift of twelve hours could be reduced to give nurses more time away from the ICU and more time with their families. This could help to improve family relationships and reduce conflicts in their families. However the units have to be well staffed.

Measures to help nurses with transport, especially during shift work and long hours could also go a long way in reducing burnout. Counseling services, staff support and other intervention strategies eg. Compassionate leave etc, can also be introduced to try and reduce burnout. Nurses also need to be involved in research and continuing education in forms of refresher courses. Comfortable restrooms for staff during break periods where there is no continuous noise of the ICU environment could also help the nurses. Adequate equipment and also to look into the remuneration of nurses. The ICU's themselves can also organise open days for the staff and senior administration to come and see what really goes on in the ICU so that they are sensitive to their requests and grievances.

What are the non- work related factors:

The non-work related factors that emerged were family conflicts and financial hardships with 34.7% reporting conflicts with family members and 47.8% reporting family responsibilities too heavy. This agreed with the findings in the literature review which cites that family support can also be a factor in overall coping of the nurses from pressures at work.

Conclusion

The study concluded that there is burnout in nurses working in ICU's at the selected major hospitals in Zimbabwe. Although the levels of burnout differed from mild to severe forms, the fact that it was demonstrated would indicate that remedial measures need to be taken by the responsible authorities at these institutions to try and alleviate the situation.

The research was able to demonstrate the social and institutional variables that either promote or reduce the occurrence of burnout. Such information will have the practical benefit of suggesting modifications in the recruitment, training needs and job design that may alleviate this serious problem.

Recommendations

The researchers recommended that the authorities at the hospitals, i.e. the principal nursing officers, look into offering of professional counseling services to the ICU nurses on a regular basis so as to identify any issues that might be affecting them early enough and recommending appropriate remedial action before a full blow "burnout" feeling develop.

It is also recommended that the matrons at these hospitals work with the administrators to ensure that the intensive care units have rest rooms that are away from the working area to give the nurses a feeling of rest during breaks. The sisters in charge working together with the principal nursing officers need to be able to grant compassionate leave on reasonable grounds when the nurse feels he/she cannot cope due to depleted emotional resources. This requires a great deal of support from the employer and the supervisor to adjust staffing levels so that patient care is not comprised.

The sister in charge in consultation with the matrons can make arrangements for nurses to go on retreats as individuals or as groups. This could help the nurses to refocus and regain some of their lost vigor during such outings. The sister in charge of the ICU could arrange awareness campaigns by highlighting the role of the ICU nurse to the administrators and also the challenges they face so as to allow them to gain some insight into the nurses problems and thereby be supportive in times of need according to literature review. This could even be in the form of open days for administrators to come and see ICU nurses at work and ask challenges that they face.

The manpower department in consultation with matrons needs to look into the issue of affording adequate remuneration to try and reduce stress levels associated with financial difficulties of their work. The sister in charge of the intensive care unit needs to arrange for regular de-briefing meetings between doctors and nurses and between nurses and supervisors also helps to dispel misconceptions and negative attitudes that can develop during the course of their work.

The sister in charge of ICU needs to arrange for refresher courses also as a way of stimulating waning interest by helping the nurse feel more confident, thereby removing feelings of inadequacy and non accomplishment which can contribute to burnout. The nurses need encouragement to engage in self development and avoid stagnation.

Intensive care nurses need to be encouraged by the sister in charge and matrons to participate in ICU research groups so as to help the nurse regain a sense of purpose whilst keeping them abreast with modern trends in care. It can be quite revitalizing if the supervisors, doctors and employers support it as well.

Given the negative effects of burnout in nurses cited in the literature review to the patient, the nurse and the organization as a whole, any progressive organization would want to nip the problem in the bud.

Future research

The subject of burnout in ICU was not exhausted at all because other members of staff were not included in the study, for example the doctors and nurse-aides. There is therefore need to carry out further research to find out the impact of this phenomenon on the whole spectrum of ICU staff. There is also need for a follow up to evaluate the effectiveness of the strategies to try and reduce burnout recommended above.

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ANTIHYPERGLYCEMIC AND HYPOLIPIDEMIC EFFECTS OF METHANOLIC EXTRACT OF *EUPHORBIA PROSTRATA* ON ALLOXAN INDUCED INDUCED DIABETIC RABBITS

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Abstract

In past numerous medicinal plants had been used for the control of diabetes because of their antihyperglycemic effect but there was no scientific proof of it. Aim of current study was to evaluate antihyperglycemic and hypolipidemic effect of whole plant of *Euphorbia prostrata* (Family: Euphorbiaceae) in order to validate its traditional use in diabetes, by native people of Cholistan desert, Pakistan. Whole plant (methanolic extract) of *Euphorbia prostrata* (EP) (250 and 500 mg/Kg/day, per oral for 14 days) was evaluated in alloxan induced diabetic rabbits (150 mg/Kg., i/p.) by serum biochemical parameters. Glibenclamide (5 mg/Kg/day, p.o. for 14 days) was used as standard antidiabetic drug. Alloxan induced diabetic groups had elevated levels of fasting blood glucose, cholesterol and triglyceride levels when compared with control group. EP extract (both doses of 250 and 500 mg/Kg) exhibited antidiabetic effect by significant reduction of fasting blood glucose levels. 500 mg/Kg dose of EP produced more significant ($P < 0.05$) results as compared to 250 mg/Kg dose. Serum cholesterol and triglyceride levels were also lowered down at the end of study. Therefore, outcome of the present study validate the traditional claims on antihyperglycemic effects of *Euphorbia prostrata* (whole plant).

Keywords: Antihyperglycemic; *Euphorbia prostrata*; Hypolipidemic; Medicinal plants

Introduction

Diabetes is one of the major health issues in current scenario and is affecting many people from different walks of life in almost every country of the world (Modak *et al.*, 2007). Diabetes is a chronic disorder and is associated with abnormal metabolism of carbohydrate, fat and protein. Elevated levels of both fasting and post-prandial blood sugar is the specific characteristic of diabetes. Auto-immune and non-auto-immune responses cause destruction of pancreatic β -cells resulting in type 1 diabetes (Kanatsuka *et al.*, 2006). There are circulating immune markers against pancreatic islets known as anti-islet cell antibodies or β -cell antigens (Buchanan and Xiang, 2005). That is the reason for patient's dependency on external supply of insulin but those suffering from Type II diabetes known as non-insulin dependent, can not properly respond to insulin. Type II diabetics can be therefore treated by changes in diet intake, exercise and by use of medicines. Type II diabetes is more prevalent form among two and constitutes about 90% of the whole. Symptoms can be same for both types such as: (i) raised levels of blood glucose; (ii) increased need to drink water; (iii) repeated urine output; (iv) increased food intake and weight loss; (v) blurred vision; (vi) nausea and vomiting; (vii) fatigue and weakness; (viii) restlessness and changes of mood etc.

Adverse side effects are reported by the use of synthetic oral antidiabetic drugs commonly used for the diabetes treatment (Akhtar and Iqbal, 1991) and (Holman and Turner,

1991). On the other hand, these drugs are also not safe during pregnancy (Larner, 1985). In recent years, use of herbal origin medicines had grown and these medicines are becoming popular in developed as well as developing countries. Natural origin is one of the reasons of increased popularity along with low cost and fewer side effects (Modak *et al.*, 2007).

Medicinal plants are in vogue from many centuries for the management of diabetes but very less scientific research had been conducted on these drugs to rule out potentially active constituent and their mechanism of action. *Euphorbia prostrata* commonly known as Hazardani is an annual herb, which belongs to family Euphorbiaceae and is abundantly found in India, Pakistan and Africa (Singla and Pathak, 1990). The dried leaves and seeds are both slightly aromatic, and are considered as stimulant, astringent, anthelmintic and laxative. The juice from the fresh plant is used to treat ringworm. Among some tribes of India (Nag pur) the pounded whole plant, mixed with sugar and water, is used to stop diarrhea. An essential oil distilled from the plant is used in medicinal soaps and to treat erysipelas and as a mosquito and fly repellent (Parrotta, 2001).

Several flavonoids like apigenin, quercetin, luteolin (and their glucosides), phenolic acids like gallic acid, ellagic acid and tannins are reported to be present in *Euphorbia prostrata*. These active constituents affect the inflammatory process by means of its action on the enzymes involved such as cyclooxygenase, protein kinase C, hyaluronidase, 5 – lipoxigenase, etc, (Wallis, Text Book of Pharmacognosy). The hypoglycemic activity of *Euphorbia prostrata* was reported earlier by Singla and Pathak (1990) but systematic and scientific investigations had not been carried out on *Euphorbia prostrata*.

Lack of clinical data and scientific research is the main blocking stone in the use of herbal origin medicine for the treatment of various illnesses these days. There is continuous need of scientific research for proving safety and efficacy of herbal medicines from simple biological assays to drug standardization along with toxicity and safety studies. Present study was carried out to investigate the antihyperglycemic and hypolipidemic effects of the whole plant of *E. prostrata* in diabetic rabbits.

Material and method

Chemicals

All chemicals and drugs of analytical grade were obtained commercially. Alloxan monohydrate (98 %) was used to induce diabetes (Acros Organics, USA). Glibenclamide used to control diabetes. Commercial kits for the estimation of serum glucose, cholesterol and triglycerides were purchased from Human Weisbaden,, Germany.

Plant material and extraction procedure

Fresh plants of *Euphorbia prostrata* were collected locally from nearby areas of Cholistan desert and were authenticated from Cholistan Institute of Desert Studies, the Islamia University of Bahawalpur, Pakistan. A voucher specimen (3402/CIDS/IUB) was deposited in the herbarium.

Preparation of Extract

Plant materials were dried under shade and crushed to get coarse powder. The coarse powder (1430 g) was macerated with 70% methanol for 15 days with frequent shaking. After 15 days, filtration was carried out through muslin cloth initially and then through Whatman filter paper. The filtrate was subjected to evaporation at low temperature (30 to 40 °C) and under reduced pressure on rotary evaporator (Heidolph Laborota 4000 efficient, Germany) until semisolid residue was obtained. The final extract obtained was in the form of thick viscous paste with dark brownish color and approximate yield was 61 g. For convenient

administration, the dry extract powder was encapsulated after weighing. Glibenclamid was used as a reference antidiabetic agent.

Experimental animals

Healthy rabbits of either sex (local breed), weighing from 1.5-2 Kg were purchased from the local market. They were kept in animal house of Faculty of Pharmacy & Alternative Medicine, The Islamia University of Bahawalpur. Standard housing conditions were maintained for rabbits and provided standard pellet diet and water ad libitum. All procedures were approved prior to performance by Institutional Animals Ethics committee.

Induction of Diabetes

Diabetes mellitus was induced by intraperitoneal administration of alloxan monohydrate (98%) at a dose of 150 mg/kg body weight, dissolved in normal saline to the overnight fasted rabbits. Fasting blood glucose (FBG) level of rabbits was checked up regularly for one week to get stable hyperglycemia. Blood glucose level (BGL) was checked by Merck microlab 300 (Merck, Germany). Rabbits showing fasting blood glucose level \geq 200 mg/dl were destined for screening antidiabetic effects of the crude extract.

Experimental design

The experimental period was 22 days. The first 8 days were for the induction of diabetes in rabbits and the following 14 days were the investigational period with crude methanolic extract of *Euphorbia prostrata*.

There were five groups of six rabbits each.

Group-1: Normal saline treated rabbits (Normal control-NC)

Group-2: Normal saline treated diabetic rabbits (Diabetic Control-DC)

Group-3: Glibenclamide (5 mg/kg body weight) treated diabetic rabbits (Standard Control-SC)

Group-4: *Euphorbia prostrata* extract (250 mg/kg/day) treated diabetic rabbits (*Euphorbia prostrata* crude extract-Ep.Ce 250 mg/kg/day)

Group-5: *Euphorbia prostrata* extract (500 mg/kg/day) treated diabetic rabbits (*Euphorbia prostrata* crude extract-Ep.Ce 500 mg/kg/day)

Blood sampling and biochemical analysis

Feeding was stopped 12 hrs before blood sampling. Blood samples were drawn at the 1st, 3rd, 7th and 14th day of study in vacuum tubes without the anticoagulant. Blood was centrifuged at 3000 rpm for 10 minutes to separate the serum after which it was tested for glucose. At the end of the experimental period (day 14) the blood samples collected were also tested for serum cholesterol and triglycerides. Effect of extract was studied up to 6 hours on BGL.

Statistical analysis

Results were presented as the mean standard deviation (SD). A one-way analysis variance was performed using SPSS-17 and Graphpad Prism 5 statistical software. Tukey's test was used for comparing the groups. The values were considered significantly different when the pvalue was lower than 0.05.

Results

Antihyperglycemic effect

The administration of methanolic extract showed a significant reduction in serum glucose level in alloxanized rabbits. One week after alloxan administration, serum glucose

values were almost 3-folds higher in all diabetic groups as compared to NC group. No statistical difference was observed among the diabetic groups before the treatment. Serum glucose levels showed a significant reduction in all treatment groups in comparison to the non diabetic rats during the experimental period which was more pronounced from the 7th to the 14th day. After 14 days the blood glucose in the diabetic control still recorded an elevated value (table 1).

Reduction in serum glucose values in diabetic control group was however, non-significant. When compared to the serum glucose level on day 1 after diabetes induction, methanolic extract treatments (250 and 500mg/Kg body weight) showed a significant reduction in serum glucose levels over the experimental period comparable with the standard drug (Glibenclamide). However, maximal reduction in blood glucose was seen in 500mg/Kg body weight over the experimental period (fig. 1). Although the methanolic extract treatments (250 and 500mg/Kg body weight) showed a significant ($P < 0.05$) reduction in serum glucose levels as compared to standard drug (table 1).

Table 1: Effect of *Euphorbia prostrata* (Ep.Ce) on Fasting Blood Glucose levels (mg/dl) of alloxan induced diabetic rabbits

Effect of <i>Euphorbia prostrata</i> (Ep.Ce) on Fasting Blood Glucose levels (mg/dl) of alloxan induced diabetic rabbits					
Sr. #	Treatment Groups	1 st Day	3 rd Day	7 th Day	14 th Day
1	Normal Control (N/S 1 ml/Kg)	70.90 ± 3.17	71.01 ± 2.75	70.33 ± 2.52	71.18 ± 2.59
2	Diabetic Control (N/S 1 ml/Kg)	262.43 ± 7.41	251.91 ± 6.08	248.13 ± 6.11	253.38 ± 6.09
3	Standard Control (Glibenclamide 5 mg/Kg)	273.15 ± 6.90	135.95 ± 6.08	131.25 ± 3.92	124.16 ± 4.42
4	Ep.Ce 250 mg/Kg	262.85 ± 2.90	183.26 ± 1.19	180.63 ± 0.93	178.21 ± 0.81
5	Ep.Ce 500 mg/Kg	269.38 ± 5.16	166.81 ± 2.87	164.45 ± 2.65	161.80 ± 2.55

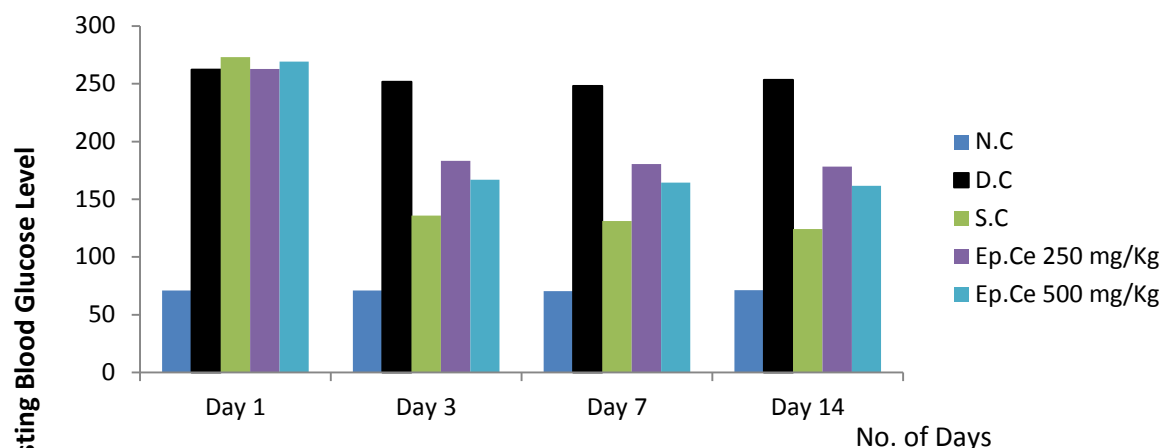


Fig 1: Effect of *Euphorbia prostrata* (Ep.Ce) on Fasting Blood Glucose levels (mg/dl) of alloxan induced diabetic rabbits

(N.C = Normal Control, D.C = Diabetic Control, S.C = Standard Control (Glibenclamide 5 mg/Kg))

Values are expressed as Mean ± SEM and n = 6. Tuckey test was used to compare means. P values were considered as $P < 0.05$ as significant (*). Both Extract treated groups were compared to positive control, negative control and standard control.

Lipid profile

Serum lipid levels were measured at the start and end of the experimental time period (figs. 2 and 3). Separate tables provided with figs. (2 and 3). The total cholesterol (TC)

concentrations of diabetic control rabbits showed a significant increase compared with those of the normal control rats. However, rabbits receiving an oral administration of the methanolic extracts (250 and 500mg/Kg body weight) and glibenclamide had significantly ($p < 0.05$) lower concentrations of TC comparable to diabetic control group on day 14th at the end of experimental period. The administration of the methanolic extracts and the standard drug was able to restore and further decrease the total cholesterol which was statistically more pronounced ($p < 0.05$) in the groups receiving the methanolic extracts. High dose of methanolic extract (500mg/Kg body weight) was significantly better than the low dose (250mg/Kg body weight) in restoring the total cholesterol and triglycerides. Thus both doses of extract significantly corrected the hypercholesterolemia and hypertriglyceridemia coupled with hyperglycemia.

Table 2: Effect of *Euphorbia prostrata* (Ep.Ce) on Serum Cholesterol levels (mg/dl) of alloxan induced diabetic rabbits

Effect of <i>Euphorbia prostrata</i> (Ep.Ce) on Serum Cholesterol levels (mg/dl) of alloxan induced diabetic rabbits			
Sr. #	Treatment Groups	0 Day	14 th Day
1	Normal Control (N/S 1 ml/Kg)	80.70 ± 2.89	81.85 ± 1.79
2	Diabetic Control (N/S 1 ml/Kg)	145.25 ± 5.54	151.20 ± 3.35
3	Standard Control (Glibenclamide 5 mg/Kg)	157.63 ± 4.33	100.53 ± 3.19
4	Ep.Ce 250 mg/Kg	158.73 ± 6.47	134.46 ± 7.94
5	Ep.Ce 500 mg/Kg	158.28 ± 8.61	126.54 ± 6.95

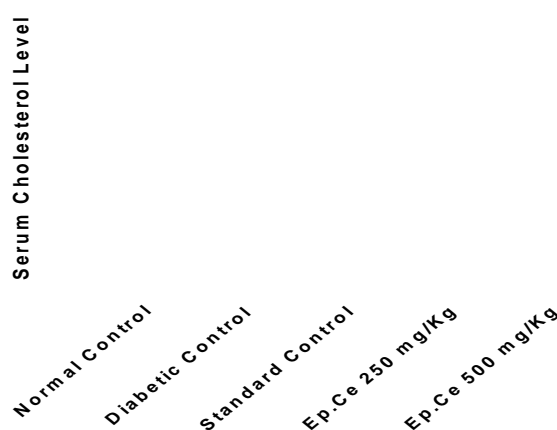


Fig 2: Effect of *Euphorbia prostrata* (Ep.Ce) on Serum Cholesterol levels (mg/dl) of alloxan induced diabetic rabbits

Values are expressed as Mean ± SEM and n = 6. Tuckey test was used to compare means. P values were considered as $P < 0.05$ as significant (*). Both Extract treated groups were compared to positive control, negative control and standard control.

Table 3: Effect of *Euphorbia prostrata* (Ep.Ce) on Serum Triglyceride levels (mg/dl) of alloxan induced diabetic rabbits

Effect of different doses of <i>Euphorbia prostrata</i> (Ep.Ce) on Serum Triglyceride levels (mg/dl) of alloxan induced diabetic rabbits			
Sr. #	Treatment Groups	0 Day	14 th Day
1	Normal Control (N/S 1 ml/Kg)	105.70 ± 2.83	108.95 ± 3.20
2	Diabetic Control (N/S 1 ml/Kg)	167.74 ± 3.56	171.41 ± 2.98
3	Standard Control (Glibenclamide 5 mg/Kg)	168.80 ± 3.13	101.19 ± 2.17
4	Ep.Ce 250 mg/Kg	156.14 ± 3.24	129.32 ± 2.59
5	Ep.Ce 500 mg/Kg	156.36 ± 5.61	123.80 ± 4.32

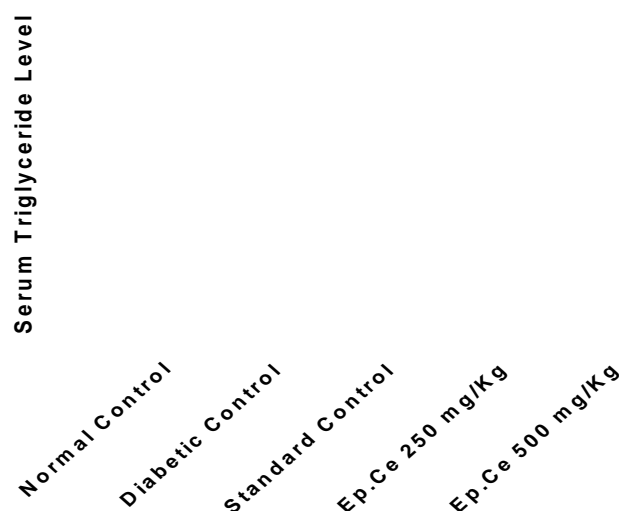


Fig 3: Effect of *Euphorbia prostrata* (Ep.Ce) on Serum Triglyceride levels (mg/dl) of alloxan induced diabetic rabbits

Values are expressed as Mean \pm SEM and $n = 6$. Tuckey test was used to compare means. P values were considered as $P < 0.05$ as significant (*). Both Extract treated groups were compared to positive control, negative control and standard control.

Discussion

Diabetes mellitus is metabolic disorder and its incidence is increasing rapidly worldwide. As diabetes is caused by wide variety of factors there is a continuous need to rule out different and appropriate ways of treatment to handle this challenging disease (Akah *et al.*, 2011). In this regard to establish the scientific basis for utilization of *Euphorbia prostrata* in diabetes management, antihyperglycemic study of methanolic extract was carried out on diabetic rabbits.

Results of current study exhibited a defined role of methanolic extract of *Euphorbia prostrata* plant in reducing serum glucose level in alloxan induced diabetic rabbits. It was therefore considered worthwhile to perform antihyperglycemic activity of Ep.Ce. Result of current study showed that Ep.Ce decreased serum glucose level in diabetic rabbits. Methanolic extract in both doses produced significant ($P < 0.05$) hypoglycemic effect 6 hours after administration but maximum decrease in fasting blood glucose was observed at the dose of 500 mg/kg body weight. Alloxan causes tissue injury of pancreas by production of free radicals (Akah *et al.*, 2011). That's why regeneration of islet beta cell after destruction by alloxan is suggested to be the primary mechanism of recovery of alloxan-injected rabbits after administration of drugs (Akah *et al.*, 2011). It was also observed that variable dose of extract had begun hypoglycemic effect after 2 hours of extract administration. Maximum decrease in serum glucose levels was produced at 6th hour after administration of Ep.Ce which showed that it takes about 6 hours or even more time for active ingredient(s) of extract or its metabolites to enter into circulation and target tissues to bring about glucose lowering effect. But the action of Ep.Ce is slower as compared to sulfonylureas and biguanides. Most effective dose (500 mg/kg) had closest effect as of synthetic drug glibenclamide.

It had been reported earlier that treatment with plant origin drugs should be continued for longer time duration to get maximum effect (Grover *et al.*, 2000). To get maximum effect of Ep.Ce on diabetic rabbits, extract was orally administered once a day for 14 days, the period which produced a significant decrease in fasting serum glucose level of diabetic

rabbits. Such results confirmed the previous studies that effectiveness of drugs depends on the cumulative effect of active principles (Obatomi *et al.*, 1994). Thus, Ep.Ce effectively controlled serum glucose levels and maintained normal glucose level which can be helpful in preventing the microvascular complications related with diabetes.

In diabetes induced by alloxan there is also increase in serum cholesterol and triglyceride levels. Serum cholesterol and triglycerides levels were brought to near normal by the treatment with Ep.Ce in diabetic rabbits. Hypocholesteremic and hypotriglyceridemic effects can be achieved by tight control over serum cholesterol level. This is in agreement with the facts that (1) control of serum glucose is the major determinant of total and very low density lipoprotein along with triglyceride levels in blood (Markku Laakso, 1995) and (2) better serum glucose control after sulfonyl urea treatment reduces serum VLDL and total triglycerides levels (Huupponen *et al.*, 1984), (Taskinen *et al.*, 1985), (Hughes *et al.*, 1985) and (Taskinen *et al.*, 1986). The methanolic extract of *E. prostrata* has hypolipidemic effect in addition to antihyperglycemic effect in diabetic rabbits.

Conclusion

A good control of serum glucose is the cornerstone in the management of diabetes. In the present study both doses of *E. prostrata* exhibited anti-hyperglycemic and hypolipidemic activity in alloxan-induced diabetic rabbits. The management of diabetes includes a combination of antihyperglycemic drug treatment with lipid-lowering effects. This plant could be used as potential therapeutic drugs for the management of diabetes type 2 and dyslipidemia associated with it. Further biochemical and pharmacological studies are under way to evaluate the mechanism of antihyperglycemic and hypolipidemic activity of *E. prostrata* plant. A long term study however, is imperative as plant products are slow in action than the synthetic drugs and at higher doses may also exhibit a plateau effect which would not help in diabetes management.

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RISK FACTORS AND CAUSES OF NEONATAL DEATHS IN NAMIBIA

Nelago Indongo

Abstract

Objectives To identify the common causes and risk factors of neonatal deaths in facilities in five regions in Namibia.

Methods This descriptive study was carried out at all health facilities providing maternity care services in the five regions. A total of 498 neonatal deaths recorded in each of the facilities during the period under study January 1, 2010–June 30, 2012 were reviewed. These deaths were evaluated for age, gestational age, birth weight, risk factors and cause of death.

Results About 46.4% of neonates who died had a birth weight less than 1500g and most of them had a gestational age of 26-32 weeks (45.2%). The most common cause of neonatal death was prematurity (n=270 or 54). Respiratory distress syndrome (n=131), birth asphyxia (n=88), sepsis (n=86), and congenital malformations (n=50) were also prevalent causes of neonatal deaths. The third type of delay (delay in receiving care) was perceived to be common (47.8%) for neonatal death cases, reinforcing the fact that two-thirds of neonatal deaths occurred at the hospital where the woman laboured and delivered. The most common reason given for the delay was a lack of facilities (including medications and supplies) to care for premature neonates, lack of trained and available providers. Other causes of the third type of delay noted were delays transferring neonates to higher-level facilities and delays in making the decision to perform a Caesarean section during prolonged labour. Overall, 102 (23.1%) of neonatal deaths for whom maternal HIV status was indicated were born to HIV-positive mothers. Fifty-nine (11.8%) of these mothers were on full HAART during pregnancy; 31 (6.2%) mothers were on ARV prophylaxis and 62 (12.4%) neonates born to HIV-positive women received early ARV prophylaxis.

Conclusion The mortality rate was high in low birth weight neonates. Measures to prevent neonatal mortality must be exercised with emphasis on skilled attendance at birth and appropriate care of low birth weight neonates.

Keywords: Neonatal Deaths, Namibia

Introduction

In developing countries, more than nine million infants die every year before birth and in the first week of life as a result of complications occurring during pregnancy. Many of these deaths are preventable. Rutherford, Mulholland and Hill (2010:508) indicated that 41% of these deaths occur in sub-Saharan Africa. Reducing neonatal mortality is a major thrust of current international public health policy. The neonatal period is defined as less than 28 days of life. It is a highly vulnerable period of life when a neonate may develop certain serious problems which lead to death. Neonatal mortality in United States declined largely due to improvement in obstetric and neonatal intensive care as well as advances in diagnosis and treatment. However, in developing countries neonatal morbidity and mortality is still high and is due primarily to negligence of female health, nutrition, deliveries by un-skilled

personnel and poor antenatal care. Globally the major causes of neonatal death are estimated to be pre maturity, low birth weight, birth asphyxia and severe neonatal infections.

A number of risk factors have been observed to influence adverse pregnancy outcomes including neonatal deaths. Among these are maternal age and utilization of maternal health care services more specifically prenatal and delivery care. In cross sectional retrospective study carried out in Zimbabwe, it was observed that older maternal age was associated with risk of neonatal death (Feresuet al., 2005). These findings corroborate earlier studies that have looked at adverse pregnancy outcomes (Magadi et al., 2001). Other factors that have been indicated in neonatal mortality are prematurity and low birth weight and intrapartum asphyxia. In addition, there was association between neonatal mortality and inadequate or complete lack of antenatal care (Obwaka and Ruminjo, 1995). Place of delivery is an important aspect of reproductive health care. The place of delivery often determines the quality of care received by a mother and infant. It is an important factor in differential risks of neonatal mortality. Children delivered at a health facility are likely to experience lower mortality than children delivered at home because such facilities usually provide a sanitary environment and medically correct birth assistance.

The purpose of this paper is to ascertain some of the potential risk factors associated with neonatal deaths; determine underlying contributory factors to neonatal deaths in health facilities and propose strategies for midwifery practice in order to prevent neonatal deaths. This study hopes to provide information to health care practitioners regarding the contributory factors which may cause neonatal deaths at the hospital. The findings of the study could have major policy and training implications for midwives at the hospital under study, with resulting improvement in the level of maternal and neonatal care. These findings could also lead to improvements in maternal and neonatal care facilities. New knowledge will be brought to the study depending on the results of the research in order to reduce the neonatal deaths caused by preventable causes. The results could also assist the Ministry of Health and Social Services to introduce measures and reinforce existing policies and strategies on obstetric and neonatal care.

Data and methods

Beginning in 2010, all health facilities providing maternity care services were expected to complete a process of peri/neonatal death review within seven days of a death, with the review carried out by the health workers involved and at the institution where the death occurred. Each peri/neonatal death is entered on a confidential peri/neonatal death review form, which is given a unique number and maintained at the institution for review as well as reviewed by a Regional Maternal and Peri/Neonatal Death review committee within one month of the death.

Data collectors reviewed all neonatal deaths recorded in each of the facilities during the period under study (January 1, 2010–June 30, 2012) and collected pertinent data from the confidential peri/neonatal death review form as well as other supporting clinical documentation (e.g., case notes, operating theatre registers, paediatric ward registers). After data collectors completed the clinical audit of neonatal deaths tool, a dataset was created in SPSS. The dataset included information on reported neonatal deaths (deaths to a live-born infant within 28 days of birth) within identified facilities during the study period (January 1, 2010–June 30, 2012); both newborns born at the hospital who died prior to discharge and newborns who were admitted or readmitted and died within 28 days of birth and excluded stillbirths (deaths reported on the peri/neonatal death review form as having occurred prior to birth) as well as neonatal deaths outside of the study period or at home.

Results

A total of 498 neonatal deaths were recorded in the five regions for the study period (January 2010–June 2012). A high number occurred in Khomas region (60.4% or n=301), where most of the births also occurred.

The first antenatal visit is the most crucial visit where baseline data and all relevant history are taken into account and investigations done. A complete assessment of gestational age and risk factors that may threaten the life and wellbeing of the mother and the child may be made at the first antenatal visit. More than 70% (n=352) of mothers of neonates who died received some antenatal care. Of these, only 321 records indicated when the women had started ANC. Two-thirds (67.3%) of those with recorded ANC initiation started ANC in the second trimester. Fewer women initiated ANC in either the first (14.3%) or third (18.4%) trimesters. Among mothers of deceased neonates who had documented ANC visits, the frequency of visits ranged widely from one to more than four visits. It is worth noting that most women (92%) with documented ANC who experienced a neonatal death had had at least two ANC visits.

Almost one-third of neonates (29.7%) who died weighed >2500g at the time of death. All other neonates were low birth weight (<2500g). Twenty-four percent weighed 1500g–2499g, and another 23.7% weighed 1000–1499g. Twenty-one percent of neonates weighed less than 1000g. The weight data for neonates who died are consistent with the gestational age data, indicating a significant burden of prematurity. Of neonates who died, 27% died on the day of birth and an additional 22% died within the first 24 hours of life, making up almost 50% of all of the deaths. The incidence of neonatal deaths declined on all subsequent days in the study up to one week.

Of the 441 neonatal deaths where information was available, the maternal HIV/AIDS status was unknown for 79 (17.9%) of the cases. Overall, 102 (23.1%) of neonatal deaths for whom maternal HIV status was indicated were born to HIV-positive mothers. Fifty-nine (11.8%) of these mothers were on full HAART during pregnancy; 31 (6.2%) mothers were on ARV prophylaxis and 62 (12.4%) neonates born to HIV-positive women received early ARV prophylaxis. Twelve women who were HIV-positive were not recorded as receiving any antiretroviral medication.

For 319 neonatal deaths (or 64% of those studied), it was reported that the death occurred at the facility where labour and birth occurred. Most (58.6%) newborns who died were delivered by normal vaginal delivery, and more than one-fourth (116 or 23.3%) were delivered by Caesarean section. About 95% of all neonates who died were delivered at health facility. There were only a few who were delivered at home or enroute to the health facility.

Table 1: Distribution of facility audited neonatal deaths by background characteristics

Characteristic	Number of deaths	%
Region		
Erongo	76	15.3
Hardap	38	7.6
Karas	59	11.8
Khomas	301	60.4
Omaheke	24	4.8
Type of facility		
Health Centre	2	0.4
District hospital	195	39.2
Intermediate hospital	89	17.9
Central hospital	212	42.6
Mother attended ANC		
Yes	352	70.7
No	77	15.5
Unknown	69	13.9
Birthweight		

Less than 2500g	329	70.3
2500g and more	139	29.7
HIV status of mother		
HIV positive	102	23.1
HIV Negative	260	59.0
Unknown status	79	17.9
Place of delivery		
Health facility	466	93.6
Home or enroute to facility	22	4.4
Unknown	10	2.0
Method of delivery		
Normal vaginal	292	58.6
Assisted vaginal with vacuum	4	0.8
C-section	116	23.3
Breech delivery	4	0.8
Unknown	82	16.5

Causes of death among neonates

The most common cause of neonatal death was prematurity (n=270 or 54.2%), which is reflected in birth weight and gestational age tables as well. Respiratory distress syndrome (n=131), birth asphyxia (n=88), sepsis (n=86), and congenital malformations (n=50) were also prevalent causes of neonatal deaths. Respiratory distress syndrome is most often the result of prematurity; birth asphyxia and hypoxic ischemic encephalopathy (n=34) are both related to intrapartum and immediate neonatal events (e.g., prolonged or obstructed labour, lack of immediate neonatal resuscitation when indicated). Other less common causes of neonatal death were noted to be necrotizing enterocolitis, hypothermia, jaundice, surgical complications, birth trauma, and tetanus.

Matthews and MacDorman, 2010 analysed the 2006 infant mortality statistics from the nationally linked birth/infant death data set and found that infant mortality rates were highest for very preterm (less than 32 weeks) infants, and the risk decreased sharply with increasing gestational age. In addition, in their study Kaushik et al 1998 examined the relationship of neonatal mortality rate to birth weight and gestational age and found that infant mortality rates were much higher for low birth weight (less than 2,500 grams) infants (55.38 per 1,000) than for infants with birth weights of 2,500 grams or more. Bloland et al. 1995 conducted a retrospective analysis of data from a cohort of mothers and infants in rural Malawi conducted from 1987 to 1990 and the study concluded that infant mortality rates were significantly higher among children born to HIV sero-positive women compared to those born to HIV sero-negative women.

For Namibia, the pattern is similar to what is reported in other African countries. HIV status of the mother, birth weight of a baby and gestational age are the main risk factors associated with neonatal deaths. The majority of babies born to HIV positive mothers died due to prematurity, sepsis and respiratory distress syndrome and birth asphyxia in that order (Table 2). It is not surprising to note that 98% of neonate who died due to prematurity weighted less than 2500g at birth. However, a significant high proportion of underweight babies died as a result of necrotising enterocolitis (83.3%); birth asphyxia (74.7%) and respiratory distress syndrome (71.5%). The majority of neonates born weighting 2500g or more died due to encephalopathy (94.4%); hypoxic ischemic (85.7%) and sepsis (54.9%).

Table 2: Distribution of neonate deaths by cause and HIV status of mother and birth weight

Cause of death	Mother HIV Positive		Less than 2500g		2500g or more	
	Number	%	Number	%	Number	%
Prematurity	54	52.9	251	98.0	5	2.0
Birth Asphyxia	19	18.6	59	74.7	20	25.3
Sepsis	24	23.5	37	45.1	45	54.9
Respiratory Distress Syndrome	22	21.6	88	71.5	35	28.5
Hypoxic Ischemic	3	2.9	2	14.3	12	85.7
Encephalopathy	-		1	5.6	17	94.4
Necrotising enterocolitis	3	2.9	15	83.3	3	16.7

Delays as contributors to neonatal deaths

The results from this section support contributions from all three types of delay to neonatal death, according to the health workers interviewed: delays in seeking, reaching, and obtaining care. The third type of delay (delay in receiving care) was perceived to be common (47.8%) for neonatal death cases, reinforcing the fact that two-thirds of neonatal deaths occurred at the hospital where the woman laboured and delivered. Only 0.5% of mothers of neonates who died experienced the second type of delay (delay in reaching a facility due to transport or financial barriers). For the 96 mothers of neonates who experienced the third type of delay the most common reason given for the delay was a lack of facilities (including medications and supplies) to care for premature neonates, lack of trained and available providers. Other causes of the third type of delay noted were delays transferring neonates to higher-level facilities and delays in making the decision to perform a Caesarean section during prolonged labour. A number of neonates also were reported to have experienced a combination of the first and third delays (n=22; 10.9%).

Discussion

Approximately two-thirds of neonatal deaths occurred at the facility in which the neonate was born and, as indicated by both birth weight and gestational age data, prematurity was the cause of more than half of neonatal deaths. Other important causes were birth asphyxia, sepsis, and respiratory distress syndrome. Neonatal death audit responses indicate that few facilities are equipped to care for premature neonates. Moreover, transfer of premature neonates was delayed in a number of facilities during the time period of this study.

Velaphi and Rhoda (2012) recommended that access to CEmOC by bringing facilities closer to communities results in reduction of neonatal deaths. Maternity waiting homes should be provided for those women who stay far from facilities that conduct births and do not have transport. Most births in Namibia occur in district hospitals, many of which are located in rural areas where transport to the hospital is not easily available, so waiting maternity homes would be well suited for these areas and would play a major role in reducing intrapartum hypoxia-related deaths.

Training in neonatal resuscitation is another aspect reported to reduce deaths in babies with intrapartum asphyxia and early neonatal deaths. The need for assistance or resuscitation at birth is not always predictable, so all nurses and doctors involved in obstetric and neonatal care should be trained in at least immediate care of the newborn and basic neonatal resuscitation. Training on its own will not be adequate without provision of the equipment required for resuscitation, so all labour wards, delivery rooms and neonatal/paediatric wards should be provided with appropriate equipment to resuscitate newborns with intrapartum asphyxia. Provision of resuscitation equipment must be accompanied by plans to replace equipment or parts of the equipment that are found not to be in working condition or are lost.

There is therefore an urgent need to get equipment to all healthcare facilities. In order to reduce neonatal deaths, more emphasis must be placed on preventing preterm birth and intrapartum asphyxia, and managing them when they do occur.

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A HARZARD ANALYSIS ON FACTORS ASSOCIATED WITH THE CHOLERA OUTBREAK OF JANUARY TO MARCH 2000 IN BUHERA DISTRICT: MANICALAND PROVINCE, ZIMBABWE

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Abstract

Cholera is an acute diarrhoeal disease caused by bacteria called vibrio cholerae. It has a high case fatality rate. Cholera is endemic in Zimbabwe and the country experiences cholera epidemics during the rainy season. A case control study was conducted following an outbreak of cholera in Buhera District of Manicaland Province in Zimbabwe. Interview schedules, observation methods and laboratory analysis of stool specimens were used to collect data.

A 100% response rate was achieved from 40 cases and 80 controls. Significant risk factors, among others, included lower level education, odds ratio (OR) =4.6, Confidence Interval (CI) =1.83 -12.8 P-value =<0.001; attending gatherings, OR= 2.25,CI=0.97 -5.26,P=0.038; communal hand washing OR=3.86,C I=1.14- 14.37, P=0.015

The epidemic curve indicated a point source infection. The findings indicated a strong association between poor hygiene and sanitation with the spread of cholera.

Cholera was first shown to be water-borne by a proper epidemiological study by John Snow in East London. Traditionally, water was recognised as the primary vehicle for transmission of cholera, but in the past 30 years, outbreaks of cholera associated with eating contaminated food have demonstrated that food also plays an important role. However, vehicles for transmission vary from place to place and this is affected by local customs and practices, and hence, selection of control and preventive measures that are most suitable locally must be implemented.

Keywords: Cholera, Buhera district Zimbabwe

Background

Manicaland province has had 3 cholera outbreaks since 1983, with the worst outbreak being that of 1999 / 2000, where a total of more than 601 cases were reported and about 75 people died.¹ Buhera district is one of Manicaland's seven districts and lies in the south eastern part of the province. It borders with Mutare District to the north, Mashonaland East to the west, Masvingo Province to the south and Chipinge District to the north east. It has a total population of 257212 as per 1992 census projections, and 53610 households.² The district receives minimal rainfall but has two major rivers running through it i.e Save and Devuli rivers. According to the 1998 Manicaland Environmental Department Annual Report, safe water supply coverage for Buhera District is 13.7%, whilst sanitation coverage is 23%.³ Most residents here resort to the 'bush system' for their toilets, and obtain drinking water from 'mufuku' which are shallow wells made along the river banks, and some unprotected wells out in the country side. The water and sanitary situation might have predisposed the residents of Buhera to the risk of contracting the waterborne disease, cholera.

Cholera is an acute diarrhoeal disease caused by *Vibrio cholera*, sero group 01 or sero group 0139.⁴ Although the infection is often sub-clinical, when symptoms are present, the illness may be mild or fulminant (cholera gravis), the later leading to rapid dehydration and death.⁴ Cholera has a potential for rapid spread and is highly seasonal, with epidemics occurring during the rainy season.⁴

Cholera first emerged in an epidemic form in India year 1817. Subsequent pandemics during the 19th century which swept the crowned cities of Asia, Europe, Africa and America had profound impact on the development of public health, stimulating the established of local health departments and systematic infections disease surveillance at local, national and international levels. Although man is the only known animal host of cholera, it has however become clear in recent years that understanding *Vibrio cholera*'s survival in aquatic environment, is central to understanding its epidemiology which has been dominated by its tendency to spread throughout the world in pandemics.

Overview of the Cholera Outbreak

The 2000 cholera outbreak in Manicaland was first reported in Buhera district at Birchenough bridge hospital on the 8th of January 2000, and the first reported case came from Jombo village-Zindoga, along the Devuli river. On the 9th of January, the second cholera case reported to the same hospital from Tamanikwa village, 3 km upstream, from Jombo village along Devuli river (Appendix 1- spot map). Stool specimens were collected for laboratory analysis and *Vibrio cholera* (ogawa) was isolated on both specimens. On the 11th of January 2000, a team comprising of members from the Provincial Medical Director's office and Buhera district went to carry out a situational analysis at Jombo village where the first case came from. Here, a 13 year old girl was found, who gave a history of having been to a church gathering over the Christmas holidays till the 26th of December 1999, some 20 km north, away from her residential place at a place known as Tonhorai. Nine days later, after the church gathering i.e. on the 4th of January 2000, the girl developed acute, painless, watery diarrhoea and vomiting. She however recovered at home on salt and sugar solution. Rectal swab was negative. On the 8th of January, her aunt who stayed 25 metres away, and used to visit the girl when she was ill, developed similar symptoms. She became the first reported case at Birchenough bridge hospital.

About 3km upstream at Tamanikwa, a village to the north of Jombo village where the first unreported case came from, another unreported case was found recovering at home, on salt and sugar solution. This was a 45 year old man who gave a history of having profuse painless watery diarrhoea and vomiting from the 8th of January 2000. Rectal swab was negative. About 1km further up from the second unreported case's homestead, was the second reported case's homestead, whose stool specimen was also *Vibrio cholera* positive. From the history of both the reported and the unreported cases, none of them had visited other areas nor had they received visitors during the previous month, except for the 13 year old girl who had been to a church gathering. All cases however, obtained their drinking water from 'mufuku' along Devuli river.

On the 10th day from the onset of the cholera outbreak, i.e. the 14th of January 2000, a community death occurred at the Nechikova village, about 10km north of Zindoga. Relatives and friends convened to the funeral. *Vibrio cholera*, sero-type ogawa was isolated from rectal swab collected from the deceased. The deceased's family obtained drinking water from 'mufuku' along the Devuli river. The funeral, however was not supervised by health personnel. The deceased belonged to a Zionist church sect, who believe in faith healing. As such, the funeral was not reported and only discovered by the surveillance team who had gone out on a routine surveillance tour.

Six days following the first community death, daily cholera cases started to increase rapidly with the problem extending to areas of about 50 km radius in the district and later to the other districts. From the onset of the cholera outbreak in the district, a team was set up to go out and investigate the outbreak.

Objectives of the outbreak investigation

Major objective

To detect the major cause of the outbreak, treat the affected and combat spread of the infection.

Specific objectives

1. To put up an active cholera surveillance system in place.
2. To characterise the cholera epidemic.
3. To identify risk factors associated with symptomatic infection and disease outcome.
4. To put up control measures in place.
- 5 To come up with appropriate recommendations on cholera prevention to the district as well as the province.

Case definition

For the purposes of this study, a case of cholera is, any person in whom *Vibrio cholerae* infection has been confirmed by laboratory tests, or person treated for either acute watery diarrhoea with or without blood, or acute watery diarrhoea plus vomiting, with mild, moderate or severe dehydration, during the period from the 4th of January 2000 to the 12th March 2000, the time when the cholera outbreak in Buhera district was declared over.

Literature Review

Cholera, is an acute dehydrating diarrhoeal disease traditionally caused by *Vibrio cholerae* sero- group 01 and also more recently by *Vibrio cholerae* sero- group 0139.⁴ The disease is a major cause of death worldwide.⁶ It is an internationally notifiable condition.⁴ Cholera is unlikely to be amenable to world eradication since the existence of environmental reservoirs of *Vibrio cholerae* means the organism is likely to persist indefinitely.⁴ Despite sometimes grim prognosis of untreated cholera, the disease is remarkably easy to treat by fluid and electrolyte replacement orally.⁶ Intra-venous infusion could be resorted to in severe cases.⁶ the incidence of cholera in a geographic location is determined by the presence of the causative organism, the conditions for its transmission and the immune status of the local population.⁴

Cholera was first shown to be waterborne by a proper epidemiological study by John Snow in East London.⁶ Traditionally, water was recognised as the primary vehicle for transmission of cholera, but in the past 30 years, outbreaks of cholera associated with eating contaminated food have demonstrated that food also plays an important role, although in many instances, water is the source of contamination of food.⁵ Food borne cholera can be averted by hygienic preparation of food and its consumption.⁵ However, vehicles for transmission vary from place to place and this is affected by local customs and practices, and hence, selection of control and preventive measures that are most suitable locally must be implemented.⁵

Cholera first emerged in an epidemic form in India in 1817.⁴ Subsequent pandemics during the 19th century which swept the crowded cities of Asia, Europe, Africa and the Americas, had profound impact on the development of public health, stimulating the establishment of local health departments and systematic infectious disease surveillance at local, national and international levels.⁴ Although man is the only known animal host of

cholera, it has however become increasingly clearer in recent years that understanding *Vibrio cholerae*'s survival in aquatic environment is central to understanding its epidemiology which has been dominated by its tendency to spread throughout the world in pandemics.⁶ (see Figure 1)

Figure 1. The cholera pandemics. Adapted from Cowcroft (1994)

Pandemic	Organism	Origin	Period	Affected Regions
First	O1-Classical	Bangladesh	1817 -1823	India, SE Asia, Middle East, East Africa
Second	O1-Classical	Bangladesh	1826-1851	India, SE Asia, Middle East, East Africa, Europe, Americas
Third	O1-Classical	Bangladesh	1852-1859	India, SE Asia, Middle East, East Africa, Europe, Americas
Fourth	O1-Classical	Bangladesh	1863-1879	India, SE Asia, Middle East, East Africa, Europe, Americas
Fifth	O1-Classical	Bangladesh	1881-1896	India, SE Asia, Middle East, East Africa, Europe, Americas
Sixth	O1-Classical	Bangladesh	1899-1923	India, SE Asia, Middle East, East Africa, Europe, Americas
Seventh	O1-El Tor	Indonesia	1961-	India, SE Asia, Middle East, East Africa, Europe, Americas
Eighth	O139	India	1991-	India, SE Asia

Singh et al, New Delhi revealed that cholera affected women more than men.⁷

In the same study, all cholera cases occurred in those who were illiterate or educated up to primary level.⁷ Although cholera rarely occurs in children under 2 years, a four day neonate was found to be infected with *Vibrio cholerae* O139 in Bangladesh.⁸ It was however successfully treated. Important risk factors were found to be contact with affected persons, storage of water in wide- mouthed containers, use of mugs to draw water from containers and non use of soap when hand washing after toilet use, before cooking and eating food.⁷ These findings suggested that the hygienic practices were more important than contaminated water sources for transmission of cholera in Delhi during the 1992 cholera outbreak.⁷

Gunnlaugson 1997, in their study in Biombo - Guinea Bissau, West Africa, mentioned that cholera outbreaks occurred in several villages following funerals in the region.⁹ Cholera was strongly associated with eating at a funeral where the corpse was not disinfected, and with touching of the body.⁹ Following this study, the authors recommended that, during cholera epidemics, in addition to other cholera prevention activities, health workers should inform community leaders about the risk of cholera transmission during funerals, meals should not be served and bodies should be disinfected.⁹

Rodrigues, 1997 in Guinea- Bissau, echoed similar sentiments that using soap for hand washing was a protective factor.¹⁰ He also reiterated that using limes in the main meals, not eating with fingers and using water from a public stand pipe were protective.¹⁰ For his recommendations, he emphasised on the importance of hygiene and use of acidifiers in food preparation, for cholera control programmes in Africa.¹⁰

A study done by Birmingham et al, 1997 revealed that bathing in contaminated surface water was a major risk factor for cholera in Sub- Saharan Africa.¹¹ Similar studies by Swerdlow et al, 1997 in Malawi indicated that significant risk factors for illness included drinking river water, placing hands into stored household water and eating left over food.¹² The authors also revealed that improved access to treatment and increased use of oral rehydration therapy could decrease mortality.¹² Preventing future cholera outbreaks in Africa was therefore dependent on interrupting both waterborne and food borne transmission of the pathogen.¹² The use of antibiotics in the treatment of cholera was found to be beneficial by their reduction of stool volume.¹³

In an anthropological study done by Nations and Monte 1996, it was revealed that 'non compliance' with recommended regimens, is more of a revolt against accusatory attitudes and actions of the elite than as an out right rejection of care by the poor.¹⁴ They further highlighted that controlling cholera requires eliminating 'blaming the victim' rhetoric while attacking the social roots of cholera namely, poverty, low earning power, female illiteracy, sexism, lack of basic sanitation and clean water.¹⁴

Cholera tends to be more severe in persons with low gastric acidity due to malnutrition, gastritis, surgery, or drugs such as antacids.⁴ The problem also tends to be more severe in persons with blood group 'O,' hence the high prevalence of blood group O among populations in Latin America may have intensified the cholera epidemic there.⁴ According to Chidavaenzi, the Herald, February 11, 1999, commonly practised methods of domestic water collection, transportation, storage and distribution in the home, often exposed water to further contamination.¹⁵ He recommended the use of water urns in the home, to reduce bacterial load in domestic water. Cholera will ultimately be brought under control, only when water supplies, sanitation, personal hygiene and food handling practices are safe enough to prevent the transmission of *Vibrio cholerae*.¹⁴

Methodology

A case control study was carried out in Buhera district with a total of 40 cases and 80 controls. An epidemiological investigation using interview schedule (appendix 2), to carry out a hazard analysis in the affected areas, observations as well as laboratory test were used to obtain data.

Epidemiological Investigations

A hazard analysis to try and establish the likely origin of the infection and factors predisposing residents to the infection was done through interviewing cases and controls. A 'case' was any person who met the definition of a case, as described above, and a 'control' was any persons who lived within the same community and had equal chances of being exposed to the risk of contracting cholera. Controls were taken from neighbours and were not matched in any way with the cases. Taking controls from the same family was avoided to counter the problem of over matching.

The hazard analysis involved assessing the knowledge, attitudes, practices and beliefs with regards cholera, environmental assessment with regards water and sanitation, recent visits, gatherings, food consumed as well as assessing self efficacy in terms of ability to take own decisions and prevent contracting cholera.

Laboratory investigations

During the peak of the outbreak, a temporary laboratory was set up at Birchenough Bridge hospital in order to cope with the large numbers of stool specimens. A total of 76 stool specimens were collected and cultured during the outbreak, using thiosulphate citrate bile salt sucrose (TCBS) agar whose efficiency was enhanced by use of alkaline peptone water. *Vibrio cholera* appeared as yellow colonies.

Results

A total of 78 residents in wards 26 to 30 of Buhera district were affected by cholera during the outbreak. Out of the 76 specimens, 44 were positive, 18 were negative and 14 results were missing. Fresh stool specimens were collected and tested within 3 hours of collection as per recommendations by the Mutare Provincial Laboratory. Rectal swabs were only collected in cases where stool was not readily available e.g, the deceased. Eight water samples from different water points were sent for laboratory testing and five of the samples

from different water points along Devuli and from shallow wells in the communal area, yielded *Vibrio cholera* (ogawa). Stool and water samples were later sent to the National Quality Control laboratory in Harare for further analysis and verification.

The age range for cases was 7 to 70 years with a median of 29, and mode of 32. Female to male ratio for cases was 25 to 15 respectively (Appendix 1). Table 1 gives a summary of the total number of cholera cases in Buhera district, deaths, and the case fatality rate.

From statistical analysis, it appears there was an association between the disease and drinking water from an unprotected well with OR= 0.48, 95% CI =0.16 - 1.43 and a P-value of 0.14. This meant that persons who drank water from unprotected water sources had 0.48 chances of developing cholera than those who drank water from a protected water source. Eating food at a gathering (funeral) was associated with contracting cholera with an OR =30.00, P=0.0002, and 95% CI= 2.91- 7.4 and this meant that persons who ate food at a gathering had about 30 times the risk of contracting cholera than those who did not. Individuals who washed hands from a communal bowl prior to eating had 15 times the risk of contracting cholera than those who used the 'run to waste method' with a P value of 0.000001. Having toilet facilities at home was found to be a protective factor with a P value of 0.0000008, OR=0.08, 95% CI=0.02- 0.26. Higher level of education and being male were also found to be protective factors.

Preventive and control measures

These were outlined as indicated below, at the onset of the outbreak, and were reviewed and updated throughout the outbreak period.

- Treatment of the affected at identified treatment centres and infection control.
- Follow up of cases and contact tracing.
- Inter- sectoral meetings with members of other ministries in a collaborative effort to try and control the epidemic.
- Use of boiled water and water chlorination in the homes and in wells.
- Inspection of food outlets and monitoring of vendors.
- Supervision of funerals, discourage huge and long time gatherings as well as avoid serving of food where possible.
- Encourage stringent hygienic practices amongst communities at all times.
- Information dissemination to commuters, bus operators, schools, churches, community leaders etc.
- Construction of temporary toilets using locally available resources.

Case management

Oral rehydration therapy was the primary mode of treatment and, severe cases received either Doxycycline 300mg stat, cotrimoxazole or erythromycin. The use of cotrimoxazole was later abandoned when the organism showed some resistance. Prophylactic chemotherapy was given to very close contacts, who were defined as persons residing in the same house as the case.

Discussion

Although the first unreported case gave a history of having been to a church gathering at Tonhorai, on tracing back, no other persons from the same gathering seemed to have developed diarrhoea. The first unreported case and the first reported case could be linked as they were related and stayed 25 metres apart and shared a common water source. The first reported case visited the 13 year old when she was ill.

There was however, no link between the Jombo village cases and the cases from Tamanikwa village. The only common link between them was their source of water, which was the Devuli river. The epi-curve indicated a point source infection during the initial stages of the epidemic (appendix 2) The upsurge of cholera cases was observed following a community death, and the pattern on the epi- curve is indicative of a propagated infection . These findings concur with findings by Gunnlaugsson et al 1994 in Guinea Bissau, where cholera cases continued to increase as more people were dying and relatives and friends attended funerals.

Use of participatory methods rather than coercion was found to be more beneficial as communities were given the chance to take charge and be responsible for their own health.

In an anthropological study done by Nations and Monte 1996,¹⁴ non compliance resulted as a revolt against accusatory attitude by the elite who always resolved to 'blaming the victim'

The church members of the Zionist and the Apostolic sectors exhibited this behaviour during the initial stages of campaigns against cholera in Buhera. Cooperation was only after the health teams improved their campaign strategies and involved the communities.

This was evidenced by their willingness to report cholera cases to the health team, cooperation in the construction of temporary toilets and participation in the water chlorination exercise.

In this case control study, there was a significant association between drinking water from unprotected water source and risk of disease. Eating food at funerals, coupled with washing hands in a communal bowl were high risk factor. Having a toilet and protected water source was protective. Belonging to the Zionist or Apostolic church sectors, employment status and level of education, was not of statistical significance. This could be due to the fact that most people in the area belonged to the same church sects, were unemployed and had lower level education.

Limitations

- There was non compliance by members of the Zionist and Apostolic church sects during the initial stages of the epidemic, who believed in faith healing. However, compliance improved following the deaths of two prominent church leaders.
- Inadequate transport, coupled with incessant rains, tended to slow down efforts by health personnel to quickly contain the epidemic.
- Sparsely distributed health facilities made it difficult for cases to quickly get assistance.
- There was generally low staff morale due to lack of incentives.
- Poor sanitation in the district and inadequate safe water supply in the district were factors that may have contributed to the onset of the epidemic.

Recommendations

1. Provision of safe water to the communities and construction of toilets should be treated as an urgent matter. Plans for bore-hole construction are already underway and water chlorination as well as water boiling are being done by members of the community.

2. Health education campaigns utilising community participatory methods, against cholera should be continuous and intensified prior to the rainy season.

3. The province should sustain the cholera surveillance.

4. There is need to have transport set aside for disease control purposes and outbreak management.

5. As a long term measure, Buhera district needs to have more health facilities in order to improve accessibility. Currently the district has 25 health facilities.

Conclusion

Cholera is preventable and curable. The causes of cholera spread are multi - faceted, and these mainly relate to the knowledge, attitudes, practices and beliefs. Morbidity and mortality rates due to cholera could be greatly reduced if communities are empowered to be masters of their own health through participatory health education. It is also hoped that the cholera control measures instituted aim at controlling and preventing waterborne and food borne diseases. These would assist to alleviate the problem in Buhera district and the province as a whole. For the purposes of disseminating information, persons were identified at district, province and national levels to communicate information about the cholera outbreak in Buhera. An Environmental Health Officer from the district was tasked with the collection of information about cholera around the district and pass it on to the principal investigating officer i.e. the MPH Officer in the Province. The principal investigating officer would then give information to the health executive, and liaise with the link person in the department of Epidemiology and Disease Control / Ministry of Health and Child Welfare. The Provincial Medical Director (PMD) disseminated information to other districts and neighbouring provinces. Any other persons needing information about the cholera situation in Manicaland, would be referred to the PMD. Information to neighbouring countries was communicated at national level.

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ENVIRONMENTAL POLLUTION RISK ANALYSIS AND MANAGEMENT IN TEXTILE INDUSTRY: A PREVENTIVE MECHANISM

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Abstract

The textile industry is major contributor in many nations in terms of economies and employment. The small and large scale operations in this textile sector though contribute much to the economy also cause hazardous effect to environment. The textile manufacturing processes involve large consumption of water, energy and various chemicals which will generate waste at the end or as a by-product. The major problem with regard to water usage is the untreated effluents which are discharged directly into nearby water bodies. Not only water bodies cause environmental damage other factors like gas emissions, excessive odors etc are also considered to be pollutants. Environmental pollution risk analysis and risk management in textile industry is vital in order to prevent chemical disaster which may lead to terrible results. It is also important to maintain production level at the same time. This paper aims to identify and analyze the pollution due to water and air in a textile industry and steps to reduce the risk which arises due to pollution.

Keywords: Air pollution, dyes, environmental hazard, risk analysis, textile industry, water pollution

Introduction

Textile industry not only comprises large quantity of water for the process but also need various chemicals and dyeing agents for the process. When a manufacturing process starts there arise large quantity of waste in terms of water, energy and other chemical substances which will readily or indirectly affects the environment to a greater extent. The pollution created by this textile processing may be in the form of air, water or noise which is considered to be hazardous to health for the surroundings. Each time the manufacturing process varies according to the requirement of the customer so the waste generated varies each time depending up on the type of chemicals and raw materials used (Parvathi.C et.al, 2009). Pollution is considered to be the unwanted material into the environment. These residues may be unwanted or unprocessed raw materials, or they may be by-products. Though these pollutants are unavoidable they can be reduced to some extent and can be discharged which will reduce the effect on environment. The pollution in a textile mill can be air pollution or water pollution or noise pollution. Among the three types water pollution is considered to be more hazardous. Because of scarcity of land many textile industries are located nearby households. So any minor disaster will ultimately cause greater damage to large population near and far the unit. According to United Nations Environment Programme

(UNEP, 2010) every year 400-500 million tons of deadly chemicals like cyanide, sulphur and other radioactive substances are discharged into water.

Many industries like oil refineries, textiles, and chemical industries in India create water pollution above the permissible level. These industries can't be separated from each other. One way or the other they are interdependent to each other so continues the process of environmental pollution. The industries aim at higher profit rate hence they withdrew the act of ethical behavior. When technology and science was lagging the textile industries used natural dyes which are no harm to living beings and surroundings, but gone are those days. In order to achieve target the industries stick on to the usage of synthetic fibers which are non biodegradable and ultimately spoil the water and land resources when discharged without proper treatment. Thus the rate of water pollution depends upon the amount of water and chemical substances used for the manufacturing process. According to WHO (2004) people in the universe irrespective of their status and societal conditions they have right to have sufficient quantity of water with high quality similar to their basic needs. In recent years the fatality of death endorsed because of water pollution everywhere and majority of the diseases are due to this pollution (Chikogu Vivien et.al, 2012). The water born diseases are not initially identified and it may get your hands on right from childhood and detected in later stage of criticality. The pollution due to untreated water causes major environmental pollution and becoming a threat in many industrialist areas of developing countries. These effluents may be infectious or radioactive some times.

Water Pollution

Water pollution is considered to be the biggest environmental threat all over the world. In India government is investing more to control water pollution but the results are below the satisfactory level (Chakraborty et.al, 2012). Water quality is usually measured in terms of rate of occurrence of a substance in aqueous solution. There are many tests like BOD (Bio chemical Oxygen Demand) test, pH test and dissolved solvent tests are available to test the purity of water. The consumption of water by different industrial sectors is shown in Fig.1. Among them thermal power plants is the thirstiest sector among others. The textile industry accounts for 2.07% of water consumption. The consumption for the textile industry includes various processes such as sizing, dyeing, and other end product processes. The major problem arises when these chemicals are directly discharged into water bodies thus causing water pollution. This water pollution not only affects human beings and house hold animals but also aquatic animals to the same extent. The textile fabric production consist of various stages, initially the cotton are mixed in various proportions to make fibers. The fibers now undergo the process of spinning and convert into yarn.

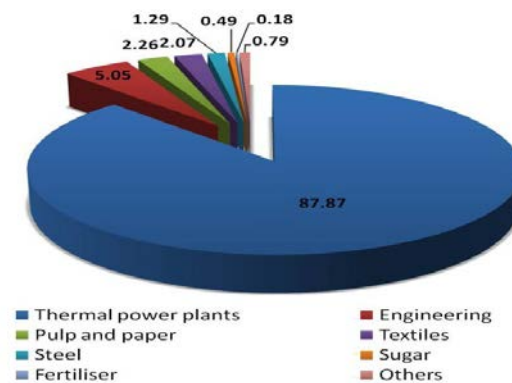


Fig.1 Consumption of Water by Various Industrial Sectors

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Now the process of dyeing takes place where many chemical agents for coloring purpose is used. In order to avoid detaching the yarns undergo the process of sizing where they are washed with cellulose and amylase substances. Now the processed yarns are weaved into end product (Meral et.al, 2008) while undergoing these processes various pollutants are discharged as chemical waste which is depicted in Table.1. When these water are discharged without any proper treatment then it will lead to hazardous effects to living organisms, so before discharging they should be properly treated either biological or physical or chemical means.

Measures to Control Water Pollution

In order to reduce water pollution some measures should be taken for betterment of life. Before entering into major treatment it will be easy to carry over preliminary steps for removing hazards (Little. A. H) The preliminary process may be a removal of waste material or other solid materials followed by neutralization of acids or salts and other intermediate components can be achieved by proper pH test or chemical oxidation or aeration methods.

S.NO	PROCESS	CHEMICAL DISCHARGE	POLLUTANTS	HEALTH EFFECTS
1.	Sizing	Benzene	Resins, fats, waxes, starch and glucose	Carcinogenic, mutagenic and affects central nervous system,
2.	Bleaching	Cyanide	Wax, grease, soda ash, sodium silicate	Prolonged exposure will affect kidney and liver and leads to death
3.	Dyeing	Sulphate	Sulphides, acetic acid, mordant	Eye and respiratory problem
4.	Printing	Nitrate, phosphate	Starch, gums, mordant acids,	Harmful health hazards
5.	Finishing	Lead	Starch, salts, finishing agents.	Suppression of hematological system

Table.1 Effluent Discharge from Textile Industry

Following are the few recommended control mechanism which industries can carry out before discharging effluents into ground water. According to the IUPAC definition, flocculation is “a process of contact and adhesion whereby the particles of dispersion form larger-size clusters”. Ferric form of iron salts are considered to be good flocculating agents and are less sensitive to pH as like aluminum salts. Under suitable condition colloids come out of suspension in the form of floc or flake and remove most of floating particle. Ozonation is a major oxidizing agent which is helpful in the decomposition of organic pollutants of industrial waste. The major advantage of this process is it can be applied in the form of gas thus reducing the volume of waste water and other impurities like sludge. Ozone molecule is an electron acceptor in which the hydroxide ions are catalyzed and decomposition of ozone to hydroxyl radicals which react with both organic and inorganic matters. Aerobic treatment is considered to be preliminary process particularly for decolourization of dyes. Photo catalysis is a biological means of removing waste from water in which has lesser retention time and little expensive (Zaharia et.al, 2012).

Air Pollution

As we all know air is a mixture of several gases like nitrogen (79%), oxygen (20%), and noble gases like argon, carbon-dioxide (1%). As air is a mixture the composition and proportion of the gases varies time to time depending upon the places. Air pollution is the state where air gets polluted with high concentration of chemicals which will usually harm living beings and cause serious damage to non-living beings. More recently, attention has been growing towards the control of emerging issues of hazardous air pollutants, which are mostly exposed in our homes or work places where majority of the life span is spent. In the house hold usage of burning fuels, solvents, glue, paints consist of Volatile Organic compounds like benzene, toluene, methylene chloride.

S.NO	TREATMENT NAME	TREATMENT TYPE	EFFECT
1	Coagulation/Precipitation/ Flocculation	Physio-chemical Treatment with alum and potash	Separates agglomerates
2	Ozonation	Physio-chemical Treatment	Removal of azo dyes
3	Wood saw dust	Adsorption treatment	Effective Removal of acid dyes
4	Aerobic Process	Biological Treatment	Decolorization of dyes
5	Photo catalysis	Biological Treatment	Mineralization with lesser confinement time

Table.2 Control Mechanism for Water Pollution

The Fig.2 shows the contribution of each industrial, household, commercial and agricultural sector for air pollution. It's clear from the chart that industrial sectors pollute more the environment at a rate of 52% percentage. When the industries are taken into account probably the textile sector account for 17-20% of the industrial air pollution with 72 chemicals being let out as waste out of these 30 of them are can't be removed.

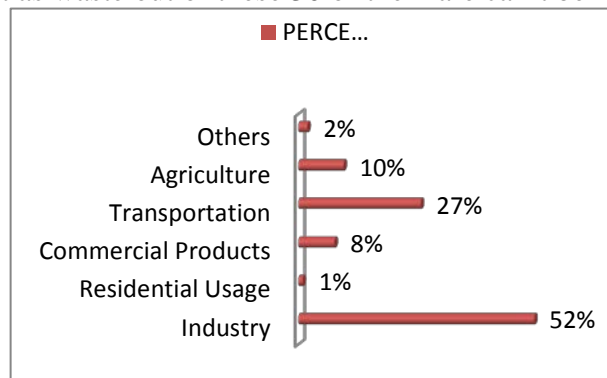


Fig.2 Sources of Air Pollution

Major Sources of Air Pollution

There are many sources of gases that pollute our atmosphere. The sources of such gases are broadly divided into Primary pollutants and Secondary pollutants. The primary pollutants are oxides of nitrogen and other sulphur and hydrocarbons emitted when the fuels are being burned. There are also secondary pollutants which are formed due to physical processes and chemical reactions, one such compound is the ozone. In a textile processing usually sulphur dioxide, sulphates, emanate from the poly-condensation, spinning the fibers and the fur generated during the weaving and spinning process. In the textile industry coal and water are used which will generate steam comprising of carbon, carbon dioxide, carbon monoxide and sulphur polluting the air to greater extent. The following Table.3 explains about the major pollutants of air and their effect on environment.

S.NO	POLLUTANTS	EFFECTS
1	Carbon-mono-oxide	Reacts with blood and form carboxy-haemoglobin which will rest the blood transportation to other parts of body
2	Oxides of nitrogen (NO, NO ₂)	Acid rain, bronchitis, eye irritation
3	Sulphur-dioxide, sulphates	Eye irritation, breathing problem, acid rain
4	Methane	Lungs disorder
5	Carbon-dioxide	Head ache, nausea, increase in global temperature
6	Hydrocarbons (methane, ethylene, acetylene etc..)	Carcinogenic effects

Table.3 Major Air Pollutants

Measures to Prevent Air Pollution

In order to prevent the hazards due to such emission from the industry the workers can be advised to use Material Safety Data Sheets to handle all the substances individually. This material data sheet can include physical properties, toxic rate, ill effects and first aid for effective handling of all the resources (Samiya et.al.). The manufacturer can provide the material data sheet while they deliver the goods so that the textile industry can make it visible to all the workers for their easy access. Staff members who regularly handle the chemicals can be given adequate training regarding the over usage of particular chemical and their ill effects on health and environment. The another way to control air pollution is placing chimneys to height not less than 30m so that all deadly gases are released out of the living organisms. The pollution can also be controlled with the help of settling chambers in which the polluted air is passed through chambers in which the solid particles with particular weight gets settled down. Filtration method can also be used for filtering the hazardous pollutants in which bed filter, fiber filters and fabric filters are widely used.

Results And Discussions

Risk Analysis

Risk is defined as uncertainty and in uncertainty lays opportunity, without uncertainty there is little chance to profit. Ignoring the risk will certainly affect the employee's health issues, lower the reputation of the company, and at last the environment also. So a better risk management technique should be adopted by each textile industry with which the organization can make a better decision considering the political, economical and social factors. The effect of risk depends on vulnerability of the factors involving risk and it may be either in terms of financial or non-financial terms.

Steps in Risk Management

In order to control the effect of risk there should be proper risk management technique adopted strictly by all the firms. So an agenda should be created such that all the actions should be carried over based upon the action plan devised. There are six steps in risk management process they are Identify, Analyze and Prioritize Evaluate, Track and Report, Monitor and Review. These steps are shown in Fig.3.

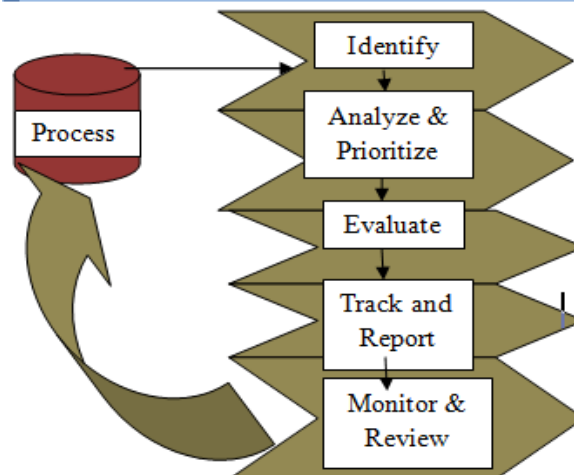


Fig. 3 Risk Management Process

Identify

This is the preliminary phase in the process of risk management. Identification of risk allows individuals to find out the potential risks so that the operation level employees will be aware of handling the problems. This identification step should not be a one step process it

should be carried over frequently to avoid damage. The risk arises either due to internal or external sources of problem.

Analyze And Prioritize

As soon as risk has been identified they must be assessed to their potentiality of loss and severity of occurrence. Analyzing the risk to health from hazardous substances created during the work process should be assessed well. Organization should take utmost care from preventing employees exposed to hazardous chemical substances. When the risk is identified and analyzed well then only it becomes possible to prioritize the risk. This prioritization of risk enables the employees to manage the most important risk.

Evaluate

The major problem with evaluation of risk is determining the rate of occurrence because the availability of information's regarding the past incidents may not be recorded. The evaluation of risk is concerned with how the people affected by risk perceive them and there should be trade-off between perceived risks and benefits.

Track And Report

Risk tracking is the process of monitoring about specific risk and the progress in their devised actions plans. Tracking the risk is monitoring the prospects, impact and other measures of risk for changes that could change the precedence or risk plans and eventually the availability of the service. Risk reporting should give guarantee that the operations staff, service manager, and other stakeholders are responsive of the status of top risks and the plans to manage them. It should be ensured that control measures are used and maintained properly and the safety procedures are followed accordingly.

Monitor And Review

Monitoring the risk is the process of implementing the action plan and their related tasks. Monitoring also involves the change initiatives and when changes in risk take place it could automatically affects the available service levels. Reviewing the risk involves learning the new technology, tools and reusable techniques that can be shared effectively with others. Plans and procedures should be prepared to deal with accidents and other hazardous incidents wherever necessary.

Conclusion

In order to protect the environment every organization should regularly check and file the documents related to regulations concerning work place safety. The management must ensure that the organization has protocol to implement all the rules regarding the environmental and workers safety. Majority of the organization certainly will have the code of conduct like corporate social responsibility and environmental responsibility. The workers of the textile industry should ensure that the production area is distant from the place where they take food in order to avoid the consumption of chemicals through air. Thus the paper assess the hazardous substances that pollute water and air substantially, their sources and the steps to assess and control the risk in the textile industry is seen.

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THE RELATION BETWEEN OIL PRODUCTION AND THE CO₂ EMISSIONS OF THE MANUFACTURING SECTOR: A DECOMPOSITION ANALYSIS OF MEXICO'S INDUSTRY FROM 1970-2010

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Abstract

Climate change mitigation public policy requires a honed diagnosis of the main drivers of its greenhouse gases emissions. The natural resource curse theory, NRC, proposes that the production, consumption and exports of oil could induce a myriad of negative economic and social effects. The carbon curse postulate, on the other hand, suggests higher carbon intensity. What the NRC has not addressed, so far, is the relationship between hydrocarbon exploitation and CO₂ emissions. Decomposition analysis has been used by various authors to analyze national energy consumption and emissions, but they have not so far mined the possible relationships between the resource abundance and CO₂ emissions. This paper attempts to fill this gap by studying the main drivers of Mexico's manufacturing sector CO₂ emissions from 1970 to 2010, period in which there are important discoveries of oil and changes in the oil production, as well as in the economic context. Manufactures are purportedly impacted by oil abundance, inside the NRC literature. Although the period of analysis spans four decades, smaller sub-periods are analyzed to look for subtler changes in energy use and emissions trends. The results show that after the 1982 oil boom, there were several decreasing effects in the manufacturing industry, giving support to a resource curse hypothesis. However, the Carbon Index measure of the Chemicals, Petrochemicals and Cement subsectors remain high after the boom, accounting for the possible high carbon intensity effects proposed by the carbon curse hypothesis.

Keywords: Natural resource curse, carbon curse, CO₂ emission drivers, decomposition analysis

Introduction

The present article carries out a decomposition analysis to enlighten the relationship between oil production and exports, and the resulting changes in the manufacturing industry's CO₂ emissions. To improve climate change mitigation public policy, it is important for any country to carry out honed diagnoses of the main drivers of its greenhouse gas (GHG) emissions. Although CO₂ emissions are already accounted for (IPCC, 2006) there is a need to make the driving forces behind the amount of fuel burned more explicit, in order to calibrate better mitigation policies.

For oil producers and exporters, the economic effects of fossil fuel extraction, production or exports could have important implications in terms of their CO₂ emissions, whether it is due to a direct end of pipe accounting of the energy consumption along the entire production chain or through a more indirect analysis of the impacts of the oil sector in

distinct economic dynamics. The fields of natural resource economics and environmental economics have studied the relationship between oil production and exports and several economic indicators. More specifically, authors like Auty (1993) and Sachs and Warner (1995) proposed what they called a *natural resource curse (NRC)*, in which countries relatively rich in natural resources have shown, in average, lower rates of economic growth over the second half of the twentieth century.

The natural resource curse

One of the channels of transmission of the NRC is the so called Dutch Disease, DD, (Corden and Neary, 1982), or the premature retreat of tradable sectors induced by the real exchange rate and the equally premature tertiarization of the economy, induced by the increments in wealth after an oil discovery or the unexpected increase in export prices. The symptoms of DD are the crowding-out of production factors such as employment and capital, toward the sector in boom, from the sectors not in boom; a consequent negative impact on tradable sectors not in boom, agriculture and manufacturing; an increasing import activity to satisfy the increments in domestic demand, both intermediate and final, and the decrease of exports of tradable sectors not in boom; the increment of public sector expenditure. All these elements may reduce the economic growth.

If DD appears, it is to be expected that a major hike in oil rents can result in a *diminishing* participation in GDP of manufactures and agriculture, both intensive in energy, and consequently of CO₂ emissions. An opposite effect could be induced by policies oriented to subsidize energy both to all economic activities and households with the aim to speed up industrialization and diversify productive structures and control inflationary pressures in carbon intensive sectors such as the manufacturing industry along with a stronger participation of lesser intensive sectors in the economy such as the services sector. Although the Dutch Disease is a much studied area, its relationship with GHG emissions as well as the analysis of the impact of oil production among the *subsectors* on the manufacturing industry under the light of the natural resource curse are rarer.

Furthermore, Friedrichs and Inderwildi (2013) have suggested a distinct relationship between fossil fuel production and CO₂ emissions. Instead of a decrease in carbon intensity due to less intensive sector predominance, they propose a *carbon curse* in which countries that are rich in fossil fuel resources tend to have a *higher* carbon intensity than countries without them. The causal hypotheses they suggested are: the presence of a highly carbon intensive sector, namely the fossil fuel producer; the crowding-out related to Dutch Disease that is also present for the energy portfolio, which increases barriers for renewable energies; less investment in energy efficiency technologies; and the presence of fossil fuel subsidies.

Thus, there is still debate of the possible the direction and impact of oil production on the economy and on GHG emissions. The objective of this paper is to analyze under the light of the described theoretical framework, the impact of oil abundance on the Mexican economy and the energy and carbon intensity of its manufacturing activities.

Decomposition analysis

One way to analyze the relationship between oil production and GHG emissions in the manufacturing activities is through a decomposition analysis (Ang et al, 1998), which observes, first, the drivers of energy consumption (Ang, 2004) and GHG emissions (Xu and Ang, 2013), and second the “...various underlying factors that contribute to changes in energy and environmental indicators over time” (Ang et al, 1998: 489).

There have already been several studies on the Mexican energy consumption and GHG emissions using decomposition analysis. Sheinbaum and Rodriguez (1997) use the Laspeyres Index decomposition method and find a decrease in total CO₂ emissions for the

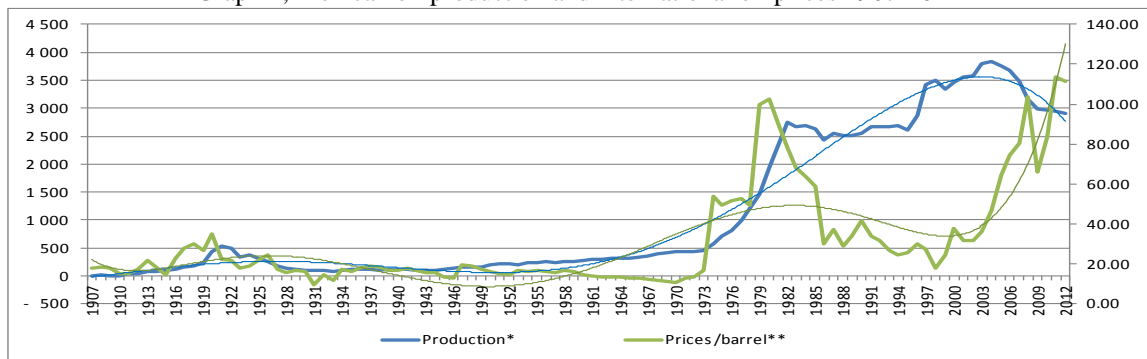
period of 1987-1993, for the manufacturing sector, due to a significant fall on sector energy consumption. Ozawa et al. (2002) apply the Divisia Index, to study the energy consumption and respective emissions of the iron and steel subsector from 1970 to 1996. They find that primary energy use of the subsectors increased, despite some decreases related to structural and efficiency effects. Sheinbaum et al.(2010) expand the period of analysis until 2006 and use the Log Mean Divisia Index (LMDI), with similar results, while Sheinbaum et al. (2012) apply the LMDI method to study the Mexican manufactures for 1990-2008. They find that CO₂ emissions *increased* by 29% from 1990 to 2008. The main driver of this increment was the overall growth of the economy.

González and Martínez (2012) used the LMDI method for the 1965-2012 period, incorporating four different stages of the Mexican economy during which two distinct models were instrumented: the import substitution and the export lead models. Yet, they do not incorporate the effects and implications of the intensification of the energy intensity in the different speed at which changes in emissions take place in each productive activity.

Period of study

The current study analyzes the Mexican manufacturing sector and subsectors with the Log Mean Divisia Index decomposition method, from the discovery and exploitation of the giant oil field Cantarell to 2010. The period is divided in stages according to the evolution of the country's oil production and considering as well the cycles of the national economy, as depicted in Graph 1.

Graph 1, Mexican oil production and international oil prices 1907-2012



Source: Puyana, 2014

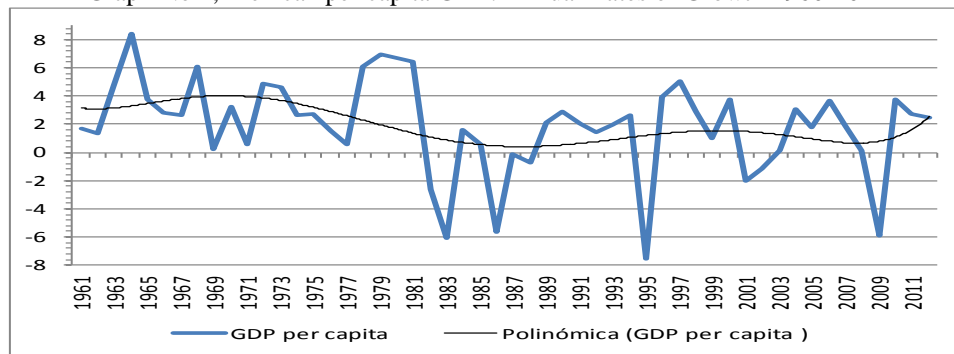
As Graph 1 shows, Mexican crude production is a protracted history, starting in the early 20th century and maintaining relatively low initial levels, from the discovery and production of the first wells in the beginning of the twentieth century to the early 1970s, ranging from approximately 0.1 to 500 thousands of barrels per day (tbpd). During this decade, the oil policy of the President López Portillo changed from supplying mainly the domestic market to exports, amongst others, to have the external resources to pay the external debt and guarantee essential imports (Puyana, 2014). The substantial oil bonanza from Cantarell facilitated this change of direction. Consequently, the country's oil production increased approximately six fold in the decade spanning 1972 to 1982.

The interplay between increasing oil prices, due to OPEC and in the quantum produced oil bonanzas Mexico enjoyed from mid seventies until 2008, when production declined, still remains above the levels registered before Cantarell was put into production. The fossil fuel resource international price and its physical availability that defines a specific boom mark 1974 as a starting year, when national production and price were not in boom. After that, 1982 marks the next cross section, when oil production in Mexico reaches its highest peak so far in history. After this segment in time, the international oil prices begin to decrease as sharply as they rose only ten years before and remained so until the end of the

twentieth century. Mexican oil production remained relatively stable around the high levels obtained since 1981 during this period as well.

Graph 2 shows the changes for the annual growth rate of Mexican Gross Domestic Product (GDP). From Graph 2 it emerges, first, that the Mexican economy has experienced several crises which mark two clear periods: from 1960 up to 1982, that registered an average rate of per capita GDP growth of 4% and the second one comprising 1982-2012, when the rate of growth falls to 1% per annum: Second, that there are several short, two or three year sub periods, with higher growth, but never above the four percent of the first period. The period of faster economic growth corresponds to the import substitution industrialization during which manufactures enjoyed large economic stimuli such as subsidized energy, tax exemptions and rebates, high import tariff protection, amongst others. After 1982 and Mexico's entrance to the North American Free Trade Agreement (NAFTA), protection such economic stimuli were eliminated.

Graph No 2, Mexican per capita GDP. Annual Rates of Growth 1960-2012



Source: Own elaboration based on World Bank, 2014

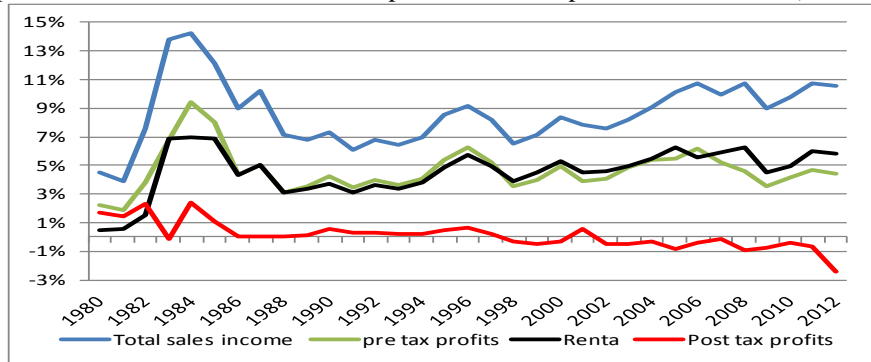
After the instrumentation of the NAFTA in 1994, the economy suffered a deep crisis from which the recovery was hard. Since 1994 to 2012, NAFTA did expand Mexican exports at a dramatic speed, from 79 to 370 billion dollars, but the economy maintained the one percent annual growth. In the NAFTA era, oil production ascended to 3.36 million barrels a day for an accumulated production of 22.6 billion barrels, out of which a 50% was exported. Mexican total oil consumption grew at 2% annually, slightly faster than per capita GDP. The intense liberalization of the Mexican economy and the structure of its external trade, highly concentrated in one market of destination of its exports, the United States of America, and on manufactures inserted in global value chains explain why Mexican per capita GDP contracted by 6% in 2009, for the contagion of the global financial crisis of 2008. From Graph 1 we could suggest that the Mexican oil production registered three distinctive stages: 1907-1973 when it expanded at an average rate of 4%, between 1974 and 2004 the rate was 8% annually to fall to -3% per annum in 2004-2012.

Paradoxically, Mexican fastest growth took place when prices were falling, and the decline in production coincided with prices recovered after 2003. At the same rate, as commented above, the trajectories of oil production and per capita GDP do not coincide, since the period starting in 1982 up to 2012, it grew only at 1% per annum. Nevertheless, oil production at relative low prices, compared with international prices and costs provided Mexico with generous rents, fully captured by the Mexican State.

From 1980 to 2013, Mexican oil rent represented 4.7% of GDP, equivalent to 33% of total fiscal income and 106% of the national oil company PEMEX's pre tax rents, as shown in Graph 3. Oil rent captured by the Mexican State in 1982-2011, escalated from 8.2 to 70 billion dollars in 2011 to fall to 59 in 2012 and 2013 due to decreasing production. All in all, the government accumulated oil income amounting to 432 thousand billion dollars, which represents an increase in public expenditure capacity without imposing taxes, and explains in

big part the protracted revaluation of the Mexican peso and the intense Dutch Disease effect the Mexican Economy presents. In 2012 the share of manufactures in GDP was 18 % which is 4% points lower than it would be at the Mexican per capita GDP, and agriculture share was 3.8%, a full 7% lower according to the Chenery norm (Puyana 2014). Puyana (2014) finds, applying a standard Dutch Disease model, that the revaluation of the Mexican peso and the fall of agriculture and manufactures as sources of GDP are directly and strongly related to oil rent (Puyana 2014)

Graph 3, Mexico. Oil rent and PEMEX, pre and after tax profits as % of GDP (1980-2013).



Source: Puyana 2014

Data

To capture the effect of oil abundance on energy intensity and CO₂ emissions this study applies the decomposition analysis of GHG emissions which requires three types of data: sector and subsector economic product, energy consumption and CO₂ emission factors.

Data for sector and subsector GDP is taken from the National Institute of Statistics and Geography (INEGI, 2013). Given the data requirements for a long period (1974-2010), some adjustments were required to better manage the information. The first was to unify different data bases: the SCNM (*Sistema de Cuentas Nacionales de México*) and SCIAN (*Sistema de Clasificación Industrial de América del Norte*). These changes make it difficult to compare the periods under study since the structure and content of industrial productive activities do not completely coincide. For instance, the petrochemical production was aggregated to the Chemicals subsector. Thus, this study is done on a lower detail and disaggregation (where Chemicals concentrates both chemical and petrochemical activities), guaranteeing that all subsectors remain grouped in similar ways across the period of interest. Energy consumption data is taken from the Energy Information System (SENER, 2010).

Carbon emission factors are taken from the IPCC's National Greenhouse Inventories Guidelines (2006). Carbon emission factors for electricity generation are not easily available for all years, so this study recollects those used by the aforementioned authors that have utilized the same technique in studying Mexico's manufacturing sector, namely Ozawa et al. (2002), Sheinbaum et al. (2012) and Gonzalez and Martínez (2012). A projection of missing values is done for those years that do not exactly coincide with these academic works.

Methodology

Decomposition analysis is a flexible method in which an aggregate magnitude can be separated into structuring components, to analyze their relative contributions. Because the components that are included depend on what is the goal of the analysis, there is not a unique way of doing a composition breakdown. The present study carries out the same combination as Sheinbaum et al. (2012), described as follows.

Final energy consumption (E) is a decomposition (or a product) of three components, or effects: the energy intensity (I) and structure (S) effects for each subsector, and total activity (A) effects for the aggregate sector. The equation that describes this relation is:

$$E = A \sum I * S$$

where A is the GDP value for the entire manufacturing sector, I_i is the ratio of the energy consumption of one subsector for a given year divided by its GDP, and S_i is the ratio of the GDP of the subsector divided by the GDP of the manufacturing sector. This is the basic essence of a decomposition analysis; to explain an aggregate entity (final energy consumption in the manufacturing sector) based on three separate components, as described, and also by the relative proportions of each subsector within the industry aggregate level.

Furthermore, this method can be used to monitor changes through time. In this case, the study tracks the difference between the final energy consumption at two distinct points in time (o as the starting year and t as the ending year), or ΔE , which is then decomposed by the sum of the respective time differences in each of its component effects, for each subsector:

$$\Delta E = \Delta EA + \Delta ES + \Delta EI$$

where, for each subsector i :

$$\begin{aligned} \Delta EA &= \sum_i [\text{Logarithmic mean } (Et, Eo) * \ln(\frac{At}{Ao})] \\ \Delta ES &= \sum_i [\text{Logarithmic mean } (Et, Eo) * \ln(\frac{St}{So})] \\ \Delta EI &= \sum_i [\text{Logarithmic mean } (Et, Eo) * \ln(\frac{EIt}{EIo})] \end{aligned}$$

Sheinbaum et al. (2012) carry out the calculations of each subsector's CO₂ emission trends in a similar manner; in the above equations E (final energy use) is substituted by CO₂(emissions) and calculated accordingly. CO₂ emissions for each subsector are calculated following IPCC's best practice guidelines (2006), which multiplies the consumption of energy or electricity by fuel specific emission factors. As in the work of these authors, the present document also adds an additional carbon index, CI, dividing CO₂ emissions by energy consumption of each subsector, and its respective change in time.

Results and Discussion

1974-1982

During this eight year period, Table A.1 shows that the main drivers of energy consumption and CO₂ emissions were the Chemicals, Cement, Iron and Steel and the Others category. For the Chemicals subsector, the main effects that resulted in such energy consumption and emissions were the energy intensity and activity effects. For the Cement subsector, the main drivers of energy consumption and emissions were the activity and energy intensity effects. Lastly, for the Iron and Steel subsectors, the main driver is the activity effect.

This corresponds with the relevant absolute values for each indicator and subsector, as indicated by Tables A.3 and A.4. In general, there is an approximate increase of fifty percent between the total manufacturing GDP in 1974 and that of 1982. An important part of this growth was due to the subsector GDP increase in the Chemicals industries, which is reflected in the high activity effect value of Table A.1 for this subsector. This growth was fueled by an important increase in energy consumption, which almost tripled for the Chemicals subsector from 1974 to 1982. Also, along with these increases, energy intensity for the subsector grew by 1.5 times, the largest increase in intensity by any subsector during this period. The resulting increase in emissions is a staggering doubling of CO₂ emissions during the eight year period.

1982-2010

Table A.2 shows the results of the decomposition analysis for this twenty eight year period. The main driver of energy consumption was the Others category, followed by the Iron and Steel and Cement subsectors. The Iron and Steel subsector increased driven by the activity effect while the Cement subsector was driven mainly by the activity and structure effects. In terms of CO₂ emissions, the Others category show the greatest of impact on the sums, followed by the Cement subsector.

The CO₂ emission effects of the Chemicals subsector is negative, due mainly to a reduction in the energy intensity effect. In absolute terms, Tables A.4 and A.5 show that the CO₂ emissions from the Chemicals subsector decrease its highest level of 1982 to a lower level in 2010, but still remain the third highest in the time period. The greatest increase in emissions from this period comes from the Cement and Others subsectors. The Cement CO₂ emissions grow by 1.7 times, its energy intensity decreases and its energy consumption increases.

Conclusion

The present study has carried out a decomposition analysis of the manufacturing industry subsectors, for two time segments from 1970 to 1982 and from 1982 to 2010 in order to analyze the effects of the resource boom in energy consumption and emissions. The results are similar to those of Gonzalez and Martinez (2012), in the sense that the major actors before 1982 in terms of energy consumption and CO₂ emissions are the Petrochemical and Chemical industries, followed by the Cement and the Iron and Steel subsectors.

The interesting finding is what happens in the next period, as pertaining to possible resource curse or carbon curse implications. As Gonzalez and Martinez also discuss, for the period of 1982 and 2010, the main actors in terms of energy consumption is Cement and the Others category, which they suggest includes the Maquiladora industry that benefited the most from NAFTA. More specifically, the Cement industry decreases in terms of its energy intensity, but increases in terms of energy consumption and consequently, CO₂ emissions. These changes can indeed be attributed to a change in the economic model from the Mexican government.

Some possible implications of these results in the carbon curse hypothesis is that if Mexico suffers from this phenomenon, a higher carbon intensity could result from the growth in emissions from the Cement and Manufacturing industries, although more analysis is needed to prove this causal link. However, the decomposition analysis highly suggests this could be the case.

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Annex 1

Table A.1 Results of the decomposition analysis, 1974-1982

Subsector	Energy				CO ₂ Emissions				
	Total sector change (ΔE)	By Activity (ΔEA)	By Structure (ΔES)	By Energy Intensity (ΔEI)	Total sector change (ΔCO ₂)	By Activity (ΔCO ₂ A)	By Structure (ΔCO ₂ S)	By Energy Intensity (ΔCO ₂ EI)	By Carbon Index (ΔCO ₂ CI)
Sugar	7.14	35.02	-36.76	8.87	27.41	227.31	-238.59	57.60	-18.91
Beverages	3.99	3.51	0.84	-0.36	174.73	160.08	38.54	-16.62	-7.27
Tobacco	0.07	0.15	-0.08	0.00	-53.95	21.55	-11.73	0.44	-64.20
Paper and pulp	13.14	11.20	-0.05	1.99	524.82	479.58	-2.28	85.34	-37.83
Chemicals	189.03	73.51	39.06	76.46	3,525.81	1,706.81	906.78	1,775.19	-862.98
Fertilizers	5.35	2.75	2.08	0.52	393.30	77.12	58.13	14.62	243.42
Rubber	0.95	1.14	0.53	-0.71	-413.77	140.54	65.94	-88.38	-531.87
Glass	11.74	9.66	-0.03	2.12	370.50	323.92	-1.15	71.04	-23.31
Cement	40.42	26.49	11.32	2.61	1,595.33	1,097.23	468.74	108.20	-78.84
Iron and Steel	33.12	56.98	-13.59	-10.26	1,325.28	2,233.98	-532.84	-402.47	26.61
Automotive	3.18	4.10	-0.99	0.07	-968.42	650.16	-156.60	10.34	-1,472.32
Others	98.69	72.03	0.12	26.55	12,063.15	2,779.89	4.53	1,024.54	8,254.19
Sums	406.82	296.53	2.43	107.85	18,564.18	9,898.16	599.48	2,639.85	5,426.69

Table A.2 Results of the decomposition analysis, 1982-2010

Subsector	Energy				CO ₂ Emissions				
	Total sector change (ΔE)	By Activity (ΔEA)	By Structure (ΔES)	By Energy Intensity (ΔEI)	Total sector change (ΔCO ₂)	By Activity (ΔCO ₂ A)	By Structure (ΔCO ₂ S)	By Energy Intensity (ΔCO ₂ EI)	By Carbon Index (ΔCO ₂ CI)
Sugar	-50.08	37.35	24.35	-111.78	-56.18	326.95	213.14	-978.41	382.15
Beverages	12.45	9.59	1.16	1.70	606.09	444.01	53.57	78.78	29.72
Tobacco	0.18	0.30	-0.37	0.26	-2.74	17.84	-22.47	15.72	-13.83
Paper and pulp	7.35	22.71	-55.69	40.32	317.15	960.89	-2,355.74	1,705.76	6.24
Chemicals	-105.89	139.58	144.18	-389.66	-713.84	3,471.21	3,585.68	-9,690.27	1,919.54
Fertilizers	-7.44	3.18	-3.40	-7.22	-357.95	134.19	-143.45	-305.23	-43.47
Rubber	3.35	2.83	-8.45	8.97	133.68	145.28	-433.61	460.05	-38.04
Glass	19.20	23.08	-10.54	6.67	401.75	704.46	-321.87	203.44	-184.29
Cement	28.81	60.03	63.33	-94.55	2,573.13	2,810.46	2,965.22	-4,426.71	1,224.16
Iron and Steel	35.54	104.10	-75.43	6.86	-116.87	3,664.11	-2,654.93	241.56	-1,367.62
Automotive	-1.62	6.55	8.75	-16.92	-228.82	636.44	850.58	-1,644.96	-70.89
Others	394.00	233.81	-20.67	180.86	34,535.51	16,642.35	-1,471.40	12,873.70	6,490.86
Sums	335.85	643.11	67.22	-374.49	37,090.90	29,958.19	264.72	-1,466.55	8,334.55

Table A.3.- Absolute values for several indicators, 1974						
Subsector	Activity: Total Manufactures GDP (2008 millions pesos)	Structure: GDPi/GDP	Energy: Subsector Energy Consumption (PJ)	Energy Intensity: Energy consumption/GDP (PJ /2008 millions pesos)	Subsector CO ₂ emissions (kg/PJ)	Carbon Index: CO ₂ /E
Sugar	759,788.62	0.02	85.31	0.00739	562.97	6.60
Beverages	759,788.62	0.04	7.05	0.00023	324.92	46.10
Tobacco	759,788.62	0.01	0.35	0.00003	86.00	246.40
Paper and pulp	759,788.62	0.03	22.34	0.00095	972.86	43.55
Chemicals	759,788.62	0.02	107.66	0.00670	2,803.13	26.04
Fertilizers	759,788.62	0.01	4.65	0.00095	60.82	13.08
Rubber	759,788.62	0.02	2.43	0.00015	602.51	248.05
Glass	759,788.62	0.01	19.09	0.00215	650.26	34.06
Cement	759,788.62	0.01	49.00	0.00641	2,061.28	42.07
Iron and Steel	759,788.62	0.05	128.59	0.00362	5,029.71	39.11
Automotive	759,788.62	0.06	8.90	0.00018	2,180.48	244.97
Others	759,788.62	0.72	137.78	0.00025	2,661.02	19.31
Sums	-	1.00	573.14	-	17,995.96	-

Table A.4.- Absolute values for several indicators, 1982						
Subsector	Activity: Total Manufactures GDP (2008 millions pesos)	Structure: GDPi/GDP	Energy: Subsector Energy Consumption (PJ)	Energy Intensity: Energy consumption/GDP (PJ /2008 millions pesos)	Subsector CO ₂ emissions (kg/PJ)	Carbon Index: CO ₂ /E
Sugar	1,126,962.09	0.01	92.45	0.00816	590.38	6.39
Beverages	1,126,962.09	0.04	11.03	0.00023	499.65	45.28
Tobacco	1,126,962.09	0.01	0.42	0.00003	32.04	76.12
Paper and pulp	1,126,962.09	0.03	35.47	0.00102	1,497.68	42.22
Chemicals	1,126,962.09	0.03	296.68	0.01010	6,328.94	21.33
Fertilizers	1,126,962.09	0.01	10.00	0.00102	454.11	45.41
Rubber	1,126,962.09	0.03	3.38	0.00011	188.74	55.79
Glass	1,126,962.09	0.01	30.83	0.00234	1,020.76	33.11
Cement	1,126,962.09	0.01	89.41	0.00667	3,656.61	40.90
Iron and Steel	1,126,962.09	0.04	161.71	0.00337	6,355.00	39.30
Automotive	1,126,962.09	0.06	12.08	0.00018	1,212.06	100.32
Others	1,126,962.09	0.72	236.47	0.00029	14,724.17	62.27
Sums	-	1.00	979.95	-	36,560.14	-

Table A.5.- Absolute values for several indicators, 2010						
Subsector	Activity: Total Manufactures GDP (2008 millions pesos)	Structure: GDPi/GDP	Energy: Subsector Energy Consumption (PJ)	Energy Intensity: Energy consumption/GDP (PJ /2008 millions pesos)	Subsector CO ₂ emissions (kg/PJ)	Carbon Index: CO ₂ /E
Sugar	2,016,704.40	0.01	42.37	0.00143	534.20	12.61
Beverages	2,016,704.40	0.05	23.49	0.00025	1,105.73	47.08
Tobacco	2,016,704.40	0.01	0.60	0.00006	29.30	48.48
Paper and pulp	2,016,704.40	0.01	42.82	0.00285	1,814.83	42.38
Chemicals	2,016,704.40	0.05	190.79	0.00199	5,615.11	29.43
Fertilizers	2,016,704.40	0.00	2.56	0.00027	96.16	37.61
Rubber	2,016,704.40	0.00	6.73	0.00072	322.42	47.91
Glass	2,016,704.40	0.01	50.03	0.00277	1,422.50	28.43
Cement	2,016,704.40	0.02	118.23	0.00267	6,229.74	52.69
Iron and Steel	2,016,704.40	0.03	197.25	0.00351	6,238.13	31.63
Automotive	2,016,704.40	0.13	10.46	0.00004	983.24	94.02
Others	2,016,704.40	0.68	630.47	0.00046	49,259.67	78.13
Sums	-	1.00	1,315.80	-	73,651.04	-

UNDERSTANDING WHAT IT WAS: URBANIZATION AND WATER CRISIS IN THE CITY OF MUTARE IN MANICALAND PROVINCE- ZIMBABWE

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Abstract

Once the pride of the eastern region, the city of Mutare has turned into an unbelievable state because of the water crisis. A survey was conducted in the high density suburbs of Dangamvura, Hobhouse and Chikanga 3 to establish the impact of water crisis to the residents of these areas. The quantitative paradigm was used in this study. In order to collect the data, the researchers triangulated some instruments such as direct observation, questionnaire and interview. From a population of 10 000 houses, 100 houses were selected using the stratified sampling, systematic and purposive techniques. Each house was represented by one person and the sample had 60 females and 40 males. The purposive sampling technique was used to collect data from the local authorities. Direct observation was conducted at some water collection points during daytime and at night. The collected data were presented in tables, pie -charts, graphs and descriptive.

The research findings were that, child labour is on the increase in these areas because children carry large plastic containers of water and push them in wheelbarrows for long distances. Water crisis has caused some health hazards as people are forced to use the water very sparingly. Pedestrians compete with traffic for space on the narrow and rugged roads, causing danger to human life. Dust from traffic pollutes the uncovered water thereby increasing more unhealthy conditions to people. Poor planning and management system by the local authorities has created human suffering, especially children who need more time to study. The study recommended that the local authorities should drill boreholes at some strategic points for residents. Old pipes should be replaced as they no longer sustain the ever increasing population in the city. Water shortage should be for few hours and not for the whole day or days to avoid unhygienic practices in houses.

Keywords: Water crisis, cultural deprivation, unbelievable, management systems, Unhealthy conditions, strategic points, sustainable

Background of the Study

The city of Mutare in Manicaland Province – Zimbabwe was once a centre of attraction for the tourists. Mutare city is to the east of Zimbabwe. It is the largest city of Manicaland Province. Manicaland province is well known for its perennial rivers such as Pungwe, Odzi, Nyangombe and Gairezi which are found in Nyanga and Odzani which runs from the timber forest area of Stapleford.

Second to Harare (then Salisbury) in terms of cleanliness and beauty, the city enjoyed ever green vegetation, beautiful flowers and sustainable agriculture. This was as a result of a number of factors which included effective planning and management of water and the other natural resources as well as prioritizing target goals, especially health. According to Castells

(1983) the city fathers should be cautious of residents' health by providing them with the necessary health facilities.

Mutare city with its efficient road-network and nearness to the Mozambiquean boarder also enjoyed all-year round sweetfruits, strong and mature timber. Agricultural produce canning factories were the pride of the city because employment was created. The Odzani water-source which never dries even up to now, supplies the city and surrounding productive farmers with surplus water. Water, if well managed and put to its good use, becomes a very significant social capital because in it there is life (Saunders, 1986). This view suggests that human beings, as well as the custodians of the natural resources should see to it that water preservation should be given top priority, in fact, when there is no water, it also means that there is not life.

Urbanisation ideology (Harvey, 1982), assumes that a city is not only a distinct location, but an integral of processes of collective consumption, which in turn is an inherent aspect of industrial capitalism. Homes, schools, transport services and leisure amenities are some of the ways in which people consume the products of modern industry. But for all this to happen, the government must first take cognizance of water as the major service for its people. As the urban population expands (Lowe, 1986) so consumables and water also increases. It therefore, suggests that, from time to time city planners and engineers should always check and monitor the ratio of and rate of urbanization and social movements against amenities (Castells, 1983). This kind of evaluation helps to reduce unnecessary leakages of the very important and basic human need as water.

This appears to be the state in the City of Mutare, as the City Fathers seem to have forgotten its people and the water shortage increases each day, leaving some of the residents with no option but to use the bush system as toilets. According to the National News of 20 August 2012, the city of Mutare was said to be losing millions of dollars worth of treated water due to leakages and the population increases each year. Efforts to replace old water pipes were/are even fruitless as the city offers tenders to companies that robe it. For example, in 2012 it was duped of US\$330 000 by a briefcase company that failed to supply the pipes after it won the tender.

Water crisis in Mutare has worsened and residents in the locations namely, Dangamvura, Hobhouse, Chikanga Phase 3 and Zimbabwe Teachers Association(ZIMTA) have greatly suffered. With abundance perennial water supplies from Odzani and Pungwe rivers, most of Mutare's residents in high density suburbs are forced to fetch water from unprotected sources. For example, residents of Hobhouse 3 travel for almost 2 kilometres to fetch water from a point near the railway line below a hill. They use wheel barrows or hire trucks to carry buckets of water and compete for road space with vehicles. The water crisis has even made some enterprising youths to sell water at \$3.00 per 20 litres. Residents in this area even use odd hours (night) to fetch water from this source as the queue will be long. Such scenario has made life very difficult especially for school children who need time to study, and the pregnant mothers as well as the aged, who cannot afford walking such a long distance. With inadequate water in their houses, most of the residents have been left with no option but to resorting to bush system, thereby exposing the city to communicable diseases such as cholera and diarrhoea (The Standard 13/09/13).

In Dangamvura high density suburb, the residents get their water supply after every third or fourth day. Sometimes the water is released at night for a few hours only. This is a deliberate effort by the City fathers to reduce water consumption by its rate payers. The once flourishing vegetable gardens around houses have run dry and the residents converge at the markets or vendors to buy vegetables for a meal. The use of house toilets has been limited and residents have also resorted to bush system. In Chikanga Phase 3, the situation is slightly different. Water comes every day but at night for only one to two hours. The pattern is that

one section may receive its water much earlier than the others. As the water comes residents alert each other and rush to fill their containers. As it starts dripping in another area, they rush again to some households' taps to collect the water. This is very unhealthy as residents sleep late waiting for their turns to have water supplies.

Although in his report in *The Standard* of 8 September, 2013, the city engineer, promised the residents that by the end of the month (September) the water supply will have normalized, the situation has even worsened as most parts of the city are desperately in need of this basic and very important natural resource. The water crisis has completely changed the once beautiful and attractive city's scenery. The residents no longer enjoy the life as they used to do. In deed life without water, pure water is meaningless as it becomes very difficult to manage. (Van Pelt, 2012). With abundant perennial rivers in the eastern region of Zimbabwe, flowing to the ocean, the Mutare residents are living a life of misery as the water crisis deepens. The city fathers continue allocating some residential stands insubserviced lands, causing more danger to human life.

Statement of the Problem

Rationing of water supply in the high density suburbs of Danganvura, Hobhouse and Chikanga Phase 3 is problematic. This has developed poor living conditions to the residents of Mutare.

Purpose of the Study

To inform the City Fathers of the water crisis experienced by the city residents and make them aware of contiguous diseases these residents may contact. This study is also meant to assist the Responsible Authority to find appropriate strategies to improve the flow of water supply in the affected locations.

Research Questions

- a. Before the era of water crisis, what was the situation like in Mutare?
- b. What are the causes of water shortage in Mutare?
- c. How does the water shortage affect the lives of the residents in Mutare?
- d. How do the residents of Mutare cope with the water shortage?
- e. What do you think can be done to improve the water crisis in Mutare?

Assumptions

The research had the following assumptions:

- f. Before the water shortage in Mutare, the residents had no water restrictions on water supply.
- g. Water shortage in Mutare has serious effects to the residents.
- h. Water is abundant but there are ineffective planning and management skills in the city council.
- i. People are allocated stands in sub- serviced lands.
- j. The City of Mutare has sufficient water catchment areas.
- k. The residents of Mutare are not happy with the water shortages.
- l. Old water pipes no longer sustain the ever increasing population demands for water in Mutare.

Significance of the Study

- The research findings will encourage the City Fathers of Mutare to be more particular towards people's health.

- The findings of this study will encourage mobilization of resources from interested individuals and donor agencies in order to increase water supply to the city of Mutare.
- The study will motivate the City Fathers to put in place effective planning and management strategies to increase water supply to the residents.
- The City Fathers will be made aware of the risks that the residents have and will experience as a result of inadequate water supply.

Delimitations

The study was conducted in the three high density suburbs of the City of Mutare in Manicaland Province. These were Dangamvura, Hobhouse and Chikanga Phase 3.

Limitations of the Study

Some of the respondents associated the study with politics. This made them unwilling to release their true feelings for fear of victimization. The researchers emphasized anonymity and confidentiality.

It was risky to move during the night to observe and interview some residents at their water collection points. We hired twoneighbor-hood watch men whom we paid each night.

It was not affordable to gather all the residents of the three suburbs for our research. In this case we used the purposive and stratified techniques in which to the respondents were in their residential areas. As employees it was not easy to conduct the research during working hours. Therefore, we made use of weekends and after working hours.

Methodology

Methodology is a range of methods that a researcher chooses to use in order to get through a research. These include the paradigm, the design, population, sample and sampling procedures, data collection and analysis procedures (Rudestam and Newton, 2007).

The Paradigm

For the purpose of this study, the researchers used the quantitative paradigm for a number of reasons. It is relevant to the establishment of findings at a large scale, which is the macro level, (Bryman, 1998, Chihambakwe and Samanyanga. 2012). Statistical methods are useful for looking at relationships and patterns and expressing these patterns with numbers. Descriptive statistics describe these patterns of behaviour. With this paradigm, a researcher is able to design a theory or theories that guide the research.

The Design

Using this paradigm the researchers chose to use the survey method because there is concern to establish cause-and –effect relationship. The design was also appropriate because facts would be collected from a wider range of options (Rudestam and Newton, 2007). The design enabled the researchers to interact with many subjects in their environments within a short period and interviewed them on the issues of water crisis. Random and purposive sampling techniques were possible because the paradigm is subjective. Subjectivity therefore would advocate for closed items which were simple for the subjects. (Borgdan and Biklen, 1992 and Punch, 2005).

Population

The three high density suburbs had 10 000 houses as follows; Dangamvura - 6 000, Hobhouse- 1 000 and Chikanga Phase 3 - 3 000. According to the statistics from the city council and ward councilors, the total population of these areas was 10 000. Because of the

long distance from each residential area to the other, the researchers decided to use houses to represent the population, which were 10000.

Sample

The researchers had 100 respondents (60 females and 40 males) for the research. The females were more than males because they were always available when the study was carried and most the women had the responsibility of fetching water for use for the family. Because the researchers worked with different suburbs, they chose to use stratified and systematic sampling techniques to have the sample. Using the systematic sampling technique, every 100th house was selected as a sample. Because of differences in number of occupants per house, the researchers chose to have either a male or a female from each house to constitute the sample. From Danganvura, 40 females and 20 males were chosen; Hobhouse had 5 females and 5 males selected and Chikanga 3 had 15 females and 13 males. Purposive sampling was used to select 2 from the city council employees who were in the management position.

Instruments

In order to collect data the researchers used the questionnaire, direct observation and interviews

Questionnaire

The questionnaire had closed and open-ended questions to solicit in-depth understanding of the phenomena (Borgdan and Biklen, 1992). Questionnaires were easy to complete because they were self administered. Each respondent received a questionnaire to complete at his or her own time. The respondents were given ample time of seven (7) days to complete the questionnaires; this would give them enough time to attend to all the items on the questionnaire. The researchers collected the completed questionnaires from the selected respondents.

Direct Observation

According to Hill (2005), observation allows the researcher to collect data in respondents' natural environment. This is rich because direct observation enables the researcher to record what is happening in the real world of the respondent (Johnson, 2007). Direct observation enabled the researchers to observe the time when the residents fetched some water, the risks at some collection points and the struggle for water. This facilitated for accurate and unbiased data.

Interviews

The interview questions were prepared to guide the researchers on what to ask the respondents. The questions were structured in such a manner that they were short and precise and enabled the researchers to interact with the respondents and to get their in-depth feelings and attitudes towards the phenomena, (Marshall and Rossman, 2007). However because the issue seemed to be sensitive, some respondents were not willing to release information for fear of victimization. In this case, anonymity and confidentiality were assured. Each interviewee had a code.

Data Collection Procedures

The researchers sought permission from the City Council, Ward Councilors and Ward chairpersons in order to get into the suburbs. The City Council and Councilors provided the

researchers with statistical data for total number of the residents in the selected locations. The data were collected using questionnaire, direct observation and structured interviews.

Data Presentation and Analysis Procedures

Data that were collected were presented in tables, pie charts and graphs. The data collected from the participants were also analysed descriptively.

Validity and Reliability

In order to make the research findings valid and reliable, research questions were given to some few research experts to make some corrections and to assess their worthiness for the research. The pilot study improved the state of the questions because some errors were corrected before the respondents were given the questionnaire.

Theoretical Conceptualisation

For the purpose of this study the following theories were used:

Symbolic interactionism which assumes that the human beings view social life as an unfolding process in which the individual interprets his/her environment and acts on the basis of that interpretation (Bryman, 1992).

Realism which purports that human beings operate in their real world and in order to understand them, it is important for the researcher to get into their real environments (Giddens, 1998). In this case, in order to have a clear picture of the water crisis in Mutare, the researchers had to get to the people in their real situations.

Functionalism which postulates that in studying a given society, we should look at how its various parts or institutions combine to make that society continue to function. In this case, the researchers were interested in understanding how the City of Mutare was functional in terms of water provision to its residents and the impact of water shortage to the development of human life.

Cultural deprivation theory, (Haralambos and Holborn, 1994), which assumes that when people live in a new culture which is less superior for a long time, they tend to accept such culture as normal and succumb to its demands, regardless of its great disadvantages to their well-being. In this case, a culture of abundant water supply was gradually replaced by that of inadequacy of water supply and the community has now lived in this situation for a long time as a new culture. In fact, when by mistake, water comes during the day, it becomes quite abnormal and a surprise to them. They think the water is being treated and therefore unsafe for consumption. It is now normal for the residents to have water shortage.

Ethical and Legal Implications

The respondents were assured of confidentiality and anonymity of their information. Codes were used to represent individuals, households and suburbs. Respect of people's cultural orientation was at its height. Integrity and concern for people's welfare were also maintained.

Data Presentation, Analysis and Discussion

What is water crisis?

Definitions	Male	%	Female	%	Total	%
Natural shortage of water supply	2	2	4	4	6	6
A state of failure by council to offer water to the residents	25	25	40	40	65	65
A health hazard state of water shortage to the residents	8	8	10	10	18	18
A deliberate attempt by the council to sabotage human health	5	5	6	6	11	11
Total	40	40	60	60	100	100

Analysis 1

65 respondents (65%) defined the term water crisis as a state of failure by the City Fathers to supply its residents with sufficient water. 18 (18%) said that it is a health hazard state of water shortage to the residents; 11 (11%) stated that it is a deliberate attempt by the Council to sabotage human health and 6 (6%) said that it is a natural shortage of water supply. According to the city's reports in The Standard of 8th September 2013, the respondents' answer was true because, the elements of the report indicated some significant degree of failure by the city council to supply the residents with enough water. The connotation "failure" (Harvey, 1982) would mean planning still lacked in the systems. In any administration, lack of planning is evidenced by poor results (Parkes, Nigel and Don, 1980). Resources are poorly managed and this includes the human resources (Castells 1983), leading to dissatisfaction, mistrust and poor relations with those in authority.

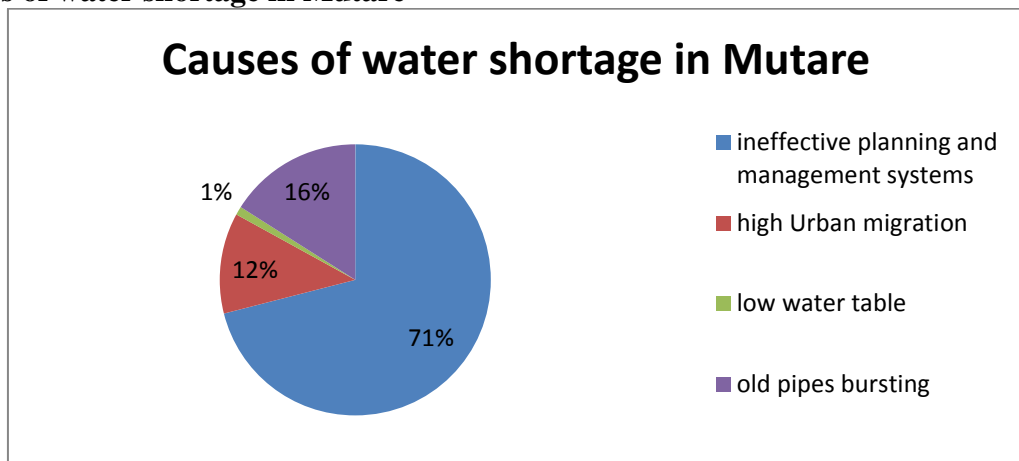
State of Mutare before the era of the water crisis

Variable	Male	%	Females	%	Total	%
No limitations to water use	8	8	12	12	20	20
We could fetch water any time from our house taps	9	9	11	11	20	20
Toilets were used and kept clean	8	68	12	12	20	20
We had vegetables around our houses	7	7	13	13	20	20
There was no time table for water supply	8	68	12	12	20	20
Total	40	40	60	60	100	100

Analysis 2

The responses were balanced because the respondents shared the same views. Each response had 20 (20%) . According to Castells (1983) the philosophy of effective urban development rests upon focusing which assures that the rate- payers should be provided with sufficient services which include water as the basic need. It also assumes that the urban developers need to be aware of what its stakeholders are in need of (Lowe, 1986). Infact, the City Fathers should prioritize its goals. The welfare of residents should be put as number one goal, because without them there is no city (Saunders, 1986). Efforts must be put in place to protect the welfare of people because it creates good relationship and trust between government and its people. Relationship and trust are an important social capital and resource which promote sustainable development and reduces suspicion on each other (Parkers, Don and Nigel (1980). There is always danger when the state of the environment continues deteriorating to the detriment of human life (Saunders, 1986).

Causes of water shortage in Mutare



Ineffective and inefficient management systems scored highest (71%), followed by old pipes bursting and high urban migration with 16% and 12% respectively. Only 1% was on low water table around Mutare. From the responses given, it was clear that water in Mutare was wasted through leakages of old pipes bursting and at the same time, the population was increasing. According to The Standard of 8 September 2013, the city was losing 35000 cubic meters of clean water daily through leakages of old pipes. If therefore old pipes are not replaced with new ones with larger water capacity as the population is always increasing, it suggests that there is something wrong with the planning and management of the systems within the city council. Urban planners should balance the population with the resources available (Lowe 1986) and focus on strategies to maintain the balance so as to keep satisfying the needs of its residents (Saunders 1986). Population growth and collective consumption (Castells, 1983) should always be at the same level. In fact, resources should be more than the population and not the vice-versa (Saunders, 1986).

The effects of water shortage on human life

i) Social effects

Variable	Male	%	Females	%	Total	%
Reduce time for family interactions	10	10	10	10	20	20
New culture of night work	9	7	13	13	21	21
Keeping water in large containers	9	8	13	13	21	21
Bucket system for flush toilets	7	7	14	14	24	24
Selling water in containers	8	8	10	10	18	18
Total	40	40	60	60	100	100

Analysis 4

The responses were almost balanced with only a range of 6. Bucket system for flush toilet had 24 (24%), new culture of night work and keeping water in large containers had 21(21%) each, reduce time for family interaction had 20 (20%) and selling water in containers had 18 (18%). Results here are clearly an indication of social change in people's lives as a result of shortage of water supply. If residents hoard the water in containers it also means that the water may stay in containers for a long time. This becomes a fertile ground for the breeding of mosquitoes because the water is stagnant (Saunders 1986). The water becomes rusty making it dangerous for human consumption. The residents have resorted to pouring water in their toilets after use because water taps are always dry. Some of the residents at one house hold may flush the toilet after being used by two to three people, in order to conserve water. This becomes very unhealthy to the environment. This is why some residents have resorted to the bush system thereby worsening the situation (The Standard, 8 September 2013).

Families' time for interaction is reduced because they need more time to travel to get some water or they spend more time in the water queues. School children have little time to study because they spend more time in long queues for water even at night. This is why some families have resorted to purchasing this valuable commodity, hence the increase in water sales by some enterprising youths. Indeed, the social life among some residents of Mutare has completely changed. There are strong fears that even some promiscuous behaviours are likely to be noticed because it is usually the youth who queue for water.

The researchers observed that the Hobhouse residents were fetching water from one source which is very close to the railway line below a hill. This was almost 2-3 kilometres away from their homes. Pregnant mothers and young children were struggling to push wheel barrows which contained 20- litre plastic containers. Some enterprising youths were even seen selling water at \$3.00 for 20 litres. This was because of the long queue and competition to get water, which pregnant mothers, old women and young children could not afford. Such

pressure could be seen even at around 10 o'clock in the evening. The place was also a health hazard because it was just filthy and muddy making it possible for the residents to get some water-borne diseases such as bilharzias. The place was also at a steep crossroad and this was very dangerous because careless kombi drivers could not observe or apply brakes to accord these pedestrians to do their water fetching. Indeed, the residents' life is at risk and the City Fathers should come to their rescue before it is too late.

(ii) Health effects

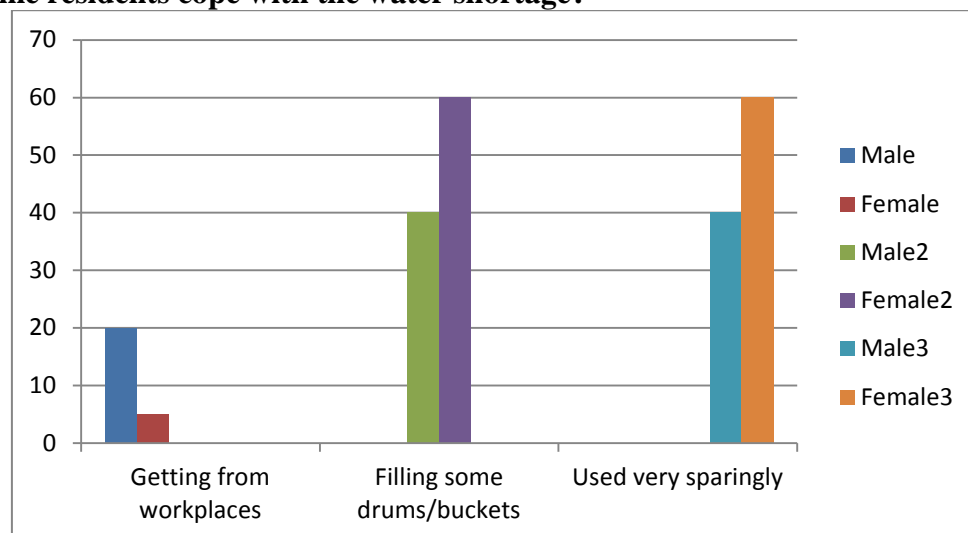
Variable	Male	%	Females	%	Total	%
Development of water borne diseases	13	13	20	20	33	33
Development of insect borne diseases	12	12	19	19	31	31
Development of air-borne diseases	15	15	21	21	36	36
Total	40	40	60	60	100	100

Analysis 5

From the table above, development of air-borne diseases had 36(36%), development of water-borne diseases had 33 (33%) responses while development of insect-borne diseases had 31 (31%) responses. These figures give us a clear indications that the residents fear the outbreak of serious diseases in places that are hard hit by water shortage. As some residents already indicated (Manica Post 14-18-November 2013), because some water collection points are now damp and they have become possible breeding areas for bilharzias, young children with bear feet are likely to be the most victims, hence the feared newly introduced bilharzias drug in the city. It appears the resident's life is seriously threatened with the water crisis, and it remains unclear when and how this situation will come to an end.

Apart from the fears of diseases, expecting mothers who push wheelbarrows daily for almost 5 kilometers are likely to have delivery complications. The dust from traffic in most of the cases, pollute uncovered water. It is also feared that road accidents will soon occur because the traffic and pedestrians use the same road especially for Hobhouse and ZIMTA residents. Therefore, measures should be taken to resolve the water crisis before it claims human lives.

How some residents cope with the water shortage?



Analysis 6

Only twenty five respondents indicated that they fetched water from their workplaces. The rest of the respondents indicated that they fill some containers with water and they use

they use the water very sparingly. This would suggest that in some places, water supply is adequate and some employers or managers seem to sympathize with their employees. All the respondents identified that they fill some drums and buckets with water and this resource is used very sparingly. From the responses given, it suggests that some residents have created some space in their houses for water storage and the water use is closely monitored to avoid its wastage. It also suggests that parents give rules to avoid water wastage and some people have to seek permission to use the water.

Conclusion

The findings of this study concluded that:

The city of Mutare is surrounded by healthy water which is naturally treated. The perennial water sources, if put to good use would supply more than two to three cities. The old water pipes were bursting because of rust and were not repaired. It therefore would suggest that in some old suburbs such as Sakubva some residents were using unhealthy water. Because of the delay in repairing the old pipes, indeed, clean water is flowing into the streams and down to the ocean through a different direction. Therefore, the City Fathers are using pipes to redirect water, the valuable resource to another outlet. If 35 000 cubic meters are lost each day through leakages of pipes, it means the city is a healthy artificial source of some streams. Therefore, its intended objective of supplying adequate water to its residents is not achieved. The residents of Mutare were desperately in need of water for agricultural and domestic purposes.

The study also concluded that instead of focusing on improving the condition of water, the city fathers seemed to be concentrating on making endless plans to make empty promises. This makes them lose trust and respect with their rate payers. The study also concluded that among the city fathers, there are some greedy members who only aim to fill their pockets and forget about the welfare of the residents. Because of this behaviour, any financial resource that is mobilized is not put into intended use, thereby disadvantaging the residents.

The water crisis in Mutare is feared that it will soon enhance the development of serious outbreak of diseases. With the country's economy going down each day, it will be difficult to control the outbreak, therefore "prevention is better than cure".

The study also concluded that the city council was allowing some land developers to allocate some subserviced stands to some residents. This is dangerous because people cannot live without water. The residents of Dangamvura, Hobhouse and Chikanga 3 have been seriously affected by the water shortage and they urgently need help.

Recommendations

The study recommended that:

- The city council should not allow land developers to allocate subserviced stands because it compromises human welfare.
- The city council should make efforts to repair old and rusty water pipes or replace them with new ones to avoid loss of valuable water.
- New reservoir tanks should be built and completed on time.
- City council should always assess population expansion against the water supply. Always consumption should be more than the population.
- The city council should adopt a collective consumption theory which advocates for surplus resources for the residents.
- The city fathers should avail themselves a chance to hold meetings with its residents in their environments and discuss issues that concern them all.

- The city council should avoid making some empty promises to the residents as this creates shrinkage of trust and respect.
- There is need to critically analyse their tenders for some community projects since some of them tend to be honest yet they have some hidden agenda.

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BRICK LANE: MIRRORING NAZNEEN'S METAMORPHOSIS

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Abstract

Brick Lane (2003) unfolds a story of an immigrant woman—Nazneen, and her journey to Britain from Bangladesh and her all out struggle for getting freedom. Heraclitus comments in the beginning of the novel—“A man’s character is his fate”, but the story presents man’s supremacy over his fate. Nazneen falls in bad condition so many times, but her inner strength fights against her fate which gradually develops and this study compares that change with butterfly’s metamorphosis. Like a moth of a butterfly Nazneen comes out from an exoskeleton of social barriers and gets true color of her wings. This study intends to present what are the social barriers in these two countries, how and by whom Nazneen was influenced to fight against those obstacles, which way she reflects as a new one and what is the outcome of that reflection.

Keywords: Brick Lane, Nazneen`s metamorphosis

Monika Ali’s *Brick Lane* is considered to be “mirroring the lives of Bangladeshi community in Britain” (Tongur 561) with a focus on Nazneen “as central character,... the novel provides the life styles, work patterns, family structure, and cultural, social, economic and religious dynamics of the Bangladeshi immigrants in the Tower Hamlets of Brick Lane in London from 1987 to 2003.” (561) Bedjaoui emphasizes—“Monika Ali explores the themes of hybridity and metamorphosis in *Brick Lane*.” (Trying to Belong) She argues:

Brick Lane is an example of the answer to the perennial question of how the individual can both remain constant and change. As a woman, Nazneen’s metamorphosis supposes possibilities of new cultural affiliations and therefore new opportunities, which takes place in cross-breeding of cultures in terms of *hybridity* involving the rejection of past and assimilation of new values. In *Brick Lane*, Ali shapes a female character who transgresses boundaries fixed on her by her gender, culture, caste and economic status. Nazneen is determined by strategies of resistance, escaping from traditional space, using sexuality in order to move beyond restrictions imposed on her and thus renegotiating the space in which she actually resides. The gendered space underlines the idea of home which remains problematic. The conflation of home, as both security and prison, evokes therefore ones limited identity. (Trying to Belong)

The main focus in *Brick Lane* is on Nazneen and her personal change as a result of her marriage, her move to Britain, her relationship with her husband and her lover, her discontent and her emancipation. (Tongur 561) Hasan considers Nazneen’s status as “her supposed freedom.” (Book Review) Because Nazneen “often accepts new culture wholly.” (Whipple 8) Considering these reviews, this study intends to focus on mirroring Nazneen’s metamorphosis in *Brick Lane*.

In *Brick Lane*, Monika Ali often uses contrasting images of village life from her home country in confrontation with London streets. The contrasts influence the destiny of the

novel's characters. Ali also focuses on the life and career prospects of immigrants from Bangladesh. The novel *Brick Lane* — named after Brick Lane, a street at the heart of London's Bangladeshi community. It follows the life of Nazneen, a Bangladeshi woman who moves to Tower Hamlets in London at the age of 18 to marry an older man, Chanu, described as "one of the novel's foremost miracles: twice her age, with a face like a frog, a tendency to quote Hume and the boundless doomed optimism of the self-improvement junkie, he is both exasperating and, to the reader at least, enormously loveable." (Harriet 1) Geraldine Bedell commented about Chanu, " [Her husband] is pompous and kindly, full of plans, none of which ever come to fruition, and then of resentment at Ignorant Types who don't promote him or understand his quotations from Shakespeare or his Open University race, ethnicity and class module." (Bedell 1)

Nazneen was a moth surrounded by a shell of fate, religious hypocrisy, racial discriminations and male dominant society. Here, the study presents the metamorphosis of Nazneen from a naive housewife to a new woman.

Metamorphosis is a biological process by which an animal physically develops after birth or hatching through cell growth and differentiation. This is also found in Butterfly's life. A butterfly is a moth in its first stage and it collapse in a shell called chrysalis. Through a gradual evolution, it breaks the shell and turns into a butterfly. In this point of view, Nazneen goes through this kind of transformation in her life which turns her into a butterfly. In the beginning of the novel, we find her as a simple village girl, as a Muslim and as a postcolonial protagonist in a male dominant society. She has nothing to say about her life. She left her life to a hand of fate: "What could not be changed must be borne. And since nothing could be changed, everything has to be borne. This principle ruled her life. It is mantra, fettle and challenge." (Ali 12)

Brick Lane is on one level the story of the everyday life of a seemingly unremarkable immigrant woman, a housewife trying to keep her family afloat in a London housing project. But, in a larger sense, *Brick Lane* is a story about destiny and freedom, acceptance and resistance, and the hidden depths of strength that can be found in the most unlikely of places. Nazneen's regular struggles—with her self-deluding husband, her two modern daughters, and her own conflicted feelings about her desires—are woven into a deeply moving symphony of immigrant life.

When Nazneen was born in Bangladesh, she was barely living. The decision was made to 'eave her to Fate' ["How You Were Left To Your Fate" (Ali 10)] and that story defines her in her parents' eyes. They arrange her marriage to an older man living in London, a choice that Nazneen accepts as inevitable.

The society of Bangladesh and Britain is a male dominated society. Most of the cases, women do not have chance to choose something. Male do not care about female's opinion. Hamid, Nazneen's father ground his teeth and an axe besides when Hasina eloped with the nephew of saw mill owner. For sixteen hot days and cool nights he sat between the two lemon trees that marked the entrance of the compound and cursing his daughter. Aleya who makes money for her sons to get proper education, despite her angry husband: "Last month she best worker in factory and get bonus. They give a sari and for this sari she takes beating. The husband says he will beat twice each day until she tell name of the man." (Ali 128) We also find in Hasina's writing: "Day and night they playing religious message with loudspeaker. They say it sinful for men and women working together. But they the ones sinning take gods name give insult to us and tell lie...men and women keep separate here." (Ali 124)

There are three basic types of pragmatic marriages in the religiously bound Asian communities. The first is a forced marriage, where the parents choose their son or daughter's future spouse without any chance to doubt their decision. If the son or daughter does so, he or

she may be punished or even killed. Then there is a traditional arranged marriage, when the parents choose the spouse but there is a possibility for their son or daughter to refuse the choice. However, considerable pressure is put on the children to understand the parental good will and accept it. The third type is a modern arranged marriage. The parents choose several potential candidates, all highly perspective, and the couple is allowed to have a date or more dates to know each other better. (Arranged marriage)

Mansoor points out—marriage is generally termed as a “social institution” (Berger and Kellner 19) protecting an individual against “anomie”(19) it is a micro-social institution correlated with the macrocosmic social set up, hence, marriage provides insight into the kind of an order that enables an individual to make sense of life and all its complexities. (contrasting conventions) Traditionally, marriage is taken as an “economic and social transaction” (Coontz 6) and hence functions as a social apparatus in keeping with collective interests. While tracing the history of marriages across cultures, Jennifer Coontz writes:”... marriage was not fundamentally about love. It was too vital an economic and political institution to be entered into solely on the basis of something as irrational as love.” (7)

According to Mansoor, Nazneen and Chanu’s marriage was not about love either. It was an arranged marriage, a financially propitious opportunity for a poor village girl whose sister had disgraced the family name(contrasting conventions): “The man she would marry was old. At least forty years old. He had a face like a frog. They would marry and he would take her back to England with him.” (Ali 17)

Chanu and Nazneen’s marriage is fully traditional, arranged by Chanu himself and her (Nazneen) father. Nazneen accepts her father’s choice with expected obedience: ““Abba, it is good that you have chosen my husband. I hope I can be a good wife, like Amma.”” (Ali 12) Nazneen does not ask question about her future husband nor wants to see his photograph. But she coincidentally spots it and she realizes that “the man she would marry was old. At least forty years old. He had a face like a frog. They would marry and he would take her back to England with him.” (Ali 12) This important fact is followed by images of loneliness and helplessness. Nazneen observes a hawk carrying its prey until it disappears. Another picture shows a lonely empty hut in the middle of the paddy, which was relocated there by a tornado. Both the visions give indirect evidence of Nazneen’s feelings. She can feel the power of tradition, which rules her life like the hawk its prey. But disobedience or resistance to her fate does not even touch her mind. The marriage is transformed into the symbol of a tornado taking her away and changing her life completely. Nazneen has no idea of her life in the future, she only see the uncertainty of her destiny as the loneliness of the hut. At this moment she feels the difference between men and women: “men, doing whatever they could in this world.” (Ali 12) Marriage is a traditional way of securing the daughter’s future. Women were raised in reliance and dependence upon fathers and husbands. Nevertheless, with the growing living costs during the last few decades another phenomenon have appeared working women.

In the novel, Chanu claims himself to be westernized but in a telephone conversation overheard by Nazneen shortly after their wedding he describes his young wife in the traditional manner as a commodity he has just purchased at a market, and not as a human being: “...not so ugly ... hips are a bit narrow but wide enough ... to carry children ... a blind uncle is better than no uncle ... she is a good worker ... a girl from the village: totally unspoilt.” (Ali 16-17)

Brick Lane traces the struggle of Nazneen to escape the condition of double invisibility to which the twin edifices of sexism and racism have consigned her. Nazneen begins her life under the sign of an implacable fate. She is born prematurely in a rural village. Her mother's decision to leave her child to destiny, both because of her own poverty and because of the child's gender, becomes an important symbol of women's self-abnegation and acquiescence throughout the rest of the novel. Nazneen accepts her mother's reading of

women's lot, and resigns herself as an adolescent to marriage to a much older suitor, the oafish Chanu, who takes her with him to Britain, where he intends to make his fortune.

Living in a public housing estate in London's impoverished East End, Nazneen suffers the extreme social isolation that tends to characterize women condemned to domestic servitude. Migrant women like Nazneen are the most likely to be trapped in informal labor since they lack the linguistic skills and social networks to enter the formal labour market. Able only to say 'sorry' and 'thank you' in English, Nazneen spends entire days completely by herself, cleaning the flat in which she and Chanu live, her only human contact being the sight of a mysterious tattooed lady who sits all day staring blankly out the window of one of the facing buildings. This transition is particularly jarring given the collective character of rural village life in Bangladesh. Nazneen says that in her whole eighteen years, she can never remember having spent a moment alone until arriving in Britain. She was drowning into isolation. Words in her mind: "You can spread your soul over a paddy field; you can whisper to a mango tree, you can feel the earth beneath your toes and know that this is the place, the place where it begins and ends. But what can you tell to pile of bricks? The bricks will not be moved." (Ali 70)

Nazneen's isolation is exacerbated by her husband Chanu's condescending attitude towards her. Chanu is not a violent brute, but he is a classic mimic man, a figure who would be tragic in his hyperbolic hopes and illusions about Britain but for his own insufferable pomposity. Chanu's pretentious didacticism not only alienates Nazneen; in addition, Chanu insists that she not socialize with other Bangladeshis on the estate since he believes that they are uneducated country locals. (Ali 21) He even judges his own people according to their place of birth: "...most of our people here are Sylhetis...But these people are peasants. Uneducated, Illiterate, Close-minded, without ambition." (Ali 21-22) These statements probably seem offensive to some members of the Sylheti Bangladeshi community. This hermetic sense of cultural superiority segregates Nazneen not only from the majority white English society, but, initially, from other immigrants as well. "While Nazneen may not be a stateless person in a technical sense, the state and traditional migration theory has typically seen women like her simply as dependents, since men were taken to be the primary breadwinners." (Clarence 19-30) "This perception elides the fact that two-thirds of all part-time and flexible workers in developed countries are women." (Anthias 25) The legal marginalization that follows from patriarchal assumptions concerning women's status is convenient, however, inasmuch as it constrains women to engage exclusively in the forms of flexible labor on which neo-liberalism depends. Indeed, as Francesca Scrinzi has remarked, "the subordination of immigrant women within the underground economy has given their labor a kind of laboratory of precariousness, where new evasions of employee rights are experimented with before being rolled out to the rest of society." (Scrinzi 77-79)

Although Chanu considers himself not to be bound by traditions or religion, he loves his native country, and follows the rules. He does not allow his wife to go alone along the streets: "She did not go out. 'Why should you go out?' 'And I will look like a fool.'" (Ali 35) He does the shopping: "Chanu would push the pram and she would walk a step behind ... at the shops, Chanu would buy vegetables." (Ali 73) He is an excellent cook but never helps her in the kitchen and he believes that Nazneen does not need to attend the English course because she will never speak with British people. Later her daughters, Shahana and Bibi, become her English teachers. He loves Nazneen and their children but he is not able to express his feelings in words. When Nazneen wishes to go to work with Razia, Chanu does not agree but buys a sewing machine for her to work at home.

The disparity between the strict religious rules and secular western society occurs in the relationship between Nazneen and Karim. Adultery is a mortal sin in Islamic society but Karim does not consider their love affair to be sinful or inappropriate. Karim tries to solve

this contradiction by reading religious dogmas. After having sex with Nazneen he cites her lines from the Koran found on an Islamic education Internet site: “A man’s share of adultery is destined by Allah... He will never escape such destiny”, (Ali 287) and he even calls her “sister.” (Ali 288) He does not connect the meaning of the words with his deeds.

Nazneen meets several Bangladeshi women, who begin to play less or more important roles in her life. Hasina, her sister is very influential in her self awareness. Though they are two sisters but they are different from their view of life. Nazneen leaves her life to her father’s choice but Hasina made her own decision. Hasina prefers her own choice rather than her fate. Nazneen’s daughters Bibi and Shahana also help her awakening and they help her to learn English. Because of Bibi and Shahana, she has to raise her voice to stay in England. Another is Mrs Azad, doctor’s wife. She is fully educated, does not wear the sari, speaks English fluently and goes to work. Her attitudes are striking and incomprehensible to Nazneen and Chanu, but highly acceptable for western reader. One day Chanu decides to pay doctor Azad an unexpected visit and they are perplexed by Mrs Azad words:

Some women spend ten, twenty years here and they sit in the kitchen grinding spices all day and learn only two words of English ... they go around covered from head to toe, in their little walking prisons, and when someone calls to them in the street they are upset. The society is racist. The society is all wrong. Everything should change for them. They don’t have to change one thing. (Ali 93)

But Nazneen does not consider herself to be bound or limited. She wears the traditional clothes, speaks her native language and does not wish to enter the English communities. Her family and identity remain stable values for her.

Nazneen’s close friend Razia positively influences the process of Nazneen’s self awakening. She quickly realizes the potential of her new home country and decides to live independently, which is partially caused by her husband’s death but mainly by Razia’s strong character. The first step is learning English, then she cuts her hair short and stops wearing sari: “She was wearing a garment she called a tracksuit. She could never, so she said, wear a sari again. She was tired of taking little bird steps.” (Ali 77) Yet there are also negative features in this shift of the traditional roles. Razia does not want to become an English woman, but she gradually adopts male status and loses her femininity. She wears men’s clothes, swears and her gestures are increasingly manlike.

The most powerful woman of the Bangladeshi community is Mrs Islam, a widow with two adult sons. She is rich, wears sari, and keeps traditions. She is always the best informed person that seems to be very helpful to people who need support. Even Chanu approves Mrs Islam as a ‘respectable type’. It is Razia that reveals the secrets of Mrs Islam’s business success. She has become a usurer, who exploits her own people and profits from high loan interests. Her sons play the submissive role of bodyguards and helpers.

After Raqib was born, Mrs. Islam visits Nazneen every week and inspects how she takes care of her newborn son: “Nazneen had begun to dread these visits. Raqib was five months old, and still Mrs. Islam had not expended all her advice.” (Ali 68) The invisible tension between Nazneen and Mrs. Islam becomes more evident when Mrs. Islam forces Nazneen to lend her Raqib for a few hours to entertain her niece: “‘Give him a feed now, and we’ll go.’ ... Her words were as sharp as an eyeful of sand. ... ‘No, he’s staying here. With me.’ ... Nazneen trembled, but the warmth of Raqib’s body against her chest fired her resolve.” (Ali 71)

This disobedience to Mrs Islam is punished a few years later when Chanu decides to borrow money from her. Mrs Islam enjoys the privilege of a creditor to visit Nazneen and Chanu whenever she likes and often threatens them: “Chanu was determined the woman should have no more. ... But after a persuasive visit from her sons, he had settled on fifty pounds per week.” (Ali 252) Mrs Islam soon learns about Chanu’s plan to return to

Bangladesh and quickly reacts: “‘You have it all?’ snapped Mrs Islam. Her black eyes glittered. ‘Give it to me. How much is there? A thousand pounds still owing, and you are going to run away? Give me the rest.’” (Ali 253) When Mrs Islam and her sons pay their last visit to Nazneen to ask for the last installment, she refuses to pay and openly designates Mrs Islam as a usurer: “‘Not interest? Not a usurer? Let’s see then. Swear it.’ She ran across to where the Book was kept. Glass crunched beneath her sandals. ‘Swear on the Qur’an. And I’ll give you the two hundred.’” (Ali 269) Despite the fact that Mrs Islam is greedy, she refuses to take the Book-oath. The confrontation between her unclean business and the Koran is unbearable for her and shortly after this confrontation she leaves the London Bangladeshi community as a psychically broken woman. Here Nazneen proves her quality as a strong, independent and proud woman defending her family.

When Nazneen suffers from a nervous breakdown, Chanu takes care of her night and day as a devoted husband. He does not go to work, cooks delicious meals and looks after their daughters. In the first day of her recovery her husband is unable to hide his feelings: “‘Chanu came in and saw Nazneen sitting up. He became wreathed in smiles, bright and gay as the garlands that cover a groom’s face.’” (Ali 272) Overflow with unmanageable emotions Chanu even changes the way he usually speaks to her. He begins to address Nazneen indirectly, in an old-fashioned polite way, as ‘she’: “‘She is disobeying the doctor. What a lot of trouble she will be in.’ Chanu smiled so hard that his cheeks were in danger of popping. Nazneen wondered why her husband spoke of her as ‘she’. If she had more energy, she decided, she would find this irritating.” (Ali 272)

Chanu’s new approach towards his wife quickens Nazneen’s process of self recognition. At the beginning of the novel she is hardly aware of her values and qualities. There is always the fate-god existing in her mind. “‘It was her place to sit and wait ... nothing else to be done. Nothing else that God wanted her to do.’” (Ali 40) She often disagrees with her husband but says nothing:

Nazneen kept quiet. Her guts prickled. Her forehead tightened. All he could do was talk.” (Ali 66) Gradually Nazneen begins to answer her husband in a uniform way: “‘If you say so, husband.’ ... She meant to say something else by it: sometimes that she disagreed, sometimes that she didn’t understand or that he was talking rubbish, sometimes that he was mad. (Ali 80-81)

After the nervous breakdown she is not the same wife as before, because she starts to express her feelings and opinions aloud. When she feels irritated by her husband’s indirect addressing her and treating like a small disobedient child, she finally manages to react: “‘Oh, she is,’ said Nazneen, ‘she’s listening. But she is not obeying.’ Chanu smiled expectantly, waiting for the joke to be explained.” (Ali 282) Her husband accepts her change, and before he leaves for Dhaka, he even reflects on his role as a husband and father: “‘I haven’t been what you could call a perfect-type husband,’ he told his knees. ‘Nor a perfect-type father.’” (Ali 384)

Both Chanu and Karim are fond of talking and sometimes Nazneen feels they often sound similar: “‘We’ll have to go out of the village,’ Karim had said. He sounded almost like her husband.” (Ali 376) He views Nazneen in a similar way as her husband did in the beginning of their marriage, as a thing, a real thing: “‘... a real thing?’ A conversation overheard in the early days of her marriage came to her mind. ... An unspoilt girl from the village. All things considered, I am satisfied”. (Ali 320) Karim plans to marry Nazneen after Chanu leaves for Bangladesh, but she refuses. She also refuses to depart with her husband and follow his plan of her life. Both Karim and Chanu solve their failures by leaving London and settling in Bangladesh.

Nazneen involuntarily compares Chanu and Karim, their habits, clothes, characters, figures and looks. Karim speaks to her about things she understands and brings her books:

“He left Bengali newsletters for her. One was called *The Light*; another was simply titled *Ummah*. Chanu had never given her anything to read”. (Ali 200) Karim answers her growing affection and they become lovers. But their first sex shows his dominance and her submission: “‘Get undressed,’ he said, ‘and get into bed.’ He left the room. ...She pulled the covers up to her neck and closed her eyes.” (Ali 238)

Their relationship develops to be a routine with settled signs, and Nazneen discovers a new power within herself, the power of passion: “how could such a weak woman unleash a force so strong? She gave in to fate and not to herself”. (Ali 248) She is not the woman who hides her face any more: “the times when she had lain naked beneath the sheets belonged to another, saintly era. She helped him undress. She felt it now: there was nothing she would not do”. (Ali 284) During the time of their dating she lives a double life of a passionate woman in the bedroom and a submissive partner out of the bedroom: “Nazneen danced attendance. It was a thrill, this playing house. But she knew she was playing, and she sensed for Karim it was a serious business”. (Ali 248) Under the influence of this relationship Nazneen changes her behavior and attitude towards her daughters and husband: “She spent more time talking to her daughters, and they surprised her with their intelligence, their wit, and their artless sensitivity. She served her husband and she found out that he was a caring husband, a man of integrity, educated, and equipped with a pleasing thirst for knowledge”. (Ali 249) As their relationship continues the style of conversations slowly changes into a husband-wife talking. Nazneen answers Karim as the same way as Chanu: “...if you say so”. (Ali 287) Nazneen thought that he might be great in bed, but he would almost certainly be as conventionally biased against feminine freedom as Chanu. She has grown tired of him in advance. In one of Ms Ali's most astute moves, Nazneen's epiphany occurs in the kitchen:

What if going home turned out to be just another one of Chanu's projects? A short while ago it seemed certain, but how could she be sure? She reminded herself: she had only to wait for everything to be revealed. Instead of appeasing her as usual, this thought rankled. Why should she wait? She felt as strongly as if someone, standing beside her in the kitchen, had taken a piece of paper, written down the answers and then set alight to the page while she watched. She stood at the kitchen worktop making onion bhajis for the children, who would eat them smothered in tomato ketchup. In her frustration, she forgot she was in the middle of chopping chillies and rubbed her eye. Immediately a sensational pain exploded her eyeball. It was enough to make her cry out. She turned on the tap and twisted her head beneath it. To the curative powers of cold running water, the chilli-burn was immune. Nazneen gasped as the water ran up her nose. She focused on the pain, rising up to meet it head on, boring into it, challenging it to do its worst. The burn was fierce and it unleashed in her an equal ferocity. Suddenly her entire being lit up with anger. I will decide what to do. I will say what happens to me. I will be the one. A charge ran through her body and she cried out again, this time out of sheer exhilaration. (Ali 249)

Hasina, Razia and her daughters influence her to conscious about those matters which she can change and introduce herself as a new woman. Shahana did not want to go Bangladesh because she was born here. Bangladesh is an alien country to her. She was trying to escape from home. We find that Shanana's friend Nishi also did not go to Bangladesh because of her, who was sixteen years old, had gone for a holiday in Sylhet and returned six months later with a husband and a swelling belly. Shahana and Nishi go to Paighton because in Paighton, no one can find them, no Bangladeshis live there. Now Nazneen decides about what to do in her family. She is the one who can change the condition of her family and her life. It is the turning point of her life. A moth turns into a butterfly. She ran outside to find Shahana and got her after a huge ‘one night struggle’.

Ali suggests that immigration can catalyze successful self-transformation. Thus, near the novel's conclusion, Nazneen stands up to Mrs. Islam's attempts to extort endless interest

payments from her family. Braving not only Islam's bullying sons, who smash up her furniture, but also the possibility of social exposure and shame, Nazneen adamantly refuses to give more money. And gradually a thought began to form in Nazneen "God provided a way. Nazneen smiled. God provided a way, and I found it." (Ali 372)

It is true that Karim challenges Nazneen in a way that causes her to redefine her personal priorities and unquestioning acceptance of fate's directives. For the first time, through his eyes, Nazneen views herself, not as mother and wife, but as a woman. Karim wanted to marry Nazneen but Nazneen think about her daughters first. "'It would be too difficult,' said Nazneen, 'for us to be together. So I think we had better stop now.' Karim began to say 'right' again, but caught himself. 'Yes, I see what you mean. With the children and everything.' 'I have to think of them first.'" (Ali 378) She has already seen that marriage to Karim will be a trap. His response to 9/11 has been to assume Bengali attire and a matching religiosity. She touched Karim's hand for the last time and said, "oh, Karim, that we have already done. But always there is a problem between us. How can I explain? I wasn't me, and you weren't you. From the very beginning to the very end, we didn't see things. What we did- we made each other up." (Ali 380)

Most significantly and finally, Nazneen defiantly informs Chanu that she will not accompany him back to Bangladesh. On a personal level, that is, Nazneen ultimately finds the strength to shape her own destiny. "Chanu said, 'You are coming with me, then? You'll come?' 'No,' she breathed. She lifted his head and looked into his face. It was dented and swollen, almost out of recognition. 'I can't go with you' she said." (Ali 400)

Women lead their lives based on expectations from their family, society and community. (Mortada 53) Nazneen is surrounded by the different kinds of social barriers in her personal and public life. Tradition makes the women dependence on men. Both in Bangladesh and Britain, men rule the labour market. Immigrant Bangladeshi women like Nazneen and Razia have to depend on opposite gender. Men beat their wives. Women's opinions have no values. Sometimes they have to sit for marriage twice of their ages. Nazneen married forty years old Chanu when she was only eighteen and in case of Renu—"She was marry at fifteen to old man who die within three months". (Ali 124) Here metamorphosis means gradual evolution that focuses on the awakening and awareness of diaspora of self-identification enthuses especially the woman writers of diasporas for the quest of "their own definition of femininity through the female protagonist and more specifically through the representation of the new woman." (Hussain 52)

Women in every nation and every time want to be free. They need bravery and wisdom to change the tradition. Monica Ali gives this kind of message through the voice of different women in her novel. Nazneen's bedtime story about jinni is one of them. Nazneen's mother Mumtaz inherited a jinni in a bottle from her father. She freed her only in one condition to make her wish come true. She said "Oh jinni, I give you freedom and you will give me wisdom". (Ali 329) Later we find she helps other women and families with her wisdom.

Nazneen, like "a woman in Bangladesh society takes on new roles in every relationship she is bound into." (Mortada 53) But at the end, Nazneen completes her transformation. She finally finds her voice to say that she is not a puppet of fate. She is the one who can change her own destiny. She faces Mrs. Salam and her arrogant sons and refuses to pay enough interest. She says 'No' to Karim about marrying him and her husband to go to Bangladesh. She stays with her daughters and starts working with Razia as joint forces. They collect order from the boutique of England directly without the help of any man. At the end of the novel, Nazneen is preparing for skating which symbolizes the ultimate freedom—a butterfly is ready to fly. The novel ends with an image: a sari-wearing ice-skating woman—

Nazneen, firmly on her feet but preparing to launch out onto the precarious ice of experience. She discovers her choice and her new world.

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MULTILINGUALISM ACROSS BORDERS: NIGERIA- REPUBLIC OF BENIN AS CASE STUDY

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Abstract

This paper examines the incidence of multilingualism as a factor of language contact in the West Africa sub-region with particular reference to the interdependence between Nigeria and Benin Republic. By this symbiotic cohabitation, we hold that historically, culturally, socially and linguistically there had been an appreciable contact between the Yorubas, the Eguns of South-western Nigeria on one side and the Yorubas, the Gouns, the Fons of the Republic of Benin on the other side, before, during and after the colonial period. Bearing in mind that Nigeria was colonized by the British while Benin was colonized by the French. Thus, multilingualism as a sociolinguistics phenomenon must reflect some changes: functions, benefits and have some implications on the culture and life of the inhabitants of the region in focus. Consequently, this paper discusses the import of multilingualism across the Nigeria-Benin borders and how the socio-cultural and economic contacts had resulted in the over-all development of these communities under review.

Keywords: Multilingualism, colonialism, language contact, borders, interdependence, culture, Nigeria, Benin, Yorubas, Eguns

Résumé

Le présent document examine l'incidence du multilinguisme comme un facteur de contact de langues en Afrique de l' Ouest sous-région avec une référence particulière à l'interdépendance entre le Nigéria et la République du Bénin . Par cette cohabitation symbiotique, nous estimons que historiquement, culturellement, socialement et linguistiquement, il y avait eu un contact sensible entre les Yorubas , les Eguns du Sud- ouest du Nigéria d'un côté et les Yorubas , les Gouns , les Fons de la République du Bénin de l'autre côté, avant, pendant et après la période coloniale . Gardant à l'esprit que le Nigeria a été colonisé par les britanniques tandis que le Bénin a été colonisé par les français. Ainsi, le multilinguisme comme un phénomène sociolinguistique doit refléter certains changements : les fonctions, les avantages et ont des implications sur la culture et la vie des habitants de la région en revue . Par conséquent , le présent communication traite l' importance du multilinguisme à travers les frontières Nigeria- Bénin et la façon dont les contacts socio - culturels et économiques ont abouti à la mise au point d'ensemble de ces communautés à l'étude .

Mots clés: Multilinguisme, colonialisme, contact de langue, frontières, interdépendance, culture, Nigéria, Bénin, Yoroubas, Gouns

Introduction

“A society changes when one or more of its institutions are altered. These institutional changes may be positive (beneficial) or negative (harmful)

depending on how they affect the members. Changes may be brought about by forces within the society (internal changes) or by influences outside the society (external changes). An example of changes in the political institution is for a country to pass from colonialism to independence". (Encyclopedia Americana, International Edition, Danbury, 1988, p.532).

From the above citation, one could make reference to the socio-political situation in Nigeria and Benin as countries where one or more of their institutions had been altered and there had been institutional changes in these countries because they had passed from the colonial administration to politically independent communities in the West African sub-region. It is also worthy of note that Nigeria was colonized by the British and hence an Anglophone country, while Benin was colonized by the French thus becoming a Francophone country. Benin had her independence on the 1st of August, 1960 while Nigeria also became independent on the 1st of October, 1960. It is also a fact that Nigeria and Benin are members of the Economic Community of West African States, ECOWAS (La Communauté Économique des États de L'Afrique de l'Ouest, CEDEAO in French) an international body that was created on the 28th May, 1975 by the Lagos Treaty to promote economic, industrial and border cooperation among the member states. In other words, ECOWAS was put in place in order to promote and develop inter-regional exchanges in the following domains: agriculture, energy, telecommunication, transport and commerce, financial and cultural affairs. The ECOWAS headquarters is located at Abuja, in Nigeria.

Geographically, the Republic of Benin is located beside the South-western region of Nigeria. Indeed, there exist some forms of homogeneous social, cultural and linguistic elements that are common to these two regions. Linguistically, English is the official language of Nigeria, while that of Benin is French. Although, Nigeria is made up of heterogeneous population comprising of many ethnic groups among which are the following: Efik, Ijaw, Ibibio, Edo, Jukun, Nupe, Igala and a host of other tribes to mention a few. Out of these traditional communities, the three main ethnic groups are Hausa (majority), Yoruba and Igbo (minority). The Republic of Benin as well is composed of heterogeneous population namely: Bariba, Dendi, Djerma, Groussi, Haoussa, Mossi, Paragouma and Peul in the north, while in the South we have the Fon (Adja or Aja), Ewe, Gen, Mina, Gouns (Egun) and Yorouba (Yoruba or Anago or Nago). Indeed, the three main ethnic groups are: Bariba in the North, Yorouba and Adja-Ewe in the South. It is quite interesting to remark that from all the main ethnic groups mentioned above, the Hausa, Yoruba, Egun and Bariba are common to the two countries under study. Hence, these communities have been the domineering communities across the Nigeria-Benin borders and yonder. This is an indication that there had been some socio-political-cultural ties between Nigeria and Benin in the pre-colonial era. Let us now examine the extent to which Yoruba community had spread both far and near all over the world:

"The Yoruba people (Yorùbá in Yoruba orthography) are one of the largest ethnic groups in West Africa. The majority of the Yoruba speak the Yoruba language (Yoruba: èdè Yorùbá; èdè). The Yoruba constitute between 30 and 50 million individuals throughout West Africa and are found predominantly in Nigeria and make up around 21% of its population.

The Yoruba share borders with the Borgu (variously called "Baruba" and "Borgawa") in the northwest; the Nupe (whom they often call "Tapa") and Ebira in the north; and the Edo, the Èsan, and the Afemai to the southeast. The Igala and other related groups are found in the northeast, and the Egun, Fon, and others in the southwest. The Itsekiri who live in the north-west Niger delta, are closely related to the Yoruba but maintain a distinct cultural identity. While the majority of the Yoruba live in western Nigeria, there are also substantial

indigenous Yoruba communities in the Republic of Benin and Togo, plus large groups of Yoruba migrants living in the United States and the United Kingdom. The Yoruba population was also involved in slavery and were taken to the Americas, where they form a large diaspora.” (Wikipedia (2012): Yoruba people).

From the above affirmation, it is evident that Yoruba language is one of the domineering languages spoken across Nigeria-Benin borders even as far as Togo, Ghana, Liberia, Sierra-Leon and Côte d’Ivoire. Closely followed by this is Hausa language which is widely spoken in many countries in the North, West and Central African. One discovers that in these two countries, English and French languages are used intermittently with other local languages. As a matter of fact, these main groups in Nigeria and Benin speak their languages everywhere across their borders in their everyday life. Thus, these languages are considered as living languages because they are widely spoken by the two communities as well as making use of English and French as their administrative languages. Hence, this present situation of these communities implies languages in contact as well as multilingualism which are phenomenon in sociolinguistics.

According to the New Standard Encyclopedia, “Living languages are not fixed or static, but are constantly changing in grammar, vocabulary, pronunciation and spelling. Changes usually begin in the spoken languages, then, often after a gap of years occur in the written.”(New Standard Encyclopedia, Vol. 8: (1987). Considering the languages in contact across Nigeria-Benin borders,(English, French, Yoruba, Egun, Hausa,Ibo, etc.), one would agree that they have had changes constantly in their structures over the years. They have also reflected changes in the culture and life of their speakers in order to keep pace linguistically with the different developments of modern life: social, religious, commerce and industry, science and technology etc. At this juncture, it is pertinent to state that this paper will firstly examine what sociolinguistics is all about and how it is related to language contact, multilingualism and linguistic borrowing or interference. Secondly, it would define multilingualism and then discuss some factors that are responsible for multilingualism in the world with particular reference to Nigeria and Benin. Thirdly, we shall examine the importance of multilingualism in countries such as Nigeria and the Republic of Benin pointing out its benefits and implications. Finally, we have the conclusion where we express our personal view on the issue of multilingualism.

Sociolinguistics in relation to language contact, multilingualism and linguistic borrowing

First and foremost we need to define what sociolinguistics is all about? According to the Encyclopedia Americana, “sociolinguistics is concerned with the interrelation of socio and linguistic phenomenon, of social classes and social dialects.”(Op.cit.p.532). Furthermore, sociolinguistics is an integral part of linguistics that covers the society. That is, the usage of language by the individual or group of people in the society as well as its relations with regards to this language in a given society. Fishman (1978:25) considered sociolinguistics as follows:

«La sociolinguistique est l’étude des caractéristiques de variétés de langue, des caractéristiques de leurs fonctions aussi bien que celles des locuteurs ou des utilisateurs».

“Sociolinguistics is the study of the characteristics of varieties of language, the characteristics of their functions as well as that of the speakers or the users of the language.” (Our translation).

It is evident from the above definitions that sociolinguistics covers three main fields of research: linguistic variety, the functions of the varieties and the characteristics of the

users. Thus, sociolinguistics studies contacts between languages. Kwofie, E.N.(1987) said that, language contact may be through political domination(e.g. colonialism), trade, education or it may be the result of geographical proximity among other situations. He also indicated that the most important linguistic effect of such contact is linguistic borrowing or interference which may take place at any linguistic level. Lehmann W.P.(1972) in his discussion of semantic change observes as follows:

“By far the most important effect on the semantic component of language is brought about by the influence of other languages or dialects, a process referred to as linguistic borrowing. Borrowing may be viewed as cultural diffusion. In accounting for its effects, we must attempt to determine the conditions under which borrowing takes place.”

We can see that borrowing or interference is not confined to a particular linguistic community; it seems to be a universal linguistic phenomenon observed among fairly homogeneous communities as well as among linguistic communities. Subsequently, language contact implies contact between people that brings about multilingualism, linguistic borrowing or linguistic interference. Such is the situation of Nigeria and Benin at present because there had been cultural, social and linguistic diffusion among the two countries since the epoch of the Old Oyo Empire. The Oyo Empire was a Yoruba empire of what is today western and northern Nigeria. Established in the 14th century, the Oyo Empire grew to become one of the largest West African states encountered by pre-colonial explorers. It rose through the outstanding organisational skills of the Yoruba wealth gained from trade and its powerful cavalry. The Oyo Empire was the most politically important state in the region from the mid-17th to the late 18th century, holding sway not only over most of the other kingdoms in Yorubaland, but also over nearby African states, notably the Fon Kingdom of Dahomey in the contemporary Republic of Benin to the west.

What is multilingualism?

“To have another language is to possess a second soul.”

(Charlemagne (742 – 814), King of the Franks).

“Multilingualism is the natural potential available to every normal human being rather than an unusual exception: “Given the appropriate environment, two languages are as normal as two lungs” (Cook 2002:23).

It does not even require the ability to speak two unrelated languages; a user of e.g. the ‘literary’ and a vernacular/dialectal variety of a language is already multicompetent. At the same time, multicompetence does not require perfect fluency in all the languages at one’s command; thus, setting the boundary would probably be a mission impossible.

Hence, multilingualism can equally be defined as the act of using, or promoting the use of, multiple languages, either by an individual speaker or by a community of speakers. A basic distinction when discussing bilingualism and multilingualism is between the individual and societal level. At the individual level, bilingualism and multilingualism refer to the speaker’s competence to use two or more languages. At the societal level the terms bilingualism and multilingualism refer to the use of two or more languages in a speech community and it does not necessarily imply that all the speakers in that community are competent in more than one. Furthermore, a multilingual person, in a broad definition, is one who can communicate in more than one language, be it actively (through speaking, writing, or signing) or passively (through listening, reading, or perceiving). More specifically, the terms *bilingual* and *trilingual* are used to describe comparable situations in which two or three languages are involved. A multilingual person is generally referred to as a polyglot. *Poly* (Greek: πολύς) means "many", *glot* (Greek: γλώττα) means "language".

In addition, multilingualism could be rigidly defined as being *native-like* in two or more languages. It could also be loosely defined as being *less than native-like* but still able to communicate in two or more languages. Indeed, multilingual speakers have acquired and maintained at least one language during childhood, the so-called first language (L1). The first language (sometimes also referred to as the mother tongue) is acquired without formal education, by mechanisms heavily disputed. Children acquiring two languages in this way are called simultaneous bilinguals. Even in the case of simultaneous bilinguals one language usually dominates over the other. This kind of bilingualism is most likely to occur when a child is raised by bilingual parents in a predominantly monolingual environment. It can also occur when the parents are monolingual but have raised their child or children in two different countries.

Moreover, the widespread of multilingualism is one form of language contact. Multilingualism was more common in the past than is usually supposed: in early times, when most people were members of small language communities, it was necessary to know two or more languages for trade or any other dealings outside one's own town or village, and this holds good today in places of high linguistic diversity such as Sub-Saharan Africa and India. Linguist Ekkehard Wolff estimates that 50% of the population of Africa is multilingual.

Whenever two people meet, negotiations take place. If they want to express solidarity and sympathy, they tend to seek common features in their behaviour. If speakers wish to express distance towards or even dislike of the person they are speaking to, the reverse is true, and differences are sought. This mechanism also extends to language, as it has been described by Howard Giles' Accommodation Theory:

“Various, but not nearly all, multilinguals tend to use code-switching, a term that describes the process of 'swapping' between languages. In many cases, code-switching is motivated by the wish to express loyalty to more than one cultural group, as it holds for many immigrant communities in the New World. Code-switching may also function as a strategy where proficiency is lacking. Such strategies are common if the vocabulary of one of the languages is not very elaborated for certain fields, or if the speakers have not developed proficiency in certain lexical domains, as in the case of immigrant languages”.
(<http://en.wikipedia.org/wiki/multilingualism>).

Potential multilinguals are believed to be mostly residents in boarder areas between two countries with different languages, where each language is seen as of equal prestige: efforts may be made by both language communities to acquire an L2. Yet, in areas where one language is more prestigious than the other, speakers of the less prestigious language may acquire the dominant language as an L2. However, with time, the different language communities may reduce to one, as one language becomes extinct in that area. Other potential multilingual speakers include:

- People with a strong interest in a foreign language.
- People who find it necessary to acquire a second language for practical purposes such as business, information gathering (Internet, mainly English) or entertainment (foreign language films, books or computer games).
- Language immersion children.
- Immigrants and their descendants. Although the heritage language may be lost after one or two generations, particularly if the replacing language has greater prestige.
- Children of expatriates. However, language loss of the L1 or L2 in younger children may be rapid when removed from a language community.
- Children whose parents each speak a different language, in multilingual communities. In monolingual communities, when parents maintain a different-parent/different-language household, younger children may appear to be multilingual; however

entering school will overwhelm the child with pressure to conform to the dominant community language. Younger siblings in these households will almost always be monolingual. On the other hand, in monolingual communities, where parents have different L1s, multilingualism in the child may be achieved when both parents maintain a one-language (not the community language) household.

- Children in language-rich communities where neither language is seen as more prestigious than the other and where interaction between people occurs in different languages on a frequent basis.
- Children who have one or more parents who have learned a second language, either formally (in classes) or by living in the country. The parent chooses to speak only this second language to the child. One study suggests that during the teaching process, the parent also boosts his or her own language skills, learning to use the second language in new contexts as the child grows and develops linguistically.

Considering the fact that Nigeria and the Republic of Benin are culturally, historically and linguistically homogeneous, it is of the believe that the phenomenon of multilingualism would have effected a lot of positive changes in the social, political, economic and cultural life of the two communities under review. Nowadays, in the contemporary world, multilingualism usually implies English, French and other local or heritage languages. But English has also been considered a threat for linguistic diversity (Philipson, 1992). The spread of English has been visualised in terms of three circles representing the historical and sociolinguistic profile of English in different parts of the world (Kachru, 1985). The inner circle includes the countries that are traditionally considered the bases of English, where English is the first language for the majority of the populations: UK, USA, Ireland, Canada, New Zealand, Australia. Nevertheless, English is not the only language spoken in these countries because it is in contact with heritage languages or languages that are spoken as the result of immigration. The outer circle includes those countries where English is not the first language of the majority of the population but English is a second language that is used at the institutional level as the result of colonisation. The expanding circle includes those countries where English has no official status and is taught as a foreign language like in France, Belgium and Germany to mention a few. At this juncture, we would examine the factors responsible for the spread of multilingualism across Nigeria-Bénin boarder.

Factors for spread of multilingualism

In order to understand the concept of multilingualism, it is necessary to consider briefly some of the underlying factors for the spread of multilingualism around the world. As a matter of fact, multilingualism can be the result of different factors. Some of them are the following:

- Historical or political movements such as imperialism or colonialism. Since Benin was formerly part and parcel of the Old Oyo Empire and it was due to colonial intervention that created an artificial boundary for these countries, it is a fact that multilingualism is a product of historical and political movements. Hence, the spread of some languages, such as English and French, which results in the coexistence of different languages such as Yoruba(Nago), Egun(Goun), Hausa(Haoussa), Bariba and Adja-Ewe in these two countries.

- Economic movements in the case of migration. The weak economics of some areas and countries results in movement of the population to other countries and to the development of multilingual and multicultural communities in the host countries. There had been mass immigration and emigration of Nigerians and Beninois across the frontiers in search of greener pastures and better living conditions. For instance, there are many Beninois working in Nigeria as teachers of French language, staffers of multinational companies, craftsmen, house-helps and security guards. Equally, we have many Nigerians living in the

Republic of Benin working as administrators, teachers of English, traders, businessmen and women across the borders. The unique position of the English or French as well as the official language, as well as the main languages of trade, commerce and communication. Or contact with non-Yoruba speaking people both inside and outside the two countries under study.

- Increasing communications among different parts of the world and the need to be competent in languages of wider communication. This is the case with the development of new technologies and also with science. English and French are the main languages of widercommunication but it is used by millions of people in both communities who use other languages as well.

- Social and cultural identity and the interest for maintenance and revival of minority languages. This interest creates situations in which two or more languages co-exist and are necessary in everyday communication. One discovers that, French, English, Yoruba, and Egun languages are mostly used in the socio-economic activities across the Nigeria-Benin borders.

- The spread of education fashioned to a large extent along the British /French pattern and conducted, understandably, solely in English/French from as early as the first year in the primary school. Moreover, second and foreign languages are part of the curriculum in many countries. For example, in Benin, English language is a core subject in all primary and secondary schools' curriculum. There are also Universities, Language Institutes and Centres where Anglophone students could improve their proficiency in French in the Republic of Benin. We have IESSAF-UNIVERSITE, Porto-Novo and CEBELAE, Cotonou as concrete examples. In the same vein, French language is one of the core courses in the present day JSS curriculum in Nigeria. French courses are offered in Colleges of Education, Polytechnics, Universities and in Alliances Françaises everywhere in Nigeria. All these educational institutions also contribute immensely to the spread of multilingualism across Nigeria-Benin borders.

- Religious movements that result in people moving to a new country. In both Nigeria and Bénin, we have so many religious sects; orthodox and traditional, that is common. For example, we have the Catholic Church, the Apostolic Church, the Celestial Church and Islam that cut across the two borders. There are some other traditional religions like: Vaudou, Ogun(Gu), Sango(Chango ou Xebioso), Oya and many others divinities being worshipped by the communities in question. In their mode of worship many languages come into contact.

Finally, the existence of two or more languages in contact will make possible the occurrence of 'code switching' described as 'the sprinkling of English words(or French words) and phrases in Yoruba sentences.'(Afolayan A: 1968, cited by Adebisi Salawu: 1982, p.123).

Functions, benefits and implications of multilingualism across borders

The Italian film director Federico Fellini once said:

"A different language is a different vision of life". A person's world can stretch out in front of them for miles and miles or it can be a box around them depending on who they can communicate with".(Communicaid Group Ltd, 2010).

It is obvious that learning or speaking another language can open up new worlds, broaden your horizons and bring you into contact with many new cultures. The language you speak can mould your world view and by association your experience of life. Opening up to new cultures can enrich your life and give you new opportunities. Taking part in a *cross cultural training program* or in a *language training course* can help someone to broaden both one's mind and one's world view, increasing peoples' cross cultural competence and peoples' ability to communicate across cultures and across borders everywhere in the world.

Economically, businesses have greatly benefited from building the cultural and linguistic skills across the Nigeria-Benin borders since the early 60s. Thus, speaking many languages had opened new markets up to businessmen and women, traders and multinational companies both in Nigeria and the Republic of Benin that were previously closed. One of the businesses that is very popular is the automobile business. Automobile traders from Nigeria always travel to Cotonou port to buy and import used-vehicles, known as “Tokunbo vehicles” into Nigeria because the market values of these vehicles are by far better than that of Nigerian automobile market. And above all, if a Nigerian trader is able to communicate in French with the automobile merchants at the Cotonou port automobile market he would be able to negotiate easily and better than a trader who cannot communicate in French. Because English predominates as the ‘global language’ of trade and commerce, people often forget that the ability to conduct business with a non-English speaker in their own language, and with knowledge of their cultural values and norms, can build lasting bridges and forge links with that individual or company for many years to come.

From time in memorial, there had been trade links between Nigeria and the Benin Republic. The trans-border trade between Nigeria and Benin has been greatly influenced by the fact that many of the inhabitants of the two communities are able to speak two or more languages. I know of one “demarcheur”(hawker) at the Cotonou Automobile market who is a polyglot. He is popularly called, “Papa Sakete”. He speaks 5 languages: French, English, Yoruba, Hausa and Egun fluently but the irony of it all is that he is not literate in any of these languages he speaks. Nonetheless, he has got so many clients from Nigeria who would not negotiate with the merchants unless this “demarcheur” is around to mediate between them. At present there are a lot of Nigerian traders and businessmen and women benefiting immensely from the trans-frontier trade activities between the Nigerian borders with the Republic of Benin. The official border posts that link the two countries in the western side of Nigeria are: Badagry/Seme in Lagos State, Idi-Iroko/Igholo, Imeko/Ilara in Ogun State and Ejio/Save in Oyo State. It is worthy of note that the inhabitants of these border areas are all involved in one economic activity or the other. In fact ‘smuggling’ of goods across the borders is the order of the day from Nigerian side to Beninois side and vice versa. The goods include: petroleum products, electronics, spare parts of vehicles, beer, soft drinks etc from Nigeria; textile materials, motor vehicles, assorted liquors and drinks, jewelries, food items like rice, vegetable oil and spices from Benin.

There are so many advantages that multilingualism exhibits over monolinguals because these advantages are not restricted to linguistic knowledge only, but extend outside the area of language. The substantial long-lived cognitive, social, personal, academic, and professional benefits of multilingualism are enumerated below. Thus, multilingual persons have been demonstrated to:

- have a keener awareness and sharper perception of language. A proficiency in foreign and local languages “enhances people’s understanding of how language itself works and their ability to manipulate language in the service of thinking and problem solving” (Cummins 1981); In the cross border dealings, the multilinguals are able to manipulate the everyday use of the languages to facilitate their relationship and transactions without much problems.
- be more capable of separating meaning from form;
- learn more rapidly in their native language (L1), e.g. to read, as well as display improved performance in other basic L1 skills, regardless of race, gender, or academic level;
- be more efficient communicators in the L1;
- be consistently better able to deal with distractions, which may help offset age-related declines in mental dexterity;

- develop a markedly better language proficiency in, sensitivity to, and understanding of their mother tongue;
- develop a greater vocabulary size over age, including that in their L1;
- have a better ear for listening and sharper memories;
- be better language learners in institutionalized learning contexts because of more developed language-learning capacities owing to the more complex linguistic knowledge and higher language awareness;
- have increased ability to apply more reading strategies effectively due to their greater experience in language learning and reading in two—or more—different languages;
- develop not only better verbal, but also spatial abilities;
- parcel up and categorize meanings in different ways;
- display generally greater cognitive flexibility, better problem solving and higher-order thinking skills;
- “have a stereoscopic vision of the world from two or more perspectives, enabling them to be more flexible in their thinking, learn reading more easily. Multilinguals, therefore, are not restricted to a single world-view, but also have a better understanding that other outlooks are possible. Indeed, this has always been seen as one of the main educational advantages of language teaching” (Cook 2001);
- expand their personal horizons and being simultaneously insiders and outsiders, see their own culture from a new perspective not available to monoglots, enabling the comparison, contrast, and understanding of cultural concepts;
- be better problem-solvers gaining multiple perspectives on issues at hand;
- have improved critical thinking abilities;
- better understand and appreciate people of other countries, thereby lessening racism, xenophobia, and intolerance, as the learning of a new language usually brings with it a revelation of a new culture;
- learn further languages more quickly and efficiently than their hitherto monolingual peers;
- say nothing of the social and employment advantages of being multilingual – offering the ability to communicate with people from diverse nationalities and increasing job opportunities in many careers. Jobs that involve a lot of traveling are always on the look-out for people that can speak more than one language. Companies that have multinational presence will benefit a lot by employing people who are multilingual.

Thus, just like Latin once used to be taught as an academic exercise, mental gymnastics with the aim of cognitive training, it has been demonstrated that people who know more than one language usually think more flexibly than monolinguals. Many celebrated bilingual writers such as John Milton, Vladimir Nabokov, Samuel Barclay Beckett, or Losif Brodsky, attest that knowing a second language enhances the use of the first.

Furthermore, multilingualism can be regarded as an economic good and as well as a cultural good to the communities involved. However, given the peculiar nature of a language with respect to other economic goods, its valuation presents some specific characteristics, and therefore requires specific tools. First of all, a language presents an interesting feature that is often determined by institutional changes. The usage of a language is related to the “status” of the language and the level of social cohesion of the community the language refers to. Thus, the more a language is spoken, the better it is for the people who are using it.

To this extent, an immediate comparison with other intangible cultural goods, such as music, rites, traditions, etc., can be made. Some of these peculiarities highlight the nature of a language as a *public* good, and sometimes as a *common* good. A language is a crucial part of the heritage of a specific community, shapes and builds its identity in the same way as its

physical heritage does. Therefore its existence needs to be valued and preserved as we do with the cultural and environmental heritage of a region. In other terms, many of the considerations that one can make for cultural heritage goods seem to hold for languages. In particular, the benefits brought by the existence or the use of many languages, are always relevant to the betterment of the economic, social and cultural values of such communities.

It is also important to stress that, an implication of language contact is linguistic borrowing which permits the appropriation of a reality in another language. For example, in English language, the word 'bread' exists while in Yoruba it is modified as 'búrédi'. In French, the word 'chauffeur' exists and it is modified as 'shoffe'. From these examples, one would see that the language contact between the British and the Yoruba on one hand and between the French and the Yoruba on the other hand results into borrowing of words from English into Yoruba and from French into Yoruba and other local languages. These linguistic borrowings were due to colonization and language contact and such is the case in all African countries that had passed through colonization.

It is evident that the Yoruba language has employed borrowing of words from other languages to develop her linguistic evolution. Notable among the languages from which Yoruba has borrowed words are Arabic, French, Russian, Hausa and English. Consequently, the contact with the British and the French in both countries has affected the social, cultural and commercial life of the Yorubas and the other ethnic groups in the two countries, so much that the English and French languages had had a considerable influence on Yoruba language spoken in these communities. If a Beninois speaks Yoruba, his accent will be a little bit different from the Yoruba being spoken by a Nigerian. This, however, is a general linguistic trend not peculiar to Yoruba alone for E Sapir (1921: 192) has pointed out:

"Language like cultures is rarely sufficient unto themselves. The necessity of intercourse brings the speakers of one language into direct or indirect contact with those of neighbouring or culturally dominant languages. The intercourse may be friendly or hostile. It may move on the humdrum plane of business and trade relations or it may consist of borrowing or interchange of spiritual goods-art, sciences, religion...The simplest kind of influence that one language may exert on another is borrowing of words. When there is cultural, there is always the likely hood that the associated word may be borrowed too."(cited by Adebisi Salami:1982).

Fortunately, the 'intercourse' between the British/French and the Yoruba, the Egun and the Fon can wisely be regarded as a 'friendly' one, moving on the 'humdrum plane of business and trade relations' and consisting of 'interchange of spiritual goods as well as the trade relationship between the British/French and the Yoruba and other local languages has resulted in the borrowing of words from these European languages to Yoruba as indicated in the two examples giving above. The Yoruba people are fond of using these loan words where occasion calls for their usage. For instance, to describe new things, new ideals, that occurs through religion, politics, science and business; such words that have no equivalents in Yoruba or any other words that are very difficult to express in the local languages. Some of the loan words exhibits some striking and interesting features. They are as follow:

- **English** → **Yoruba**
 - commissioner → *komisona*
 - minister → *minisita*
 - rebel → *rebu*
 - engineer → *enjinnia*
- **French** → **Yoruba**
 - bagette → *bagetti*(bread in French)
 - des balais → *igbale*(broom in French)

- ecole → *ekolu*(school in French)
- librairie → *libreri* (bookshop in French)etc.

The above examples are manifestations that linguistic borrowing is no doubt developing in our everyday life in these two countries. Crowther S.A. (1852), recorded in his grammar book twenty loan words from English to Yoruba. Hence, the tempo of borrowing seems however to have increased by an almost geometrical progression in the last fifty years in Nigeria and Benin. Thus, multilingualism also plays an important role in the creation of more vocabulary to develop the linguistic proficiency and the language ability (*la capacité langagière*) of the users of these languages in contact.

Another important aspect of multilingual or bilingual person is the essence of linguistic borrowing. A large number of native Yoruba speakers are now bilingual. That is, they speak Yoruba which is their native language and are fluent to some varying degrees in English and/or French depending on different academic attainments of the individuals in Yoruba communities.

On the other hand there might also be possible **disadvantages** that should not be ignored at this point. A potential disadvantage is the temporary mixing of languages. Multilingual children and adults might mix up different words from different languages into one sentence. This will definitely be a risk on the part of children starting to **mix the languages** they can speak. Thus, the family will have to **invest more time** in the child's education if they want him to be able to read fluently and write legibly in all languages. But putting in the extra effort will add valuable skills to children and help them in various ways for the rest of their lives.

Conclusion

Having considered the incidence of multilingualism as a factor of language contact in the West Africa sub-region while making particular reference to the proximity between Nigeria and the Republic of Benin, it has been discovered that the symbiotic cohabitation of the citizens of these two communities had long been cemented and had become two inseparable elements.

It is also very obvious from this paper that multilingualism is a product of languages in contact and that these two elements are sociolinguistics phenomenon that are brought about by changes in the society. The human society is not static but moving. The world as a whole is changing from time to time. By this, we mean that the human world is always witnessing tremendous social, cultural, economic, educational and above all linguistic developments every day. In fact, multilingualism is a gift for children generally. It is a gift for life. Probably one of the best gifts one can give to one's children. It will stay with them for the rest of their life and will be of great use.

It is very remarkable that multilingualism across the frontiers of Nigeria and Benin had made some important positive changes on the culture and life of the inhabitants of these regions. Thus, the socio-cultural and economic contacts between the people living in the two countries had resulted in the over-all development of these communities. It is observed that the language contact between the British/the Yoruba/the Egun in Nigeria and the French/the Yoruba/the Adja-Ewe in Benin, had made Yoruba language to belong to the latter group of languages. Scientific and technological ideas, items of clothing and jewelry, cultural and ideological concepts and their names impinge on Yoruba daily from English, French, Arabic, Hausa and Egun. The Yoruba people want to know these new concepts and people, they want to become a part of the larger world that shares a common language in certain disciplines and so they decide to learn the names of these things. And so, a good many new words in the language are adopted in order to fulfill certain needs.

Multilingualism is connected with prestige because knowledge is synonymous with prestige. Hence, there are many occasions for a multilingual person to show himself to monolinguals that he has the ability to communicate in many languages. Even though, linguistic and cultural borrowing forms part of normal life of multilingual persons in commercial and administrative headquarters, educational centres, international ports, especially sea ports and border posts one can conclude that bilingual or multilingual people in these places and elsewhere in Yorubaland is a potential linguistic borrower, directly or indirectly.

Conclusively, we believe that multilingualism across the borders of Nigeria with all her neighbours (Benin, Niger, Tchad, and Cameroun) has come to stay because its merits are more than its demerits. And if the inhabitants of these countries could still exhibit certain characteristics and common features by forging ahead to become multilingual communities, peace and unity would prevail in the West Africa sub-region in particular and in the whole world in general. This is what ECOWAS / CEDEAO, African Union/ *Union Africaine* and United Nations/*Nations Unies* stand for in promoting cultural, economic, social, educational and industrial harmony in the entire human universe.

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GREETING WITH A HOLY KISS: A STUDY OF 1 THESSALONIANS 5:26 IN SOME GHANAIAAN MOTHER-TONGUE TRANSLATIONS OF THE BIBLE

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Abstract

There seem to be translation and interpretation challenges facing mother-tongue readers of the Bible in their cultural settings. One of such cultural issues is the translation of 1Thess 5:26 in some Ghanaian mother-tongue Bibles which borders on the mode of greeting among Christians. This paper is a study of the 1 Thess 5:26 in the Greek New Testament and 20 Ghanaian mother-tongue translations of the text in six southern Ghanaian languages. The paper argues that greeting with a “holy kiss,” in 1Thess 5:26 which most of the Ghanaian mother-tongue translations seem to promote is not Ghana/African, and thus the verse should be retranslated to reflect Ghanaian culture.

Keywords: Greetings, holy kiss, 1 Thess 5: 26, mother-tongue Bible translations, Biblical interpretation

Introduction

The Bible Society of Ghana (BSG) has translated and published the full Bible in eight (8) Ghanaian mother-tongues – Asante-Twi, Akuapem-Twi, Gã, Mfante, Ewe, Dangme, Dagbanli, and Nzema. The New Testament has been translated into Esahie and Dagaare. The Old Testament translation projects in these languages are ongoing. Revision projects on some of the older versions are underway (www.biblesociety-ghana.org/what-we-do). The Ghana Institute of Linguistics, Literacy and Bible Translation (GILLBT) has translated and published the Bible in five (5) Northern Ghanaian mother-tongues – Konkomba, Tampulma, Bimboba, Farefare and Chumburung – and the New Testament in twenty-five (25) languages: Kusal, Vagla, Sisaala, Nafaanra, Hanga, Frafra, Chumburung, Kasem, Mo (Deg), Buli, Lelemi, Adele, Mampruli, Gikyode, Pasaale, Koma, Ntrubo, Birifor, Anufo, Selee, Siwu, Sekpelee, Tuwuli, Ahanta, Nkonya (www.gillbt.org). The International Bible Society (IBS) has also translated and published the full Bible in one (1) Ghanaian language - Ewe, and the New Testament in three languages –Akuapem-Twi, Asante-Twi, and Dangme. The New Word Publishing (Ghana) Limited has published the English-Twi Version of the New Testament. These translations are in no doubt important component in the history of the founding, establishment, and growth of the Church among the people concerned in that, they facilitate the understanding of the Christian faith in these language groups. But there seem to be translation and interpretation challenges facing mother-tongue readers of the Bible in their cultural settings. One of such cultural issues is the translation of 1Thess 5:26 in some Ghanaian mother-tongue Bibles which borders on the mode of greeting among Christians.

The pericope of 1Thess 5:26 is 1Thess 5:25-28: “²⁵Pray also for us.²⁶Greet all the brothers with a holy kiss.²⁷I adjure you by the Lord that this letter be read to all the brothers.²⁸The grace of our Lord Jesus Christ be with you.” In these verses we find Paul’s closing greetings to the recipients of the letter.

H. Boers says that “The Pauline letter closing has three items – doxology, greetings (usually with a respect for prayers), benediction” (Boers, 1975-1976: 140-158). F. F. Bruce has noted that, there is no formal doxology in the closing section of 1 Thessalonians, although there is an affirmation of God’s trustworthiness in v.24, “The one who calls you is faithful and he will do it” might to some extent be regarded as serving the purpose of a doxology (Bruce, 1982). The other items are here: the request for prayer (v.25), the greetings (v.26), and the benediction (v.28). In addition, there is a solemn charge inserted between the greetings and the benediction, insisting that the letter be read to “all the brothers” (v.27).

The bone of contention in this closing greeting however is in v.26, “Greet all the brothers with a holy kiss.” A critical study of Paul’s instruction here reveals that there is no explanation of what the holy kiss is, why it is to be done, how it is to be done, when it is to be done, who benefits from it, whether it should be done by both sexes or between the sexes, what biblical principle it is based on, or what it typifies or represents. The instruction does not also give any sort of warning to those who may not want to do it. The greetings with a holy kiss is also found in Romans 16:16, 1 Corinthians 16:20; 2 Corinthians 13:12, and 1 Peter 5:14. Like 1 Thessalonians 5:26, the instruction concerning the holy kiss in these verses is one sentence, without any further information. A study of these texts shows that the holy kiss instructions are in the context of personal greetings. These greetings at the end of the epistles are personal greetings from the writer to brethren he knows, loves, is thinking about, and praying for.

The Greek word translated “kiss” is *phil...ma*. It was a common courtesy greeting among the Rabbis. Judas’s kiss was of this nature (Matt 26:48f.; Mk 14:44f; Lk. 22:47). He addressed Jesus honorifically as Rabbi. Another example is found in the story of the woman who was a sinner (Lk 7:36 ff.). The woman kissed Jesus as a sign of respect for Jesus. In the parallel of the story however, the woman is not reported to have kissed Jesus (cf. Matt 26:6 ff.; Mk 14:3 ff.). The kiss in the ancient world was both a friendly sign of greeting and an emotional token of farewell (cf. Lk 15:20; Acts 20:27 where *kataphile* is used) (Brown, 1986: 549).

Languages change over time. They change as a result of usage (Ellis, 2008: 233). At the time of Paul and in the early Christian congregations *phil...ma* assumed a socio-religious function; it became *phi...ma hagion*, a holy kiss. Those who have been incorporated into fellowship of the love of God are *hagioi*, holy in being children of God, and can greet one another as such. This explains why we find greeting with a holy kiss in such some of the epistles (Rom 16:16; 1 Cor:16:20; 2 Cor 13:13; cf. 1Pet 5:14 where we read of *phi...ma agap...s*, kiss of love). The “holy kiss” was primarily a familial greeting in the Greco-Roman world, something one ordinarily did not share with non-family members” (Jewett, 2003). The greeting with a holy kiss took place between members of the same sex. They kissed on the cheek, and not the mouth.

Since language is an aspect of culture which is not static but dynamic, when a word enters into a culture it may take on a new meaning. This is also true of gestures such as kissing which has acquired sexual connotation than it was in the past. A hermeneutical interpretation of kiss could be “embrace” because it portrays the bond expressed in kissing. In our text under discussion, Paul wrote to the Christians in Thessalonica to “greet one another with a holy kiss.” Even though the term “holy” guards against anything untoward in the kiss, it can create some problems in Ghanaian/African cultures where kissing is not done in public, and in sacred contexts like the church. How is 1Thess 5:26 translated in the Ghanaian Mother-tongue Bibles? Do the various translations raise an issue?

Methodology

The study uses cultural criticism, mother-tongue hermeneutics and the dynamic equivalence principle of Bible translation as approaches. Cultural criticism is used because there is a cultural distance between what 1Thess 5:26 meant to the original recipients of the letter and what it means to us now; and mother-tongue hermeneutics because the writer wants to find out how the text has been translated into some indigenous Ghanaian languages, and what it means to the readers. The dynamic equivalence methodology is based on the principle that translation should not be a static process (word-for-word), but rather on thought patterns (thought-for-thought).

The *Anchor Bible Dictionary* Jeanrond defines cultural criticism as a methodology that focuses on cultural issues in the Bible and also in contemporary society and culture (Freedman, 1998: 442-442). G. A. Klingbeil relating cultural criticism to biblical hermeneutics argues that, (1) meaning is determined by cultural realities and there exists no definitive interpretation; (2) cultural criticism provides a starting point for interreligious dialogue but at the same time supplies interreligious feedback to understand Scripture better; (3) cultural criticism can function as a means to profile ideological dimensions within the biblical text (Klingbeil, 2003: 261-277). What Freedman and Klingbeil mean is that there are cultural issues in the biblical text and an interpreter of such texts needs the tools of culture to be able to interpret them in context.

Mother-tongue biblical hermeneutics is the scholarly engagement of the mother-tongue translation of the Bibles, in order to understand what they say and mean to the readers. The mother-tongue of a person is the initial language of that person. A mother-tongue is the medium of our innermost feelings and thought (Amonoo, 1989). It is that native language into which one is born and in which one grows up (Quarshie, 2007). It is a repository of indigenous wisdom, knowledge, insight, science, theology and philosophy. It is in the mother-tongue that one thinks and dreams, before translating ones thoughts to other languages (Bediako, 2006). The term, mother-tongue Bibles means the translation of the Bible into such languages into which people are born and nurtured. Mother-tongue Bibles give Ghanaians/Africans the opportunity to interpret Scripture from their own worldview (Atta-Akorsah, 2005).

J. D. K. Ekem says that “The varied mother tongues of Africa have a lot to offer by way of biblical interpretation in Ghanaian/African languages as viable material for interpretation, study Bibles and commentaries (Ekem, 2007: 48).” Ekem’s point is that, a person who wants to do African biblical hermeneutics must of a necessity include formal exegesis that reflects a dynamic encounter between Christian and traditional African worldviews, both of which continue to exert a powerful influence on communities.

E. Nida, the proponent of the dynamic equivalence principle of Bible translation posits that, (a) any message can be communicated to any audience in any language provided that the most effective form of expression is found; (b) human beings share a core of universal experience which makes such communication possible (Nida & Taber, 1982). Using these basic assumptions, he applied insights from the field of linguistic theory to develop a scientific approach to translation, and thus was able to provide a theoretical basis for translating the Bible idiomatically rather than literally.

Exegesis Of 1thess 5:26

The Greek Text (a transliteration)

aspasasthe tous adelphous pantas en phil...mati agiō (Nestle-Aland, 1994).

“Greet all the brothers with a holy kiss.”

(i) *aspasasthe*

Aspasasthe has certain distinctive features which helps in the interpretation of 1Thess 5:26. It is a verb from the root word *aspazomai*, meaning “to greet, salute.” It is in the imperative mood, meaning it is a command or request “greet.” It is an aorist, meaning the greeting is not habitual or continuous. It is in the second person plural, “you (plural) greet.” It is in the middle voice, meaning the recipients of the command should greet themselves. It is a deponent verb, meaning it takes an active meaning. Thus *aspasasthe* is not just a word but a complete sentence that read, “You (plural), greet yourselves.”

(ii) *tous adelphous*

Tous adelphous, meaning “brothers” appears fifteen times in the letter (1:4; 2:1; 2:9; 2:14; 2:17; 3:7; 4:1; 4:6; 4:9; 4:13; 5:4; 5:12; 5:14; 5:26; 5:27). But it is generic. It stands for both male and female. It is hard to imagine a church made up of men only. There were women in the Thessalonian assembly. There were brothers and sisters in the church even though we do not have names (cf. Rom 16:3-16 where the names of some women in the church in Rome are mentioned).

(iii) *aspasasthetous adelphous pantas*

Putting one and two together, we have *aspasasthetous adelphous pantas*, a complete sentence which reads, “Greet all the brothers and sisters.” In this case Paul’s command or request is complete without how the greeting is to be done.

In the first century, a letter always began with the name of the writer, followed by that of the addressee, and a greeting. Thus 1Thessalonians is a letter from Paul to the church in Thessalonica. With this understanding one can interpret 1Thessalonians 5:26, “Greet all the brothers [and sisters]...” as “Greet the brothers [and sisters] for me.” Thus the phrase *en phil...mati agiō*, “with a holy kiss,” becomes a cultural issue and may or may not be translated.

1Thess 5:26 in some Ghanaian Mother-tongue translations**1. Gã****(i) *Ñmale Kroñkroñ Le* (The GaFull Bible, Bible Society of Ghana/United Bible Societies, 1908)**

Nyeñãa nyemimeɪ lef... ke nãfomɔ kroñkroñ. [Greet all the brothers and sisters with holy lip greeting].

(ii) *Åmalâ Krôâkrôn Lâ* (The Ga Full Bible, BSG, 2006)

Nyââaa nyâmimâi lâ fââ kâ naashwômô krôâkrôâ. [Greet the all brothers and sisters with a holy kiss].

2. Ewe**(i) *Biblia* (The Ewe Full Bible), BSG/UBS, 1931)**

Mitsô nugbugbô kôkôe ðuðô nôviwo katānam ñã. [Greet all the brothers and sisters with a holy kiss for me.]

(ii) *Nubabla Yeye La* (The Ewe New Testament, BSG, 1990)

Miedo gbe na nôviawo katā nyue! [Greet all the brothers and sisters very well].

(iii) *Agbenya La: Nubabla Yeye La* (The Living Word New Testament in Ewe, International Bible Society, 1988)

Mina asi nôvi siwo katā le afima la nam. [Shake all the brothers and sisters there on my behalf].

(iv) *Agbenya La* (The Living Word Full Bible in Ewe, IBS 2006)

Mido gbe na nôviawo katā kple nugbugbô kôkôe. [Greet all the brothers and sisters with a holy kiss.]

(v) *Biblia* (The Ewe Full Bible, BSG, 2010)

Miedo gbe na nôviawo katā nyue! [Greet all the brothers and sisters very well].

3. Fante

(i) **Nwoma Krônkrôn (The Fante Full Bible, BSG/UBS, 1948)**

Hom mfa mfewano krônkrôn nkyiakya enuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(ii) **Ahyemu Fofor No Mu Nwoma (The New Testament in Fante, Interconfessional Revised Edition, UBS 1982))**

Hom mfa mfewano krônkrôn nkyiakya enuanom nyina. [Greet all the brothers and sisters with a holy kiss.]

4. Akuapem-Twi

(i) **Kyerâw Kronkron (The Akuapem-Twi Full Bible, BSG 1964)**

Momfa mfewano kronkron nkyikyia anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(ii) **Apam Foforo (The Akuapem-Twi New Testament, BSG 1976)**

Momfa mfewano kronkron nkyikyia anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(iii) **Nkwa Asem (The New Testament and Psalms in Akuapem, IBS 2000)**

(iv) *Momfa mfewano kronkron nkyikyia anuanom nyinaa.* [Greet all the brothers and sisters with a holy kiss.]

(v) **Kyerâw Kronkron (The Akuapem-Twi Bible, BSG 2012)**

Momfa mfewano kronkron nkyikyia anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

5. Asante-Twi

(i) **Twerε Kronkron (The Asante-Twi Full Bible, BSG 1964)**

Momfa mfeano kronkron nkeakyea anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(ii) **Nkwa Asem (The Living Word in Asante-Twi, IBS 1996)**

Momfa mfeano kronkron nkeakyea anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(iii) **Twerε Kronkron (The Asante-Twi Full Bible, BSG 2012)**

Momfa mfeano kronkron nkyeakyea anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

(iv) **Twerε Kronkron (English-Twi New Testament, New World Publishing, 2013)**

Momfa mfeano kronkron nkyeakyea anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]

6. Dangme

(i) **Somi He ô (The New Testament in Dangme, BSG/UBS 1977)**

Nye nga nyemimεômε tsuo ke nya he fiômi klôuklôu. [Greet all the brothers and sisters with a holy kiss.]

(ii) **Wami Munyuô: Somi He ô Kâ La ame. (The Living Word New Testament and Psalms in Dangme, IBS 1997)**

Nye nga nyemimεômε tsuo ne nge lejeô ha mi. [Greet all the brothers and sisters there for me].

(iii) **Ngmami Klôuklôu ô (The Full Bible in Dangme, BSG/UBS 1999)**

Nyâ nga nyâmimâmâ tsuo ha wô kâ suômi nâ mi wa. [Greet all the brothers and sisters for us with a very strong love].

Analysis and interpretations of the Ghanaian Mother-tongue translations

All the 20 Ghanaian mother-tongue translations of the 1Thess 5:26 from the six languages under study agree that the verse is about 'greeting.' This is evident in the use of *åaa*(Gã), *nga* Dangme), *Mido gbe* (Ewe), *nkyia, nkea* (Fante, Akuapem-Twi, Asante-Twi).

There is however no consensus as to the mode of greeting. The Akan – Fante, Akuapem-Twi, Asante-Twi – translations (BSG/UBS 1948, 1964, 1976, 1982, 2004, 2010, 2012; IBS 1996, 2000; NWP, 2013) say the greeting should be done with *mfewano krônkrôn, mfeano kronkron, mfewano kronkron*, 'holy kiss.' The Gã translation (BSG/USB 1907,2006) uses *nāfomō kroñkroñ/naashwômô krôâkrôâ* 'holy kiss.' Like the Akan and Gã translations, two of the Ewe translations (BSG/UBS 1931; IBS 2006) use *nugbugbô kôkôe*, 'holy kiss' as the mode of greeting. The Dangme translation (BSG/UBS 1977) also uses *nya he fiômi klôuklôu*, meaning 'holy kiss.'

Some of the translations however use different phrases to translate how the greeting should be done. They are: the Ewe (IBS 1988), *na asi*, 'shake hand;' Ewe (BSG 1990), *nyue*, 'very well;' Dangme (1999), *kâ suômi nâ mi wa*, 'with a very strong love.' The Ewe (BSG 1990) says the greeting should be done 'very well,' without indicating the actual mode of the greeting. These versions have dodged the 'holy kiss' as a mode of greeting, perhaps because the translators see the practice as a culture foreign to Ghana and Africa. The fact that there is a disagreement on the mode of greeting in the Ghanaian mother-tongue translations of 1Thessalonians 5:26 means that, there is a problem on how it should be translated to fit into the Ghanaian culture.

What are the modes of greeting in Ghana?

In Ghana greetings are cultural practices that are very important. Among Ghanaians those who greet are friends, family and fellowship/church members. Greetings are means of welcoming a new person into a family. The mode of greeting is sometime through a word that said to lift a person's spirit up so that the person feels welcome into a conversation. But basically, greetings are between two people or more. Thus, a person cannot greet himself or herself. This means greeting is a communal activity. So if someone sees another person or a group of people and fails to greet, such a person is classified as an uncultured person. Greetings show love, respect and honour people have for others. Thus if a person greets another person with no response, it shows that they are not in good terms. Similarly if two people who are not in good terms begin to greet each other, it means their squabble is over. A Dangme adage says that *ngami kpataã pe*, meaning greetings settles squabbles!

All the ethnic groups in Ghana have many greetings and responses, depending on the time or occasion. Greetings are said with the mouth, but not demonstrated with kissing. In some cultures, especially among the Akans, greeting a group of people, for example at a funeral is done with hand shake. When someone wants to greet a group of people with a hand shake, the person starts shaking the people from the right to the left. It is an insult to use the left hand to shake a person; or to even greet a group from the left to the right (Prempeh, 2005; Bodomo, Marfo & Hall-Lew, 2010).

Now, if greeting a person with one's left hand is an insult in a Ghanaian/African society, how much greeting someone with a 'kiss,' more so in a religious setting like the church? As indicated above, Ghanaians use the mouth to pronounce the words of the greetings such as *me ma woakyâ* 'I wish morning'(Asante-Twi, Akuapem-Twi and Fante); *hôâdi* 'take the morning' (Ewe); *o je koo* 'you are up again!' (Gã); *i nga mo*, 'I greet you' (Dangme) but it is not part of the Ghanaian culture to greet people by kissing.

Constable says that it was common in Paul's culture as in many Eastern cultures today, to greet friends with a kiss on the cheek. The men greeted other men this way, and the women did the same with other women. Such a kiss communicated personal affection, not

romantic love. Thus by urging this practice Paul was encouraging an outward physical expression of Christian love in a form that was culturally acceptable in his day. To prevent the danger of passionate or fleshly kiss, Paul qualified the kiss by saying that it must be “holy” (Walvoord & Zuck, 2000).

The fact that the verb “kiss” is qualified by “holy” an adjective, does not in any way make the act “holy.” In traditional Ghanaian communities, kissing is not a holy practice. It is profane. Those who practice it do so privately; it is not considered as a good cultural practice because it incites sex.

The Ghanaian TV stations show a lot of *telenovelas* – profane films - with titles such as: *Love Spell; Love her to Death; In the name of Love; The Bold and beautiful*. Most indigenous Ghanaians have reservations concerning the widespread telecast of these films on both national and private owned television stations because a greater chunk of the ideas communicated in them are inconsistent with Ghanaian/African culture. The kissing scenes in these films promote promiscuity, especially among young people; and they seem to endorse sex before marriage. What makes the situation even more alarming is that those who register their displeasure of the kissing scenes in the films have no channel to voice out their misgivings. One wonders whether the Cinematography Act 1961 (Act 76), amended by the National Redemption Council Decree (NRCDC) 1975 is still in force in Ghana.

Majority of the Ghanaian mother-tongue translations of the Bible in 1Thess 5:26 and its parallels, seem to be advocating that there is nothing wrong with the translations which say that Christians should “greet one another with a holy kiss,” when they meet. Those who translated and those who interpret the verse with such an understanding have missed the point Paul makes in his conclusion part of 1Thess. The message of 1Thess 5:26 is that, readers of the letter should not only greet themselves but also extend Paul’s greeting to all the Christian brothers and sisters.

In that sense, the *Agbenya La: Nubabla Yeye La* (The Living Word New Testament in Ewe, IBS 1988), and the *Wami Munyuo: Somi He ô Kâ La ame*. (The Living Word New Testament and Psalms in Dangme, IBS 1997) are not only right but they are also culturally appropriate. They read: *Mina asi nôvi siwo katā le afima la nam*. [Shake all the brothers and sisters there on my behalf]. *Nyε nga nyemimeôme tsuo ne nge lejeô ha mi*. [Greet all the brothers and sisters there for me]. Both translations convey the greetings of Paul to the readers, which is consistent with the message the writer wants to convey to his readers. While the Ewe translation is clear on the mode of greeting by using *na asi*, shake hand, the Dangme translation uses *nga*, greet, which can be either hand shake or expressing the greeting by speech. Both modes are Ghanaian cultural ways of greeting.

The Living Word (Bible) and its mother-tongue versions are paraphrases which biblical scholars look down upon, but to me they are significant in the sense that we have a lot we can learn from when it comes to biblical interpretation for ordinary readers of the Bible. An example is what we have just seen. What the respected translations could not do, they have done. Of course there are *LivingWord (Bible)* translations in the other Ghanaian mother-tongues which do not interpret the verse culturally. They are:

- (i) **Nkwa Asem (The Living Word in Asante-Twi, IBS 1996)**
Momfa mfeano kronkron nkeakyea anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]
- (ii) **Nkwa Asem (The New Testament and Psalms in Akuapem, IBS 2000)**
Momfa mfewano kronkron nkyikyia anuanom nyinaa. [Greet all the brothers and sisters with a holy kiss.]
- (iii) **Agbenya La (The Living Word Full Bible in Ewe, IBS 2006)**
Mido gbe na nôviawo katā kple nugbugbô kôkôe. [Greet all the brothers and sisters with a holy kiss.]

Did the translators paraphrased the verse or copied directly from the older respected translations? Is the *Living Word (Bible)* a complete paraphrase or a mixture of translations? Which of the Bible translation philosophies did the Ghanaian translators used – formal equivalence or dynamic equivalence? Can the two approaches be used together in one translation?

Recommendation

From the discussion above, the study recommends that:

- (i) 1Thessalonians 5:26 in the Ghanaian mother-tongue Bibles be retranslated to include a mode of greeting such as “hand shake” which is culturally acceptable and appropriate in the Ghanaian context.
- (ii) Bible translators and interpreters should endeavour to study the culture of the people they translate the Bible for. This will help them translate biblical texts which have cultural connotations appropriately.

Conclusion

The study has contended that the translation of 1Thessalonians 5:26 in majority of the Ghanaian mother-tongue translations of the Bible is culturally inappropriate and should be retranslated because the translator did not consider the cultural gap between the original leaders of the letter, and the Ghanaian mother tongue Bible reading communities, where greeting is not expressed by kissing but generally by handshake. The study recommends that Bible translators should study the culture and world view of the communities they translate for, taking note of cultural differences between the original readers and current indigenous reading communities. This will enhance communication of the biblical message in a better way to people who have cultural assumptions different from those of the Bible.

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THE INFLUENCE OF BEN OSAWE'S DRAUGHTMANSHIP ON HIS SCULPTURES

Franklyn Chu Egwali

Abstract

Most often people consider Ben Osawe as a genius in three dimensional art renditions, this is a welcome development. But to only think so amounts to short sightedness as the cradle of authorial identity of an artist lies in the intricate lines of expression the way words determine the dexterity of a wordsmith. It is very important to uphold that Osawe's drawings powerfully gave strength to his sculptures. In fact his drawings radically influenced and redefined his sculptures. They have left positive legacies behind for upcoming artists. This seminar paper therefore seeks to identify the identity of Osawe's art-forms through his draughtsmanship (drawings). In effect how his drawings positively transformed his sculptures from Camberwell School of art in London to the twilight of his practice is what this paper seeks to establish.

Keywords: Ben Osawe's Draughtmanship, Sculptures

Introduction

Authorial identity as defined by Faucault (1969) is the stylistic construction and organisation of each artistic creation. This identity influences the nature, contour, texture and structure of each particular art form. It is this uniqueness and definiteness that give birth to the artistic expressiveness of the artist. Briefly put therefore, the style of expression by any artist is his or her authorial identity. Furthermore, Moxey (1999) explained that authorial identity can be observed in the various genre of artistic creation – dance, music, theatre, furniture and furnishing, literature, the visual arts, etc.

One of the most profound aspects of the visual arts is drawing. It seeks to first catch the essence of a particular concept in its raw stage and state. It concretely translates an ordinary idea into a more tangible and workable form, this is the power of drawing. Added to this is the resourcefulness and correctness that is brought to bear in the understanding of each form. That is why the creative drawing of any form, using light and shade to show the various perspectives of the drawing indeed shows high class depth, fluidity, harmony and unique authorial identity.

As Hugh Honour and John Fleming (1998) in collaboration with Shearer (2001) believed, like other genre of art, drawing could fascinate or stimulate an action, positively or negatively. It could profoundly drum a message of hope or defeat, success or failure, depending on which divide the observers or viewers find themselves. Indeed, Osawe's great works of art first came out in drawings before they were translated and interpreted into a more tangible and concrete three dimensional forms, which by extension became his authorial identity. His art comes in various configurative styles among which are drawings that he did with great relish and calm adroitness. In fact, the unique manipulation of his pencil drawings, the clarity of each character, and the flexible connecting lines of each pencil mark shows his authorial identity.

Lucie-Smith (2001) and William (2001) while appraising the drawings of Albert Parley noted that as a result of Parley's power of expression, when it comes to figurative drawings, it invariably rubs off on his other genre of art, which includes sculptures and paintings. So it was with Osawe; his drawings powerfully influenced his bronze, wood, metal and fibreglass sculptures. As a necessary requirement, his commissioned metal sculptures were first drawn on paper and shown to his patrons (clients), and after approval, they are moulded or sculpted into a three-dimensional sculpture, wood, metal, fibreglass, cement, or bronze like the one at the foyer of the High Court, Sapele road, Benin City. And the metal sculpture meticulously executed at the Central Bank, Jos. As he stated a year before his death, in an interview with this writer, all works being executed must be sketched before being transferred to a more definite form which normally is in two or three dimensional mode.

Hopkins (2001) and Christian (2003) supported this view when they maintained that drawing could be in either a sketch or well detailed form. The essential thing is to first capture the essence of the subject being drawn. Ben Osawe is aware of all these. That is why he stated in an interview that, as a rule, he must always arm himself with paper and pencil for drawing before developing it into a more concrete three dimensional concept. Bowen (2002) and Dieter (2002) affirm that sketches are usually drawn to be developed subsequently into an authorial identity of the artist; that is why great masters of old practiced it. Michelangelo first sketched David before developing it to a piece of sculpture that later became a masterpiece. Osawe stated that sketches and drawings are extremely pivotal and essential in design concept as they have enabled him to first conceptualize the work itself.

However, to further improve his authorial drawings and skills, Osawe learnt to draw quick sketches, in two or three minute's durations. In his words in an interview:

Apart from drawing brief and many sketches, I also learnt to draw with pen and ink which would be difficult to erase from paper. This way, I had already made up my mind that the object which is about to be drawn has to come out successful after drawing, since there would be not room for erasing. This day, I continued to improve in content and style. My drawing continued to fascinate my audience especially my white audience that constantly patronize me.

How He Learnt Drawing at Camberwell

At several fora, Ben Osawe has been referred to as a sculptor, especially as it relates to wood carving and bronze casting. And so, when in 1956 he decided to travel to England to improve his artistic horizon and visibility, it was also to improve his carving and casting of his wood and bronze sculptures. However, when he got to Camberwell School of Art in 1956, to his surprise, he was asked to enrol in the life drawing class, since it was among the core courses of the department. And as an artist, he must be above average in drawing if he must succeed in other areas and proceed to major in sculpture, his first love. This marked the beginning of Ben Osawe's devoting most of his time to drawing, especially life drawing. In the words of Osawe:

My drawings took a leap for the better when I eventually returned from England in 1965. Before I left, I could not draw either with pencil or pen, I just carved and did my bronze casting. But when I returned, before embarking on any carving or concept, it had to be conceptualized first on paper, in the form of drawing or sketching before it was realized or executed in two or three dimensional form to become my authorial identity. In my wood sculptures for example, as I carved along, I still draw with charcoal, chalk or 5B lead pencil on the wood as new concepts emerge or perhaps flash into my mind. This process goes on until I eventually complete the

composition. Today, I could sell my drawing which comes usually in charcoal, crayon or pen on ink because these drawings have my identity on them.

Selected Pencil Drawings of Ben Osawe

The first drawing to be appraised here is the one Osawe called “[Nature of Man” (see figure 1a); it is a pencil drawing, which was sketched first in 1969 and later reproduced in bronze in 1970. It is an abstract figure of a man without a clearly defined hands, but possess the lower part of the body to the kneel in a stylized form. In this 1969 pencil drawing, Osawe defined the forms by using the light and shade method to perhaps show the areas of emphasis, areas that will be texturized when reproduced in bronze.

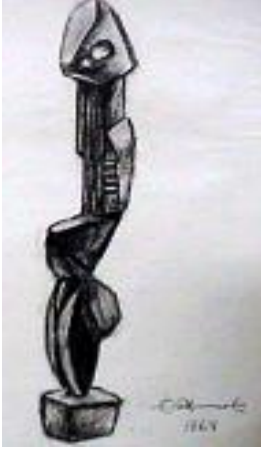


Figure 1a, *Nature of Man*, Pencil on Paper, 1969 - 70, Artist Collection



Figure 1b, *Bronze Copy of Nature of Man*, 1m ht, Bronze, 1970, Nymbus Gallery

Furthermore, he went as far as defining the head and the area suggesting the socket of the eyeballs. Rather dramatically he accentuated the various textures and subtle contours that became the hallmark of the art-form. As he drew in pencil, he visualised and resolved challenges of proportionality and movement of the sculpture as we can observe in figure 2 of the same art-form in bronze. As noticed in the pencil drawing, the directional movement of the head, the stomach and buttocks where clearly resolved, so that when reproduced in bronze it became perfected.

Not to be overlooked are also the various pencil lines that came together to define this drawing which indeed is Osawe’s authorial identity. An identity that is striking and expressive.

As observed by Obasuyi and Williams in Osawe’s drawings, the lines are not stiff, or stringent. Rather, in their words, “Osawe’s drawings are graceful, pliable, gentle and firm”. Corroborating this assertion, Ononeme, in an interview in his office in Benin, also averred that in Osawe’s drawings, we have an artist, answering the engaging questions of naturalism and stylization, especially as it concerns the abstract drawings. We can appreciate this in figure 2a below.

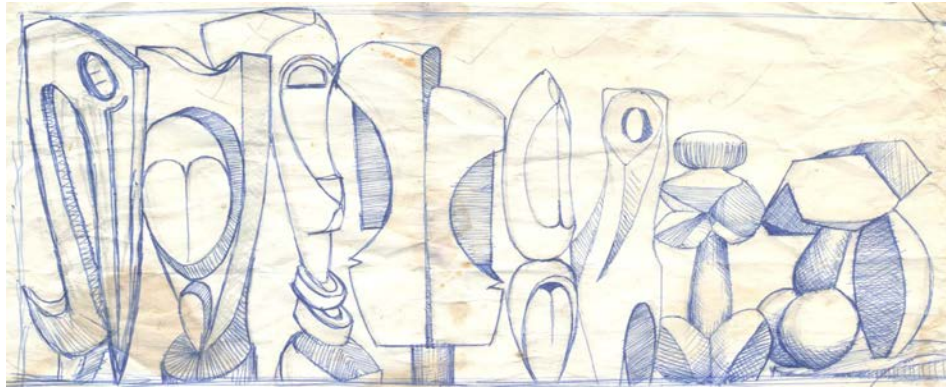


Figure 2a, *Clusters of Drawings. Pen on Paper. Undated. Artist Collection*



Figure 2b, *Libido, 95cm Ht, Fibre Glass, 1983 Artist's Collection*

In figure 2a above, we observe clusters of 8 drawings executed with pen on paper. As we encounter this undated composition, we enjoy the dexterity and forcefulness that was brought to bare in this drawing. Despite the obvious fact that they were made with pen, we nonetheless enjoy Osawe's resourcefulness in showing depth, light and shade and textures. At the end, he again demonstrated the three dimensionality of sculpture in this composition on paper.

For instance the last drawing in this cluster (see figure 2b) was reproduced in fibres glass in 1983. It is called "libido". We observe in stylised form procreation between a male and a female reproductive organ. At the end it demonstrated Osawe's authorial identity, an identity which started from his draughtsmanship.

In this drawing and like others of Osawe, as noted by Ogene, one appreciates the projection and recession of form, firm and flexible lines, all seeking for attention in the composition. These sequences give the drawing the sting and punch urgently required for a successful composition. As posited by Gardener (1995) and Kosetnevich (2006), it is not only the effect of line direction that the artist makes use of, but also the relationships that he sets up among the various lines. As observed, it is not only one kind of line that is used in a design or sketch, more likely, two or more also interplay, creating various degrees of authorial harmony and contrast; like the themes in a musical composition.

As can also be noticed in the drawings, Osawe cleverly weaves various shades of lines to give an eloquent testimony of his authorial draughtsmanship. We appreciate his knack for proportion, balance, content and context.

Legacies of Osawe's Draughtsmanship on His Pieces of Artforms

As a result of the overriding importance of drawings in visual art, Osawe seriously and vigorously practiced draughtsmanship/drawing as part of his artistic career. Therefore as he relentlessly practiced his drawings, it overtly influenced his sculptural expressions and directly left his legacy behind. These legacies which finally became his authorial identity include:

Structurally Defined Sculptures

Before Osawe embarked on the production of any piece of sculpture the idea must first be drawn on paper. This is to solve directly the problem of structure in the sculpture. The direction the sculpture will take is seriously addressed by Osawe in the various sketches in makes on paper. This overtly has to do with the natural couture of the visual expression. At the end, when it was finally realized in either two or three dimensions, the challenge of sculpturally deformed sculptures was resolved and solved.

Movement in Sculpture

One of the factors that trigger either radical or mild expression in sculpture is movement. It is movement in sculpture that makes an art form expressive and fascinating. This area of sculpture is resolved by Osawe in his drawings before starting the real sculpture. The directional movement of the various parts of the sculpture (for instance the hands, legs, head and torso) that will result in an art form that is creatively expressive is first drawn on paper. He later goes through the drawings the second and third time before he finally embarks on modelling with clay, wood or wax.

Motifs and Patterns

Most of the issues associated with the application of motifs and patterns are resolved in an extensive way in Osawe's drawings. These drawings took into cognisance the overall nature of the art work; they also show rather pointedly, the type, size and structure of the pattern or motif. Each art form possesses its definite and unique shape and gestalt. Osawe normally resolved the particular design pattern to be given to an art form first with pen, pencil on paper before it is finally realized. While on paper, they are in two dimension and later they are transformed into clay or wax form.

Areas Likely To Show Weakness of Concept

Osawe in an interview in Benin told this writer that he normally endeavoured to resolve areas likely to show weakness of design in the overall construction in his drawings. After sketching, which normally showed the frontal and back view of the object, he went back to the drawing board to critically study the drawings again and again. After a series of amendments and corrections, they are finally translated/transformed in either clay or pure metal sheet which is the end product.

Texture and Form Relationship

Before the actual construction of any concept, again, Osawe went to the drawing board to first sketch it on paper; texture of the form which could appear in various shapes and forms are seriously resolved by him on the sketch. The type of texture each section of the sculpture will take is equally addressed acutely. All these invariably form the bedrock of his authorial identity.

Planes and Form Categorization

Another legacy Osawe resolved in his draughtsmanship was the articulation of planes. Most times, in his visual expressions, we encounter and appreciate the resolving and dissolving of forms into one another in planes. These planes are first drawn on paper taken into cognizance the shape and movement of each plane. After this process, Osawe went into clay modelling or wood carving. After the sketches on paper are completed creatively, these planes give birth to Osawe's authorial identity. Today wherever and whenever Osawe's sculptures are exhibited, they become easily recognizable as a result of these aforementioned legacies. Osawe being able to dynamically address these factors in his drawings, creatively became his authorial identity, an identity that has continuously influenced budding artists.

Conclusion

Benson Nosakhare Gabriel Osawe (popularly called Ben Osawe), was born in 1932. He practised his profession for more than fifty years before he died on the 27th of June, 2007. During all these years, the artist skilfully and aptly made use of sensitive lines. These creative and imaginative authorial lines give great insights into what the sculptural forms expose. His visual expressions found succour in artistic professionalism that was emblazoned in life drawings and sketches. These imaginative drawings lucidly remind one of Henri Matisse's drawing of Seated Figure seen from the back (1940). Here in the drawing, like that of Osawe, one experiences expressiveness, objectivity, redefinition of form, western stylistic formalism, all reinvigorated in one visual construct. Osawe who schooled in Camberwell School of Art, England, endeavoured to capture pointedly all the principles of design, which according to Russell (2005) and Caroline (2003), also include such principles as composition, unity, rhythm, balance and proportion.

From observation and in my opinion, one can categorise Osawe's authorial drawings as belonging to the class of such notable artists as Henri Matisse (1869 – 1954), Alberto Giacometti (1901 – 1966), Constantine Brancusi (1876 – 1957), Ben Enwonwu (1921-1981), Isiaka Osunde (1936 till date) and Camille Pissaro (1830 – 1903). One rope that runs through the works of these artists is their intrinsic ability to breathe life into their two dimensional drawings. They make their drawings come alive thereby making them appear vibrant, potent, imaginative and in the process decisively create their authorial identity.

Osawe's authorial drawings possess an intellectualist approach as he came back from Britain to put into action what he assimilated from the western perceptual art. This is why when his art is viewed from the perspective of aesthetics, it assumes more meaning and authorial identity. In appreciating the art of Ben Osawe (which also includes his drawings), Egonwa (2005) asserted that:

Osawe is one of Nigerian foremost artists who represent the breed of modernists, whose college training has helped in the rationalization of the written oral rules of design and form in traditional art for conscious application to modern art. In his art, all the principles in traditional aesthetics become operative even when the theme is modern.

Osawe's ideological stance of putting his best in all his visual pronouncements has created works possessing maturity and thoughtfulness which have also resulted in drawings emphasizing his authorial identity. In his drawings, we enjoy his well-sophisticated planes, savoured in visual language of authorial draughtsmanship, so veritable and undeviating that it reminds one of the Chinese concepts of expression. This states that:

Expression is the result of the action of the mind travelling indirectly through the brush or pencil. So direct and spontaneous is the connection between the concept in the artists mind and his hand that a drawing reveals more of his personality than a so-called finished work.

Here are some of his drawings:



Fig. 3, *Sleeping Model*, Pencil on Paper, 1969, Artist Collection



Fig. 4, *Mr. Aigbe*, Pencil on Paper, 1985, Artist Collection



Fig. 5, *Head of Alice*, Crayon on Paper, 1963, Artist Collection



Fig. 6, *Standing Model - Elizabeth*, Pencil on Paper, 1963, Artist Collection



Fig. 7, *Elizabeth*, Pencil on Paper, 1963, Artist Collection



Fig. 8, *Twisted Horn Mask*, Pencil on Paper, 1991, Artist Collection

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- Osawe B. in his house/workshop, No. 6, Ekhaton Street, Upper Siluko, Ogida Quarters, Benin City, on his outstanding sketches and drawings, on the 5th, 7th, 11th, 13th – 19th of July 2005.

PLAYFUL IN PRAYER AND SERIOUS IN SEX: MODERNIST AND POSTMODERNIST TENDENCIES IN JOB'S *HALLELUJAH*

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Abstract

This paper follows the poetry of Zambian singer JOB. It explores the modernist and postmodernist elements in the work. The work opens with an examination of the statement “Forgive me father for I have sinned” and how JOB has used it in his poem. The work further studies modernist and postmodernist literary elements before considering how they have been used in JOB’s ‘Hallelujah’. It is learnt that the elements in JOB’s poem include deception, failed technology, and pastiche. The paper finally concludes that the poets presentation of his work in this manner is in relation with his desire to be different from the other singers of his age.

Keywords: Song, Poetry, Modernism and Postmodernism

Introduction

“Forgive me father for I have sinned.” This is common in confession rooms. It is a special confession session which is usually opened by the priests when he makes the sign of the cross. The confessor will also make the sign of the cross and say the above words, (http://www.saintaquinas.com/howto_confess.html). Here, it is possible to say that this is a very important session as it brings man closer to God since it is through priests that the communication between man and God takes place. It is important to remember the seriousness of this session and the words used within the ritual. The seriousness of prayer, especially for Christians can be seen from Paul’s command to the Thessalonians in his letter (I Thessalonians 5:17) when he urges them to ‘pray without ceasing’. Some have pointed out that the seriousness of prayer can be drawn from the fact that some people even go on fasting, a period of not eating, for spiritual purposes (<http://www.jesuschristismygod.com/in-fortydays.html>). From the above knowledge, it is understood that the phrase that opens this paper, ‘Forgive me father for I have sinned’ is taken very seriously as it shows man’s getting closer to God.

When one listens to Zambian ragamuffin, Job’s ‘Halleluja’, what comes to mind on the first instance is the seriousness of the song. This is because the song opens with a clip from a sermon and the confession words explored above. The song goes into exposing what members of the church do ‘in the dark’. The artist uses modernist and postmodernist elements in the song to express the thematic concerns as can be observed from his serious attack on religion and use of other modernist and postmodernist elements.

This paper aims at studying the modernist and postmodernist tendencies in the song ‘Hallelujah’ by Job, a young Zambian song poet. The work, before discussing modernism and postmodernism, gives a brief background of the artist and later proceeds to explore the modernist and postmodernist elements in the song having discussed modernism and postmodernism as literary elements.

Modernism and postmodernism

Modernism and modernism as well is not purely a literary concept. It is derived from developments in culture which could well be said to be from life, in this case. Abrams (1999; 167) says that:

the specific features signified by “modernism” (or by the adjective modernist) vary with the user, but many critics agree that it involves a deliberate and radical break with some of the traditional bases not only of western art, but of Western culture in general.

The tenets of modernist literature are almost the same as those of modernism in general though they focus chiefly on literature. Lorcher (2012) says that the tenets of modernism include ‘a strong and intentional break with tradition usually through a strong reaction against established religious, political, and social views, belief that the world is created in the act of perceiving it; that is, the world is what we say it is, a belief that there is no such thing as absolute truth as all things are relative, the lack of connection with history or institutions.’ Abrams (1999; 167) says that the major feature of modernism is the phenomenon called the avant-garde, a military metaphor meaning ‘advance guard. This is a small, self-conscious group of artists and authors that have deliberately detached themselves from tradition in trying to make a new creation. This implies their deliberately violating the general literary conventions. In line with this, what is most outstanding is their intention and ability to shock the conventional reader and challenge the norms of the bourgeois culture.

Postmodernism, on the other hand has, at some point been referred to as another version of modernism, (Davis and Schleifer, 1989; 15). This is because it comes in shortly after the high modernism which is chiefly in the 1920s. It is said to be a culture of fragmentary sensations, eclectic nostalgia, disposable simulacra, and promiscuous superficiality, in which the traditionally valued qualities of depth, coherence, meaning, originality, and authenticity are evacuated or dissolved amid the random swirl of empty signals, (Baldick, 2009). As modernism seems to be a reaction against the portrayal of a socially ordered society, postmodernism may be ‘seen as a continuation of modernism’s alienated mood and disorienting techniques and at the same time as an abandonment of its determined quest for artistic coherence in a fragmented world: in very crude terms, where a modernist artist or writer would try to wrest a meaning from the world through myth, symbol, or formal complexity. The postmodernist greets the absurd or meaningless confusion of contemporary existence with a certain numbed or flippant indifference, favouring self-consciously ‘depthless’ works of fabulation, pastiche, bricolage, or aleatory disconnection.’ It is these features that differentiate modernism from postmodernism.

Modernist and postmodernist literary elements in J.O.B.’S *Halleluja*

From the title of the poem, one is made to believe that this is a Christian spiritual poem meant either to uplift (praise) God or to worship Him. Of course not very surprising indeed, the poem explores the church though, unexpectedly, related to sexual experiences. The poet tries to show illicit sexual relations both within and outside the church.

The opening of the poem, just like the title, is also deceiving as it is an extract from a sermon. Even though the poet refused to disclose in an interview with the author of this paper, other sources have speculated that this is from sermon by renowned Zambian Bishop Joe Imakando. Others are suspecting that it could be a Seventh Day Adventist pastor during a church service in a sermon where he was criticising sexual immorality in the church. Whether these speculation are accurate or not (of course, not both can be accurate), the idea is that the use of pastiche, which will be discussed later under when analysing postmodernist elements independently, has added to one’s interpretation, on the first encounter with the text, that this is a Christian spiritual poem. The deception is a very important element of discussion in this

instance because the general expectation is that the poem will continue as a spiritual one as it has opened.

The deception is further exasperated by the earlier discussed confession words. It is always expected that people will say 'forgive me father for I have sinned'. The poet, cleverly, through the same element of pastiche has included 'again'. Intelligently, the again comes in after about two seconds which is not typically of normal speech. Of course, it shows the element of a rundown society as the confession. The poet prepares his audience, with the use of again, for a rotten social exposure. The social degradation is what contributed to the modernist movement around the late 19th century and early 20th century. The rotten elements of the society in the case of Job's poem is born from sexual immorality. The opening sermonic extract has already indicated that the church itself is full of devil worshipers. This is a place where one generally expects utmost spiritual purity. If the church is the abode of the devil, as it has been shown, it follows that the rest of society is worse. Here, it can be concluded that the poet is in utter despair as he watches his society crumbling down.

One also notices that the poet has for once tried to focus on pointing out the promiscuity emanating from men. While the society focuses on bringing down women and presenting them as a lower ranked sex and hence inferior to men, taking the blame for almost everything that men do, as can be seen in Shakespeare's case in *Hamlet*, Job talks about a brother in the church who is in the habit of sleeping with married women. He goes further to condemn a choirmaster who tucks in a t-shirt and leading the choir. He is later shown while still leading the choir staring at beautiful girls in the church. The choir master is further said to have eaten groundnuts that have pushed his sexual desire further and he is now pressurising the children in society asking for sexual relations.

The above should not be taken to mean that women are left without ridicule. Job has said girls are making noise in church as though they have been beaten. He further says that a woman, a Sister Jane, whose name has changed to 'Jane never just sleeps' implying that she cannot go to sleep without at least a sexual act. He challenges her to say where she was, arguing that some people make money while they are lying down being soldered. Soldering has been used by the poet to refer to the soldering iron used to solder metals. The poet is metaphorically looking at the shape of the soldering iron in relation to the penis. He therefore implies that Jane is a prostitute despite the fact that she is a serious church member.

Job is also frustrated with modern technology. He seems unhappy with the technology that he believes Africans have misused. A character in the poem is seen using a cell phone at a funeral. During funerals in Africa, and Zambia in particular, people are expected to be humble. The technology referred to here is also seen at the coming onto the scene of modernism. With modernism, the focus shifts from the human being to the tool for capital accumulation. The human being is either replaced by machines or will operate as one.

The outstanding element of postmodernism in use is that of pastiche. This one is evident in the sermonic opening, the immediate next text of confession, the refrain from a New Apostolic church hymn, and the closing which sounds like the continuation of the sermon that opens the poem. Even though it is difficult to point out the sources of the material used for pastiche, the poet has managed to use the material in such a way that it marries well with the rest of the thematic concerns of the text. The irony of a seemingly spiritual poem that uncovers the rot of society is typical of modernist literature that aims at exploring the reality of society from all angles.

Finally, the poet's claim that he wants to be different from others cannot be questioned since it has already been shown that he has used the very elements of the proponents of making it new. This contributes to making people believe that this is a modernist and postmodernist work.

These are among the other elements in the poem that contribute to making it a modernist work.

Conclusion

The poem that has been discussed above has elements that the poets themselves may not see as modernist. Yet, the poet's desire to address serious issues in life makes the work employ these elements. While the work is expected to focus on prayer, a very serious element, this is challenged by the poet's mocking prayer by shifting the focus to sex. The seriousness which with the audience approaches the work on believing that it is spiritual is shifted to sexual revelations while prayer itself is mocked into mere pretence. The work qualifies in challenging the status quo as it delves into an area that people would want to regard with spiritual fear and respect.

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THE DEVELOPMENT OF ICT-BASED ASSESSMENT DATABASE WITH REINFORCEMENT ON ACCOUNTING SUBJECT AT SENIOR HIGH SCHOOL

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Abstract

This study aims to develop ICT-based assessment database by using Dokeos software. The development model in the study refers to Borg and Gall method. The procedure starts from the needs analysis, database development assessment, assessment database feasibility test, first database revision, limited field test, the second revision of the database and the final product. The research results is the development of assessment with the specifications database containing personal data of students, have a variety of questions (multiple choice, true/false, and essay length), provide reinforcement and display the report in the form of scores obtained by the students, the entire student scores, average result and needed time diagrams by the students. This ICT -based assessment database with reinforcement has website address at www.belajarasik.asia. The database has a valid assessment of 91.67 % from the material validator, in terms of ICT is valid for 91 % and according to the limited field test is valid for 87.48 %. The suggestions for further research is that the assessment database for the existing hosting capacity should be upgraded in order to accommodate more materials, protect on other websites when students are accessing the website for this ICT-based assessment database with reinforcement (www.belajarasik.asia), and if this database is used simultaneously, then each laptop and connection used have the same specifications.

Keywords: Assessment, Assessment Database, ICT, Reinforcement, Dokeos

INTRODUCTION

At each learning activity, learning outcomes assessment is needed. Learning outcomes assessment is needed to determine how good students master the learning material that has been given. According to Hayat (2004:110), the purpose of assessment learning outcomes by teachers should be directed to the following four points. Keeping track which is to discover that the students learning process is in accordance with the plan, checking – up in order to check if there is any disadvantages experienced by students in the learning process, finding – out in which to search and find things that cause weakness and errors in the learning process, and a summing - up to infer whether students have achieved competency set or not.

In order to achieve the purpose of the assessment, teachers must use a variety of assessment methods and techniques varied according to the characteristics of the learning objectives and learning experiences which have been done. Regulation of the Minister of National Education No. 20 of 2007, the assessment of learning outcomes by educators should use a variety of assessment techniques such as tests, observations, individual or group assignments, and other forms of competence in accordance with the characteristics and level of development of the students. . Assessment techniques was done in the form of tests, observations, individual or group assignments, and other forms used by the teacher is not going to take the given matterial. The given question by the teachers has a variety of types. It

can be in the form of multiple choices, true / false, and essay (Lester, et al. 2011:3). Yet, these types of problems have various advantages and disadvantages. Multiple choice is the type of material that is widely used because it has a wide range of advantages. The advantages of multiple-choice is all the chapters can be represented in matter arranged, the correction can be done correctly, quickly and accurately. Type of multiple choice questions also can reduce the element of subjectivity and answer sheets needed a bit so practical and economical as well as the type of question true / false. In contrast, essay is chosen because students can express their thoughts in writing with their own minds. However, the essay has limitations that not all chapters / sub - chapters can be represented. This is because in answering essay takes a long time, especially to correct answer so that teachers have the obligation to make an assessment should take special time to correct it. Besides, sloppy writing and require a lot of answer sheet can be the limitation on the type of essay. One of the various types of questions that an assessment instrument can be observed that all types of matter which has a strong character.

Along with the development of information communication technology (ICT) that is characterized by the development of the internet supports computerized assessment process carried out by the teacher. ICT supports the overall assessment process even in the input and process assessment instruments such as the type of questions including multiple choice, true false and essay. The advantage offered by ICT is time efficiency, practicality, and ease in a matter of correction and assessment process. In addition, the benefits of ICT is shown in term of making and flipping the questions, randomize questions and provide assessment services only with the help of a server from one place. The existence of randomization matter of making students does the problems more honestly. Assessment with reinforcement is very useful for students. A teacher can provide an assessment of the reinforcement by using ICT. ICT is used so that the assessment is more practical and efficient reinforcement. ICT is combined with the use of the software. Nowadays, there are many computer software packages that can help a person to make an application program. This study uses a package of programs called Dokeos. *Dokeos is an open source corporate learning suite with four components; author to build elearning content LMS to handle interaction with learners, shop to sell a course catalog, evaluate for assessment and certification* (Kumar, 2012: 45). Dokeos is the right software to support ICT -based assessment database with reinforcement. Based on the background described above, the title chosen for this thesis is "the development of ICT-based assessment database with reinforcement on accounting subject at senior high school".

THEORY OF THE STUDY

Student progress is reflected in the form of assessments by the teacher. Rating is given by teachers on students' learning outcomes continuously that are maintained to monitor the process, progress, and improvement of the results. In particular, the assessment is done by teachers used to assess student competency achievement, compiling a progress report learning outcomes, and improve the evaluation process essentially for the learning process. Basically, assessment has many functions such as: (1) intensive to enhance learning; (2) as feedback for students; (3) as a feedback to teachers; (4) to provide information to parents and students (5) for information on selection requirements (Mahmud, 1989:252). In order that assessment can work well, in doing evaluation should be fit with the basic principles. Basic principles have been elaborated in the appendix of the Minister of National Education No. 20 Year 2007 (June 11, 2007) on the standard education assessment. When a teacher has applied the existing principles of assessment, teachers should be able to decide what kind of assessment techniques will be used. Classification technique can be in the form of test, observation, individual and group assignments, and other forms used by the teacher. From the classification of assessment techniques available, the teacher must determine the appropriate

assessment technique for a particular subject. Assessment technique is capable of producing an output of assessment from a variety of assessment instruments.

Information Communication of Technology (ICT)

Information Communication of Technology (ICT) is any hardware or software, or even any activity that is related to the use of computers for the generation, storage, transmission and retrieval of information in an electronic format (Mason, R. & Rennie, Frank. 2006: 60). ICT is a technology used to manipulate the data, including processing, obtaining, compiling, storing, manipulating the data in different ways to produce quality information, the information that is relevant, accurate and timely. ICT -based assessment Database should be adjusted to the characteristics of ICT. Characteristic that is expected by UNESCO (2002), as compiled by Ariwijanarko (2011:17-21) the main purpose of integrating ICT in learning are: (a) developing knowledge-based society habits, such as the ability to solve problems, the ability to communicate, ability to find out, acquire and process information and communicate it to others; (b) develop the skills to use ICT (ICT literacy); and (c) improve the effectiveness and efficiency of the learning process. ICT will be more efficient and effective in the students assessment.

Reinforcement

In general, a reward has a positive influence in their daily lives which is to induce a person in improving behavior and increasing effort. Mulyasa (2009:77) states that reinforcement is a response to behaviors that can increase the likelihood of recurrence of the previous behavior. Reinforcement is also interpreted as a positive response to a specific behavior from students that allow such behavior from happening in the future, (Alma, 2009:30). Winkle (2005:63) explains that the reinforcement or reinforcement holds a key role such as a result or consequence of a form of behavior that increases the frequency of behavior in the future. In above understanding, it can be seen that the role of the teacher is very great in motivating students to perform behaviors that have positive response by teachers to be repeated. Reinforcement provided by the teacher is the feedback in the form of reward, attention, and the chance to have further achievement.

As said by Skinner (in Mahmud and Mudjiono, 1994:48), reinforcement is the most important element in the learning process. Possible actions appear to reinforce to the child's behavior. In some sense, it can be concluded that reinforcement is any response as a result of the modification of behavior committed by teachers on their students intended to provide feedback or feedback to students on their conduct. Reinforcement in this study is intended to stimulate the students to do the positive return. In addition, the reinforcement in question in this study is providing direct feedback to the students in the fulfillment of duties, training and final examination. The presence of reinforcement in each of the answers students can make students motivated to respond confidently in every question given by the teacher.

Dokeos

According Kastelic and Loncaric (2007:180) Dokeos is an open source for e-learning and course management web application translated in 34 languages. The multilingual support is very useful. It enables user to adapt interface regarding the course subject. Dokeos can be found on the official website at <http://www.dokeos.com/>. Dokeos is an application that uses PHP and MySQL. This software is released under the GNU GPL and OSI certified, so it can be used as a management system for education. Dokeos is written in PHP language and uses a MySQL database. Dokeos is a learning management system which has the best LMS among other types. In Dokeos, the length and type of long essay and the student progress graphic evaluation results is available, unlike the case with other LMS. Stenal, MH & Godsk,

Mikkel (2012:210) states that our survey shows 82% of the course administrators feel that's Dokeos is a useful teaching supplement, indicating the existence of Qualities described as user experience goals which could be considered as aesthetical qualities.

Dokeos is used because the feature can support the process to make multiple-choice, true / false and long essay questions. The reporting feature provides the results of evaluation of the students' questionnaire with graphics and reinforcement that had been made previously. Not only that, Dokeos is easier to understand and able to be used in Bahasa Indonesia.

RESEARCH METHODS

This study is a research and development model Borg and Gall. According to Borg and Gall (1983) in Research Methods Development compiled by the Center for Educational Research and Innovation Policy Research and Development Ministry of National Education (2008:10), the development model has ten-step which are: 1) conduct preliminary study that consists of collecting advance information (literature survey, observation), identification of the problem, and summarizes the problems, 2) make arrangements to cover the skills needed in the implementation of the study, 3) formulate the objectives to be achieved, and the R&D steps type/initial product, 4) try out I, 5) revisions based on try out I, 6) field trial of the learners/users, 7) appropriate revisions user feedback, 8) field operational test, 8) final product and 10) iseminasi and implementation.

Therefore, if it is concluded and picturized, the procedures can be seen below:



Figure 1 the development of ict-based assessment database with reinforcement (adapted: Borg dan Gall)

Product Try Out

According to the Department of Education (2008:12) product try out was conducted to determine whether the product has been made fit to be use or not. Product try out also to see the extent to which the products are made to achieve the goals and objectives. In the Guidelines for Scientific Writing (2010:47) explained that the test product is intended to collect data that can be used as a basis to determine the level of effectiveness, efficiency, and

the product appeal. In testing the product, it consists of test design, test subjects, data type, data collection instruments, and data analysis technique. The details of product trials are:

Data types

The obtained data was from the test results in the form of assessment products tested. It was taken through questionnaire about the evaluation and validation of practicality database, and the database test questionnaires to the students. The type of data captured in the form of qualitative and quantitative data. Qualitative data is in the form of criticism, suggestions and opinions in general about ICT-based assessment database with reinforcement provided by the validators and unlimited users. Quantitative data is in the form of assessment given by the validator and the limited user to the assessment database.

Data Collection Instrument

The instrument used in the data collection form was enclosed questionnaire. The questionnaire according Arikunto (2002:151) is a number of written questions used to obtain information from respondents about the things they want to know. Questionnaire used in order to obtain data on the feasibility of the product quality as a basis for revising the product. Closed questionnaire respondents selected for ease in understanding the content of the questionnaire. Enclosed questionnaire is used in collecting assessment data experts with a Likert scale. Sugiyono (2009:134) Likert scale to measure attitudes, opinions, and one's perception of social phenomena. Measurement scale questionnaire items are as follows:

Table 1 : Answer Measurement Scale

NUMBER	SCORE	NOTE
4	4	Very appropriate/strongly agree /very suitable
3	3	appropriate / agree / suitable
2	2	appropriate / agree / suitable
1	1	less appropriate /less agree /less suitable

The aspect that is attached on the question validity consist of material presentation that is appropriate to the learning material, while the aspect attached to the ICT validity of the research and development product consist of website layout quality. Based on the explanation, it can be picturized more detail in this questionnaire table below:

Table 2 Questionnaire detail

No	Measured Aspect	Number of the Question
1.	the quality of the presentation covers the suitability of the material, communicative and formal language, limited questions and answers accordingly, do not cause a double interpretation, an obvious material, do not give clues about the answer key, the problem does not depend on the answer to the previous question, homogeneous answerand options, logical and systematic as well as the same length of answer choices.	1-15 (Material Expert) 1-2 (Limited User)
2.	The display quality of the website, including the website address, accessing the website, use of the logo, the presentation of the text is readable and easy to understand, the use of type and font size, text color contrasting with the background, the clarity of the links in the website, the composition of colors, fonts and graphics attractive (not no broken links), the program presents the results / scores achievement of learning outcomes, the feedback is given immediately after clicking the reply, if answered incorrectly told the correct answer, can log in and log out the program at any time, and the feedback to motivate learning.	1-22 (ICT expert) 1, 2, 3, 9, 11, 12, and 21 (Limited User)

Data Analysis Technique

Data obtained in the form of quantitative and qualitative data. Analysis technique for the qualitative data is in the form of criticism and suggestions by using inference technique, while the quantitative data were analyzed by using descriptive technique percentage.

Descriptive is the percentage change in the quantitative data to be interpreted as percentages for qualitative data. Based on Sudjana (1990:45), it is obtained that the formula for calculating the percentages are as follows:

$$P = \frac{X}{x_i} \times 100\%$$

Description:

P = Percentage of the try out subject

X = Score number for the try out subject

X_i = Maximum score number for the assessment aspect by the try out subject

100% = Constanta

RESULTS

Database Development with ICT-Based Assessment Reinforcement

Based on the results of the needs analysis which has been conducted, the researchers developed a database of lesson assessment of accounting starting from the second half of the trial balance, adjusting entries, working papers, financial statements, closing entries, and reversing entries. Database assessment developed in accordance with the syllabus of XI grade students of Accountant in the second semester at SMAN 4 Malang. Researcher took limited questions in the second semester due to several considerations. First, the implementation of development activities started in the second semester so that the database is adapted to the material assessment of two semesters. Second, the material accounting is more complicated than the second semester so that more takes practice. With the need to do a lot of exercise then the database is an important assessment.

Designing Problem

Assessment with reinforcement database contains questions from two semesters. The questions used two semesters covering topics about the balance, adjusting entries, working papers, financial statements, closing entries, and reversing entries. Activities designed the matter refers to Bloom's Taxonomy. Bloom taxonomy consists of three domains: psychomotor and affective. In this study, a matter which is developed is only in the cognitive domain of Bloom's Taxonomy. Problem is limited to the cognitive domain was developed for accounting subjects which have cognitive and affective specifications. Problems supplied database consisting of C1 to C6 levels matter. The following table describes the discussion which adjusted to Bloom's Taxonomy.

Table 3: The Composition of Database sssessment Question based on ICT with Reinforcement

Topic	Number of Question Composition		
	Multiple Choice	True/ False	Essay
Balance Sheet	10 Problems	2 Problems	5 Problems
Adjusting entries	10 Problems	2 Problems	5 Problems
Working papers	10 Problems	2 Problems	5 Problems
Financial statements	10 Problems	2 Problems	5 Problems
Closing and reversing entries	10 Problems	2 Problems	5 Problems

Table 4: Bloom Taxonomy about Assessment Database based on ICT with Reinforcement

Topic	C1	C2	C3	C4	C5	C6
Balance Sheet	3	7	7	-	-	-
Adjusting entries	3	4	7	1	1	1
Working papers	7	7	3	-	-	-
Financial statements	2	3	9	1	1	1
Closing and reversing entries	-	2	10	3	1	1

Designing Database

In designing assessment database, it is divided into several activities. As events in the planning database evaluation of ICT-based reinforcement as follows:

a. Domains Registration

After searching through google, the authors decided to use the services of www.jagoanhosting.com service. Once you are logged on the page, then it will look like in Figure 2



Figure 2 List of Domains for Database-Based Assessment of ICT with Reinforcement

b. Choosing a Domain (Website Address) Database

Domain Database assessment are selected based name that is easy to remember and understand. The selection is also based on the name of the name of the website is still available. In the assessment database, the name of the selected site is belajarasik.asia. Figure 3 is an image database domain election.



Figure 3 : Domain Selection (Website Address) for Database

a. Dokeos Installation

Dokeos installation is done on hosting and domains that have been ordered. Version of Dokeos installed on the hosting and domain-Dokeos is version 2.1.1. Dokeos installation view reflected in Figure 4.



Figure 4 : Dokeos Instalation Process through Browser “Click to install dokeos”

b. Making Front Page Website

Making the front page website uses adobe photoshop. The Front Page is looked like in figure 5.



Figure 5. Home page www.beljarasik.asia

c. Making Subject

The database assessment, the subject should be made in advance in order to be registered on the database assessment. To make subjects click "course" then select the site for the course. After that, fill in the data about the subject that will be made. Figure 6 is a display manufacturing subject.



Figure 6 : Making Accounting Financial Report

d. Questions and Reinforcement input on Main Page

When new subject has been made, then the main page will contain a feature of training / quiz. Select the feature training / quiz to input a question that will be based on the type of question. Then fill with the reinforcement feedback to the students. After completing questionnaires and reinforcement input, then the scenario training / quiz mandatory to be

filled. Current view input question, reinforcement and scenario in the main page as pictured in 6, 7, 8, 9 and 10.

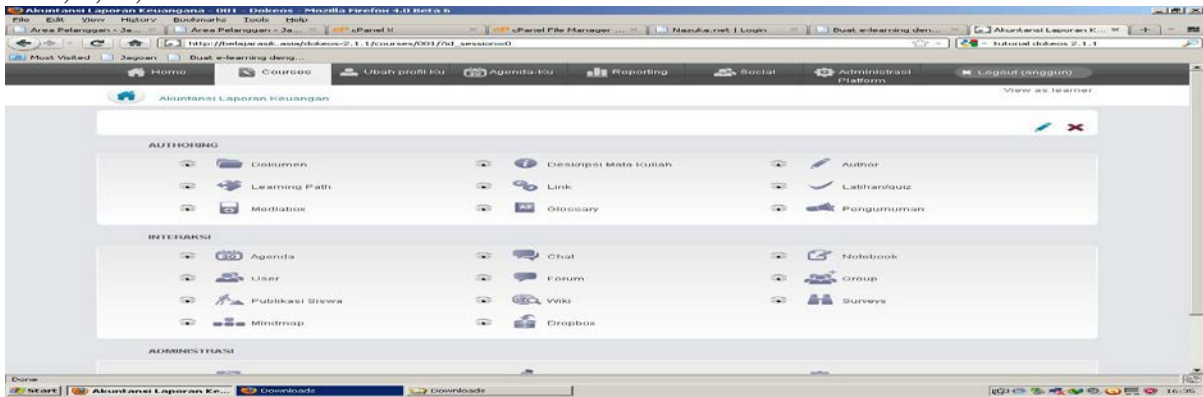


Figure 7 : Menu/ Fitur Shown on Dokeos

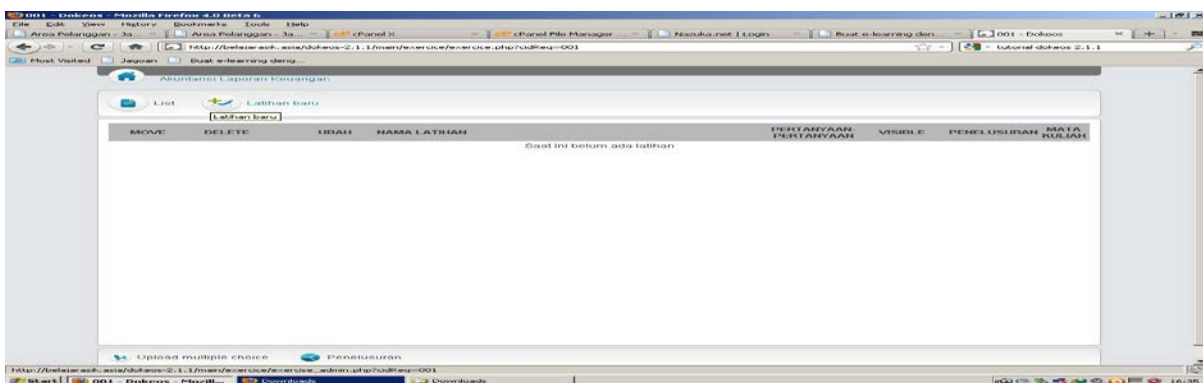


Figure 8: Choose New Exercise to Create a Problem



Figure 9 The Problem which Has Been Made on Assessment Database

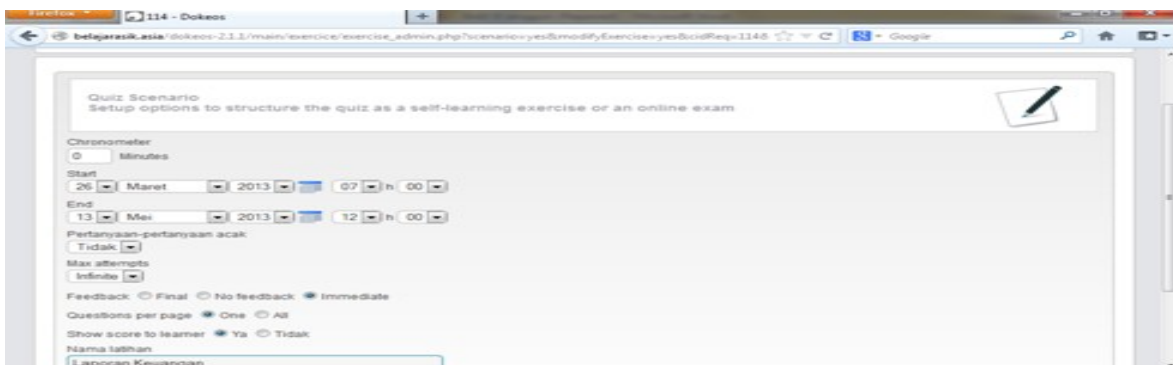


Figure 10 : Scenario which has to be Filled on Assessment Database

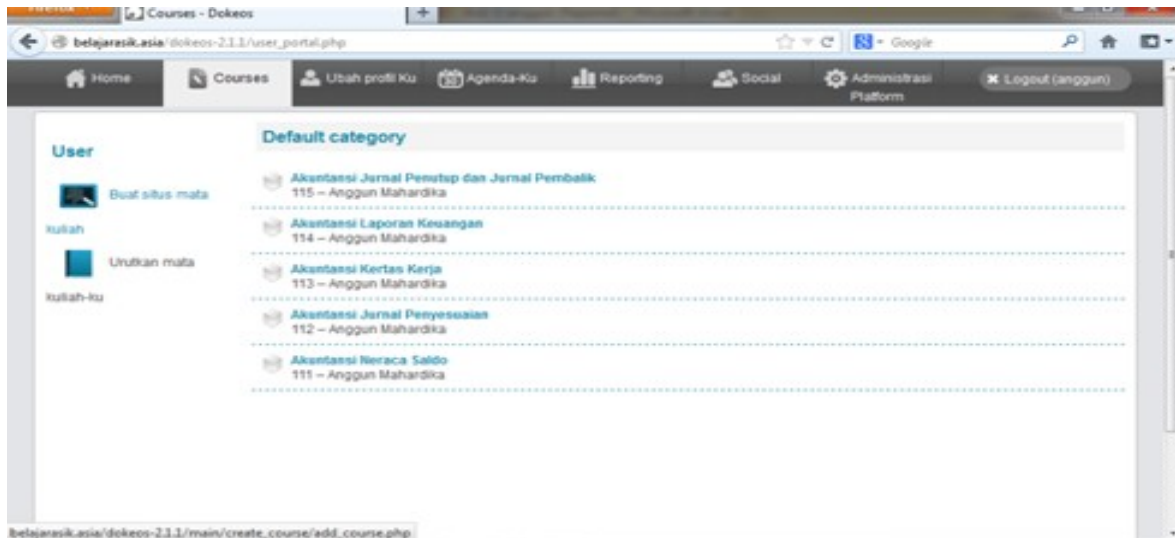


Figure 10 Problem Menus on Assessment Database

e. Showing Report

In the assessment of ICT-based database with reinforcement, there are various accounting for the XI grade student on semester 2. When a user (student) working on a chapter accounting database then display the report on the assessment consists of: Report option the user answers with the expected answer (correct answer), feedback in the form of reinforcement, in the form of a diagram average report, a report in the form and report in the form of a percentage of the processing time of each student The following images are ICT-based assessment report database with reinforcement.

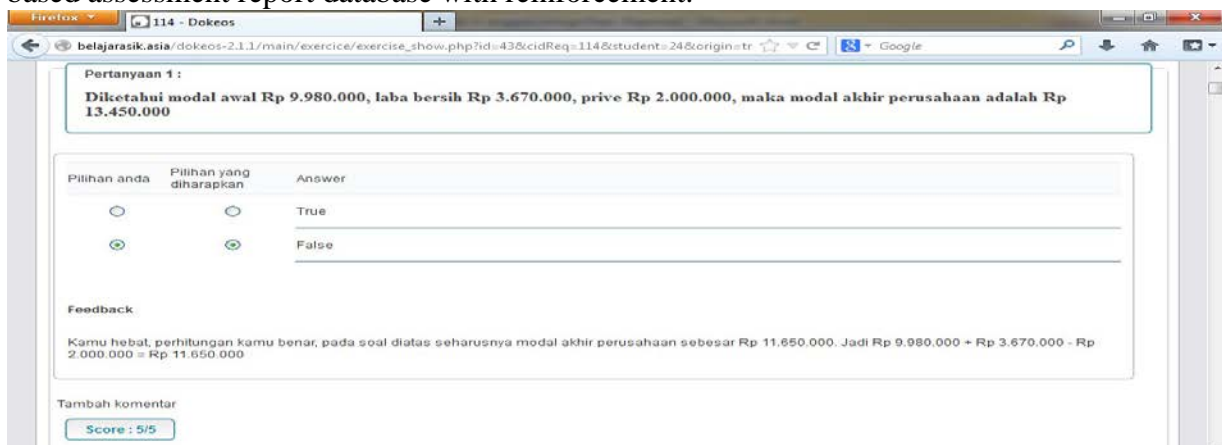


Figure 11 User Answer Report with the Expected Result on True/False Problem



Figure 12 User Answer Report with the Expected Result on Multiple Choice



Figure 13 User Answer Report with the Expected Result on Essay

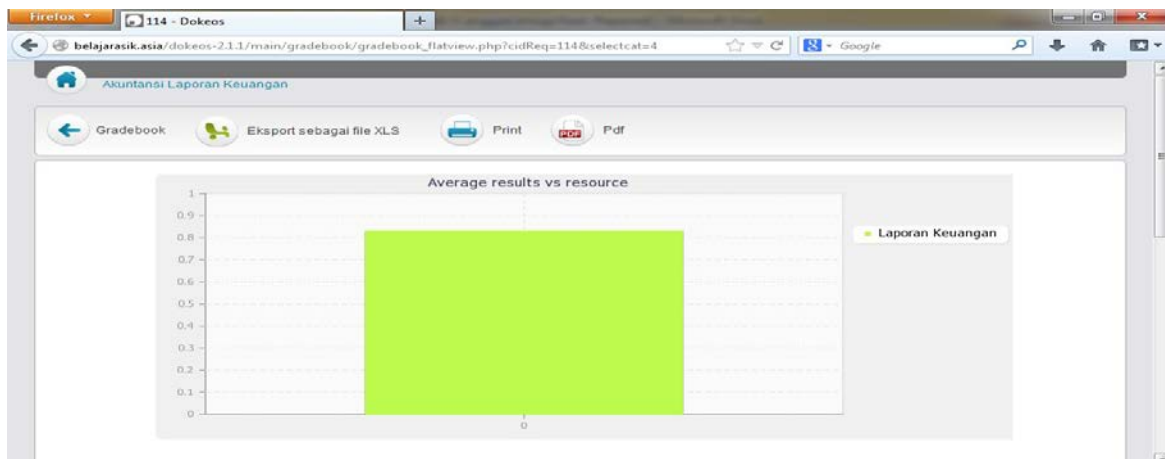


Figure 14 Report in form of Students Average Assessment on Financial Statement Unit

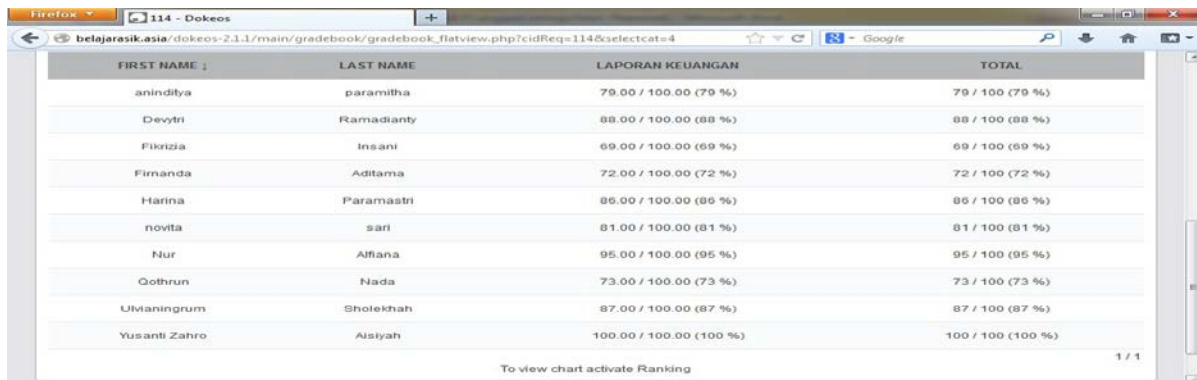
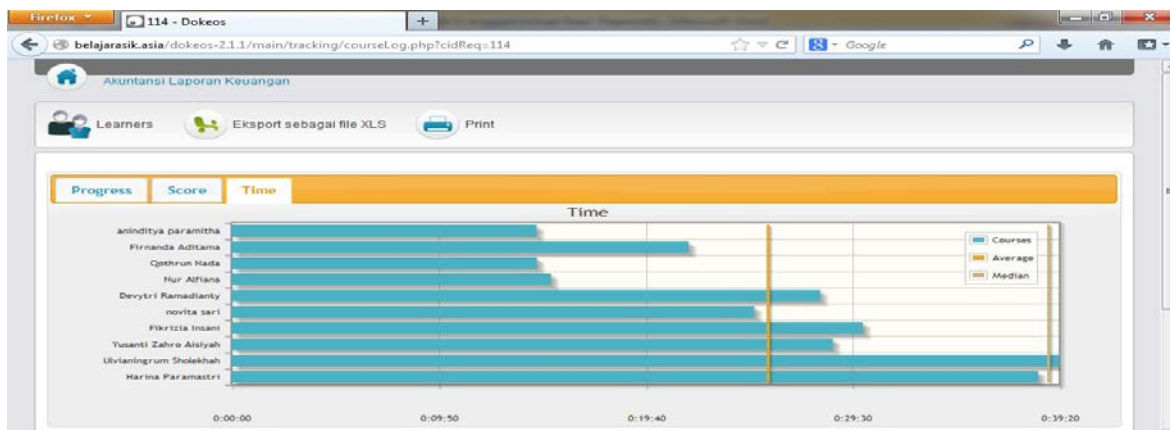


Figure 15 Report in Form of Students' Final Assessment Form



Feasibility Test Database Based Assessment of ICT with Reinforcement

Feasibility tests involving two validators. Validator is a material expert of accounting teacher in the XI grade students. ICT Validator is the ICT coordinator of SMAN 4 Malang. Validator is a material expert on accounting teacher who has 28 years teaching experience. He is teaching accounting at the XI grade students of at SMAN 4 Malang. Drs. Tony Suhartono M.M. did his validating assessment database on March 23, 2013.

Validator ICT is the ICT coordinator at SMAN 4 Malang, Mrs. Amalia Sufa, S.ST, MT. He has been teaching ICT for 4 years and has been the coordinator of ICT for 4 years as well. Mrs. Sufa is an ICT coordinator who has implemented a Learning Management System (LMS) at SMAN 4 Malang. LMS has been implemented by Mrs. Sufa include Moodle and Claroline. Mrs. Sufa is an ICT coordinator who is an expert in various types including Dokeos LMS used in the development of database researchers. Validation by ICT experts was held on March 26, 2013. Results of a questionnaire based on validation data collection consisted of quantitative and qualitative data.

1. The Quantitative Data

Quantitative data obtained from the scores given by the score of each validator. Table 17 shows the scores given by expert on the assessment database.

Table 17 The Conclusion of Material Expert Validation Result

No .	Assessment Item	Percentage	Description
1	Material asked is suitable with the education level	75	Valid
2	Communicative Problem Language fits with education level of the students	75	Valid
3	The Problem has used formal Indonesian Language	100	Valid
4	Question and Answer are Limited appropriately	100	Valid
5	Do not use words / proverb which cause ambiguity or misunderstanding	75	Valid
6	Problem is Formulated Simply, Clearly and Stricly	75	Valid
7	Problem Formulation and Answer Choice is the needed questions	100	Valid
8	Problems do not give a leading answer key	100	Valid
9	Problem is safe from multiple negative statement	100	Valid
10	The problem does not depend on the previous answers	100	Valid
11	The choices do not repeat the word / group of words which is the same, except a sense of unity	100	Valid
12	The length of the answer choices are relatively equal	100	Valid
13	Homogeneous and logical answer choices in terms of materials	100	Valid
14	Using question words or commands that require answers overview	100	Valid
15	Systematic and coherent problem	75	Valid
	Mean	91,67	Valid

Based on table 17 it is known that the question which is stated to be valid to be used with percentages as large as 91.67%. Quantitative data is also obtained from the scores given by the ICT validator. Table 4.2 shows the ICT evaluation validator on evaluation of the developed database.

Table 18 the Conclusion Result of the ICT Expert

No .	Assessment Item	Persentase	Description
1	The website address is memorable	50	Not Valid
2	Website easily accessible	75	Valid
4	The use of the logo on the website	75	Valid
5	The presentation of the text is readable and easy to understand	100	Valid
6	The use of type and font size	100	Valid
7	Text with a background color contrast	100	Valid
8	This web page can be displayed by either using the Internet Explorer	75	Valid

	browser		
9	This web page can be displayed by either using the open source browser / Mozilla Firefox	100	Valid
10	Clarity links within this website (no broken links)	100	Valid
11	Presentation of information on the website	100	Valid
12	The registration process is easy	100	Valid
13	The composition of colors , fonts and graphics draw	100	Valid
14	The program presents the results / scores achievement of learning outcomes	100	Valid
15	Feedback is given as soon as you respond to answers	100	Valid
16	If you answer incorrectly told the correct answer	100	Valid
17	You can login and logout at any time	100	Valid
18	Database of ICT -based assessment program can be run without having to help others	75	Valid
19	Clarity feedback / response	50	Valid
20	The use of the application helps the process of assessment	100	Valid
21	Display order can be forward or backwardFeedback motivating Learning	100	Valid
22	Feedback give learning motivation	100	Valid
23	Ease of use assessment database	100	Valid
	Mean	91	Valid

No.	Critics and Suggestion
1.	There is still mistake in problem typing
2.	On the question about the statement of cash flows is replaced by the use of foreign terminology appropriate to learning in SMA Negeri 4 Malang.

Validation results from the matterial experts and ICT experts will serve as the basis for the revision of the ICT-based assessment database with reinforcement to- 1. Overall, the validation result demonstrate the validity of that revision is done in accordance with the criticisms and suggestions validator and the points that have not been declared invalid appropriate level of ability and understanding of researchers.

ICT-Based Assessment Database revision with reinforcement – 1

1. Revision of Validator Problem

According matterial validator, matterial has a valid and fit to be used, but researchers still have to revise the matterial in accordance with the criticisms and suggestions of the validator matter. Here is the revion made by the researcher: 1)material typing errors (problem is typed on a card given to the validator still have a typing error that investigators confirmed the fault location by editing the typing material in the assessment database to make it more perfect), 2) use of Foreign Terms (in accordance with the learning activities in SMAN 4 Malang, in material cash flow statement, students mention and know the cash flow, not the cash flow statement, cash flow statement editing researchers become cash flow valuation database).

2.Revision of ICT Validator

According validator ICT, ICT -based assessment database with reinforcement have a valid and fit for use , but researchers still have to revise the database in accordance with the criticisms and suggestions of the validator . The following revisions researchers do to improve the assessment of ICT-based database with reinforcement.Set the scenario reassessment database for answers and feedback comes after the quiz is completed to minimize the risk of cheating and memorizing answers.Examining the reinforcement feedback form that will appear on each student answer.

LMS content is focused on the evaluation of learning, therefore, full package LMS feature is not used all of them. By not using the LMS features, a full package affective appraisal can not be realized. Affective assessment in LMS Dokeos still can be used by activating all the features of the chat feature to the document. Www.belajarasik.asia website address is the domain that has been booked for database development assessment. Before booking this domain, researchers have surveyed some of the other domain names. The result of the research survey which is a more interesting domain name has been ordered by various parties so that the researchers could only get a suitable domain name that is www.belajarasik.asia. Researchers can not change the domain name for some considerations; www.belajarasik.asia first domain name is the most appropriate domain when another domain name has been ordered. Second, if researchers forced to change the name of another domain, the researcher created a database assessment starts from the beginning again when in the field there is not necessarily a better domain name. Feedback has been clarified in order to ease for the limited user test.

The Try Out for Database Assessment by Using ICT -Based with Limited Reinforcement to Users

The trial of ICT-based assessment database to the user with limited reinforcement carried out to determine the feasibility and practicality of the assessment database was developed based on the perspective of the user (learner). Implementation trials conducted on the XI grade students of Social Program at SMA Negeri 4 Malang which consist of 10 people. The try out for ICT-based assessment database with limited reinforcement to users held on Thursday, March 28, 2013.

Based on the ICT-based assessment database with the reinforcement to a limited user, the data is obtained by quantitative and qualitative data. Quantitative data were summarized in the form of assessment scores can be seen in Table 19

Table 19 : Summary of Users Assessment Result

No.	Student's Name	%	Description
1	1 st Students	85,714	Valid
2	2 nd Students	87,5	Valid
3	3 rd Students	91,071	Valid
4	4 th Students	96,428	Valid
5	5 th Students	78,57	Valid
6	6 th Students	89,285	Valid
7	7 th Students	92,875	Valid
8	8 th Students	92,857	Valid
9	9 th Students	66,071	Valid
10	10 th Students	94,643	Valid
Rata-rata		87,48	Valid

Based on Table 19, it is known that the ICT -based assessment database with overall reinforcement is declared as invalid by the percentage of 87.48 %. Thus, in general, according to the user's perspective, the ICT -based assessment database with reinforcement is interesting, easy to understand, motivate and effectively used. There are 14 elements assessed by the user: website address is easy to remember, easy accessing the website, the clarity of the links in this website (no broken links), easier registration process, the composition of colors, types, fonts and appealing graphics, text colors with contrasting background, easy to understand language, answering questions more easily by using the program, the exercise is in accordance with the composition of existing matterial in the 2nd emester, giving feedback

learning motivation, knowing where the wrong and correct answer, it is easier to see assessment results, the program presents the results/scores achievement of learning outcomes and if answered incorrectly, we are told the right answer.

ICT -Based Assessment Database revision with reinforcement-2

ICT-based assessment database revision with 2nd reinforcement was done by the user if there are invalidity database of ICT -based assessment developed by reinforcement. In limited user testing revealed that the product had been valid for the 2nd revision, criticisms, and suggestions from limited users. Based on user comments and suggestions, the researchers revised the front page of the website which will be shown in table 4.7. Researchers will protect the future of other websites that only www.belajarasik.asia website which can be accessed at the time of use. Additionally reinforcement feedback form has been improved to better motivate students to continue doing positive and minimize the negative activities in working.

Based on limited user trial questionnaire, all users stated that the website address is easy to be remembered (valid). This is contradictory to answer a questionnaire on ICT validator which states that the address of the website is less easy to be remembered (not valid). A statement of limited user that is easy to remember website address makes researchers maintain the existing website address.

Table 20 Revised Home www.belajarasik.asia

<p>Front Page Layout before Revision</p> 	<p>Front Page Layout after Revision</p> 
<p>Header Database Assesment before Revision</p> 	<p>Header Database Assesment before Revision</p> 

CONCLUSION AND RECOMMENDATIONS

Database development of ICT -based assessment with reinforcement is based on the fact of the unavailability of the database in the evaluation of learning. The database mentioned here is the one which can host different types of problems, correct automatically; provide feedback in the form of reinforcement, post answers and the right answers, shows the overall results of the assessment and student assessment diagram. This assessment is in accordance with the specifications database does not already exist on the subject of accounting at SMAN 4 Malang.

Database development of ICT -based assessment with reinforcement is in accordance with the method of Borg and Gall (1983) which includes: 1) analysis of requirements; 2) the development of ICT -based assessment database with reinforcement; 3) feasibility test of database development of ICT -based assessment with reinforcement; 4) revision 1; 5) the try

out of database development of ICT -based assessment with reinforcement; 6) revision 2; and 3) the final product. Here is a study of the products that have been revised and a final product in development research conducted by the researcher.

1. Product characteristics

Assessment is an important matter for teachers and students. So far, the assessment is done by hand. assessment by hand starting to create questions, presenting it to the students to answer using paper and pencil, correcting students' answers, and report the result. The assessment activities are carried out manually is not practical and effective. Furthermore assessment activities manually can lead to an error correction or error reporting. With the reality on the ground that the assessment has not been integrated with practical and effective, the researcher developed a product database of ICT -based assessment with reinforcement. Database of ICT -based assessment with reinforcement products have characteristics such as: 1) the database contains personal data of the students, 2) database has a variety of assessment questions are multiple choice, true false and essay length for each student, 3) databases assessment provides reinforcement for students) databases provide an assessment report for the students.

Characteristics of the development product has function as:(1) intensive to improve learning; (2) as feedback for students; (3) as a feedback to teachers; (4) as information for parents, and (5) as the information for the purposes of selection (Mahmud, 1989: 252). This fundamental assessment of ICT-based database with this reinforcement is in accordance with the assessment principle that has been outlined in appendix from the Minister of National Education No. 20 of 2007 (June 11, 2007) on the standard of education assessment including:

1. Sahih means that the assessment is based on data that reflects the ability measured. Database is in compliance with the principle of assessment which is valid because it has been reflected in the ability of each student to answer a variety of questions.
2. Objective is a meaningful assessment which is based on procedures and criteria are clear, not influenced rater subjectivity. In the database assessment, objectivity is certainly due to this database so that ICT-based assessment is conducted by a program (software) automatically.
3. Fair means that there is no beneficial or adverse assessment of learners with special needs as well as differences in religious background, ethnicity, culture, customs, socioeconomic status, and gender. In the assessment using the database does not distinguish assessment of each learner for assessment performed by a program (software) so it does not look any difference. Assessment is based on the answers worked out by the students.
4. Integrated means that the assessment by educators is one the components of the learning activities. Assessment is carried out with a database including a component of assessment of learning activities in the second semester of the topics include trial balance, adjusting entries, working papers, financial statements and closing entries, and reversing entries.
5. Open means that the assessment procedures, assessment criteria, and the basis of decision-making can be seen by interested parties. Assessment contained in the database is open assessment with assessment procedures that weighs 100 % in working and assessment criteria are presented automatically.
6. Wholistically and continuously means that the assessment covers all aspects of competency by using appropriate assessment technique, the ability to monitor the progress of learners. Assessment technique used is in accordance with the purpose of assessment. Assessment technique that exist in the database that is exercise/quiz. Exercise/quiz consists of a variety of multiple choice, true/false, and essay length.
7. Systematis means that the assessment is done in a planned and phased by following basic steps. Assessment is carried out which has been planned in accordance with the standard

measures. Planning assessment in the database is to provide a weight training/quizzes at 100 %.

8. Based on Criteria means that the assessment is based on the size of the achievement of specified competencies. Database assessment is based on a set of learning competencies. Each student is assessed based on their ability to answer questions in the assessment database. Problem in database based on competency assessment of students able to understand the preparation of the accounting cycle services company.
9. Accountable means that the assessment can be accounted for both in terms of technique, procedure, and results.
10. Technique procedures and results of ICT-based assessment database can be accounted for by the reinforcement.

In addition to the Database assessment using ICT -based is in accordance with the reinforcement of UNESCO (2002), as compiled by Ariwijanarko (2011: 17-21). The main purpose integrating ICT into learning is to: (a) build a knowledge based society habits such as problem-solving skills, communication skills, ability to find, acquire and process information and communicate it to others; (b) develop the skills to use ICT (ICT literacy); and (c) improve the effectiveness and efficiency of the learning process . The use of ICT can be efficient and effective in the learning process, especially for students in making judgments. The communication of the assessment will be easier with the use of ICT.

Besides, a database of ICT-based assessment with reinforcement gives feedback in the form of reinforcement. Reinforcement is a response to a behavior that can increase the likelihood of reoccurrence of such behavior (Mulyasa, 2009:77). The response to answers each student is assigned automatically using a database of ICT-based assessment with reinforcement. On multiple choice questions and true/false each student will receive the same reinforcement in each case, while the long essay, reinforcement on each student is different because every student answers doing different from other students.

Advice Utilization and Development of Advanced Products

1. Utilization Suggestion

The following suggestions can be given to the use of database researchers, ICT-based assessment with reinforcement. Uses a fast and stable connection, computer compatible devices when used simultaneously (synchronously), preferably every connection and used laptop has the same specs and hosting capacity can be upgraded to larger and more questions that could be loaded.

2. Further Product Development

Suggestions which can be given for further product development are: 1) other researchers can test the effectiveness of the use of ICT-based assessment database with reinforcement in accounting learning; and 2) increase the quality of ICT validator and 3) make protection on other websites when students are accessing the website database of ICT-based assessment with reinforcement.

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HIGHER EDUCATION IN INDIA: TRANSITION FROM SOCIALISM TO CAPITALISM

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Abstract

Socialism in India emerged during the 20th Century as part of the Independence movement and gained strong hold as it espoused the causes of the under privilege section of the society. It influenced the principle economic and social policies of the Indian government after independence until the 1990's when India took a step towards a neo-liberal economy.

The hegemony of neo liberal ideology as reflected in the adoption of free trade, market economy, privatization and predominance of corporate culture that actually calls for progressive decrease of state involvement in the governance, finance and administration of the higher education system in India hijacked the idea of a welfare state. This led India to gradually drift away from socialism to capitalism.

This paper outlines the impact of neo-liberal capitalism on Education. It examines neo-liberalism as coerced concepts of corporatization and commercialization of higher education in India. It highlights that neoliberalism would polarised the society.

Keywords: Neo-liberal Capitalism, Corporatization, Commercialization, Higher education

Introduction:

The Preamble and the Directive Principles of State policy clearly state that our goal is a Welfare and Socialist state through democratic means. Education therefore was primarily state responsibility as it would help break the rigidities of social stratification, promote equal opportunities and would pave the path for country's development.

But from early 1980s, and more rapidly since 1991, economic policies moved in a sharply neoliberal direction and limited the role of the state. The pressure to expand coupled with the fiscal constraint of the state compelled Indian government to adopt market friendly reforms to support education sector. These reform included cost recovery and income generating measures in public institutions and encouragement of private higher education institution, which do not depend on state funding, culminating into marketization and corporatisation of education sector.

Neoliberalism and Education:

Neo-liberalism is a new form of capitalism. For neo-liberals profit is everything and there is nothing beyond profit. The insatiable demand for profit is the motor policy, not public good or social good. Thus privatised utilities such as the education and health sector are run in the same manner just as the factories and business houses, to maximise profits and rewards, rather than to provide a public service.

Neoliberal policies globally have resulted in-

1. A loss of equity, economic and social justice for citizens and for workers at work.
2. A loss of Democracy and Democratic Control and Democratic Accountability

3. A loss of Critical thought and space.

For Neoliberal Capitalist, it is insignificant to provide high level education to all future workers. In fact they advocate a highly polarised system of education, where education should not strive to transmit a broad common culture to the majority of future workers but instead it should teach them just some basic skills.

Dave Hills outlines the following capitalist agendas on Education:

1. Reduction in expenditure on public education services.
2. Capitalist agenda for schooling and education.
3. Capitalist agenda in schooling and education.
4. New public managerialism mode of organization and control.

These Agenda of global neoliberal capital and its international and national supporters have an anti-human and anti-critical business agenda for education.

Higher Education A Market:

In line with classical economic view of education, neo-liberalism defines the person to be educated in economic terms, as “homo economic us”, a labour market actor whose life and purposes are determined by their economic status. These twin sets of values are reinforced with a third set of educational purposes, namely, the conceptualisation of the person to be educated as a highly individualised, self-regarding and consuming economic actor. This has profound implications for the operation of education as a social practice. With the rise of neo-liberal agenda there is increasing attempt to privatise public services, including higher education, so that citizens will have to buy them at market value rather than have them provided by the state.

Higher Education a Commodity:

With the decline in the value of Manufacturing industry in terms of investment returns and the rise of the value of the service sector in both scale and profitability, there is an on-going movement to define education as a tradable service world-wide. The pressure to move education from a public service to tradable service is very much part of the ideology of the WTO and GATS, the purpose of which is to liberalise all service in all sectors of the economy globally.

Education today is an industry offering new opportunities for investors in profit terms. The free market philosophy has already entered the educational institutions. After independence higher education was entrusted with the responsibility of protecting the constitutional provisions for positive discrimination. It was considered as a promoter of economic growth technological development and a tool of equal opportunity and upward social mobility. This helped in giving importance to social justice around the issues of caste, tribe, class and gender. But since 1991 the shift in the economic policies of government of India has dramatically changed the otherwise privileged position of higher education leading to social exclusion.

Academic Capitalism:

There are many ways in which academic capitalism is fostered through the funding of research (patenting) and in ancillary services associated with college entry such as tutoring and test preparation. The University which was considered to be the power house of learning is becoming a business organization with productivity targets. In reality Universities are becoming like any other departments stores/malls or music shops offering variety of courses at their shelves. The course which is very popular will have long shelves life than the one which is not in demand. This is clearly evident from the weakening position of the arts, humanities, languages particularly Indian and critical social sciences which has no buyers as

a result many departments are closing down in the Universities. In such circumstances Teachers today are reduced to more like a sales persons assuring their customers (students) that they are getting a good deal and helping them to try on new outfits or shoes from the latest stock. If the charade is adequately performed, the customers exit the educational mall happy with their purchases.

The social relation of the educational institution is replica of the economy. Students enter as customers and graduate as finished products. Teachers and support staff are production workers and administrators act out as the role of boss. Everything from student evaluation procedure to curriculum development and from scholarships to student evaluation of teachers (customer satisfaction) is purely based on factory modes of production.

Everything what one does must be measured and counted and only the measurable matter for all the stake holders in education industry. For students in the form of credit system where their presence in the classroom, their active involvement in the classroom, and behaviours in the classroom....will fetch them marks. In the name of liberating students from the conventional canons of the past and from "antiquated" teaching methods, the neoliberal ideology in generating a society in which students will become compliant citizen, un-complaining workers and above all consummate consumers in a global culture that comes dangerously close to nihilism.

For teachers in the form of CAS where one is rewarded with points for attending seminar, publishing research papers, books and journals, there is little incentive to invest in teaching, in the rat race to score in API Teachers forget that important part of their duty is to impart knowledge. There is increasing pressure on teachers to undertake research whether they have inclination or not. This has resulted in mushrooming of research assistance provided by private individuals selling research papers and publishing house where one pay some amount and get the research article published. Plagiarism is another issue born out of forced research.

The Universities have taken another step in the factoryisation of university system by having a biometric attendance system for teachers, 'No work no Pay' orders are passed in University when faculty members go on strike. Universities in the name of streamlining impose mechanical, standardised systems of entrance examinations. There is a very long list of how the control over methods and of teaching and academic engagement and the disciplining of students continue on an everyday basis. Neoliberalism presents itself in diverse ways in these locations, through consensus as well as coercion. Resistances have paved the way for negotiations, which in the longer run have added to the weakening of labour struggles against the onslaught of capital.

The rise of consumerism, a growing push for accountability and declining public support for education are contributing to what we may term as "Corporatization" of higher education. Non-profit colleges and universities are adopting corporate models, cutting costs and seeking profit making opportunities.

For the students, faculty and the public alike these changes bring concerns that institution of higher learning are losing their very soul: students committed to learning, professors committed to educating and researchers committed to following their intellectual passions rather than corporate agendas.

Polarization of the Society:

The effect of neoliberal capitalism is far reaching on the university. It is more drastic than industrialization, urbanization and secularization combined. It is the biggest challenge that the university has ever faced for more than a century and a half. It has caused a major restructuring of the economy, and government has reacted within a capitalist and technocratic

frame work to create new technology based industries. This has created moves to reform higher education in order to produce the necessary technocrats at the cost of higher education.

This move of the government will split the society into two: those at the “social core” and those who hang on their finger nails to the “social periphery”. In the country like us where yet we have to achieve 100% literacy, yet to provide access of higher education to large number of population, yet to establish institutions for promoting education at all level, great urban-rural divide, India within Bharat will further polarise the society into the haves and the have not’s. This is further going to penalise the participation of brilliant students coming from disadvantage groups. The traditionally excluded social groups which are far behind the advanced groups in their access to education are now victims of a double whammy. Privatization of higher education makes it more expensive and beyond the reach of the marginalised groups. The little hope which this group had due to public funding of education is hijacked by the neo-liberal ideology.

The ignorant parents and students may fall prey to the attraction of various course and programmes offered by foreign universities and in the process may get uprooted from their own national links to the employment and higher education sectors and may not be competent enough to compete in the global market.

In nation building an overwhelming emphasis on corporatization and commercialization also involves risk of undermining the inculcation of higher values of sacrifice, service and commitment to the country, a lost that may be difficult to overcome. It may contribute for developing a generation who are materialistic and individualistic. This will further strengthen the already existing belief amongst villagers that education alienates persons from their grass roots.

No doubt neo liberalism will create an opportunity for those who are aware of the benefits, who have the information, knows from where to get the information, who have easy access to information and have the inquisitiveness to get more and more and reap the benefits out of it. In India very small percentage of people will be able to utilise this opportunity and demand for more and more. It is threat to majority of the people who are ignorant and has no information and no means to get this information and are not aware from where to get information to the extent that some may even not know that they don’t have information. This group which is large enough to ignore, would remain backward.

University traditionally is designed to serve the weakest and most vulnerable in society as well as powerful economic interests, it has major responsibility to inform and vivify the work of public sector, and the voluntary community and care sectors both locally and globally. It is the lynchpin of civil society, laying the intellectual foundation for cultural, political affective, ethical and social life as much as for economic life. It is therefore, vital for the university to create alliances with those sectors of society that share its core values and public service purposes. Rather than being bewildered and overwhelmed by neoliberal rhetoric, we need to build a discourse that is based on the principles of democracy and equality that are heart of the public education tradition.

If we want India to progress, we need citizens who can think and speak boldly, whose souls are nurtured towards creativity and innovation, who embraces diversity through empathizing with others, who are committed to promoting a more just and inclusive society, who are able to think independently and freely. We need to look for alternative model of education. For that we don’t have to copy the Western Market model of Education. Just revisit our past, we would come across number of Philosopher Educators who have not only proposed the true Indian model of Education but also lived with it.

If the university does not take seriously and rigorously its role as guardian of wider civic freedoms, as interrogator of more and more complex ethical problems, as servant and preserver of deeper democratic practices, then some other regime or ménage or regimes will

do it for us, in spite of us, and without us. (Toni Morrison, 2001, cited in Giroux, 2002,n.121).

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RELATION OF MENTAL HEALTH AND COMMUNITY VIOLENCE IN YOUTHS

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Abstract

The purpose of this work was to determine the relationship that exists between being a contextual witness of acts of violence in the environments closest to university students, such as the area they live in, the school they attend, and the recreational places they frequent. In order to achieve this purpose, a scale of witness of community violence was drawn up and validated, which was applied along with the list of symptoms (SCL 90-R) to 1,465 students in 6 states of the north and center of the Mexican republic. The results indicate that the students have witnessed first hand acts of violence in the area they live in, their places of recreation, and finally in their school. Likewise, significant relations were seen between witnessing violence and symptoms of somatization, phobias, anxiety, interpersonal sensitivity, obsessive compulsive behaviors, and traits of psychoticism. The foregoing leads one to believe that violence not only turn those who suffer it directly into victims, but it also takes a heavy toll on the mental health of the contextual witnesses.

Keywords: youth, community violence, contextual witness, mental health.

The World Health Organization (WHO, 1996) defines violence as, “the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community, that either results in or has a high likelihood of resulting in injury, death, psychological harm, maldevelopment, or deprivation” (p. 5). In this regard, through there are few classifications and none is very complete, the one that is most widely used is that proposed by Forge, Rosenberg & Mercy (1995), who propose three general categories.

1. Self-inflicted violence: includes suicidal behavior and self harm.
2. Collective violence: is subdivided into social violence (mass violence, terrorism, and collective acts of hatred, political violence (wars), and economic violence (group attacks in pursuit of economic gain).

3. **Interpersonal violence:** which has two subcategories. First, family or domestic violence, which is generally, though not always, produced in the home. Second, community violence, which refers to violence that is produced between people who are not related and may know each other or not and generally occurs outside of the home. Specifically, community violence encompasses all types of crime (assault, rape, robbery, kidnapping), though it may be a byproduct of different circumstances it is characterized by taking place in the environments that are closest to those who suffer it.

In particular, community violence in Mexico has risen at an alarming rate in the past few years, which is reflected in the results of the National Victimization and Public Perception Survey of 2011 (INEGI, 2012), which reports a total of 22,714,967 crimes committed in the country in 2010, with the dark figure (crimes where the preliminary investigation is not finished) totaling 20,897,336. The report shows 17,847,550 direct victims with a national rate of 23,956 per 100,000 inhabitants.

With regard to the foregoing, research in victimology has shown that different situations (accidents, natural disasters, and crimes) result in various victimization processes including the conditions, situations, factors, or circumstances (economic, political, social, psychological, and biological) that cause an interruption in people's lives and lead to suffering (Pearson, 2007). These processes do not affect only the direct victims; their effects also touch their families, friends, and community (Palacio, 2001). According to Echeburúa (2004), the following types of victims or affected people can also be differentiated:

a) **Direct physical victims or primary affected people:** these are the people directly affected by the aggression or traumatic event; this includes first-degree family members, including the partner.

b) **Secondary or indirect victims:** these are the people who are traumatized by the physical and sociocultural conditions after violence, who have been direct witnesses to the aggression and have been personally affected; this category includes family members and people close to the primary victims.

c) **Indirect victims or contextual affected people:** these are people who are traumatized by the physical and sociocultural conditions after violence, who have been indirect witnesses to the aggression, without being affected personally. This category includes people who have been psychologically affected by the severity of the events, without any direct losses or threats being involved.

Given its high incidence, community violence in our country at this time is considered as a daily part of life, a normal event with which we have learned to live and that only has an impact when a person is the direct victim or when, due to the magnitude and severity, it causes visible damage. We have not addressed the fact that this phenomenon has a double incidence, at the individual level as it affects quality of life and collectively due to its influence on the development of the community. The above is true because people who have been direct victims tell their experiences to others, which then expands the fear with a broad scope due to the vicarious development of this feeling that leads those in the community to recognize themselves as potential victims and thus they become indirect or contextual victims.

One of the most significant consequences of this contextual victimization understood as an indirect experience of criminal acts, such as, for example, hearing about violent acts committed in the neighborhood, schools, or places of recreation or witnessing these acts being committed against other people, is the reduction in the quality of life of the residents, since they have been forced to adopt attitudes ranging from not walking on the streets or going out at night in the area or neighborhood to allocating part of the household income to buying sophisticated security systems (Hijar, López & Blanco, 1997).

Though it is true that for most people living through a criminal experiences has several consequences related to anxiety, producing physical or psychological damage, for youth this experience is very harmful since it affects how they think, feel, and act in the future. In particular, exposure to community violence in youth has become a significant public health problem given the negative consequences in the different aspects of adolescent development and adjustment. In this regard, among the behavioral, emotional, and academic correlates are anxiety, depression, disruptive and violent behavior, drug use, truancy and academic failure (Cooley-Stricklan, Quille, Griffin, Stuart, Bradshaw & Furr-Holden, 2011).

The psychological states that occur with exposure to community violence are stress, defined as “the result of a unique relationship between the subject and the environment, which occurs when the environment is evaluated by the person as threatening or overwhelming their resources and therefore jeopardizing their welfare” (Lazarus and Folkman, 1986). This state is reflected in four primordial areas (Vianello, 2005):

a) Clinical characterization: predominance of motor restlessness or blocking of behavior, sustained alert state with organic symptoms, generalized body aches, eating and sleeping disorders, gastro-intestinal disorders and increased heart rate.

b) Experiential structure: predominantly fear, accompanied by distrust, restlessness, confusion, uncertainty, dysphoria, hopelessness, feelings of loneliness and loss of freedom.

c) Repercussion on psychic processes: selective influence of perception, memory and repetitive thoughts with content directly linked or likely to be linked to the situations experienced. Intrusive thoughts, problems with concentration and attention, as well as loss of self-esteem.

d) Repercussion on the personality: change to self-control, feeling of vulnerability that leads to reactions of anxiety and/or depression, concern for new attacks that require changes to behavior habits and changes to daily attitudes (school, family, recreation, etc.).

The combination of symptoms of these four areas normally make up two types of clinical conditions in contextual victims (Flannery, Singer, Van Dulmen, Kretschmar & Belliston, 2006):

1. Internalized symptoms: symptoms of post-traumatic stress, anxiety, depression, dissociation, and anger.

2. Externalized behavior problems: behavior disorders with manifestations of disruptive and violent behavior, primarily at school.

The above shows how exposure to violence can affect the development of youth. However, the research is recent and is from foreign countries, and this type of research is just getting underway in Mexico. It is as a result of the above that the purpose of this work is to identify the relation between exposure to community violence and mental health in young university students.

Method

Participants

1,465 university students from 6 states of the center and north of the Mexican Republic, with an average age of 20 years, participated in the study.

Instruments

Scale of exposure to community violence (Gurrola, 2014).

It consists of 73 reagents on a Likert-type scale with five response options ranging from “never” to “very frequently”. The instrument measures direct witnessing, which implies having first-hand knowledge of acts of violence against other people, indirect witnessing,

including hearing or being informed by other people of the occurrence of acts of violence, exposure in the neighborhood, in school, and in recreational places. The properties reported for the population of Mexico were 45.53 percent of explained variance and a Cronbach alpha coefficient of 0.97 for the total instrument.

Symptom Checklist- 90 R (Derogatis & Cleary, 1977)

It consists of 90 questions on a Likert-type scale with five response options ranging from “not at all” to “very or extremely”. The instrument measures symptoms of somatization, obsession-compulsion, interpersonal sensitivity, depression, anxiety, hostility, phobias, paranoid ideation, and psychoticism. The properties reported for the Hispanic population were 41 percent explained variation and a Cronbach alpha coefficient of 0.90 for the total instrument.

Data analysis

The data were captured by the program SPSS 21 and, in order to determine the relation between exposure to community violence and mental health, the Pearson product-moment correlation (Pearson's r) was used.

Results

As shown in table 1, witnessing acts of violence is positively related to symptoms of obsession-compulsion, interpersonal sensitivity, anxiety, phobias, and psychoticism. For its part, witnessing indirect contextual violence is positively related to symptoms of somatization, obsession-compulsion, and interpersonal sensitivity. Lastly, being a contextual witness of violence in the neighborhood, school, and places of recreation are positively related to symptoms of obsession-compulsion and interpersonal sensitivity.

Table 1. Relation between Mental Health and Type of Witnessing of Community Violence

	Direct Witness	Indirect Witness	Witness of Violence in the Neighborhood	Witness of Violence in the School	Witness of Violence in Places of Recreation
Mental Health Scales					
Somatization		.336*			
Obsession-Compulsion	.699*	.807*	.778*	.651*	.786*
Interpersonal Sensitivity	.754*	.847*	.676*	.657*	.791*
Anxiety	.325*				
Phobias	.373*				
Psychoticism	.373*				

- Level of significance = .000

Discussion and Conclusions

The results obtained in this study indicate that it is not necessary to suffer personally events such as robbery, rape, shooting, or physical aggression, but merely being a contextual witness to these crimes can be as traumatic as living through them.

It was found that exposure to the different environments of community violence has in common the manifestation of strong relations with symptoms of interpersonal sensitivity and obsession-compulsion, which impacts the experiential structure and psychic processes mentioned by Vianello (2006). The above is based on fear and is to be expected since the contextual witnesses acquire it vicariously and start to distrust their peers and be obsessed with preserving their safety.

In addition to the symptoms above, young people who were indirect contextual witnesses reported symptoms related to somatization, which is in agreement with what was

found by Bailey et al. (2005) and are manifested through the perception of bodily dysfunctions and other symptoms with a strong mediation of the central nervous system, as described by Vianello (2006) in the clinical characterization.

For their part, youth who have witnessed acts of violence report a greater number of symptoms that affect their mental health. The symptoms that differentiate them from the other areas of exposure to community violence are anxiety, phobias, and psychoticism, which are related to post-traumatic stress, since, according to Fowler, Tompsett, Braciszewski, Jaques-Tiura and Baltes (2009), exposure to community violence is a form of trauma. For Fairbrook (2013), post-traumatic stress is a condition that is manifested through intrusive thoughts, somatic symptoms, anxiety, or feelings of apprehension and avoiding specific people, places, or objects, which was all reported by the youth who participated in the study. Specifically, avoiding people is related to psychoticism as measured by the mental health instrument used since it is about assessing a continuum that ranges from an isolated lifestyle to psychotic conducts (Derogatis and Cleary, 1977).

We can conclude that exposure to community violence is related, to different degrees, to the manifestation of internalizing symptoms and direct victimization is not the only form of violence that impacts youth. In this regard, violence is shown to be a phenomenon of broad consequences and its impact on contextual witnesses is not fully understood.

The above makes it necessary to mention the limitations of this study, since variables were not taken into account that may mediate the appearance of symptoms, such as accumulated exposure, proximity of the exposure, perception of violence, and gender of the participants. This is the outline for the implications for future research.

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LAW, RAPPING AND SOCIAL JUSTICE: RETHINKING TRUTH IN CONTEMPORANEITY

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Abstract

Our criminal justice system produces socially naturalized truths which authorize certain subjects' discourse, and silence others'. Rapping, as a counterculture, produces resistance from peripheral spaces in the complex power and knowledge net around us. Rap lyrics problematize a form of violence present even inside the state action, either as classifying subjects or in its so-called democratic discourse. Those questions are reasoned in this paper, in bibliographic contribution and compositions analysis in this genre.

Keywords: Truth Production, Criminal Justice System, Rapping; Resistances

Introduction:

This article is intended to characterize truth production in and by legal field, making a study of the disciplinary society to the standardization society. We acknowledge legal field, mainly the criminal justice system, through its discourses, is a strong truth producer that is accepted and reproduced as such, considering some statements naturalization and their agents legitimacy. However this scenario can be questioned because some of its assumptions are poorly applied in certain spaces, as further explained.

In order to understand and study some "silenced lores", we rely in studying rap lyrics made by composers from Pelotas, Rio Grande do Sul, Brazil and in its specialized literature. Our objective is to verify how these songs contribute to question the production of truths other than those assured by official law. In this sense, the reader is invited to discuss the social representation explained through the cultural expressions studied, in contrast to the knowledge and will power manufactured by the legal discourses, and therefore enabling us to question the current criminal justice system.

1. From the Disciplinary Society to the Standardization Society: Some Considerations on Truth Production in the Criminal Justice System

The neverending search for order, security and stability in a society is wrapped by fear (BAUMAN, 2008), it becomes particularly important to question the criminal justice system, its fundamentals and criteria used in order to assign some behaviors as illegitimate. Understanding, through legal mechanisms, the assignment of creating rules that should be obeyed, inflicting punishment to those who disobey the precepts of law, is a way to discuss truths produced in the criminal justice system. On this issue we can say that:

What is called a true knowledge is made by the game rules, by discourses that constrain these knowledges. The truth is a product of the power-knowledge, of the strategies articulation power and of the discourses taken as true. (COLAÇO; DAMÁZIO, 2012, p. 16, own translation).

The current system of law was wrought by a way of thinking conventionally called as modernity (SANTOS, 2010). The modern epistemological project is to represent the State as a center of power: "The State is understood as the sphere where all interests in society may come to a synthesis, this is, as the *locus* able to make collective goals, valid to everyone" (CASTRO-GÓMEZ, 2005, p. 171, own translation). The close relation between State, law and episteme result, among other consequences, in proposing strict rules on what is acceptable as scientific or legal, making unlawful anything beyond them.

In a perspective that doesn't see power as "The Power", but rather as nets, knots, webs and practices, in this paper we oppose to a homogenic legal ruling that aims to understand behaviors so only by the provisions of the law, as if it were the characteristic center of power. In this line, to dive in some historical aspects of the "legal truths" made up in given times allows the foundations of this study, putting the subjects formation through disciplinary rules (FOUCAULT, 2009) and normalization (FOUCAULT, 2005).

Throughout the centuries, legal practices were articulated and new subjects were created and then shaped to fulfill different rules, as law, because it is, as already said, a main producer of truths raised in different societies (FOUCAULT, 1996).

Leaving absolute power behind - that one when a king sought to ban his enemies, he had centered the legal perspective in his own hands, being lawful to "kill and let live" (FOUCAULT, 2005) -, the disciplinary power was born. It was intended to comprehend bodies individually, limiting positions, actions, inhibiting diffusion of practices; introducing predictions, clearing rules and, therefore, making it possible to keep constant surveillance among individuals, ordering space in general. In this sense:

What was then being formed was a policy of coercions that act upon the body, a calculated manipulation of its elements, its gestures, its behaviour. The human body was entering a machinery of power that explores it, breaks it down and rearranges it. A 'political anatomy', which was also a 'mechanics of power', was being born; it defined how one may have a hold over others' bodies, not only so that they may do what one wishes, with the techniques, the speed and the efficiency that one determines. Thus discipline produces subjected and practised bodies, 'docile' bodies. (FOUCAULT, 1995, p. 138).

This disciplinary society allows the framing of different legal practices, trained to the formation of subjects and subjectivities. The relationship between surveillance, control and correction (FOUCAULT, 1996), are characteristics of the criminal justice system even in contemporary times, making it possible to verify power of the disciplinary society built between the 17th and 18th centuries (FOUCAULT, 1997).

It's worth noting, to the author, this body docilization cannot be understood only negatively, because this discipline enables body positivity and use, it creates subjects "fit" to live in society and to work. The legal system relies in this disciplinary mechanism to settle the power structures, and to be possible, through law, point the social hierarchies using universal rules it stated:

[...] Whereas the juridical systems define juridical subjects according to universal norms, the disciplines characterize, classify, specialize; they distribute along a scale, around a norm, hierarchize individuals in relation to one another and, if necessary, disqualify and invalidate (FOUCAULT, 1995, p. 223).

It's clear, therefore, the criminal justice system selectivity, as its own rules marks social hierarchy. It rules not only to punish, but also to label individuals, making up among them a sever detachment, an abyssal line (SANTOS, 2010), in a alleged order by means of legal provision. Its mechanisms produce truths taken as given, as they are part of legitimate knowledge, "forgetting" other knowledges, made silent by the criminological knowledge, because:

[...] only one truth appears before our eyes: wealth, fertility and sweet strength in all its insidious universality. In contrast, we are unaware of the prodigious machinery of the will to truth, with its vocation of exclusion. All those who, at one moment or another in our history, have attempted to remould this will to truth and to turn it against truth at that very point where truth undertakes to justify the taboo, and to define madness [...] (FOUCAULT, 1972, p. 220).

A discourse is taken as true precisely by the tactics and strategies developed to allow certain discourses to stay and by silencing others, showing constant power articulation. There is, however, opposition to the criminal justice system homogeneity, yet to become speakable. This visibility allows us to discuss what is settled in legal texts, once:

[...] There is no binary division to be made between what one says and what one does not say; we must try to determine the different ways of not saying such things, how those who can and those who cannot speak of them are distributed, which type of discourse is authorized, or which form of discretion is required in either case. There is not one but many silences, and they are an integral part of the strategies that underlie and permeate discourses (FOUCAULT, 1998, p. 27)

In the face of the need of a power that did not aim only the individual body, but the massification of bodies in a range of individuals - a population - rises, circa the 18th century, another form of power, according to Foucault, which does not deny disciplinary power, but otherwise, uses it, unites to it in some circumstances, past individual bounds, permeating the social body.

This new power is called biopolitics, that is, a government reason, the art to govern through certain mechanisms, focusing in the "body-species". And through biopower this practice is exercised: "The old death potency that was symbol of the sovereign power now is, carefully, covered by the management of bodies and by the life calculative management" (FOUCAULT, 1997, p. 131, own translation). This way, the power that chose between kill or let live is reversed, becoming, then, the power to make live and let die.

Social regularity is demanded with biopower. A need for confession emerges in order to be possible to know, delimit and understand through acts and speech what the people do and plan to do beyond the discipline already set in the social body. In other words, truths are formulated based on subjects' confessions (either if made to a psychologist, to the

Judiciary or to the Government in a census, for instance), because the art of talking about a particular subject to certain subjects, allows the possibility of prediction of these speeches. To know the birth or death rates, life or crime expectancies (FOUCAULT, 1997) is a technique for saving power to the rulers; the possibility to beget a “biopolitic” that doesn’t aim just the individual body - indeed, also - but the people, the bodies mass.

One could note that a confession is made to a skilled subject that will be able to build a normative truth to rule the population. According to the analysed scope, Brazilian judiciary system predicts by law¹³⁵ confession¹³⁶ in the jurisdictional courts and it provides to the one who confesses reduction on the sentence, for instance, among other mitigating factors accordingly to charges.

However confession for itself is useless if not made in the face of those subjects owning “legit” power, in the legal field. Furthermore: the confider must show where the crime took place, the people who were present at the time and diverse other circumstances of that demeanor.

Beyond the naivety of thinking those procedures are only to ensure “fair” punishment of whoever made the alleged offense, one can realize this procedure allows to verify the territory where the crime took place, recurrence of some offenses, characterization of certain people - formerly as subjects and neighborhoods labeling and correlation between crimes and specific locations, through the act of confessing.

Ensues from it, the “virtuality”¹³⁷ of those facts, this is, being able to predict demeanors that may be committed before the labeling of either subjects, locations or “characteristic” crimes. In this sense it is worth noting that confession:

[...] it is also a ritual that unfolds within a power relationship⁴, for one does not confess without the presence (or virtual presence) of a partner who is not simply the interlocutor but the authority who requires the confession, prescribes and appreciates it, and intervenes in order to judge, punish, forgive, console, and reconcile; a ritual in which the truth is corroborated by the obstacles and resistances it has had to surmount in order to be formulated; and finally, a ritual in which the expression alone, independently of its external consequences, produces intrinsic modifications in the person who articulates it: it exonerates, redeems, and purifies him; it unburdens him of his wrongs, liberates him, and promises him salvation (FOUCAULT, 1998, p. 61).

It must be emphasized that legal rules didn’t emerge in order to bring safety to society, or ensure order, the beauty of legal regulation (CARVALHO, 2011), but because of a complex political game, the interconnection of different statements that makes the discourse of legal truth, knowledge, power.

As it has been asserted, alongside these statements there are many others silenced, this is, “subjected” (FOUCAULT, 2005, p. 12), but nevertheless absent. Practices that articulate other ways of living and being, that resist to the legal regulation. It insists in making invisible

¹³⁵ Article 197 of the Code of Criminal Procedure (BRASIL, 2014a).

¹³⁶ Here understood as a means of producing evidence in criminal procedure, which has lost its absolute value (it is no longer considered the “queen of evidences”) so it must “[...] be analyzed in its context, not in an isolated manner, but in a set composed by the collected evidence, in such a way that it wouldn’t, alone, justify sentencing, but, when located in the same line of the evidence, in conformity and harmony, it can be considered by the judge (LOPES Jr., 2012, p. 646, own translation)”.

¹³⁷ This is what is meant by Foucault (1996, p. 85, own translation) with “All sentences in the 19th century became a means of controlling, not precisely if what has been done by individuals is in conformity with the law, but what they can do, what they are capable of doing, what they are subjected to do and what they are about to do”

or silent the actions and/or positioning that disagree with the “legit” discourse in the eyes of some people.

According to this perspective the reader is invited to dive specifically in crime control practices in contemporaneity and in “counterdiscourses” that emerge contradicting the regularity advocated by the criminal justice system and externalizing other ways of living and being inside culture, as, for instance, through hip-hop movement, more precisely, through rapping.

2. Between Discourses and Counterdiscourses: Law, Rapping and Social Justice

In a society surrounded by liquid fear culture, that is, “[...] a diffused, dispersed, indistinct fear [...]” (BAUMAN, 2008, p. 08, own translation) the development of a “culture of control” (GARLAND, 2008) presents as an immediate answer to assure the possibility of order in the social; to allow safety discourse; promote previous labelling of “other” and “self”, strengthening, therefore, the walls of legal science. So, the criminal justice system, through its agents¹³⁸ (KANT DE LIMA, 2013, p. 544), presents itself as mechanism to label subjects that aren’t fully in accordance with the precepts of law: we expect possible crimes, “virtualities” to the commission of criminal practices. In this sense, we can typify:

[...] Police officers act in institutional environments characterized by weak inspection mechanisms, by generalization of organizational equity model and by the absence of articulation between formal structures and practical activities. It results that research and repression tasks are guided by a “logic-in-use” in the police medium which comprehend a knowledge inventory based in stereotypical categorizations of the criminals, where they live and how they act, and that, in its turn, stimulates the criminalization of the behavior of people who are less prepared to have their civil rights secured against the arbitrariness of police organizations [...] (BARREIRA, ADORNO, 2010, p. 306, own translation).

We can notice that this “knowledge inventory” refers to what is understood as police act legitimacy. In the logic of legal knowledge, because the police “Institution” allows conception of truth discourse, those agents are supported by legal provisions that allow their use, for instance, of “moderate strength”. Moreover, they can justify their arguments in “suspicious attitudes” of those who they approach or arrest, and rarely are questioned about it or are delegitimized in their speeches in the face of those ones who are apart of their social environment.

“[...] Confronted by a power that is law, the subject who is constituted as subject - who is 'subjected' - is he who obeys” (FOUCAULT, 1998, p. 85). Ergo, to question this obedience, this normalization, presents as incendiary in legal environment, because normality and abnormality can have different cultural acceptances, either because in some social settings reality goes counter to the supposed by law, or because this law reaches these settings in a distorted way.

As legal practices produce knowledge, we can also think as discourses produce and make legit certain knowledges upon subjects - upon women and men - and within a space - the legal one - that establishes a normal point of view of the world. On this aspect, legal discourses can make some behaviors more accepted than others, it can insert them in either a normality or abnormality frame, it continuously

¹³⁸ When we refer to the term “agents” it is worth explaining, we report the diversity of actors in the legal field such as, for instance, magistrates, prosecutors, police officers, prison guards, etc

reconstructs multiple senses in the scope of social relations, mainly between men and women (FACHINETTO, 2011, p. 35, own translation).

The insertion in this “frame” happens exactly by the belief in a power taken as legit, in different intensities, in the labeling of subjects as deviant, abnormal or, otherwise, as law-abiding, normal. The abyssal thinking, a power considered “more legit”, normalizes, therefore, relations between subjects, taking ones as “citizens” e other ones as “noncitizens”, hazardous (SANTOS, 2010), ignoring power is exercised, not owned by ones and deprived to other.

We can note, therefore, a constant struggle between knowledges, this is, a struggle for legal discourse validity as a qualified mechanism to dictate truths and to place subjects to their discourses: on one hand, statal agents legitimated by this system spreading these truths and, in the other hand, sighs, or rather, cries spreading the criminal justice system dissonance in certain locations, researches that go through this path, and, better than that, art producing peripheral knowledge in many ways, small fragments, small mobilizations, counterdiscourses.

In this context, rap is a powerful mechanism through the voices of their composers and their listeners to point out other discourses than those spread by the criminal justice system, it can also be a mechanism to resist to legal truths. The constitutional principle is opposed by numerous songs showing dissonance between this principle and daily life of a portion of society in the face of our current legal system.

We don't intend to say the discourses in rap lyrics are “truer” or more legit than those propagated by the criminal justice system. We wish to propose new questions through our lyrics analysis, asking “how” these discourses against the precepts of law are configured and why they are configured, pointing to another kind of violence: the violence¹³⁹ perpetrated by the State itself.

Also, one can understand music as a two-way road, society creates it and it is created by it; there is, thus, a manufacturing of subjects in and by culture. In this sense we can add:

Where there is power, there is resistance, and yet, or rather consequently, this resistance is never in a position of exteriority in relation to power. [...] Their [correlations of power] existence depends on a multiplicity of points of resistance: these play the role of adversary, target, support, or handle in power relations. These points of resistance are present everywhere in the power network. Hence there is no single locus of great Refusal, no soul of revolt, source of all rebellion, or pure law of the revolutionary. Instead there is a plurality of resistances, each of them a special case: necessary, improbable; others that are spontaneous, savage, solitary, concerted, rampant, or violent; still others that are quick to compromise, interested, or sacrificial; by definition, they can only exist in the strategic field of power relations (FOUCAULT, 1998, p. 95).

Hip-hop, as resistance bearer movement, is in its amplitude characterized by black youth, which seeks to emphasize their heritage through its four elements: graffiti (drawing), DJ (rhythms mixing), break (dance) and rapping (music) (SANTOS, 2002; ANDRADE, 1999). They have their “tactics” and “strategies” (FOUCAULT, 1997) to diffuse certain discourses from minority groups in more privileged classes; to stress “subjects knowledges” in contemporary. It is citing worthy (2005, s/p, own translation):

¹³⁹ Be that violence either in the arbitrary act of some of its agents, or by the omission in this acting.

Media discourse, therefore, ranges from demonizations to some glamorization of excluded people, media gives them “visibility” and allow them, somehow, report their “outcast” status and claim citizenship, bringing up the discussion of “poor people place”, or rather, the right to discourse, leisure and “access” to the city, bringing “democratization” process contradictions and their social tensions to the agenda. Peripheral culture has achieved, almost regularly, not only to produce a counterdiscourse, but, as well, to draw new socio cultural (and spatial) borders that fluctuate from exclusion and integration: a) to promote new social nets, revitalizing old social movements and community ties; b) to occupy, not always peacefully, city spaces, including prime areas; c) to denounce and expose in their songs the city “reverse postcard”; d) to enable through its events the meeting of different social segments; e) to amplify or conquer social visibility through articulation with institutionalized culture and market.

Transcending the peripheral vicinities, reaching the ears of those who deny the discourses made in “outskirts”, rapping started to create subjects. Through music these people stopped being just discourses, and became discourse producer subjects; claim producers:

Hip-hop subjectivity shows itself as a proposal to rethink concepts, very important to young people in peripheries and favelas. While little time ago they didn’t have any other choice rather than abide to be objects of police and legal discourses, by the time hip-hop developed they became discourse producers subjects and made room to fulfill of concepts the slums everyday, formerly reduced to the lack of conceptualization of social marginalization [...] The black stain spreads through brazilian subjective cartography. Surprisingly, middle and high classes discover there was an empty space in urban maps, something that doesn’t shoot bullets and steal tape players, but, rather, wants to produce culture, to point these elites perversity and claim for change - that is, something much more hazardous than it seems (GEREMIAS, 2006, p. 132 e 127, own translation).

The perspective is to bring up peripheral knowledge to widely accepted legal norms, highlighting the abyssal division between them (SANTOS, 2010), noticeable in the following lyrics. Pok Sombra, the composer, questions the “normality” granted to ones and the “abnormality” imposed to others.

I don’t think about being remembered as great Mandela/ But I think about making my own part for the favela kids/ Those who watch on screen, hop, drugs and prostitution/ Alienation on MTV and “Plim-Plim” [...] (POK SOMBRA, 2011, own translation).

We can note in the lyrics the will to produce reports about the place they live in, bringing their neighborhoods to context, addressing difficulties in their daily tasks, violence in the outskirts and complaints on not being heard in spite of their cry. According to Jair Brow:

[...] Total violence, general decay, brother killing brother, .50s, .38, at the end, suburbs are bad, son sitting on the edge of the canal, he looks at the others, listens the pop, talks to his bro, he knows there’s no return [...] Ease your mind, be intelligent, be a smart bro, here it’s always present [...] No one cares here, shouts I didn’t hear, many towns are likes this, I give you the bad, dark times, Vila Castilho, Bairro Dunas, Bom Jesus. The lights go out for many [...] schools,

what for? Cruel everyday life, many go to Heaven [...] Panic: in the suburbs, our day-to-day lives make us hurry/ There are few improvements, observe!/ So get a grip! There are many ways to change [...]/ Don't feed your mind with false illusions/ Look for a better way, better options (JAIR BROW, 2012, own translation).

In the following composition, it is pointed the perception of the songwriter against the criminal justice system through dictums used in the rhymes. It is stressed that Guido – the songwriter – puts the different stages of criminal process, be it the entrance to the “new world”, the creation of a new subject and their representation of those who judge them:

Today it's so hard to see sunshine/ If things seem bad, brother, it's natural/ Even saying time stopped/ But know this, everything goes back to normal, everything goes back to normal/ The sight darkens, darkness has taken place of light/ Welcome to the new world/ a.k.a. prison/ Where your friends will be gone, stars won't shine/ Where you can only be sure the doors were closed/ Knees bend, hands get tied/ Mouths got shut and eyes that cried/ Things that were thought, years that passed/ Memories that are gone and never came back/ Ideas were imagined, characters were created/ Fake world I created and one day they abandoned me/ Men who judged me in the end condemned me/ Today I am who I feared the most, the monster they created/ They don't heal me, they only humiliate me/ They killed the good things that existed around me/ My world went downhill, my lungs can't bear it/ I'm curious about knowing my new being, be prepared [...] (GUIDO CNR, 2012, own translation)

It is interesting, also, to highlight a stanza of a rap song produced by Gagui IDV. The complaint made in the lyrics is clear in the sense of relating the social disparity, moreover fantasies which are created to cover the apartheid still experienced in contemporary society:

Leave it to me that the manumission will be rewritten/ Without Princess Isabel, no probation/ No dreaming that discrimination is made up/ No hypocrisy of the covered apartheid[...]/ Hail the rap redemption in every corner of the ghetto (GAGUI IDV, 2011, own translation).

These rap lyrics demonstrate the complex power and knowing net that pervades contemporaneity. Among various approaches, it is noticed the production of discourses made by those who are generally considered illegitimate to build truths. The resistances through music denounce and face disparities in the criminal justice system against the constitutional principle of equality. This is pointed through the dictum put on songs, not of previous or future interpretations or projections, but what it is, actually, described on them.

In the same way, it is inferred that the projection of subjects' speeches and practices, allowed in and by the criminal justice system built in modern times, with the objective of forming behavioral regularities is defied. The individuals who transit through the referred lyrics above are not – or are not just – those who “shoot bullets and steal tape players”, but those who discuss other ways of being and living in this world through culture. Pushing to the limit, the very violent actions of the State that can create the “monster”, who is not “healed”. This exposes the contradiction between a democratic discourse and social spaces which sometimes are silenced by some practices, but remain wrapped in the plot of power and because of that, resisting.

The need of dialogue with other ways of reality contextualization becomes necessary in the search of approaches of legal discourses and discourses produced in and by rapping.

Not to create a more legitimate, more truthful knowledge, but so that other ways of being and living in this society come to light and be liable for discussion, putting “silenced lores” on the level of considered legitimate knowledge, allowing different ways to understand the local culture.

Conclusion

As shown in this paper, the criminal justice system suffered many crossings in order to become the rules-and-discipline system established nowadays. The disciplinary and normalization forms created, emphatically, in modern society, allowed creation of truths and their naturalization as foundations in legal planning.

Following the deconstruction of this homogeneous way of thinking, other ways of living and being in this society started to be questioned, checking the creation of “counterdiscourses” as a way of resistance to this lawful precision, overcoming the idea that power is concentrated in the hands of some and taken of others, although it is presented in relational character.

In this sense, it was brought to discussion some Rap lyrics produced in the city of Pelotas, Rio Grande do Sul, Brasil, addressing different ways of living and being in contemporary culture, denouncing social disparities, reporting the existing abyss between the truth discourses produced in the legal field and what is experienced by individuals from outskirts of society. It is not intended to consider a discourse more legitimate than another, but to reassure the spread of different discourses and crossing of different truths.

It is shown, through what has been here exposed, the importance of music in contemporary society and the relevance which this cultural expression holds as a mechanism capable of enabling other ways of thinking and making different views of a portion of society on the criminal justice system. And so it is possible to create fissures and cracks on the solid legal thought, questioning its produced truths, pointing other ways to understand the social, not more or less legitimate, but open for discussion and analysis of social complexity of current time.

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DISCOURSES CONCERNING IMMIGRANT INTEGRATION: A CRITICAL REVIEW

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Abstract

Theoretical debates about integration are produced by concerned nation states responding to the cultural and religious diversity found within its citizenship. A significant amount of international migration literature is devoted to the subject of managing diversity. Integration is stated to be a product of the intersection between individual migrant aspirations, with regulatory frameworks in four domains – state, market, welfare and culture Freeman (2004). Traditionally, integration debates were classified as being either pluralist versus assimilationist (Gans, 2005) or differential exclusionist, assimilationist and multiculturalist (Castles and Miller 2003). This review departs from these classifications and argues that the above demarcations do not necessarily encompass the depth of the debates of integration in the post 11 September 2001 environment. In fact, the management of ethnic, cultural and religious diversity has become more necessary for governments, researchers and media commentators since the tragic events of 11 September 2001. As a result, this paper adopts more informative categorisations of the discourses concerning migrant integration that take into consideration important actors and players in the process of integration, namely the nation state, the academic field and the media.

Keywords: Discourse, migrant, integration, incorporation, diversity

Introduction

The management of ethnic, cultural and religious diversity has become necessary for governments, researchers and media commentators. A significant amount of international migration literature is devoted to this subject of managing diversity. Theoretical debates about integration are produced by concerned nation states responding to the cultural and religious diversity found within their citizens. Indeed, the increasing diversity among today's migrants presents both opportunities and challenges to all nations across the globe. Some of the opportunities include the advantages that diversity lends to a nation's trade competitiveness in global markets. It also includes the ease of development of global networks of business partners and suppliers. However, on the other hand, diversity poses some unique challenges in a globally interlinked world. One of its main challenges is the integration of newcomers into dominant host societies, especially when these newcomers have diverse racial, ethnic, cultural and religious backgrounds.

The approaches adopted by each of the integration's constituent actors (states, academics and the media) in managing diversity has to date escaped in-depth scrutiny. However, the core principles of the management of diversity are assumed to be that the risk of avoiding that society's rich diversity does not cause the social and political fragmentation which makes achieving social cohesion difficult. It is this subject of managing diversity that has prompted public discussions about migrant integration in Europe, North America and Australia. Many immigrant receiving countries in the western world have developed integration policies in an attempt to manage the ever growing social diversity produced by

immigration. However, in most of these governments, social integration policies and the approaches to diversity management differ slightly. However a common concern for these governments remains the risks of inadequately addressing this issue of migrant integration, thus creating an environment in which public discussions about integration are conducted in a prejudiced, emotive fashion,. This paper provides an overview and an analysis of the discourses of integration debated in the scholarly literature and finds that the debates are dominated by three major discourses, namely state discourse, academic discourse and media discourse.

State Discourses about Integration

The management of ethnic, cultural and religious diversity is a major government function. The state, as an important actor, develops policies and programs to incorporate newcomers into their societies. It has legislative powers to determine the size and composition of the flow of migrants and newcomers into the sovereign state. It has a distinct and undeniable responsibility for the successful resettlement of migrants into their new societies to ensure that cohesiveness and inclusion into the wider society is realised. Based on its unique responsibilities in the integration discourse, the state is an important player in public debates about the integration of migrants. Across Europe, North America and Australia, migrant receiving nations have developed national models of immigrant integration. Whilst the model each country has adopted is dictated by the local environment, their anticipated aim remains to incorporate migrants successfully into the wider host society.

Discourses about immigrant incorporation at state level have been in existence for quite some time, and have been evolving and changing over many decades. The evolving and changing discourses of integration could be explained to be due to the significant increases of movement of people from one part of the world to another. An adjustment of social policy is required to manage the diversity of groups of people moving from their ancestral homes to countries with different cultures, ethnicity, race and religions. As a result, the state is now confronted by a new set of realities that are harder to cope with, which differ from the traditional ways of resettling newcomers from somewhat similar backgrounds. It has become imperative for the state to engage this in discussion in reference to the undeniable fact of today's globalised society which is characterised by diversity, not only in race but also in religion and ethnicity. Since the events of 9/11, contemporary migrant integration literature struggles to find a balance between diversity and integration, and faces dilemmas in the interplay between terrorism, radicalisation, extremism and integration. The importance of balancing the demands of integration with the reality of diverse communities is paramount, as "othering" some communities such as the Muslim community may in itself impede the lofty ideal of integration. Poynting (2009) notes a resurgence in the general public's worry about the integration of Muslims into Australian society, and calls Muslims the immigrants who are most discriminated against (or othered`), claiming this to also be a trend in Europe.

Among the most discussed themes found in the literature concerning these state discourses about integration are the models of assimilation, integration, multiculturalism and citizenship. Different states adopt different models of integration based on their political and social realities. State discourses about integration receive much more attention than academic discourses, as they become the governments' official integration discourses. These state discourses about integration include both assimilationist and pluralist ideals of incorporation. The oldest and the most discussed state discourse concerning integration is that of assimilation (Castles and Miller, 1998). This review found that despite being the oldest model of integration, to date, assimilation has significant relevance in public discussions about immigrant integration.

Assimilation was the dominant theory of immigrant incorporation during the period of the 1920s and 1930s (Castles and Miller, 1998), and is primarily associated with the work of Milton Gordon (1964). It is important to understand the various meanings and definitions given to the concept of assimilation. For instance, Heisler (1999) states:

Assimilation is a multifarious process involving several stages (seven, to be exact) moving from mere acculturation (the adoption of language, religion and other cultural characteristics), structural integration (interaction in primary relationships and the absence of discrimination and prejudice) and finally assimilation.

Assimilation is also defined as the “policy of incorporating migrants into society through a one sided process of adaptation: immigrants are expected to give up their distinctive linguistic, cultural or social characteristics and become indistinguishable from the majority population (Castles, 1999)”. However, the above definition is contested by contemporary scholars such as Bloemraad, Korteweg and Yurdakul (2008) who point out that this view of “single sequential path of assimilation” by which immigrants give up past languages, identities and cultural practices is being challenged by new models of “resurgent or reactive ethnicity” that suggest that racial hierarchies and/or limited economic opportunities shape identities and integration (p.163). This traditional view of assimilation also faces criticism from a number of other scholars. In fact, within a decade of the publication of Gordon’s book in 1994, assimilation theory’s hegemonic status came under attack (Kivisto, 2005).

But it is works like that of Glazer (2005) which question the practicality of assimilation as an effective method by citing the impact assimilation had on racial and ethnic elements in the United States, and its failure to successfully assimilate the African American populations. Other contemporary scholars such as Morawska (2005, p. 128) summarise the arguments for and against assimilation as follows:

Political and moral arguments in favour of assimilation have been based on such beliefs as these: the drastic reduction of the salience of ethnic group membership supports greater equality, weakens the sources of discrimination, increases individual freedom, and helps create more flexible society. Political and moral arguments in favour of dissimilation – the preservation of subculture differences and even their revival – have been on such beliefs as these: ethnic groups can be powerful centres of opposition to coercive states, can protect valuable cultural resources that are lost in a basically one-way assimilation process, and can reduce anomie and the sense of alienation by giving individuals an identity in a complex and confusing world.

A significantly large bulk of literature views assimilation as being a model that has passed its use by date mainly because, since the 1960s, the world has gone through a significant technological, transportation and communication advancement, which has made the movement of people between oceans and countries easier. For example, Doornick and Knippenberg (2003) criticised assimilation as an “illegitimate and virtually unusable model of incorporation in today’s modern societies“ and condemned it as being “a strategy that used violence, repression and coercion to absorb minorities into majority culture” (p.44). Other criticisms levelled against assimilation are its limitations and the narrow focus of primarily the newcomer to adjust, not giving enough attention to the necessary adjustments that receiving societies must make to accept and accommodate newcomers (Heisler, 1999).

This review acknowledges the existence in the literature of various understandings of assimilation. For instance, to illustrate the complexity of the term, Kivisto (2005) points out three incontrovertible facts about assimilation that he has identified: “(1) there is little consensus about what we mean by the term; (2) it remains highly contentious; (3) it is back in

vogue”. Additionally, the way in which a state practices assimilation might be different to the way in which another state will employ this process. It is evident in the literature about immigrant incorporation that in the application of assimilationist models, there are variances between nations and societies. For instance, Legrain (2006, p. 266) explains the French model of assimilation as “exacting a heavy toll on personal freedoms, by striving to erase cultural differences, without delivering the equality and national cohesion it espouses“. The author goes even further and asserts that this one size fits all homogenisation that the model proposes seems “neither desirable nor achievable” Legrain (2006).

In the contrasting ways in which states respond to immigrant incorporation, Castles (1999, p. 3-17) concludes that “pluralist models of incorporation depending on the degree of state intervention are far superior and more successful than assimilation and differential exclusion models”. It is evident in the literature that some immigrant receiving nation states may have used a mix of migrant integration methods. However, Castles (1999, p.3) found that where nations have adopted an assimilation model but also attempted to embrace elements of the pluralist model, they found a contradiction between stated goals and actual policies. For instance, Castles (1999, p. 16) provides the example of countries such as France and the Netherlands as states based on political and cultural communities which tend to follow an assimilation model, however they seem to be partially moving to a pluralist model of immigrant incorporation.

In the case of countries such as Australia, Canada and the United States, Castles (1999, p. 16) found that a predominant model of immigrant incorporation is the pluralist one, based on “encouraging permanent residence with easy naturalisation and access to civil and political rights”. In spite of all the criticism of assimilation as a model discussed above, there are defenders of assimilation policies, including some contemporary scholars. For instance, Glazer (2005) in answering his own question – Is assimilation dead? - states that “the word may be dead, the concept may be disreputable, but the reality continues to flourish“ and he cites the high rate of intermarriage of European ethnic groups as a clear example of “how thin ethnicity became among Americans of European origin” (p125). Unlike theories about assimilation found in the literature, other discourses concerning immigrant incorporation in various states appear to be mainly pluralistic. Pluralist models of immigrant incorporation that are extensively discussed in the literature about immigrant incorporation are models describing citizenship and multiculturalism.

There also exists a significant amount of literature proposing a national model of citizenship as a prominent method of immigrant incorporation. Li (2003) states that successful integration is understood to mean a process of granting citizenship rights and entitlements to newcomers (pp.330). The grant of citizenship through a process of naturalisation is therefore a pluralist model of immigrant incorporation that is generally considered will encourage immigrants to become a permanent part of the mainstream society. Bloemraad et al. (2008) define citizenship as a “form of membership in a political and geographic community. It can be disaggregated into four dimensions: legal status, rights, political and other forms of participation in society, and a sense of belonging (p.154)”. Bloemraad et al. (2008) also state that citizenship encompasses “legal status, rights, participation, and belonging which are traditionally anchored in a particular community with a defined national identity and territorial sovereignty (p.154-155).” Based on this definition, citizenship, that is legal status, rights, full participation or belonging, usually happens within the borders of the country in which immigrants settle. However, this is very much complicated by the fact that “over the past two decades, an expansive and growing literature questions such a bounded approach, raising normative and empirical questions about the relevance of state borders (Bloemraad et al, 2008)“. However, other works such as that of Bloemraad (2004) found shortcomings in the model, and they argue that a traditional model

of citizenship naively assumes that immigrants gradually lose attachment to their country of original citizenship, and that most immigrants will change their primary identity and loyalty to that of the receiving country.

Erdal and Oeppen (2013) argue that integration is the “most common form of referring to migrant adaptation process, not only when discussing the normative dimensions of policy, but also when discussing empirical patterns or migrants’ own experiences (p.869)”. It is not entirely clear from the scholarly literature whether “integration” is a stand-alone discourse of immigrant incorporation. This apparent confusion on what “integration” means is the result of the proliferation in meanings of the term ‘integration’. This review notes this complexity and the confusing nature of various definitions and terms that are used to describe the processes of incorporating immigrants into their new societies. For example, Weiner (1996) points out that the different terms used, such as *integrate*, *absorb* and *assimilate*, all suggest the high level of complexity, ambiguity and contention in understandings of what integration actually means.

The confusion in the literature appears to come from the apparent interchangeable use of the terms “integration” and “incorporation”. Further analysis of the literature reveals the existence of contradicting definitions (both assimilationist and integrationist) of what integration means. For instance, Shadid (1991) defined integration as “the participation of ethnic and religious minorities, individually and as groups, in the social structure of the host society while having possibilities to retain the distinctive aspects of their culture and identity”. Others such as Mogahed and Nyiri (2007) propose a definition of integration as being less about cultural conformity, and more about having shared goals and commitment. Legrain (2006) argues that integration is a two way street, where immigrants need to have the will to assimilate to local ways; and natives must be willing to accept them, but he concludes that if society is racist, immigrants will not be able to integrate. It is apparent in the literature that the term ‘assimilation’ is also defined in different ways.

A further confusion in the scholarly literature is a difference between one group and another concerning what ‘integration’ means. This problem is also noted in a United Nations briefing paper for a world summit which found that:

Social integration might mean different things to different people. For some, it can be an inclusionary goal, meaning accessing equal opportunities by all. For others, becoming integrated can have a negative connotation and unwanted imposition of uniformity. For some, it might mean neither (United Nations Research Institute for Social Development, 1994).

Furthermore, Mogahed and Nyiri (2007 p 2) in their article *Reinventing Integration: Muslims in the West* proposed that integration be redefined as being less about cultural conformity, and more about having shared goals and commitment. They opposed the use of the *hijab*, or woman’s veil, and other religious symbols as a being seen as a measure of integration and suggested that more focus be placed on issues of substance rather than on artificial indicators of integration such as appearance. Soysal (1994, p.30) explains that integration occurs automatically as immigrants begin to participate in the legal system and organisational structures, and become part of the host nation’s welfare system, become involved in starting businesses and securing permanent housing for themselves.. Integration also begins when migrants gain access to the rights and privileges afforded to the host society and participate in their new society’s election procedures. Analysis of the current literature reveals that most of the work concentrates on the individual immigrant rather than on the receiving communities. According to Li (2003):

“the current academic discourse on immigration seldom interrogates the notion of integration as a theoretical concept. Instead, it readily adopts a narrow empirical framework for studying integration by measuring how immigrants differ from native-

born Canadians. In so doing the academic discourse has unwittingly accepted the conformity premise of integration and has equated the extent of immigrants' integration with the degree of compliance with the average Canadian standard.

Overall, Erdal and Oeppen (2013) state that “integration has been used as a middle ground between multiculturalism and assimilation as it focuses on migrants’ full participation in the labour market and their formal citizenship, but left matters of social membership and cultural preferences open to personal choice“ (pp. 869).

Amongst all the discourses about immigrant integration, the concept of multiculturalism has received significant attention from policymakers, academics and the media. The discourse about multiculturalism and integration emerged from the realisation by the receiving countries that the notion that all newcomers should join the majority national culture is unworkable (Castles and Davidson, 2000). Arguably, until today, the concept has been resisted by individuals and groups in a number of western nations. Multiculturalism as a pluralist model of immigrant incorporation seems to overlap with other models of immigrant incorporation in some shape or form. For instance, Doornick and Knippenberg (2003) assert that the dominant form of incorporation of immigrants into receiving societies is integration into a multicultural state. Furthermore, a report produced by the National Multicultural Advisory Council (1999) expressed the view that “concepts of citizenship and multiculturalism are interlinked but each is important in its own right“ and the report explained that ‘citizenship’ does not negate the place and role of Australian multiculturalism.

On the other hand, multiculturalism as a concept may be embraced by a number of states and societies but its application and impact on the perceptions of the members of the host society might substantially differ. For example, Legrain (2006) points out how the Canadian model of multiculturalism is a great success by citing the city of Toronto’s motto, “Diversity Our Strength”, and the fact that “Canada as a country does more than pay lip service to multiculturalism by even encouraging children of immigrants to learn their parent’s native languages” (p.284). Despite its popularity and its decades long use in many parts of the western world, the concept of “multiculturalism” has come under sustained pressure and criticism on a number of fronts. For example, Samani (2007) points out that the discourse about the terrorist attack in the USA in 2001, the attack on the London underground in 2005 and the Spanish train bombing in Madrid in 2004 implicate multiculturalism in part as being “culpable” for these criminal acts. Locally in Australia, there appear to be a bipartisan policy shift between the conservative Liberal and National parties and the Australian Labor party which moves between multiculturalism and integration. Bloemraad (2006 p. 233) points out that Australia, a country that previously embraced multiculturalism, is now retreating from this method of integration, and is adopting a *laissez faire* immigrant integration system similar to that of the United States. Assumptions built on the *laissez faire* model include the notion that an individual immigrant’s choice, plus a framework of individual rights and anti-discrimination legislation, will result in the incorporation of new immigrants into a unified citizenry (Bloemraad 2006, p.233).

In the case of Australia, this shift in policy and approach is demonstrated by the 2007 Liberal National conservative coalition government’s change of name of the federal Department of Immigration and Multicultural Affairs (DIMA) to the Department of Immigrant and Citizenship (DIAC). The latter emphasises citizenship rather than multiculturalism, which has been removed from the department’s name. It can be argued that the importance placed on citizenship, followed by requirements for immigrants to take citizenship tests, could seem to be creating a vetting process whereby citizenship is denied for some, or to ensure that their conformity to the mainstream is enforced. In government, the

Australian Labor party re-embraced multiculturalism and reignited the debate¹⁴⁰. However, Portes and Rumbaut (2006) report that there is a widespread view among the members of many host societies, in particular in America, that having a distinct cultural and ethnic identity undermines unity and social integration. Others such as Jongkid (1992) assert that preserving one's own culture further increases the feelings of alienation (p.365).

In the discussion above it seems to be fairly obvious that there are multiple discourses about integration, all with various meanings and conceptualisations. Doornick and Knippenberg (2003 p.46) explain that the "integrationist" model of immigrant incorporation appears to be superior to assimilationist notions of integration because of the former's culturally-pluralistic basis. In all of its different forms of incorporation, Erdal and Oeppen (2013) assert that state discourses about integration consist of a one way process where the burden is placed on migrants to integrate into the societies of settlement (p. 869). This point is vehemently rejected by Ehrkamp, (2006) who argues that "Integration should be a process of negotiation and relationship between members of host society and migrant groups and individuals" (p. 1673- 1692).

Correspondingly, there is an emerging number of non-state discourses concerning immigrant integration, namely the concepts of transnationalism, postnationalism and cosmopolitanism, which are discussed in the next section of this review.

Academic Discourses Concerning Integration

Discourses concerning migrant integration are not only debated in government circles and public policy forums. In fact, debates about the successful integration of immigrants and newcomers into the wider society are also taking place in the academic sphere. The distinction between these two parallel debates suggests that in academic circles, the debate tends to be generally pluralistic, if not universalistic. The major discourses of integration debated in the academic sphere include the concepts of transnationalism, postnationalism and cosmopolitanism. Sometimes referred to as theories of integration, these discourses are not models that are necessarily adopted by states as policies of incorporation, but they are theories about integration as documented in the academic arena. A common theme amongst these discourses is their pluralistic and universalistic nature, and their claim that the mass movement of people of diverse backgrounds from one part of the world to another demands a fresh approach, taking into account universal human rights. But the difficult is that, even though these discourses are sound in theory, they have not been tested either by states or societies. To date, no state has ever developed an integration policy including concepts of postnationalism, cosmopolitanism and transnationalism. Despite this fact, these concepts remain central to the academic debates concerning integration. Amongst the most popular of these academic theories is the concept of postnationalism.

Postnationalism is the notion that the grant of citizenship, including legal rights and status, is not sufficient to fully incorporate immigrants into the host society. In her book *Limits of Citizenship*, Soysal (1994) cites world pressures such as universal human rights as being a new force, making the existing models of citizenship less important. Whilst postnationalists acknowledge that citizenship occupies a central place in the processes of immigrant incorporation, according to Bloemraad (2004) they similarly assert that "theories of post nationalism challenge the very idea that citizenship remains linked with state membership be it territorialised or not (p. 392)". In the contemporary immigrant incorporation literature, this view is gaining momentum. It is in line with the idea that analysis solely centred on the experience of individual nation-states becomes a barrier to the

¹⁴⁰ The previous Labor government's Immigration Minister, Chris Bowen, explains how, in Australia, multiculturalism is different to that of Europe and refers to it as being "genius multiculturalism" (DIAC 2011).

understanding of the phenomenon of global immigration. In support, Thomas (2006) explains that postnationalism is the view that national citizenship is giving way to a new postnationalist perspective, which is influenced by international human rights norms and respect for personhood. Similar views of how human rights undermine traditional notions of citizenship, due to their power as an accepted normative framework, were also advanced by Bloemraad (2004). It is also claimed that “states are increasingly instruments of implementing international human rights conventions and norms” (Joppke 2005: 6). In general, according to scholars of postnationalism, human rights undermine traditional notions of citizenship due to their power as an accepted normative framework and through their institutionalisation (Bloemraad 2004 p. 392-396).

However, the literature concerning the postnationalism model of immigrant incorporation has been challenged by other scholars. For example, Joppke (1999, p. 187) asserts that the limitation of postnational membership is that it is well suited for the first generation of migrants who have a “deceptive” idea of returning home one day. Other criticisms include those of Bloemraad (2004 p. 389-426) who used a sample of Canadian statistical census data and found that “there is little evidence that immigrants adopt a strict postnational view of citizenship but reveal the possibilities of transnationalism and continued relevance of traditional frameworks”. In reference to earlier models, and using the case of Germany as an example, Joppke (1999, p. 189) explains that postnationalists viewed assimilation as being both undesirable and unnecessary, as it violates the dignity of the individual and is against the constitution that protects the liberty of the person in spite of citizenship.

In an era of globalisation and massive international movement, with virtually blurred boundaries, one of the new and emerging concepts of immigrant incorporation is that of cosmopolitanism. Just like other academic discourses of integration discussed above, cosmopolitan theorists stress that the globalised and interconnected world we live in dictates that we identify beyond the boundaries of our nation-states. Today, the concept of citizenship is being contested in studies into the cosmopolitan identity. Within the literature about international migration, the contributions of the concept of cosmopolitanism and cosmopolitan citizenship cannot be ignored. Emphasising the importance of cosmopolitanism, Skrbis, Kendall and Woodward (2004) explain the level of interconnectedness and interdependence in the world, and cite Chernobyl, the AIDS virus, terrorism and CNN as being factors that influence the lives of many people in different parts of the world.

In relation to the extent to which people are connected to the world and to their local settings, Woodward, Skrbis and Bean (2008b) found that almost two-thirds or 65% of subjects in their study claimed that they feel that they are both a citizen of the world and of their country of origin. In spite of this, cosmopolitanism remains as an abstract concept and a good theory. To date, no state or government has adopted cosmopolitanism as a model of immigrant incorporation. That is not to say that it cannot happen. It may perhaps happen if, as stated by Skrbis and Woodward (2007), society eliminates the contradiction of accepting the benefits of an interconnected world such as travel and international cuisine whilst being less keen on showing hospitality to foreigners, strangers and immigrants.

Transnationalism and transmigration as a form of incorporation of migrants is vehemently discussed in the academic literature (Erdal and Oeppen, 2013, Anghel 2012, Guarnizo et al., 2003, Portes et al. 1992, Waldinger and Fitzgerald 2004, Portes and Haller 2006). It is evident from the literature concerning international migration that the concept of transnationalism has also created significant interest in the recent past. In response to one way assimilation, American sociologists and anthropologists have introduced transnationalism as being a new model of belonging and incorporation (Hagan, 2006).

Transnationalism is a concept that allows individual immigrants to have multiple attachments. Contemporary works such as that of Clark (2009) which addressed the concept of nation state belonging among Asian Australians and the question of transnationals, is worthy of note. Using the data on an Australian survey of social attitudes, Clark found that migrants are likely to develop multiple attachments to local and global allegiances that lie beyond boundaries of the nation state. The study also found that Asian Australian migrants hold similar views to the rest of the Australian population towards the nation state.

Transnationalism has direct interactions with the processes of migrant integration. The question is, what are the relationships between the concepts of integration and transnationalism? Erdal and Oeppen (2013) identify four different, overlapping positions in the literature about this relationship. Firstly there is the alarmist view – divided loyalty preventing migrants from integrating fully in the host community, then there is the less alarmist but pessimistic view that the state's transnational activities may help the integration of migrants who hold less human and cultural capital. This is followed by the positive position which states that integration and transnationalism could be mutually supportive, and finally there is the fourth proposition which states that transnational ties exist alongside processes of integration, so the concepts are not mutually exclusive (pp. 872-873). Central to the debates of transnationalism is the question of how migrants should organise themselves, or whether or not transnationalism is at odds with nationalism. This debate is concerned with how migrants' transnational posture interacts with the model of integration that is adopted by the state. In answering this important question, Erhkamp (2013) informs us that national models of integration alone do not shape the incorporation of migrants. In a study of ethnic Romanians who migrated to Germany and Romanian migrants who migrated to Italy, Anghel (2012) found that migrants' transnational involvement plays a crucial role in their status and sense of success at a national level (pp. 322). In fact, researchers found that transnationalism both advances international trade and helps provide an income strategy for underprivileged migrants, however at the same time, it impedes adequate incorporation into the host society (Snel, Engbersen and Leerkes 2006).

Contemporary research into transnationalism mainly focuses on the study of a specific ethnic group's transmigration and is generally concerned with how transnationalism affects the integration of ethnic minority groups. For example, Erik Snel, Engbersen Godfried and Leerkes Arjen (2006) conducted a survey of 300 immigrants (from USA, Japan, Iraq, the former Yugoslavia, Morocco and the Dutch Antilles) and found that, in general, transnational involvement does not impede integration. However, migrant groups known for their poor integration levels have less involvement in transnational activities. In the case of Moroccans and Antilleans who had the weakest participation in the labour market, it was found that they identified more strongly with their country of origin than the migrants from other countries. In general, the concept of transnationalism is a politically sensitive subject within certain states and groups in various societies and it is seen to be at odds with integration and citizenship.

Transmigration is also a controversial issue when arguments about divided loyalty can be exploited by powerful groups and dominant host society members. In fact, Bloemraad (2004) made the observation that denial of citizenship was justified as it undermined the exclusive link between an individual and the sovereign nation state (p. 389). From the above discussions about academic discourses of integration, it is apparent that academic theories of integration include some that are critical of pluralist forms of integration, instead promoting the notions of conformity and uniformity. However, the vast bulk of scholarly literature tends to support pluralist notions of integration. Li (2003) argues that the concept of integration in academic discourse is primarily about how to bring together various elements of society, and is mainly concerned with social order and social change. From this understanding, it appears

that academic discourses about integration are generally more accommodating than state discourses concerning integration, as discussed above. Just like the state and the academic spheres, the media has weighed into the debate about migrant integration.

Media discourses of integration - sensationalism

In analysing the media discourse concerning integration, this review is seeking to shed light on the image that the media portrays of immigration and migrant integration. It is imperative to understand the way that the media reports issues about integration, and this understanding may provide insight into the role the media plays in building a socially cohesive and harmonious society. This literature review looked at the media discourses about integration, as the role that the media plays in pluralist societies is crucial in maintaining social cohesion. The media's profound effect on its consumers understanding of the world view should be considered in matters of immigration, as the media has an important role in the integration of new immigrants (Christoph, 2012). The media is often referred to as a social institution and a major element of contemporary western society. Matters relating to immigration are quite often newsworthy in the major migrant resettlement countries in the west. This is coupled with the media's distinctive informational source that functions as a powerful co-author of individual understandings of social matters (Matei, 2011: 86). In most media outlets, debates about migrant integration are polarised. The reasons for this can be attributed to the fact that through the media, social processes create narratives or stories within interpretive frameworks that are imbedded in the cultural and political assumptions of the wider society (Aly, 2007: 27). In fact, arguments are advanced which include "most of our social and political knowledge and beliefs about the world derive from the dozens of news reports we read or see every day" (Dijk, 2006).

The power of the news media to set a nation's agenda, to focus public attention on a few key issues, is an immense and well documented influence (McCombs 2004:87). In the case of the Romanian print press, Matei (2011) finds that negative media reporting about migrants is sensationalised, relies on evidence based on isolated cases, lacks context and has a high degree of generality. Consumers rely heavily on the media's discourse about integration. In fact, claims have been made that "not only do people acquire factual information about public affairs from the news media, readers and viewers also learn how much importance to attach to a topic on the basis of the emphasis placed on it in the news" (McCombs 2004). The role of media in society is understood to be even deeper than news provision, as it is seen to also set public policy agenda. As McCombs (2004) states, the agenda-setting influence of the news media is not limited to this initial step of focusing public attention on a particular topic, but also influences the next step in the communication process, our understanding and perspective of the topic in the news.

With its powerful influence and its ability to set the agenda for society and influence public opinion, the media's discourse concerning integration is quite different to that adopted by governments and as stated in the vast bulk of academic literature. The role the media plays in the important debates and public discussions about migrant integration are usually negative. Regrettably, studies have shown that the media discourse concerning integration tends to represent negative reporting of news about ethnic minorities (Christoph, 2012). Issues of migration and integration are negatively reported in the Dutch media (Roggeband and Vliegthart, 2007) as well as in the English media (Luchtenberg and McClelland, 1998). In Australia, Muslim immigration has received a vast amount of negative media reporting, specifically in matters relating to Muslims' integration into the wider Australian society (Aly, 2007; Celermajer, 2007; Rane and Abdalla, 2008; Rane and Hersi, 2012).

The media's negative representation of migrants in general, and Muslims in particular, is different in Australia and in some West European countries. For example, a comparative

study conducted by Luchtenberg and McClelland (1998) found that Australia's print news media was more accommodating of diversity and multiculturalism than the German print news media. Despite this difference, the media's negative reporting of Muslim integration in Australia is well documented. Nearly 2.2 percent of the Australian population identify themselves as Muslims (ABS, 2011). Despite their numbers being insignificant in comparison with the rest of the population, Australian Muslims receive more attention than any other group in the media and in parliamentary politics (relating to immigration, policing, national security and integration, etc.) (Eric and Nahid, 2008: 18).

Debates about the integration or lack thereof of Australian Muslims continue to dominate the media in many western countries. It is therefore imperative to examine the way these important debates about Muslim integration are reported in Australia's print news media. Rane and Hersi (2012) found that the issues of Muslim integration reported in four of Australia's major newspapers, namely *The Age*, *The Australian*, the *Sydney Morning Herald* and *The Courier Mail* are biased. Using a framing perspective, the study found that the issue of Muslim integration occurs most frequently in coverage concerning the debates over multiculturalism and Australian values, as well as debates about terrorism and radicalisation. However, in only a minority of articles is any definition of integration provided. When the term is defined, cultural and civic indicators are most frequently used. Very few articles discuss integration in terms of legal, economic, political or broader social indicators. *The Australian's* press coverage of Muslim integration contains both favourable and pejorative representations of Muslims; on balance the coverage could not be said to be either pro or anti-Muslim. However, the coverage tends to focus on certain themes that represent only a minority of Muslims, such as radicalisation and terrorism, the emphasis on which is likely to negatively impact on social inclusion (Rane and Hersi 2012). Overall, the concern is that the press coverage of Muslim integration is unlikely to make any positive contribution to social inclusion. Rather, it is most likely to reinforce Muslim perceptions of social exclusion, and perceptions of Muslims among the wider society as the 'other'.

It is argued that „the construction of Muslims as a homogenous unit enables the media to create narratives that both reflect and shape the cultural and political assumptions of the wider community vis-a-vis the Australian Muslims” (Aly, 2007:28). Questions that therefore remain unanswered include whether or not the media discourse about integration plays a positive role in shaping society's opinions and views about migrants. The media, as an intervening agency, has the potential to create the grounds in which migrants and non-migrants share a sense of belonging (Matei 2007, 86). However, the media discourse concerning integration is prone to be distorted by one's inclination to choose a particular definition of integration that supports one's own views of the world. For instance, activities and behaviours that impede the integration of Muslims into Australian society, such as discrimination, seem to be absent from this media discourse. This point is noted by Entzinger and Biezeveld, (2006) who claimed that discrimination, both in its covert form, that is, denying an immigrant a job, and its overt forms mainly referred to as “structural discrimination”, impedes integration. For this reason, knowing the reported cases of discrimination, perceptions of migrants by the host society, incidence and effects of diversity policies and the role of the media need to become a part of the measurement of the level of integration of migrants (Entzinger and Biezeveld, 2006). Overall, the media's choice of how it portrays migrants and ethnic minorities may enhance or reduce the integration of migrants into their host societies. For instance, this choice might involve creating an image of immigrants as an indivisible group which may portray them negatively, or as individuals which portrays them positively (Christoph 2012, 977).

Conclusion

This literature review reveals the competing views of the discourses about integration between policy makers, academics and media outlets. The harmonisation of these competing views of what integration means may help relationships between members of a host society and the newcomers to that society. The review noted that whilst most state discourses have both assimilationist and pluralist discourses about integration, the non-state discourses tend to be mainly pluralistic, if not universalistic. In fact, by comparing assimilationist and pluralist discourses into integration, Doornick and Knippenberg (2003) conclude that “integrationist models of immigrant incorporation appear to be superior to assimilationist models because of their culturally-pluralistic basis (p.46)”. The debates concerning the integration discourses become more complex when integration is also linked to the particular incorporation model that a particular state chooses to adopt. For example, the concept of multiculturalism is debated in the context of immigrant integration. This lack of a uniform discourse about integration between these important players may lead to confused public narratives of integration which have the potential to undermine social cohesion. In order to move forward, debates about discourses of integration rather require a balanced approach which examines the substance of the discussions and explores the similarities and differences between the various discourses about integration.

For instance, this review finds that academic theories suggest a notion of integration that mainly emphasises the interconnectedness of the world and the impact of the movement of people, therefore promoting a diversity management process that accommodates newcomers and immigrants. It can be argued that this notion of integration is influenced by the world’s rapid advancement of technological and telecommunications fields, making it easier for people of diverse backgrounds to interact around the world. On the other hand, state discourses of integration appear in general to favour the normative conformist expectations of society. Emphasis seems to be on how immigrants are faring in the wider society, disregarding the acculturation processes that host society members must consider. With the exception of Dandy’s (2009) research, most of the reviewed academic literature focuses on the newcomer and neglects the intergroup relations and dynamics that are involved in the integration process. This is despite research indicating that attitudes, beliefs and behaviours of host society members have a considerable influence on the experiences of newcomers (Bourhis, Moise, Perreault and Senecal, 1997). The media discourses concerning integration are guided purely by considerations about profit. Freeman (2004) asserts how media recognises that the major consumers of daily news are the members of the host society, rather than being people within the minority migrant groups. Integration debates between these three important actors are carried on with the exclusion of immigrants, and demands for assimilation while, at the same time, embracing multiculturalism (Freeman 2004).

This current study concludes that the existence of the above diverse discourses of integration, characterised by distinct sectoral and level analysis, further polarises the debates concerning immigrant integration. This review has provided an overview of the different discourses and has explained how each one of these discourses puts emphasis on aspects of integration which are generally negligible, or which are omitted from the other discourses about integration. This review also found that absent from the debates of the discourses of integration is the individual migrant’s understanding and experience of integration with reference to their families and household experience. This is an aspect that is particularly ignored by the current immigrant integration scholarly literature. This review notes that debates about the discourses of integration tend to be either politicised as is the case with state discourses, dramatised as is the case with media discourses or bloated as is the case with academic theories.

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COLONIAL RELOCATIONS IN NORTHERN NAMIBIA: FROM THE RIVER SIDE VILLAGE TO NKARAPAMWE BLACK TOWNSHIP IN RUNDU

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Abstract

Using oral interviews, archival documents and a review of literature, this paper explores the 1960s colonial relocation of black people in Namibia from the Kavango River villages to Nkarapamwe Black Township in Rundu. The paper considers the relevance of the political situation in Namibia at that time, specifically the political insecurity situation along the Kavango River as part of the factors that led to the relocation. The aim is to analyze why people refused to move to the township and what strategies the colonial state used to achieve its objectives of relocation and how the relocation impacted on the economic and social aspects of the community.

In the case of the riverside villages in Rundu, the motives for relocation were political in nature to monitor the ongoing frontal war by SWAPO along the Kavango River and although the authorities gave other benign reasons for relocation people hardly found them convincing and discerned their own reasons for being relocated. People initially refused to be relocated because they believed and feared rightly so that the houses in the new township were too small for their family and cultural practices and that they would have no ownership of the house and they would be compelled to pay for all costs of developments in the new black township. While some people moved voluntarily to Nkarapamwe Township in 1968 there are indications that the relocation was a force to many who had initially refused to move but were eventually forced to do so by the threat of having their homesteads burned and losing their jobs.

The naming of their community by a proverbial name Nkarapamwe asserted the residents' desire to work closely together to avoid bringing each other into trouble or disrepute with the township administration officials. The paper asserts that relocation impacted negatively on people's economic aspects as it meant finding ways to recover costs of their loss of properties. Equally, it impacted on the people's social aspects as old interpersonal relations and social structure were irretrievably destroyed. This case study is significant as it provides an example of colonial relocation which can be a lesson to the post-colonial township authorities in Namibia on how relocation impacts on people and why authorities should become more considerate of community plights before, during and after relocation process.

Keywords: Colonial relocations, northern Namibia

INTRODUCTION

In post-colonial Namibia, the relocation of people from their occupied land to other areas occurs in both rural and urban areas. Such relocations seem based on the need to make way for developmental projects in the respective areas. Since land is a very important asset to communities subsequently they may oppose attempts to dislodge them from their land to prevent a destruction of their source of livelihood, existing social structures and interpersonal relations. And although there is an understanding of why people must move, little is said

about what this moving means for the affected people in terms of its social and economic impacts on their livelihood.

This paper therefore provide a past case of colonial relocation of communities in Namibia with the aim to provide lessons to the post-colonial township authorities in Namibia on how relocation impacts on people so that they become more considerate of communities before, during and after relocation process. Using oral interviews, written archival documents and a review of literature, this paper explores the colonial forced relocation of black people from the Kavango River villages to a new black township in the 1960s. The paper considers the relevance of the political situation in Namibia at that time, specifically the political insecurity situation along the Kavango River due to SWAPO's liberation war, as part of the factors that led to the relocation of blacks along the Kavango River in the late 1960s. Furthermore, it analyses various reasons why people refused to move to the township and what strategies the colonial state used to achieve its objectives and how the relocation impacted on the economic and social aspects of the community.

The relocation purpose and process

The factors behind the relocation from the Kavango River villages must be understood in the following contexts. First, the tense political situation in Namibia in the 1960s led to greater international pressure on South Africa's colonial rule over Namibia and compelled South Africa for an internal political solution. Liberia and Ethiopia were by then waiting for the ruling of the International Court of Justice (hereafter, ICJ) on a case where they argued that South Africa had failed to improve the economic, social, political and moral well-being of the Namibians and should therefore cease its control over them (Diescho, 1983, p. 30). On the other hand, People's Liberation Army of Namibia (hereafter P.L.A.N) of South West Africa People's Organization (S.W.A.P.O) began taking root as a military group with its bases in Zambia, Botswana and Tanzania, preparing to wage an armed struggle against the illegal occupation of South Africa over Namibia. The P.L.A.N fighters had been using the Kavango River as its early entry point into Namibia since 1966. South Africa was therefore left in a difficult position to prove that Liberia and Ethiopia's accusations at the International Court of Justice of neglecting the people of South West Africa/Namibia were not true. She also had to find her own way to provide self-determination to the Namibian people so as to create an impression among ethnic groups in Namibia and the international community that the beginning of the military struggle by S.W.A.P.O in the 1960s was therefore unnecessary.

The pressure of S.W.A.P.O guerrilla warfare that was taking root along the Kavango River in the 1960s became a great concern for the colonial authorities. People along the Kavango Riverside, near Rundu were therefore compelled to move away from their homesteads to the black township as soon as possible. This was necessary so as to provide security forces with a clear view near Rundu of potential infiltration of S.W.A.P.O fighters along the Kavango River. The infiltration of the guerilla fighters into the Kavango from as early as March 1966 coincided with the implementation process of the Odendaal plan in the Kavango area. Helao Shityuwete, one of the first groups of S.W.A.P.O freedom fighters explains how they penetrated Namibia across the Kavango River in March 1966 with the purpose to kill or to be killed by the enemy but were in the end ambushed and taken prisoners to Robben Island in Cape Town, South Africa.

It was 23 March 1966, a date I remember as the day when, as a returning guerrilla, I was prepared to play the game according to its rule of kill or get killed.... We arrived at Rundu at about 0200h and because we could not find our way through to town, we decided to rest and have a little snooze. We moved away at first light and located the house of our contact in Rundu. Rundu was teeming with security police. Uniformed police in four-wheel

drive vans were patrolling everywhere in the dusty town. Police in civilian clothes and unmarked cars were in evidence everywhere. It was clear that they knew we were in the area, but did not know who we were or what we looked like.... (Shityuwete, 1990, pp. 119-127).

Diescho also wrote that in 1967, a group of S.W.A.P.O Cadres who came via the Caprivi Strip were all shot by the South African soldiers in Mbukushu area in Kavango (Diescho, 1983, p. 48). The idea of scheduled residential areas from the riverside to a township was, therefore, a matter of great urgency for the authorities as the colonial representative Mr. Mare was confronted with the then increasing danger of frontier terrorists and the fast spreading anti- South Africa attitude and pro-SWAPO ideas (Kampungu, 12 August 1970).

The office of the Commissioner, the South African police and the army all worked together to the same purpose of making sure that S.W.A.P.O did not get any hold of Namibia. Co-operation between these branches was necessary as the Bantu Affairs Commissioner of Kavango explained:

With the intensification of the political war, it shall sometimes be necessary to take calculated risks. The risk can however be reduced if the institution that runs the risk knows in advance what to expect so that the necessary preparations to reduce the possible disadvantages that may follow can be put up in time. Our department, the S.A police, and the army have each their specific branch but our work is pointed on the same purpose, we are dependent on each other and if each one walks their own way, we would run the deadly danger of undermining each other with the best of meanings. (Commissioner, 16 July 1968).

Colonial strategies for relocation

One of the important colonial strategies was to link the relocation as part of the grant colonial plan to resettle black people in a favorable space where they would be developed based on the Odendaal commission's recommendations. The Odendaal Commission was appointed in 1962 by South Africa, apparently, to investigate the economic, social, political and moral wellbeing of Namibians and make recommendations for implementations. The Odendaal Commission made recommendations for various ethnic groups of Namibia. In reference to Kavango, the Commission had the following recommendations which are summarized from (Diescho, 1983, p. 31): it proposed a Legislative Council to be constituted by traditional chiefs and headmen and some elected members who would take over the functions that were vested in the Department of Bantu Administration of the government of South Africa. It also recommended an Executive Council, which was to consist of the chiefs in Kavango and members elected by the Legislative Council. It also recommended increase of educational facilities in the form of schools and improved health facilities for the communities. On agriculture, investigation into crops that could be grown economically was to be encouraged and that there should be irrigation schemes along the Kavango River. It also recommended that fifty hectares should enlarge the already existing irrigation scheme of Uvhungu-vhungu along the Kavango River. The recommendations were to have been implemented as soon as possible but by 1963, the Bantu Commissioner of Kavango admitted that little had been done so far to implement because of the lack of personnel with technical skills. (Commissioner, 10 November 1963). A five-year development plan for Kavango for 1964 to 1969 was drawn up. This Plan had various facets. In relation to animal husbandry, an increased cattle population along the river and the need for the marketing of cattle were great concerns for the authorities. It was planned that cattle grazing be removed from the river as it resulted in infectious diseases of cattle, and that stock farming be encouraged inland,

provided that boreholes were drilled in that waterless and sandy inland area (Commissioner, 13 November 1969).

It was clear to the colonial authorities when they planned to implement the Odendaal Commission's recommendations as early as 1964 that the people of Kavango would not accept such recommendations or changes so easily and would need to be approached with caution as the Commissioner Mare noted:

We would need to cautiously begin to put the recommendations of the Odendaal Commission to work and on these recommendations we stand in the same position as a man who takes a horse to the water to drink. The co-operation of the locals depends namely on their trust in the good intentions of the government. The most important recommendation of the Commission for it to be accepted by the blacks is the establishment of the Legislative Council and this recommendation can remove the suspicion that the government wants blacks, as they say it, "to be thrown away", something of which the Kavango people are very much afraid (Commissioner, 31 March 1964).

The creation of the Legislative Council was therefore seen as a pertinent pretext through which to implement all the Odendaal Commission plans. This does not mean that they could not have implemented them without it; in fact the forced relocation of people occurred before the establishment of the Kavango Legislative Council. This was however just a safer way for South Africa to carry out the implementation process without standing the risk of being seen by the Kavango people with suspicion and doubt for the future plan of life under Bantustan rule.

A township for blacks was therefore constructed at Rundu in the 1960s to later by the 1970s become the seat of the envisioned Kavango homeland government although people were relocated earlier in 1968. Construction of the township began in 1964. The work was done by a local group of builders under the supervision of the white supervisor whom the local people named "Kandorooha", meaning "a small tin." The plot on which the township was built was leased from the communal land of the vaShambyu tribal authority during the reign of Queen Maria Mwegere. Although the real motives for the construction of the township and factors for relocation of people to the township were politically motivated, the colonial authorities however provided other reasons to convince blacks to move. The purpose of the construction of the township, as local people were informed by the colonial authorities, was so that the black people could settle peacefully together. As Paulus Munango explain: "the previous Bantu Commissioner told us that the government was building a town for us where we may live together" (Munango, 18 July 1970). They were also told that it was constructed so as to house all the black government workers who resided in the nearby areas of Sarusungu in the east up to Sauyemwa settlement in the west so that they were nearer to their place of work at Rundu. The township was meant to become a centre for urban lifestyle among the local people, a centre for modernity and progress towards an improved social, economic and political independence which the colonial authority aspired for black Namibians in the 1970s. The apartheid colonial authorities did not complete the houses for the new township before their occupation. The main concern was to have some township structures, whether complete or incomplete, in place for black people as centers for their Bantustan governments as soon as possible so as to whisk off all international and SWAPO criticism which was rife in the 1960s and 1970s rather than to build proper houses for black people.

The new black township was named as 'Nkarapamwe' by the residents which in the Kavango languages means "Sitting together at one place." Nkarapamwe is derived from a local proverb which says that "in an act of sitting together at one place, one should not expose a view of the nakedness of another" {Nkarapamwe kapi ava zilimonene mpenywina}. It

implied that residents should promote good neighborliness, support each other in times of problems or crisis and not to bring one another into trouble with the authorities.

The apartheid South African government that initiated various strategies to force black communities in South Africa to move applied some of the same strategies in the case of Rundu in the 1960s to 1970s. In South Africa, the strategies of forced removals were applied in the context of set laws such as section five of the Black Administration Act and many others. See for example (O'Regan., 1990). Since the 1950s, relocation within the Bantustans in South Africa occurred for the implementation of betterment planning where tribal areas has been divided into residential and agricultural land and similarly removals of black spots also occurred at the same time. (Walker, 1985, p. 9) In the 1960s, mass removals of Coloureds and Indians began as a result of the Group Area Act of 1950 and equally, the 1960s and 1970s were years of convulsive upheavals for hundreds of thousands of rural people who were forced to move to try and make nations out of reserves (Walker, 1985, pp. 22-23). The state followed some patterns in dealing with communities under threat of removals that mostly resulted in an escalating use of force. The state in South Africa worked to divide the communities under threat of removals by creating leadership crisis in the communities, used threats of parked bulldozers, no pensions, no passes, smashed schools or cut off their water. If after all these attempts, the communities still refused to move, they were given due dates and told that on that day they will be moved (Claassen, 13-14 April 1984, p. 2).

In Rundu, Namibia, the South African government organized community meetings in January 1967 to inform the communities about the fate of their relocation where the working black force had to relocate to the new township while rest of the unemployed people were to move to the villages of Ncwa up to Sarusungu in the east in a bid to remove them from the banks of the river. He worked to divide the people by choosing to make the traditional leaders to decide for the whole community rather than allowing a community public debate about the issue of relocation to scheduled residential areas. It chose the sole decision of the traditional leaders to represent the decision of the whole community even when the views of the traditional leaders were contrary to the views of the majority of the members of their communities. Mr. Mare tried other arguments to encourage the move to the township as Paulus Munango, a resident of Nkarapamwe, explains:

Mister Mare also indicated to us that the water of the river is infected with various diseases and that we would receive clean water in the black township which is free from germs. (Munango, 18 July 1970).

One of the Commissioner's strategies to influence the people to go to the newly built township of Nkarapamwe was to use the service of influential people among the Kavango community to assist him. His most important tool was indeed the service of Dr. Romanus Kampungu. The Rev. Dr. Kampungu was born and raised in the Kavango. By 1953 he was ordained as a catholic priest in Namibia and by 1966; he was the first black Roman Catholic priest in Namibia to obtain a Doctor of philosophy (Nambala, 2003). Dr. Kampungu was the most learned and the most respected individual in all walks of life in Kavango. In 1967 commissioner Mare had requested Dr Kampungu to help him convince people to accept the ideas of scheduled residential areas and Bantustan government. Kampungu himself explains:

During 1967, Mr. Mare was busy preparing the people of Kavango for various development levels according to the Odendaal Commission proposals (Bantustans), and was confronted with the then increasing danger of frontier terrorists and the fast spreading anti- South Africa attitude and pro-SWAPO ideas. He thought my presence in Kavango would be a help to the administration and church alike. Hence his desire that the Bishop sends me to Rundu for his immediate work of having the people accept the proposed self-

rule offered by the government of the Republic of South Africa to various non-whites' ethnic groups, and the scheduled residential areas. He urgently requested the Bishop to send me immediately to assist him at various meetings held all over Kavango in January 1967.... Towards the end of 1967, the Bishop visited Kavango. When he returned to Windhoek, he told me that he would transfer me to Rundu because the Commissioner blamed him for retaining me in the police zone; where as my own country needed me urgently. The Commissioner had told him also that unless he sent me to Rundu, he would not give permission for the Catholic Church to come into Nkarapamwe. So, at the beginning of March 1968, I was transferred from Windhoek district where I was teaching Latin, Religion, did pastoral work and directed the students of Dobra High school in various ways. I would still be at Dobra where I was very much needed also. It was in compliance with the insistent request of the Bantu Commissioner (Kampungu, 12 August 1970).

So, in January 1967 before his official transfer to Kavango by 1968, Dr. Kampungu travelled the whole Kavango with the Commissioner Mare to do some motivational work among the local people at the meetings and many people believed in Kampungu's explanations. This was very clear at one such meeting when one of the locals stood up and said:

I am glad to see my friend Dr. Romanus here today and also the other visitors...I accept that the plans hold great advantages for us especially since I heard them explained by Dr. Romanus. As a son of the land he would not welcome the proposals if they were bad. What the Bantu Affairs Commissioner has promised, I see them fulfilled. I hear my friend's explanation and I do not doubt... (Nekome, January 1967).

In the end people were influenced to accept the plans as Kampungu Romanus himself explains:

I used whatever influence I had to convince my fellow Kavango about the proposal at different levels and influenced them to accept the offer from the Republic of South Africa. It was not an easy job. When we finished the meetings, Mr. Mare, overjoyed and pleased with the results declared by way of thanking me: "I do not think that without you we could have got the people to accept the proposals of residential areas and self-rule (Kampungu, 12 August 1970).

It is interesting to note that Dr. Kampungu arrived in Rundu, Nkarapamwe at the beginning of March 1968 and, by 31 March 1968, "88 houses were occupied while only 3 houses remained open" (Commissioner, 22 May 1968). So, with the help of Kampungu, Mare was able to win the support of the people to move away from the riverside villages into the township of Nkarapamwe and other scheduled residential areas. It is not altogether clear why Kampungu was a willing tool to the colonial authorities at that time. It may be to do with his character and beliefs. What can be learnt from his letter, however, is that he was ordered to help the Commissioner in Rundu by the bishop of the Catholic Church Mr. Koppman.

Community responses to the relocation

The Commissioner's files indicates that the question of new residential areas became a thorny issue for Mr. Mare in 1967 when he organized meetings to convince the Kavango people about the recommendations of the Odendaal Commission about a township because, as he put it, "Blacks do not want to live in 'towns' (Maree, 06 March 1967). The Commissioner Mr. Mare initiated strategies to influence the people to move away from the riverside homesteads to the new township and this was met with opposition. There were

various reasons that the people gave why they were unwilling to move and live into the new black township. To start with, people feared that their large families will not fit in the two bedroom houses of Nkarapamwe. People felt that the new houses were too small for their families because some had three wives and there was no space for keeping guest (Munango, 18 July 1970). Furthermore many had children of opposite sex and the houses of Nkarapamwe did not meet that need of having separate rooms for the boys and girls. The houses in Nkarapamwe lacked most of the characteristics of the homesteads at the riverside villages. The people informed Commissioner Mare of their fears and therefore, Mr. Mare worked to reduce people's fear by promising that those who had large families would be given two houses depending on the size of their families (Munango, 18 July 1970).

People also feared that water in the township would be less than what was the case alongside the river. The people were afraid that they would be compelled to pay for all developments in the town and that they would have to pay for the renting of the houses and would have no right of ownership as they did of their homesteads. In his letter to the Bantu Commissioner of Kavango in 1970, the Chief Bantu Commissioner in Windhoek for example too explained clearly why it should not be a good idea to allow residents of Nkarapamwe to be given private ownership to the plots and houses of Nkarapamwe and why they must therefore only rent it.

All the residents of Nkarapamwe have residential rights elsewhere in Kavango and they are only living in Nkarapamwe while they work at Rundu. To give them approval in any instance would be unnecessary work and would also be time wasting. (Chief-Bantu-Commissioner, February 1970).

Blacks were not to be allowed ownership of houses or plots in Nkarapamwe and this was the same in Katutura, the Black Township in Windhoek. This was mainly an implementation in line with apartheid South African government policy, which stated that "Africans are in urban areas such as Windhoek only to work. When Africans are no longer able to work because of health, old age or some reason, they may be asked or required to leave the urban area and return to their previous home" (Pendleton, 1974, p. 43).

Despite the meetings that were held in 1967 by the Commissioner in the presence of Dr. Romanus Kampungu, some people initially refused to move. While some people felt they were forced to relocate to the township in 1968 others said they went at their own will to the attraction of the "nice" houses. In the oral interviews carried out, Simon Kandere who also moved to the township in 1968 rejected the view that he or some other people were forced to move to the township. Instead, he argues that they moved in at their own will because they were attracted to the "nice" houses. (Kandere, 2004). As for the Lucian family, they said they moved into Nkarapamwe because it was near to their place of work (Lucian, 2005).

The relocation to Nkarapamwe Black Township did not trigger any physical confrontation with the colonial authority. While there were people who did not like to move to the township, there were others who favoured it. Initially, women were reluctant to move to Nkarapamwe because they were not used to township life like their men who had become used to it during their contract labour system periods in the central part of Namibia. (Munango, 18 July 1970). This is an interesting observation of the position of women towards the relocation. In many cases, women always have a second or subordinate role in many male dominated community histories. The reluctance of women to move to the black township in the 1960s is a sign that women were opposed to the colonial act of forced relocation in Rundu. The role of women in colonial resistance histories of Kavango calls for further research. It is argued, that there was no well-organized and united community resistance.

Some government workers initially refused to move and remained in their homestead alongside the river. The Commissioner therefore used a more aggressive strategy. He sent a

local government employee Jonas Hilemo to threaten the remaining people. Hilemo gives a fascinating account of his instruction and activities at the riverside villages:

Jonas Hilemo, Blackman, postal address, airport basis, Rundu, declares. 'I am an adult Blackman and work as mentioned above. I live in the black township Nkarapamwe near Rundu. During the year 1968 I was working at the Department of Black Affairs. During 1968, people began to move to the new township Nkarapamwe. There were some of the people who refused to move. During the above mentioned year, I was told by the former Bantu Affairs Commissioner Mister Mare to tell the people who lived from the east to the west of Rundu, who had refused, to move. I had to go and tell them to move. In case they refused to move I had to burn down their homesteads.

The assistant Bantu Commissioner Mister Veldsman also said further that in case people still did not want to move I had to tell them that they would no longer find any jobs in Rundu and that those who were already in employment would lose their jobs. I also had to destroy all homesteads that had already been vacated but have not been destroyed by the previous occupants so that no other people would be able to live there again. I therefore went out to deliver the message of the Bantu Affairs and the assistant Bantu Affairs Commissioner. The people had no other choice if not to move. They left their homesteads and went to live in Nkarapamwe. Some of the people destroyed the homesteads themselves. I also destroyed homesteads that were not destroyed by their occupants. It was so lucky that I did not have any need to burn down the peoples' homesteads. After I told them that in case they refused to move, I would burn down their houses, they all moved. (Hilemo, 21 July 1970).

Paulus Munango also argues that the strategy to burn down homesteads worked:

The people moved afterwards to the new Bantu township. The occupants also destroyed the other homesteads that were left behind so that no other persons could come and live there. The people whose homesteads were burned were unhappy but they reasoned that they were now getting good houses and that they would now live better than in their homesteads (Munango, 18 July 1970).

The quotation is important for the following purpose: It helps to bring forth the question of evidence in the writing of history. Jonas Hilemo's statement, while agreeing to some extent with the testimony of Paulus Munango, contradicts it on an important point. While Paulus Munango claims that houses were burnt, the man who was supposedly charged with this task himself denies this. Hilemo suggests that he only destroyed homes after people left but he didn't have to actually burn homes to force them to leave. The question therefore stands out; did Jonas Hilemo burn down the homesteads or not? Does it mean therefore that, the fact that their evidence contradicts each other, therefore one of them must have lied in front of the police just to get their point heard? This question indeed may not have a clear cut answer, but what is important for this research is that both sources agree that people had been forced to move against their will.

The following explanation by Aninka Claassen of why the fear to resist may have existed in the case of South African communities can also be argued as true for the community in Rundu: "In many cases people are terrified of challenging the state precisely because they know that this will bring force into play" (Claassen, 13-14 April 1984, p. 2).

The impacts of relocation on communities

The relocation of people from the riverside villages to the Bantu township of Nkarapamwe in 1968 affected the people in various ways. The effects can be classified as social and economic. The relocations placed economic pressure on the people who had to find money to pay for the renting of the houses and water consumptions. The houses did not have ceilings and were not electrified. There was no sewerage system in place and the toilets were those pothole toilets where you did not need to flush. People moved into the houses while the houses were not yet completed (Shikerete, 2004). Since houses were in-completed upon occupation, the people had to always buy candles or lamps to use in their new houses as Nkarapamwe location had no lights, and this was too costly. Those who could afford it used paraffin stoves to cook; otherwise they all cooked on an open fire outside as they did along the riverside villages. The rooms were too small to accommodate all members of the extended families, some family members had to find space in the nearby villages and this disrupted previous strong extended families that lived in one big traditional homestead at the riverside villages. As Shikerete explained:

Those houses again were only built consisting of two parts and I had my elder sister, there was nowhere to leave her since her husband had died, so there was nowhere to keep her. Even when my father uses to come and visit me, there was nowhere for him to sleep. When visitors came from Ukwangali area there was no place to keep them. There was nowhere to keep my in-laws, even when my own family came to visit; there was no way we could survive. So then it was life, only life inside there which made me to say, this cannot be, better I go and settle myself that side so that when visitors comes I can settle them here to stay here while I myself must just stay there. (Shikerete, 2004).

It is clear from the quotation that there was no space for keeping visitors. Personal freedoms were reduced because people were not free to do everything as a result of reduced space and township regulations. There were rules and certain required behavior from administration that township residence had to adhere to. Noise was not allowed in town, which meant there was to be no traditional dances where drums are usually beaten the whole night, as was a normal practice at the riverside villages. There were breakdowns of traditions, especially where children had to share the same toilet with their parents, sisters and brothers as Anna Lisa Mate za Ihemba explains,

“Some of the parents who were not used to it still use to leave the toilets rooms behind and run away into the nearby bushes” (Ihemba, 2005).

The traditional activity of “Shinyanga” which was a gathering at night around the fire of the parents and their children for transmission of traditional education from parents to children disappeared from the township life as there was no time for it in town from both the children and parents. Traditional brewed beer was allowed in the township, provided it was not sold inside the house. People were allowed to buy the Portuguese beer, Cerveja, across the river at Calai Portuguese camp on the Angolan side of Kavango River, which they brought and drank in Nkarapamwe. The increasing rate of consumption of alcohol in Nkarapamwe Township was totally different from the River side villages where only the elderly drank alcohol occasionally.

The environmental setting of Nkarapamwe Township did not allow the residents to bring along all their traditions and customs, which they followed at the riverside villages; there was simply no space for them. Instead the residents were forced by the environment to adapt to township life. They had to adapt to staying quietly indoors without disturbing their neighbors with noise. They were expected to be indoors in the evening at night until the next day for the administration’s security purposes of controlling intruders and terrorists who in this case included the SWAPO freedom fighters. The children had to learn to love school and attend it every Monday to Friday and time for playing was less; in fact, the space in

Nkarapamwe was just too small to play such a game. However, it was the identity of the people that was affected the most. To be a Kavango is to be a riverside people. Kavango is the name, which means “small place” which was given by the local people to the place in which the river was found and from which the river came to acquire its name. The people in turn came to identify themselves not with the land within which the river was found but with the river itself. They became known as vaKavango, meaning those who belong to Kavango, the river. It is that process of living along the riverside and identifying yourself with it by taking part in all river activities which identified you as a Kavango. The issue of identity also became a reason for some Kavango law makers of the 1970s to propose for the discontinuing of the planning of and the removals of people to new residential areas. Bonifacious Haushiku was one of those law makers of the Kavango Legislative Council (KLC) who argued strongly against relocation of the people. Haushiku was a black Roman Catholic priest born in Kavango. He was co-opted in the Kavango Bantustan parliament in the 1970s. He became the first black arch Bishop of the Roman Catholic Church in Namibia, a position he held until his death. Haushiku argued as follow:

I have heard further that they are erecting a fence from east to west alongside the river, which means that the people will now move inland and this river subsequently become a wilderness and people born inland will know nothing about the river and of hunting along the riverside. Hence when I sit on my easy chair I want to be able to see the Kavango flowing. I don't want them to take me to a wild environment because then they won't call me a muKavango anymore. I will be something else (KLC, February- March 1972, pp. 214-215).

Conclusion

This paper has indicated that colonial authorities presented friendly reasons for relocating people and hid the true reasons for relocation but that the people discerned their own reasons why the colonial authorities relocated them as being political in nature and as a means to monitor the then ongoing frontal war by SWAPO along the Kavango River. Indications are that people refused to be relocated because they believed and feared rightly so that the houses in the new township were too small for their family and cultural practices and that they would have no ownership of the house and would be compelled to pay for all costs of developments in the new black township.

While some people moved voluntarily to Nkarapamwe Township in 1968 there are indications that the relocation was a force to many who had initially refused to move but were eventually forced to do so by the threat of having their homesteads burned and losing their jobs. The paper has shown how the self-naming of their community with a proverbial name Nkarapamwe indicated the residents' desire to work closely together to avoid bringing each other into trouble or disrepute with the township administration officials. The paper shows that the relocation of communities impact negatively on their economic aspects as it usually mean finding ways to recover costs of their loss of properties. Equally, it impacts on the social aspects as usually old interpersonal relations and social structure are irretrievably destroyed and new ones are created which may prove to become unworkable towards promoting good relationship among residents of a community in a new setting.

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