

# ADVANCES IN SOCIAL SCIENCES RESEARCH JOURNAL

## TABLE OF CONTENTS

EDITORIAL ADVISORY BOARD	II
DISCLAIMER	III
<b>A Historical Survey of Nigeria's Economic Diplomacy, 1960-1985</b> Salami, Olawale B. (Ph.D)	1
<b>The need for accounting training packages for small-scale firms in rural Mauritius</b> Dr Nirmal Kumar Betchoo	15
<b>Relative Impact of Inflation and Unemployment on Economic Growth in Nigeria (1980-2013)</b> Eze, Titus Chinweuba	27
<b>Animation in Transition: A Semiotic Reading of Ase Mmanwu Masquerade Costume in Performance.</b> Julie Umukoro	45
<b>English literature in global contexts Arabic, Indian and Chinese literary readings</b> C.A. DeCoursey Shilpagauri Ganpule Graziella Harb Denise Atallah Mona Zaatari Mariam Bakri	50
<b>What about Education and Schooling for Sustainable Development?</b> Maider Perez de Villarreal Benjamin Zufiaurre	65
<b>Competition between Multiproduct Firms with Heterogeneous Costs</b> Roberto Roson	79
<b>Psychosocial Variables in Occupational Aspirations of Secondary School Students in Calabar, Nigeria</b> Petters, J. S. Asuquo, P. N. Eyo, M.	89
<b>Nigeria's Ambition For the United Nations Security Council Within the Context of Historical Antecedents and Domestic Realities: Analysis of the Prospects and Challenges</b> Aderemi Opeyemi Ade-Ibijola	95
<b>Differences between feelings, emotions and desires in terms of interactive quality</b> Lawrence J. Cookson	108

<b>Influence of Library Value on University Education: Students' Perception Survey</b>	120
Luke Obasuyi Evelyn Omoluabi Idiodi	
<b>Procurement, availability, affordability and use of essential medicines and health supplies at community level in Uganda</b>	137
Moses Muhwezi Augustus Nuwagaba	
<b>Assignment 2 Exploring a research method-----interview</b>	161
Shiyun Wang Pengju Zhu	
<b>The Small-medium Enterprise in New Zealand</b>	166
Zhang Li Shiyun Wang	
<b>Fostering Corporate Social Responsibility and Sustainable Development: A critical analysis and perspective on the organizational strategies implemented by corporations</b>	176
Alpha Ayande Vincent Sabouri Ricardo Cuevas-Moreno	
<b>A Study on Stylistic Features and E-C Translation Skills of International Business Contract</b>	197
Wu Chunrong	
<b>Performance of Public-Private Partnerships in delivering Education services: The Case of Universal Secondary Education Policy Implementation in Uganda</b>	205
Mildred Barungi James Wokadala Ibrahim Kasirye	
<b>The Implication of the 2011 General Elections on Democracy and Good Governance in Nigeria.</b>	221
Chris Iwejuo Nwagboso Otu Duke	

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## A Historical Survey of Nigeria's Economic Diplomacy, 1960-1985

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### Abstract

This paper examines Nigeria's Economic Diplomacy from independence in 1960 up to the coming of Babangida's regime in 1985. The paper discusses among other things the origin of the doctrine and how economic diplomacy as a policy had been consistently employed by successive governments since 1960. What Babangida's regime did was to give the policy a new life in the country's foreign economic relations. Drawing from its findings, the paper concludes that though the policy is not an entirely a novel idea in Nigeria foreign policy decision making process, it became an expedient element of Babangida's foreign policy initiatives, giving the policy the desired venom for effectiveness, due to Nigeria's economic quagmire. The research was conducted using the historical research methodology which emphasised multidisciplinary approach. Both primary and secondary data were consulted in concluding the paper.

**Keywords:** Economy, Diplomacy, Nigeria, Foreign Policy, historical

### INTRODUCTION

History tells us that human life revolves around the political economy of its environment. Therefore, if the social science postulation about human beings, being political animals is true, then it is equally correct that human race, naturally, is partly propelled mostly by economic interests. In this regard, the mixture of politics and economics makes human society an interesting phenomenon. In the process of inter-play of politics and economy, intra and inter-regional interactions take place from time-to-time. In such relationships, the primary interest has almost always revolves around issues of trade and commerce, aside occasional conflicts, which in most cases would lead to the establishment of political control over the vanquished territories and by extension control of the revenue base of such defeated regions. In effect, relations among societies even before the colonial period could be said to have had the coloration of economic diplomacy.

### Economic Diplomacy: An Overview

In the pre-colonial Africa, relations were mostly guided by economic interests. From the Sahara Desert through the Savannah on to the forest states of Africa, there had been regional contacts based on trade and commerce. In the north Africans relations with their neighbours, who occupied the north of the Mediterranean sea, economic interest was paramount. Similar developments played out in the relationship between the people of the forest region of Africa and their northern neighbours. On the coast of Africa, stretching from the Atlantic to the Indian Ocean, the volume of trade that took place between the local people and the foreign merchants was quite large (Hamdun, 1975; Hollingsworth, 1965; Fage, 1979).

In similar development, during the European colonial enterprise in Africa, the British, the French, the Spanish and the Portuguese, were quite conscious of their economic interests. The selfish economic interests of the Europeans became clearer after the so-called legitimate trade

replaced the trade in human beings, opening the flood gates of continued exploitation of human and material resources of Africans (Fage, 1979).

From the fore-going, it is quite clear that economic interests have always played a pivotal role in inter-state relations in the pre-colonial and colonial periods, and the phenomenon has largely been intensified in today's world. It can therefore, be said that General Ibrahim Babangida's regime's economic diplomacy is consistent with global economic practice, the advantage which Nigeria should hold on to if the country must actively participate in the new international division of labour. The historical excursion is necessary to set the records straight from the onset that the Ibrahim Babangida's economic diplomacy is not as new as its disciple, Major General Ike Nwachukwu, the then Foreign Affairs Minister, wanted us to believe. However, the pivotal role assigned to economic interests in the conduct of Nigerian foreign policy during the period, 1988-1993, was a necessary tonic in the regime's efforts at revamping the nation's bruised economy. Thus the change of guard in Doddan Barracks on August 27, 1985, was a prelude to series of experimentations in the formulation and implementation of Nigerian foreign policy.

It was a period General Babangida and his team introduced some form of activism into the Nigerian foreign policy execution. The new activism was as a result of the deepening economic crisis in the Nigerian state. The worsening economic situation taught the new regime a lesson in the entrenchment of another thrust in the country's international economic relations. The year, 1988, was therefore, the commencement of the experiment that was christened economic diplomacy. This article is a historical analysis of economic diplomacy in Nigeria before the Babangida's regime.

Diplomacy is itself concerned with the management of international relations by negotiations between states as well as between states and other international actors like non-governmental organizations (NGO's), multinational companies (MNCs) and individuals (Barston, 1998). In other words, diplomacy refers to the process of bargaining among states in order to narrow areas of disagreement, resolve conflicts or reach accommodation on issues over which agreement may have been pretty difficult (Asobie, 2002). Diplomacy therefore, is not only concerned about peaceful activity, it also occurs in situation of war or armed conflict. Generally, in terms of the widening content of diplomacy, the changes in its form are reflected in such concepts as dollar diplomacy, oil diplomacy, resource diplomacy, atomic diplomacy, global governance diplomacy etc. These and other elements constitute foreign policy issues (Barston, 1998). The difference therefore, between foreign policy and diplomacy is that while the former is the substantive aspect of external relations, the latter is the procedural aspect. In this regard, diplomacy refers to the methods or procedures by which foreign policies are executed (Asobie, 2002). In other words, diplomacy is the process in terms of strategies and tactics of putting into effect the foreign policies of nation states. It is from this perspective that economic diplomacy can be broadly analysed.

According to Asisi Asobie (2002), economic diplomacy can be explained from three perspectives:

- The first perspective can be seen as the management of international relations in such a way as to place accent on the economic dimension of a state's external relations. It is the conduct of foreign policy in such a way as to give topmost priority to the economic objective of a nation. It has to do with the various diplomatic strategies, which a country employs in its bid to maximize the mobilization of external material and financial resources for economic development

- Another perspective to economic diplomacy is the one that describes it as the application of economic instruments in negotiation and bargaining with other states. The foreign policy goals in view may be economic, social or political. The diplomacy is economic when the means employed to achieve them in terms of either “carrots” or “sticks” or both, involve the mobilization and application of the economic resources of the nation. This may entail the extension or denial of financial benefits, petroleum products, food supplies, the granting, denial or withdrawal of trade concessions, the establishment or disinvestments of foreign investments etc.
- The third perspective to economic diplomacy is seen as a set of strategies and tactics formulated and applied for the achievement of a fundamental restructuring of the existing international economic order. It consists of policies aimed at establishing a new international division of labour so as to bring about a radical redistribution of pattern of ownership and control of economic resources in the international system. Such policies would entail the application of both implicit and explicit diplomatic bargaining process.

The third perspective within the Nigerian official circles was seen as global in character and focus and therefore, was regarded simply as the diplomacy of economic liberation at that level. In reality successive Nigerian governments had consistently shown their disdain for this type of multilateral diplomacy conducted basically on the floor of the UN as a means of establishing a new order. The Nigerian state however, believed that for the New International Division of Labour or the New International Economic Order (NIEO) to be achieved, action should be initiated at three levels; the national, sub-regional and global (Adeniji, 1998). This position informed the suitability of the first and the second perspectives for the type of economic diplomacy the Nigerian political leaders envisioned and therefore, to them, it was the diplomacy of economic development. At the level of execution of Nigeria's economic diplomacy between 1988 and 1993, the government thus employed the first perspective at the global level, while the second perspective, which was more suitable for regional diplomacy, was adopted in the country's economic relations with Africa.

### **Background to Nigeria's Economic Diplomacy**

Every nation state in the all important obligation to develop its economy in order to give its citizens a new lease of life, has often demonstrated an appreciation of the linkage between the country's foreign policy and its economic fortunes. In the process of state relations, this linkage is done through diplomatic engineering. Therefore, the Nigerian state has consistently demonstrated this attitude in its efforts at economic development. Before 1988, successive Nigerian governments had employed economic diplomacy in their inter-state economic relations in its efforts at economic growth.

In this regard, one of the guiding objectives of Nigeria's inter-state relations since independence has been to contribute towards efforts aimed at achieving national economic development and redressing the existing disequilibrium in the international political and economic system (NIIA, 1992). In the government's efforts to achieve this, the Nigerian economy, since the Tafawa Balewa era, was based on agriculture, which of course, dominated other sectors of the economy. A monocultural economy in which agricultural sector was dominant and heavily relied upon, accounting for seventy percent of the nation's labour force (Osagie, 1986). The agricultural sector placed emphasis on the production of cash crops like cocoa, cotton, palm oil, rubber, coffee and groundnuts, for export trade. These were in exchange for finished goods from the developed north. In general terms, and particularly



before the 1970s, no conscious policy existed to encourage large scale production of food crops (NIIA, 1992).

In subsequent years, per capita food production stagnated, while the overall share of the agricultural sector in the Gross Domestic Production (GDP) dropped drastically. For instance, the share of the agricultural sector fell to twenty one percent by 1985, from the fifty-six percent it was in the GDP in the 1960s. The logical impact of this was increasing resort to food importation to satisfy the demand gap. Statistics had since shown that importation of food increased from 0.4 Billion naira in 1976 to about 2.3 Billion naira in 1984, an average annual growth rate of 23.1 percent. In relation to total imports, the food bill rose from 8.6 percent in 1976 to 21 percent in 1984 (NIIA, 1992; CBN, 1990).

Meanwhile, agriculture stopped offering opportunities for job creation and the sector witnessed a high level of labour release to other sectors. While the labour force in agriculture declined at an average of 1.34 per cent per annum from 1960, the industrial sector witnessed an average increase of about 3.4 per cent. The government panacea, in the process, was to hurriedly initiate some agricultural policies. Such policies included Operation Feed the Nation (OFN) in 1976 and the Green Revolution in 1980. Various River Basin Development Authorities and the Nigerian Agricultural Cooperative Bank (NACB), were established, to provide funds and technical support for agriculture (NIIA, 1992). The programmes put in place achieved little or nothing in lifting the economy from increasing decline, due to poor implementation, corruption in the high places and principally a shift of attention to oil sector. What is more, the Marketing Boards that were in existence were deliberate fiscal devices for siphoning rural agricultural surpluses to set up urban based manufacturing industries and infrastructural facilities. The OFN and Green Revolution, aimed at increasing domestic food production, did not achieve much as Nigerian agriculture was rendered uncompetitive by other government policies and excessive bureaucratic control. The River Basin Authorities, as it were, were also avenues for transferring public funds through over-invoicing of contracts to favour partisan politicians, other than as institutions for increasing food production (Osagie, 1986).

In the industrial sector, succeeding governments of the Federal Republic of Nigeria, had since independence, recognized the need for industrial development as the basis for achieving meaningful national development. But in the main, the industrial and manufacturing sector had remained relatively underdeveloped, contributing about 10 per cent to the GDP (NIIA, 1992; Osagie, 1986). For the most part, the industrial sector concentrated on primary production and semi-processing of goods, with the multinational companies (MNCS) having pre-eminence. Although, the sector's contribution to the country's GDP rose remarkably from 19 per cent in 1965 to 32 percent in 1985, compared with the drastic decline of agriculture from 53 per cent to 36 percent in the same period, (Osagie, 1986) most of the industries were more of assembly plants rather than manufacturing.

The productive industrial sector was absolutely in the hands of the MNCs whose headquarters were located in the mega-cities of the developed North. The heavy dependence on international capital pre-disposed Nigerian industrial enterprises to absolutely lean on imported raw materials, capital equipment, spare parts and technical services, even in conditions where these inputs were available at home with minimal costs. The effect of these abnormal features of the Nigerian industrial sector is that it created problems for the execution of an effective foreign policy. For instance, government's efforts to change the external orientation of manufacturing activities in the face of increasing external payments deficits, require a drastic reduction in the level of imported industrial inputs and of necessity increase

local production of such inputs. This attempt met with stiff diplomatic opposition as pressures mounted from the home governments of the MNCs that were supposed to promote local sourcing of raw materials. The Nigerian directors and agents of such MNCS also collaborated with foreign officials in order to retain their directorship and fat salary packages (Osagie, 1986). This development exposed the country to blackmail and sabotage from foreign suppliers of vital equipment, spare parts and other important raw materials.

In the midst of all this, the country maintained a good account of non-discriminatory bilateral and multilateral trade agreements with the outside world. Nigeria also took active part in the process of building active and virile international organizations for development. At the bilateral level, the country entered into agreements with a number of states for the purpose of creating development in trade liberalization and to facilitate expanded market access for its imports. The country's external trade policy was also geared towards the enhancement of inter-African trading relations through active participation in regional and sub-regional groupings, like the Economic Community of West African States, ECOWAS.

Earlier in this paper, we have seen government's attempts to develop the country's economy. In the process of doing this, successive governments demonstrated an appreciation of the linkage between the country's foreign policy and her economic fortunes. The fortunes of the Nigerian economic development, from 1960-1993, were anchored on a number of economic strategies. These patterns of economic diplomacy included:

- i. the economic diplomacy of import-substitution industrialization (DISI) 1960 – 1974:
- ii. the economic diplomacy of Regional Economic Integration (REI), 1970 – 1985; and
- iii. the economic diplomacy of the establishment of a new International Economic Order NIEO, 1973 - 1985 (Adeniji, 1998).

#### **The Economic Diplomacy of Import-Substitution Industrialisation (DISI), 1960-1974**

The significance of the DISI basically was the establishment of industries in Nigeria to produce domestically such goods previously imported from other countries. This is simply called import substitution development strategy. Therefore, from the outset, it was clear to the managers of the Nigerian state that there was some form of symbiosis between economic development and foreign policy. In appreciation of this link and confronted with the stark reality of the international environment of his time, Nigeria's Prime Minister, Sir Abubakar Tafawa Balewa, needed no further convincing, that DISI was much more suitable for Nigerian economic development. Balewa thus, submitted that:

*... at present, we lack the necessary capital and technical skill to develop our own resources by ourselves alone... how are we to obtain help from outside and still keep free from being under the influence of one power bloc or another (Adeniji, 1998).*

The DISI, therefore, involved the complete mobilization of a high volume and wide range of financial and technical assistance from a variety of foreign sources for the purpose of rapid development of the Nigerian economy. In this regard, external links, especially with the Western bloc and a little to the East, were seen primarily as channels for attracting needed Direct Foreign Investment (DFI), public loans, grants and technical assistance. This effort was to encourage the planting of industries in Nigeria, that would produce locally the merchandise that were hitherto being imported from the industrialized north.

The problem of DISI strategy in mobilizing external resources for Nigeria's economic development, in a cold war era, was the risk of the country relying much more heavily on the West, which was Nigeria's traditional friend. This entailed some political, diplomatic and economic risks for an underdeveloped or as sometimes called, developing economy like that of the Nigerian State. This situation has always played out when Nigeria has to take a definite position on crucial international issues. In effect, there is no denying the fact that, even when Nigeria professed the principle of 'diversified dependence' which of course, was a fall out of its non-aligned posture, the Nigerian government in its actions had always kept faith with the West on crucial global issues (Asobie, 1986; Ate, 1987). In the final analysis, the DISI achieved only little success. Although the Nigerian government sometimes succeeded in playing the West against the East, thereby 'stealing' a degree of inflow of external resources, the DISI did not succeed in transforming the industrial base of the Nigerian state, nor did it attract the desired volume of foreign aid capital, needed to develop the economy of the country. The disappointment probably accounted for a shift of attention to other strategies like REI and NIEO.

### **The Economic Diplomacy of Regional Economic Integration (REI), 1970-1985**

The diplomacy of REI was designed as the external dimension of Nigeria's industrial development process. This is because the currency of opinion among the managers of the Nigerian state was that an economically integrated West African Sub-region would help to stimulate Nigeria's economic growth and development. It was also believed that such a strategy would accelerate the development and expansion of indigenous capitalism, not only in Nigeria, but also in the whole of West African states (Abutudu, 1990).

If the economic diplomacy of DISI was different from REI in the sense that while the former applied an internal approach to the country's industrial development, the latter was external and regional in its approach to Nigeria's development process. However, despite this seeming dichotomy, both economic diplomacy strategies were similar in their objectives. For one thing, it is true that the Nigerian government wanted the country's economy to develop through the DISI, for another, it is equally correct that it wanted to build up ECOWAS through reliance on foreign capital. For instance, one of ECOWAS' institutions, the Fund for Cooperation, Compensation and Development, was expected to depend on monies obtained from Africa, Europe, the Americas and Asia, for its statutory operations. The formation of ECOWAS, therefore, was an economic diplomacy designed to harness the human and material resources of the sub-region, for economic growth and development. In the main it allows for free movement of people, goods and services, free trade, as well as common currency, to facilitate economic integration of member states. Although, it is to be noted that three decades after its existence, the ECOWAS potentials are still begging for full realization.

### **The Economic Diplomacy of the Creation of a New International Economic Order (NIEO), 1973 - 1985.**

The economic diplomacy of the NIEO, unlike that of DISI and REI, was to bring a change in the old international division of labour between the industrialized and non-industrialized countries. Although, Nigerian government was not highly optimistic about the implementation of the demands of the Less-Developed countries (LDCS), it however, joined most members of the Third World Club in the demand for a New International Economic Order (NIEO). With due respect to the ideological and military foundations of the East-West confrontations, the North-South Confrontation also evolved to a large extent over economic issues and to a lesser degree over political and human rights issues. Therefore, the diplomacy of the NIEO was as a result of the imbalance in the international economic relations between the wealthy industrialized

peoples of the northern hemisphere and the impoverished, underdeveloped and under-industrialized peoples of the Southern hemisphere (Da-Silva, 1983).

This development produced a loose coalition of economically deprived states, held together only by bonds of newness and harrowing poverty. They are the members of the Non-Aligned Movement (NAM), popularly called LDCS, and their composite industrial production, put together, is less than a third of the United States or Western Europe's. One other common economic denominator of the LDCS is low per capita income (Da-Silva, 1983).

Indeed, in the early 60s and precisely in 1964, Malam Aminu Kano had led a Nigerian delegation to the Second committee of the United Nations General Assembly (UNGA), where a jointly sponsored resolution was presented, calling for a "new international division of labour" involving new patterns of production and trade at the global level (Adeniji, 1998). This became necessary because the LDCS were not adequately listened to by the International Monetary Fund (IMF), the World Bank and at the General Agreement on Trade and Tariffs (GATT). This was one issue that generated serious crisis in the UN system, because the western capitalist powers were not favourably disposed to the radical economic demands of the South. But not minding the position of the West, the LDCS, through the United Nations Conference on Trade and Development (UNCTAD), put their proposals before the UNGA. They asked for a NIEO that would redress the economic imbalance between the north and the south.

The South's proposal comprised the following:

- An economic security system for the developing countries;
- Integrated programme for commodities, commodity market stabilization and price stabilization for the primary exports of the LDCS;
- Improved compensatory financing facilities, adaptation of International Monetary fund or establishment of a substitute organization to supervise stabilization agreements and provide compensatory export shortfalls due to international market instability;
- Debt Relief and improved mechanism of channelling capital to the Third World and for reducing the indebtedness that hinders development (Da-Silva, 1983).
- Other demands of the LDCS also included:
  - Changing the structure of International economic relations;
  - Reducing the economic dependency of the developing countries, expansion of trade in manufactures, strengthening the technological base of the Third World and establishing marketing and distribution system for primary commodities;
  - Strengthening Trade and Economic Cooperation among developing countries and re-orientation of development strategy to one of the collective self-reliance, rather than dependence on the developed states, including thorough development of new international machinery;
  - Global management of resources, including the establishment of new rules of international monetary system and the development of strategies for the rational use of resources (Da-Silva, 1983).

Expectedly, the northern states, especially those that were traditionally attached to the dogma of liberalism and free market economy, rejected the idea of any 'new order' and the consequent challenge to the present system of exchange. Despite the northern states' objection, however, Nigeria and other members of the LDCs intensified their pressure for a NIEO.

While the search for the NIEO continued, there were growing disenchantment among Nigerian government officials and this found expression in the public speeches of the Nigerian leaders. For instance, General Olusegun Obasanjo (1976-1979) had lamented at an OAU summit in Libreville, that the hopes placed on the NIEO by the countries of the southern hemisphere, had almost evaporated with the collapse of the North-South dialogue in Paris (Asobie, Adeniji). Between 1979 and 1985, Nigerian political leaders had expressed similar skepticism like Obasanjo. Indeed, in 1987, at the 41st session of the UNGA, Bolaji Akinyemi had noted that:

*...the high hopes of the developing countries for a New International Economic Order, have foundered owing to a deep-rooted reluctance on the part of the developed countries, to engage in a honest and meaningful North-South dialogue (Asobie, Adeniji).*

The reasons for the skepticism of the Nigerian political leaders are quite very simple to decipher. For one thing, the unexpected rise in the role of crude oil earnings in sustaining Nigerian economy was, one of the fundamental factors that would explain the ambivalence of Nigerian leaders. This development reduced the relative vulnerability of the economy to fluctuations in the prices of primary export commodity, thereby diminishing the harsh impact on Nigeria, of the inequalities of the old international economic order. In fact, it was a period of affluence such that one of the Nigerian leaders in the 1970s noted that the problem of Nigeria is not how to make money, but how to spend it. Another factor was the inherent contradiction in Nigerian officials' conception of the NIEO and the growing skepticism among them on the suitability of the adoption of international multilateral diplomacy, as a tool for the establishment of the new order.

Nigeria's conception of the NIEO accommodated a variety of strategies for the solution of African problem. Nigeria's position, therefore, prescribed that for the NIEO to be achieved, action must be initiated at the national, sub-regional and global levels. Therefore, it saw its indigenisation programme as well as the establishment of ECOWAS as part of the movement towards realising a NIEO (Asobie, Adeniji). In contrast the traditional conception of the NIEO placed accent on the inequities of the global economic order as the basic explanation for the underdevelopment of the LDCS. It therefore, prescribed multilateral negotiations at the global level to ease out the inequities, as the strategy for the reversal of the problem of the LDCS. Eventually, the Nigerian government, in the face of the economic down-turn, particularly in the 1980s, and the intimidating International Monetary Fund (IMF) conditionalities, had to tone down some of its NIEO related demands and then accepted the International Bank for Reconstruction and Development (IBRD), or World Bank's structural facility programme. The IBRD packages in the economic dictionary of the Nigerian state, was christened 'Structural Adjustment Programme' (SAP). The 'new' economic diplomacy, therefore, was a fall-out of the bitter-pill, called SAP, that was to be forced down the throat of the Nigerian economy by the World Bank. Indeed, it was hoped among the Nigerian official circles, that it would serve as a catalyst towards the realisation of some of the objectives of SAP, such as trade liberalisation and attraction of foreign capital and investment. In the analysis that follows, the Nigerian government swallowed the pill hook, line and sinker.

### **The 'New' Economic Diplomacy of the Nigerian State, 1988-1993**

It is very clear from our previous analysis, that successive Nigerian governments had consistently employed economic diplomacy in their inter-state economic relations so as to achieve economic growth and development. Therefore, economic diplomacy does not derive from the abstract; rather it is rooted in both the prevailing domestic and global environment

characterized by unfavourable economic indicators. As a mark of warning, the Economic Commission for Africa, ECA in its 1983 Report had predicted that by the year 2000:

*...poverty would reach unimaginable dimension. The conditions in urban centers would also worsen with more shanty towns, more congested roads, more beggars and more delinquents. The level of unemployed searching desperately for the means to survive, would amply increase crime rates and misery. The very consequences of extreme poverty would be social tension and unrest. As a result, the very notion of national sovereignty would be at stake...(NIIA, 1992)*

The warning signals of gloomy picture of African Socio-economic conditions was also corroborated by Mr. McNamara, the World Bank President, in 1983. McNamara had submitted that:

*...the harsh truth is that sub-saharan Africa today faces a crisis of unprecedented proportions. The physical environment is deteriorating, per capita production of food is falling, population growth rates are the highest in the world...(NIIA, 1992)*

The manifestation of these forecasts in the years to come steered in the face, the managers of the political economy of the Nigerian state. Realising that the economic down-turn was becoming very dangerous, the Nigerian leaders, in 1988, adopted the 'new' economic diplomacy as a panacea to the serious economic illness bedeviling the country. According to General Nwachukwu, the then helmsman at the MEA,

*...the present reality demands that we take a new look at our foreign policy. It is therefore, in this light that we must embark on a new era of dynamic and functional diplomacy to enhance our economic and technological well-being. This means that in our external relations, we must pay more attention to those issues that have bearing on our national economic interest. In pursuing effective diplomacy, all our energies and efforts should be aimed at taking our country to a new and higher economic and technological height. Indeed, it is only in this way that our economic survival can be assured (NIIA, 1992)*

However, it must be stated that the adoption of economic diplomacy, by the Babangida regime in its efforts to revamp the nation's battered economy is not new, as we have underscored the prime position of economic interest in the conduct of Nigerian foreign policy before 1985 elsewhere in this paper. In general terms, an inter-connection has always existed between the domestic economy of nation-states and their foreign policy goals. In the case of Nigeria, there are specific instances where foreign policy actions have direct economic impact or were meant to help achieve an economic objective. Also, Nigeria has in the past employed economic policies to achieve specific political outcomes in international political games, particularly in the sphere of decolonisation, racism etc. Therefore the conduct of Nigeria's foreign policy has never followed a monocausal process. It has always been conducted in line with the country's social, economic, political and cultural aspirations.

Having established that, what therefore, is new about the 'new' economic diplomacy, is the strong emphasis which was placed on economic instruments, by the IBB regime, in the conduct of the country's external relations. Even the exponent of the policy of economic diplomacy, General I.O.S. Nwachukwu, now retired, had admitted in 1997, that:

*...indeed there is nothing new about (economic) diplomacy, but it is true that economic diplomacy in my time was a question of emphasis..... I had done an analysis of the Nigerian problems and I knew that the question of the economy had impacted on our politics, ethnic relations, competition for jobs, internal security, social welfare and our power position within the international system (Nwachukwu, 1997).*

Before the Nwachukwu era as the External Affairs Minister, Bolaji Akinyemi, his predecessor, had visited quite a number of countries to market the Structural Adjustment Programme (SAP) of the Babangida regime to some western countries, institutions and private sector operators in the belief that developed western nations would come to the aid of Nigeria in her quest for debt rescheduling and desire for foreign direct investment (Ugwu and Olukoshi, 2002). Economic diplomacy was therefore, IBB regime's policy to compliment the country's structural adjustment programme, SAP. It is aimed at creating an environment of mutual understanding between Nigeria and her economic partners in order to enhance domestic growth and development through the attraction of new foreign investments, expansion of foreign trade and development of non-oil export trade (Babangida, 1992).

In the government circles, economic diplomacy was considered to be interwoven with the goals of the SAP. Nwachukwu himself had noted that 'it is the responsibility of our foreign policy apparatus to advance the course of our national economic recovery' (Nwachukwu, 1988). The goals of SAP which included export promotion, in-flow of direct investment and the rescheduling of the country's external debt, are the elements that were introduced into the foreign policy thrust of Nigerian state. Therefore the emphasis which the government placed on the need for foreign policy to directly serve the country's domestic economic needs is justified, particularly in official circles. It is common knowledge within official circles that since independence in October 1960, Nigeria had pursued a foreign policy line that was too heavy on politics or a policy in which the country's own needs and interest in terms of economic well being, were below that of political interest on the country's scale of preference. In this regard, to achieve the country's economic development, the government must turn around the nation's scale of preference in her external relations and deliberately court the friendship of industrialized countries or the nations in the northern hemisphere. Addressing a crop of Nigerian ambassadors, Nwachukwu had noted that:

*The ball game today in international relations is self interest and economic development.... In your utterances and in your behavioural pattern, please remember that Nigeria is a developing country. It needs support from the international community and that support can only come when you can win the confidence of those whose support you seek.... You begin to win that confidence through friendliness and loyalty to their cause. What matters is your ability to win for Nigeria, what we cannot for ourselves, the economic well-being of our people and physical well being of Nigeria(Ugwu and Olukoshi, 2002)*

In this connection, reading the minds of the Nigerian government officials, the "new" economic diplomacy was to articulate the improved investment climate of Nigeria abroad, and to explain the numerous incentives Nigeria has put in place to encourage and induce the flow of capital to Nigeria for bankable and profitable investment. A more expansive construction of the objectives of the 'new' economic diplomacy include:

- the need for Nigeria to attract more foreign investments and to channel them to preferred sectors of the economy, especially agriculture and industry;
- the attraction of more soft loans and grants for the purpose of financing the country's development projects;

- the rescheduling of the country's external debt on terms that are favourable and which bring sufficient relief to the country;
- the promotion of Nigeria's external trade relations with a view to widening their range, and diversifying their content to the country's advantage; and to
- encourage Nigerian business groups to invest abroad and help widen the foreign exchange base of the economy (Olukoshi and Idris, 1992).

To ensure proper and effective implementation of the stated objectives, the government set in motion the process of restructuring of the MFA. In respect of this necessity, the Economic Department in the MFA, which was upgraded to International Economic Cooperation Directorate (IECD) in 1972, in order to respond to the rapid growth and diversification of foreign economic relations, was further modified in 1988, through the creation of Trade and Investment Department (TID). This modification was in addition to the existing Bilateral Economic Cooperation Department (BECD) and Multilateral Economic Cooperation Department, (MECD) (NIIA, 1992). Each of the modified departments was assigned specific economic responsibilities. For instance, the coordination of bilateral economic matters and the conclusion of economic and technical agreements, which were initially within the purview of the Ministry of National Planning, MNP, became the responsibility of the BECD. In a similar vein, while the MECD became specifically involved with multilateral economic matters, the TID was to assist foreign investors with appropriate information on how to set up industries without going through hitherto complex and almost deliberate complicated bureaucratic process. The department also took charge of packaging information that would be widely circulated through Nigerian embassies to appropriate Chambers of Commerce, and Industry, particularly in the countries of the industrialized north. General Nwachukwu had in 1989 stated that the TID would 'ensure that the economic potentials that this country offers, is well publicized and that assistance is rendered to genuine exporters of our products (NIIA).

Other functions of the Trade and Investment Department (TID) include the following:

- Coordinating economic and business information with relevant economic ministries and the organized private sector;
- Collecting and updating vital trade statistics and economic information for the use of Nigerian missions abroad in the functions of promoting trade and investments;
- Handling trade complaints and enquiries from missions;
- Striving to attract joint ventures and investment possibilities, including debt stock;
- Coordinating Trade Missions abroad in liaison with the Federal Ministry of Trade, Nigerian Export Promotion Council and other relevant economic ministries and involvement of the Private Sector Operators PSO, in the attempt to widen-economic contacts abroad (NIIA).

For effective implementation of the 'new' economic diplomacy, the newly created and modified economic departments of the MFA, which included the International Economic Cooperation Directorate (IECD), BECD, MECD, and TID, were all brought under the headship of the Under Secretary for Regional and International Organisations, in the modified organizational structure of the MFA. In addition, the government also placed emphasis on conclusion of Investment Promotion and Protection Agreement (IPPA) with foreign countries in order to attract and guarantee foreign investment into Nigeria (NIIA). In view of this, the government engaged in sending out of mixed trade delegations, led by either the Military President himself, Federal Ministers or president of the Nigerian Association of Commerce, Industries, Mines and Agriculture, (NACCIMA), etc, to several countries in Africa, Europe, the



Americas, Asia and Pacific states, to promote trade and investment (NIIA). Several foreign economic delegations led by equally highly placed personalities paid official visit to Nigeria in order to foster intimate collaborative relations with opposite numbers and institutions.

One other step taken by the government to ensure effective implementation of the new economic diplomacy was the government's insistence on a good and solid economic knowledge of senior officers by the MFA, as one of the strong criteria in their choice of postings (Nwachukwu, 1998). In this regard, conscious efforts were made in the posting of officers to economic desk of the MFA and further recruitment into the Foreign Service had biases for economic expertise. Nwachukwu, reiterating the economic bent in Nigeria's external economic relations, had noted that:

*... it is equally pertinent to state that our missions abroad have been given enhanced economic function as an essential part of their diplomatic duties. Henceforth, attraction into our country of substantial foreign investment would be the basis of the performance evaluation as well as assessing the success or failure of those missions abroad. They are now duty-bound to ensure that all the economic and industrial policies of our country are well articulated and correct information made available to prospective foreign investors and businessmen (Akindele, 1991)*

The government also went further to create the Corporate Affairs Commission (CAC) to make it easy for intending and genuine industrialists incorporate their companies only in one office instead of going round several offices to secure signatories before simple incorporation of companies could be effected. The restructuring of the departments within the MFA became inevitable in the face of the challenges posed by the new emphasis on the 'new' economic diplomacy as a central element in the conduct of Nigeria's external relations (Nwachukwu, 1998).

By and large, the principle of economic diplomacy was adjudged in official circle to be a success. The protagonist of this view maintained that the policy brought some element of dynamism into foreign policy formulation and implementation in Nigeria. In addition to this, the school of thought claimed that Nigeria was able to attract howbeit, considerable foreign investment during the period as parts of the dividends of its new foreign policy posture. They cited for example the billions of dollars investment that went into the oil and gas sector and the purported gains of the Structural adjustment policy SAP a key component of Babangida's economic reform and foreign policy. Ernest Shonekan, the Chairman and Managing Director of the octopoid United African Company (UAC) Plc, in 1989 hailed the Structural Adjustment Policy saying that it has helped create conducive environment for foreign investment. Similar euphoric statement was echoed by Alhaji Garba J. Abdulkadir that same year during the AGM of Johnholt Nigeria Plc. (Osoba, 1993).

Historians and International Relations experts are quick to react and debunk the position that the economic diplomacy of General Babangida achieved so much as claimed by its supporters. Osoba (1993) for instance, condemned the entire political and economic reforms and tagged it "crisis of economic and political clientelism". In other words Babangida's economic diplomacy was more robustly committed to the preservation of existing relationship of accumulation between the core of national bourgeoisie and other foreign interests particularly the western countries.

Joy Ugwu and Adebayo Olukoshi (1991) citing Humphrey Asobie claimed that Nigeria has achieved only mixed results in its policy of economic diplomacy. In the area of trade promotion

and foreign investment example, the achievement of economic diplomacy was said to be dismal. Furthermore, attention was drawn to the flagrant profligacy of the Babangida's regime especially on how it squandered the nation's resources. Nevertheless, the regime claimed it achieved the stated objectives of the policy and indeed set the nation on the path of steady growth.

### CONCLUSION

From the foregoing, it is safe to conclude that Nigeria reached a political/economic crossroad in the 80s. The economy of the country plummeted due to the drastic drop in revenue from its major export product 'crude oil'. The socio-economic dilemma led the government of General Ibrahim Babangida to embark on far reaching internal restructuring. It was in the midst of this restructuring that the government came up with the idea of 'economic diplomacy'. The policy was not a novel idea, but served as the fulcrum of the regimes foreign policy objectives. Innovation such as the TAC scheme and SAP were the regimes foreign policy achievements. The promise of attracting foreign investment ended as mirage.

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## The Need for Accounting Training Packages for Small-Scale Firms in Rural Mauritius

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### Abstract

This paper basically examines the need for accounting education and training for small-scale businesses in Mauritius and the need to use accounting software packages in such organisations. For the purposes of the study, the researcher selected two locations namely Pamplemousses and Flacq as areas where the research could be undertaken. Around thirty small businesses were targeted with a turnover varies between Rs 125 000 to Rs 1 million. The research states that there is a positive perspective of using accounting software packages in Mauritius regarding small firms. The companies selected for the purpose of the research were in favour of adapted accounting packages that they could effectively use for the day-to-day activities while ensuring that they adopt the regulatory business practices. Although the research is valid within the parameters defined; thirty companies on average, two rural districts in Mauritius, it cannot be co seven coastal ones. The practical implication of the research is that small-scale businesses in rural areas of Mauritius require tailor-made accounting packages to perform better. The use of accounting packages might encourage small-scale businesses in rural Mauritius to be future-oriented and ready to face long-term survival. This research is undertaken at a time when Mauritius calls for good financial governance and performance from small businesses when accounting packages can effectively boost efficiency and effectiveness.

**Keywords:** accounting packages, small-scale firms, rural Mauritius

### INTRODUCTION

This paper basically examines the need for accounting education and training for small scale businesses in Mauritius and the need to use accounting software packages in such organisations. As a result of making entrepreneurship more dynamic in Mauritius, the Government of Mauritius along with local authorities like the National Empowerment Foundation, encourages the development of start-up businesses for young and new entrepreneurs in Mauritius. These prospective business people may have been supported by basic training onto developing businesses but will little or no idea of accounting techniques. Quite often, small businesses have failed because their owners did not consider the long-term viability of their projects. Generally, keeping track of money flows and having a good basis in accounting makes good business sense for owners of both small and large businesses. In many ultimately unsuccessful enterprises, failing to keep track of the money often results in the company's money gradually or suddenly disappearing (Business Dictionary). Businesses in rural Mauritius were run solely to earn a living and sustain the longer educational and career plans for the children. Small scale businesses flourished up to the 1990s when they were overtaken by new businesses operating with large financial capital and capable of proposing a 'one stop shop' service to the public. Incidentally, business management was professionalised through the formalisation of accounting practices and techniques. This allowed medium-scale organisations to better prepare themselves finally, develop sound financial governance and eventually dominate over small businesses that were forced to shut down. Since the country is

now experiencing a high level of unemployment, the Government of Mauritius decided to offer a boost to the local entrepreneurs so that they could set up businesses and have an activity upon which they can depend. Small business demonstrated its durability during the 1970s and 1980s in particular [1]. Small scale businesses have flourished over the years in Mauritius in various forms starting from the sole proprietor business to small companies employing up to ten people. They have been in the form of commercial activities like shops, refreshment outlets known as 'tabagie', clothing apparel outlets known as 'magasins' and eventually small scale enterprises engaged in the manufacture of goods. Small and medium enterprises go a step further whereby they are producers of goods and services and operate in a more sophisticated environment. Small businesses do also form part of the informal sector where people can run their own business as hawkers in different locations of the country. The African Development Bank points out that the informal sector contributes about 55 per cent of Sub-Saharan Africa's GDP and 80 per cent of the labour force [2].

Owners of small businesses often complain that their activity is prone to change and uncertainty. Traditional Chinese shops that operates with a credit system with rural customers in villages dominated the commercial scene for almost four decades (1950-1990) while their activities were quite easily swallowed through the setting up of supermarkets starting from Continent in Phoenix, Mauritius to a panoply of oligopolists in the same area today namely Jumbo, Way, Winner's, Shoprite, etc. In a similar way, small clothing apparel shops described as 'magasins de luxe' owing to the perception that buyers placed on them are also subject to strong competition from entrants of the same size but more particularly from bigger shops and malls selling a larger variety of products at very competitive prices. Oligopolistic firms may achieve economies of scale that would elude smaller firms [3]. Again, very large firms, whether quasi-monopolies or oligopolies, may achieve levels of sophistication e.g. in business process and/or planning (that benefit end consumers and) that smaller firms would not easily attain.

These two above-mentioned examples, among many others, explain the vulnerability of small scale businesses. A lack of marketing skills of small businesses definitely contributed to high business failure rate in South Africa [4]. Here, the argument is that small business might fail commercial because of a lack of marketing skills coupled with low financial capital available. A range of small scale shops also cease business because they were owned by people who saved money for the future of their children and had no long-term idea of expansion or development. These business incidentally failed or seem to be moribund once the children grow up and undertake jobs having greater prestige and commanding a higher level of revenue. They run tiny operations that do not grow into larger firms but merely provide an alternative employment opportunity to the entrepreneur and potentially their family members [5]. However, these firms do not grow to be medium-or even large-sized businesses; nor do they create employment opportunities for other workers in the economy.

### **STATEMENT OF THE PROBLEM**

The problem for the survival of small scale businesses does not necessarily come from the fact that they have little capital and are unable to survive. Excellent examples can be start-ups in sectors like clothing that are still small and medium in size but can now command much higher revenue and sustainability. Companies like 'IV Play', 'Island Haze' or 'Peace Angels' can be in the same area but have shops in various strategic locations where they are surviving and even making decent business.

The problem comes from the lack of accounting education and training that could be a major barrier to the advancement of small businesses. In the United Kingdom, for instance, 51% of Small and Medium Business (SMB) owners are entirely reliant on error-prone methods for the day-to-day running of their businesses [6]. Although planning for succession or takeover might not have been initially planned, small businesses are usually prone to opaque accounting techniques that might be simply too rudimentary. Experience shows that manual, paper-based working is incredibly inefficient and impairs SMB productivity [7]. Basic accounting management in the form of book keeping or simply accounting for the returns at the end of the day are not at all adapted to the daily existence of small businesses that do not know where they are heading.

This paper states that there is an urgent need for small companies in rural areas to consider integrating sound basic accounting training and have them supported through tailor-made packages for ease of use by the business owners or employees. It also purports that through such accounting education and training, small business will be less exposed to business risks and perform better for long-term survival.

### **LITERATURE REVIEW**

Accounting has been practised by all organisations regardless of their size. Small companies normally practise basic accounting. Every small business needs to account by law for the profit or loss that it makes over time. One of the most important accounting practices needed when starting a business consists of keeping accurate records about how the business is doing financially over time [8]. Accounting has been defined as "the language of business" because it is the basic tool for recording, reporting, and evaluating economic events and transactions that affect business enterprises. The Encyclopaedia for Business (2015) states that accounting processes document all aspects of a business's financial performance, from payroll costs, capital expenditures, and other obligations to sales revenue and owners' equity [9].

Small and medium enterprises represent a major business sector in the industrial world and are of great significance in less developed countries. In many countries they represent over 95% of all businesses, employ around 65% of the workforce and contribute about 25% to GDP [10]. They need to have effective accounting systems in order to perform well in business. This concept might be shared by large companies that formalise the application of accounting practice. It is generally felt that the larger the organisation, the greater the need for management accounting information [11].

The argument here is that small firms in developing nations are less open to formal accounting methodology. In many countries the shortage of competent accounting staff is a significant impediment to economic development. IFAC (1999) suggests that a very high priority should be given to the development of effective education and training schemes in these circumstances [12].

The key feature of a competence-based approach to education and training is that it should be concerned with providing the skills, knowledge and understanding that individuals need to perform to the standards required in the workplace [13].

Ekwe and Abuka support the cliché of accounting as the language of business [14]. This is in recognition of the fact that without accounting, determining organisational performance would have become a mirage. Accounting provides fundamental information about a business so that

interested parties and in particular investors can make informed decisions regarding that business firm. According to Osuala, the knowledge of fundamental accounting skills are very imperative for sustainable business [15]. The non-possession of these fundamental accounting skills by SMEs, therefore, constitutes a problem such that, the chances of survival of the business are slim and the probability of imminent failure/collapse become high. Onah supports the idea that fundamental accounting skills are those competencies in basic accounting required by a person to function competently, confidently, and successfully in the process of carrying out one's function of recording daily business transactions [16]. The key skills include skills in book-keeping, purchasing and supply, bargaining, determining labour costs, simple budgeting, and keeping of accurate receipts, sales records skills in keeping reliable records, sourcing for market outlets, work in progress records, credit purchases, invoices, cheque payments, keeping customers' records and goods inventory. Others are skills in good credit facility practices, operating the cash payment receipts, cash sales, prudent financial and working capital management [17].

Taking Ghana as a case study, Amoako comments that since most SMEs in Ghana are managed by private owners, they sometimes believe they have less need for financial accounting information because of their personal involvement in the day-to-day operations [18]. This might be typical of several Mauritian small businesses both in the formal and informal sector. In order to enable seekers of finance and providers of finance make an informed economic decision; there is the need to have reliable accounting information which has been generated through an adequate accounting system. This requires that proper books of account are kept. An inadequate accounting system is a primary factor in small business failures. Good quality of keeping records for SMEs attract investors to invest and for financial institution to provide finance to small companies [19].

Contrasts regarding poor accounting comes from Lybaert who explains that the quality of accounting information utilised within the SME has a positive relationship with an entity's performance and survival [20]. Kinney further supports that accounting is one of the important types of information for decision making both within and outside the organisation [21]. Poor record keeping is also cited as a cause for start-up business failure. In most cases, this is not only due to the low priority attached to it, but also a lack of the basic business management and skills.

A good understanding of simple financial concepts can potentially lead to better business decisions and, ultimately, greater household welfare [22]. The challenge is to determine not only whether training programmes can improve financial practices and outcomes, but also how to teach financial literacy more effectively. A better understanding of simple financial rules and how to put them into practice might translate into more successful businesses. For example, they may allow business owners to adjust their effort in response to economic fluctuations or help them to manage inventory and products more effectively. Simplification has also proven its merits in the case of financial products, such as enrolment in retirement savings plans and in applications for college student loans in the US [23]. Effective results suggest that in many different contexts, optimality may lie in the direction of simplification.

### **The Literature Gap**

Coming to the Mauritian situation, a large number of business failures have been attributed to inability of financial managers to plan and control properly the current assets and the current liabilities of their respective firms [24]. Small firms are a group of businesses driven by the attitude and motivation of one person, tend to control all functional areas of the business and

accord less time to the accounting and finance function. This is often viewed as unimportant and hence received less attention on the part of the owner manager. Nayak and Greenfield reported evidence that micro-firms lack signs of any systematic accounting practices. Various studies have found similar results for small firms and the key reasons include lack of time, resources and skills of small business managers [25].

From this standpoint, comes the need to have accounting software for small Mauritian firms in an era of digitalisation of information. According to Wasserman, keeping 'the books' for a business was literally a paper-based process, involving a ledger, lots of columns, and a pencil to record a business' essential financial data. In the digital age, however, even the smallest business can benefit from a wide variety of small business accounting software products on the market. Business accounting software can be the source of all this information [26]. But finding the best accounting software program for a small business can be a challenge, with an explosion of shrink-wrapped software products and online application offerings [27]. There are many software packages on the market that allow business managers to successfully control records without an accounting degree. Every business will have different requirements from an accounting software. In a Case Study: Finding the right accounting software for your business, Creswell comments that 'having really good information means your business can react the way you want it to, rather than how you hoped it would [28].' This is where the present study focuses and why it purports the importance of adapting accounting packages to small firms. Advancement in technology is now the order of the day and businesses are constantly looking for cost-effective, economic and efficient ways of satisfying customers' needs [29]. Thus, there is the need for businesses to be abreast of the current issues in technology to enhance their business. This is to help gain a competitive advantage over their competitors.

### **RESEARCH METHODOLOGY**

After the discussion of the literature, the researcher firstly established a sample that could be used for the purpose of the research. Taking as an example that small scale businesses are numerous in Mauritius, selected regions could be representative of the population. Since the University where the research was undertaken was found in a rural area, the researcher selected two locations namely Pamplemousses and Flacq as areas where the research could be undertaken. In today's context in Mauritius, apart from major administrative activities, all types of businesses are carried out throughout the country under the process of decentralisation. Pamplemousses and Flacq are considered as two areas with similar profile to the other districts of Mauritius. Around thirty small businesses were targeted. Their turnover varies between Rs 125 000 to Rs 1 million . The sectors identified were varied ranging from the rentals of DVDs to retail activities including furniture. Respondents who were owners or managers of their business did not reveal their accounts but accepted giving an overall figure. A test questionnaire was forwarded to small businesses to see the validity of the questions. Cronbach's alpha is widely believed to indirectly indicate the degree to which a set of items measures a single unidimensional latent construct. The result obtained was 0.78 stating that there was good internal consistency. Most of the questions were addressed in local lingua-franca Kreol.

### **RESEARCH HYPOTHESES**

The researcher developed two key hypotheses regarding the use and application of accounting packages for small businesses in Mauritius.



### Hypothesis One

H1: Tailor-made accounting packages will significantly improve accounting practice and standards in small Mauritian companies.

Null Hypothesis H0: Tailor-made accounting packages will not have any significance on accounting practice and standards in small Mauritian companies.

### Hypothesis Two

H2: Accounting packages will have a positive incidence in the future strategy of small businesses in Mauritius.

Null Hypothesis H0: Accounting packages will have no incidence in the future strategy of small businesses in Mauritius.

## RESEARCH FINDINGS

From the hypotheses developed, a Likert Scale questionnaire was used to initiate timely responses from the recipients. Students of the University voluntarily worked as field workers and they were keen to find out suitable small businesses. One pre-requisite was that the small businesses selected use a Personal Computer or accessory like smart phone or tablet while undertaking their tasks. Companies using ledgers or accounting books only were not selected. Note that in some exceptional cases, responses were not given by the respondents which do not make the tally results even (30). The scales ranged from strongly disagree (SD)-weakest to strongly agree (SA)-strongest with ratings 1-4. Table 1 below provides the statistical data regarding how tailor-made accounting packages impact on their potential users.

**Table 1: The impact of tailor-made packages on accounting practice and standards**

No.	Item	SA	A	D	SD	$\mu$	$\sigma$	$\sigma^2$	Accept/Reject
1.	Tailor-made packages are easy to use.	6	15	5	3	2.83	0.87	0.76	Accept
2.	I am interested in tailor-made packages.	8	14	5	-	3.1	0.68	0.47	Accept
3.	I believe in the quality of packages.	6	15	5	4	2.76	0.91	0.84	Accept
4.	Accounting packages make accounting activity look professional.	9	14	6	1	3.0	0.79	0.63	Accept
5.	I can better understand accounting data.	5	14	6	5	2.63	0.94	0.89	Accept
6.	Packages facilitate my accounting tasks.	7	12	6	3	2.82	0.92	0.86	Accept
7.	I can have better control of my activities.	8	15	3	3	2.96	0.89	0.79	Accept
8.	I can better manage taxation.	7	13	6	2	2.89	0.86	0.74	Accept

Findings regarding the impact of tailor-made packages on accounting practice and standards disclosed that all the sample intervened was in favour of tailor-made packages. The overall mean was 2.87 higher than the average with all the 8 options accepted. It is clear from this standpoint that the companies selected for the purpose of the research were in favour of adapted accounting packages that they could effectively use for the day-to-day activities while ensuring that they adopt the regulatory business practices. With positive responses, the first hypothesis H1: Tailor-made accounting packages will significantly improve accounting practice and standards in small Mauritian companies, was accepted.

In line with the data presented in Table 1, the researcher was able to gather qualitative data regarding each set of hypotheses. For the first set of data, certain qualitative answers are presented below.

The ease of using tailor-made accounting packages:

*'Accounting packages are useful since they will guide me in better understanding and using accounting data with which I am not familiar.'*

The quality of accounting packages:

*'I would be more interested if packages were made by Mauritian firms with information and jargon that are familiar to use. Example Mauritian rupee version of accounting.'*

Understanding of accounting data:

*'This is a hard task for a farmer like me but my staff would help me better arrange the data so that there is transparency in the accounting function.'*

Management of accounting tasks:

*'As a user of Information technology, I feel that simple but well-structured packages will perfectly suit me in undertaking my activities more responsibly.'*

Management of taxation:

*'This is extremely useful as all the financial data that I use as a retailer can be better looked after and correlate with tax evaluator's assessment of my business. This will allow me know how tax figures can be calculated and input.'*

The next set of data supporting the second hypothesis is presented below. This concerns the impact of tailor-made packages on the future of small businesses in rural Mauritius.

**Table 2: The impact of tailor-made packages on the future of small businesses**

No.	Item	SA	A	D	SD	$\mu$	$\sigma$	$\sigma^2$	Accept/Reject
9.	Accounting information is vital for me.	8	15	4	-	3.15	0.64	0.42	Accept
10.	Accounting data indicate my company's strengths and weaknesses.	10	12	4	4	2.93	0.99	0.99	Accept
11	Accounting ratios are performance-related.	9	15	4	2	3.03	0.83	0.70	Accept
12.	Profit/loss accounts indicate survival potential.	7	12	6	5	2.70	1.00	1.01	Accept
13.	Accounting data can help me plan better.	8	14	4	3	2.93	0.90	0.82	Accept
14.	Accounting data is more technical than strategic.	10	12	3	5	2.97	1.04	1.09	Reject
15.	Accounting education empowers me to take decisions.	6	13	4	4	2.77	0.95	0.91	Accept
16.	I can better determine my future through suitable accounting packages.	8	16	3	3	2.96	0.87	0.76	Accept

The second hypothesis aimed at evaluating the impact of tailor-made accounting packages on the future of small businesses. The future would relate to decisions as to expand, rationalise or consolidate the business. The overall mean was 2.93 stating that it was stronger than the mean value 2, standard deviations were fairly high in some cases (10, 12, 13, 14 and 15) with clear-cut strong variances. Item 14 was a rejected decision since respondents found accounting packages more technical than strategic while the central item asked for strategic nature. Despite this argument being rejected, all the other items were positive and accepted. Hypothesis H2 was accepted: Accounting packages will have a positive incidence in the future strategy of small businesses in Mauritius. This view is also in line with the government's perspective of developing small and medium enterprises in Mauritius in subsequent budgets (2014/2015).

In line with the data presented in Table 2, the researcher was able to gather qualitative data regarding each set of hypotheses. For the second set of data, certain qualitative answers are presented below.

The importance of accounting data:

*'Such information is a must for the survival of businesses. Accountability is important in today's climate of transparency of accounting information.'*

The relevance of performance ratios:

*'For a business in agriculture, young people as us who are already qualified at the GGE 'A' level can assist our bosses in explaining how accounting ratios could be useful in comparing last year's and the current data.'*

Accounting data and planning:

*'This is critical for a small IT business of mine. Planning will ensure how I manage the stock control of my business and how I might plan to better utilise my resources. In the IT field, consumables and software change quickly and losses are inherent.'*

Technical importance of accounting data:

*'This applies to my business in the large retail area – a supermarket. Basically, I view accounting data more technical and operational in application to strategic. But, the accounting data applies very much to the day-to-day running and eventually survival of my business.'*

Empowerment in taking decisions:

*'I like to take decisions but these are usually managerial and financial. By linking accounting packages to decision-making like return on investment, net present values, cash ratios, etc. I can take more serious decisions.'*

Determining the future through accounting packages:

*'I might not critically assess the impact of accounting training packages on the future but seen from media information, it is clear that accounting data can help me better shape my future decisions and the survival of my handicraft business.'*

**MULTI-VARIATE ANALYSIS AND CONCEPTUAL MAPPING**

The study has also gone a step further in using an indexed mechanism to locate the propensity of the small firms in the rural areas of Mauritius and explain their readiness to use accounting software packages.

The index used a multivariate comparison where firms were first indexed regarding their market size. Agriculture remains important in rural communities in Mauritius (bucket shops, irrigation equipment, seeds), supermarkets are flourishing and take over small retail shops while training institutions are generally few. The sophistication of the businesses was also indexed from low to very high sophistication. Training institutions and computer businesses (repairs, sales, spare parts, and software) were highly sophisticated businesses. The degree of sophistication explained the readiness to use accounting applications. Training was indexed highest (1) and supermarkets (large retail) were also apt to use applications. Please note that about 80% of tax payers used the computerised version of filing (e-filing) and this partly relates to the ability and readiness to use application packages.

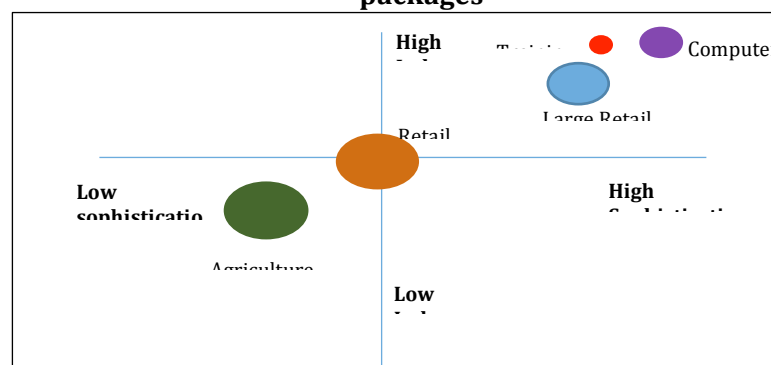
The table below shows the multivariate combination used to assess the sample of companies used for the purpose of the study. The indexed ability to use accounting packages depended on 5 factors: general education (0.2), customers (0.2), computer use (0.2), accounting knowledge (0.2) and e-return to MRA – Income Tax (0.2).

**Table 3: Comparative analysis of selected businesses and readiness to use Accounting Packages**

Small Business Sector	Market Size per selected region	Degree of sophistication	IT Index of adaptability to accounting packages
Training	Low	Very High	1
Computer	Low	Very High	0.9
Large retail	Moderate	High	0.6
Retail	High	Moderate	0.5
Agriculture	High	Low	0.3

From the findings, the researcher developed a perceptual map to better conclude his work and sense how firms under consideration would be viewed regarding their ability to use accounting software packages.

**Chart 1: Two-axis perceptual map for selected businesses and their readiness to use accounting packages**



Computer companies, training organisations (providers of courses in computing, accounting, management, business studies) along with large retail shops (supermarkets) would be prompt to using tailor-made accounting packages. Clearly, low sophisticated businesses like retail and agriculture would lag behind but might be more open to using computer and accounting packages in the future. This could be an issue of generational change. This is confirmed by Shanker where the popularity of computerised accounting has increased as prices have decreased and the software has become easy to use, even for those without an accounting education [30]. The need to have proper accounting systems viewed primarily as an isolated technology in 'a functionally autonomous sphere of practice', modernised book-keeping and statement of profit and loss evidently call for easy-to-use and adaptable accounting packages that should be tailor-made [31]. Pepe (2011) comments that the evolution of accounting technology has been tremendous with strong growth potential for the future. In the end, accounting software packages will evidently be more secure, easy-to-use and account for the day-to-day running of small businesses and enhance the latter's opportunity to expand-this is more consistent today than before [32].

### **CONCLUSION**

The research states that there is a positive perspective of using accounting software packages in Mauritius regarding small firms. Such companies should benefit from accounting training and education to improve their standing and become more competition-oriented. There is already a call at all levels in Mauritius for transparency in corporate governance and the need to abide by sound accounting standards is no exception to the rule. For instance, Bushman and Smith explain that when current accounting numbers do a relatively poor job of capturing information relevant to governance, firms substitute toward alternative, more costly governance mechanisms to compensate for inadequacies in financial accounting information [33].

Both hypotheses confirmed the importance and benefit of using accounting packages among small-scale rural businesses of Mauritius. There are two important considerations here regarding local businesses operating in the country. Firstly, the Mauritius Revenue Authority (MRA) operating as the main tax collector in Mauritius makes it clear that businesses operating above Rs 50,000 in the island should present their annual returns. The relevance of accountancy is clear whereby the MRA administers, operates and gives effect to the Revenue Laws and, for that purpose, assess liability to, collect and account for, all taxes [34]. The MRA could otherwise make checks on the accounts of business people and can charge taxes in relation to their bank accounts.

Secondly, financial scandals have recently affected Mauritius like the British-American Insurance saga which has impacted on businesses regarding their lack of accountability and transparency [35]. With the perspective of improving businesses, companies are now seriously considering the need to have an accountant either 'full' or 'part-time'. This supports the concept of adhering to accounting standards through effective accounting systems hence packages.

This brings forward the idea that small businesses should shed off their illiteracy of accounting and start thinking more critically on to how to operate at their best. The fact that accounting packages could be made available to them would be one of those man reasons to incite the companies to make a more rational use of accounting information. The Mauritian government envisions to foster innovation and to generate new knowledge for the socio-economic and sustainable development of the nation [36]. This concept of making Mauritius becoming an

'intelligent' island duly supports the wider diffusion of information technology. Given that traditional education has perceived tangible benefits to the country by mainly targeting the lower rungs of society, it is believed that the diffusion of computer technology education might have the same added benefits for society. Accounting packages, as described in this research, are already integrated with information technology and they are bound to impact positively on small businesses. This is why it would be correct to state that accounting packages will firstly improve the accounting standards of small-scale firms and boost their performance. Secondly, there will be better accountability in the future as a means of sustaining longer-term survival of small companies in rural Mauritius.

### **LIMITATIONS/ DELIMITATIONS**

Although the research is valid within the parameters defined; thirty companies on average, two rural districts in Mauritius, it cannot be considered to be an exact image of the entire country with two urban districts and seven coastal ones. Seen from a commerce-based perspective, new companies of small size will eventually better deal with computers and be less averse to using packages of any sort. The question is whether the government could enforce such a condition or whether small firms would use 'brick and mortar' practices to upload online application software or have them developed locally to meet their needs. The response from the selected respondents confirms that younger generations who are broadly better educated and more apt to be trained than their elder ones might get along more easily with using accounting packages. The research, though applicable to rural areas, does not delineate rural from urban citizens in terms of education and competences.

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## Relative Impact of Inflation and Unemployment on Economic Growth in Nigeria (1980-2013)

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### Abstract

This study is on the quantitative analysis of the relative impact of inflation and unemployment on economic growth in Nigeria for the sample period 1980 to 2013. The econometric technique adopted for the study was multiple regression method based on ordinary least squares technique. However, in order to avoid the incidence of spurious estimates, evidence from the ADF test conducted revealed that the variables are integrated of order two,  $I(2)$ . The Johansen cointegration test conducted showed evidence of long run equilibrium relationship between unemployment, inflation and gross domestic growth in Nigeria. The findings revealed that the estimated longrun parameters with computed t-values of -2.605927 and -4.001583 for unemployment and inflation respectively, were highly significant at 5% levels. It also showed that both unemployment and inflation rate were inversely related with gross domestic product (GDP). The Granger causality test gave F-values of 1.94614 and 1.54103 for  $INF @ UNE$  and  $UNE @ INF$  (the arrow indicates the direction of causality) when compared with 5% theoretical F-value of 4.28. Since none of the two computed F-values was significant, the implication was that they were independent of each other. The policy recommendations therefore, are that the Central Bank of Nigeria should pursue more vigorously and transparently its policy of inflation targeting as well as reviving the energy sector to absorb millions of graduate unemployed youths.

**Keywords:** Cointegration, Unemployment, Inflation, Economic growth, Spurious estimates, Equilibrium

### SECTION ONE: INTRODUCTION

#### Background to the study

Inflation and unemployment had become a central issue to policy makers and analysts both in developed and developing nations of the world, Nigeria like. Efforts towards bringing- inflation under effective control was clearly expressed in the Central Bank of Nigeria (CBN) mandate of promotion and maintenance of monetary stability with a sound and efficient financial system. (Ibeabuchi, 2007). On the other hand, the alarming dimension of unemployment in Nigeria beginning from the 1980s gave rise to the establishment of the National Directorate of Employment (NDE) in 1986, charged with the statutory responsibility of creating employment. Prior to the National Directorate of Employment was the establishment of the National Manpower Board in 1962, also charged with the responsibility for employment policies, including measures to deal with unemployment and the utilization of optimal manpower resources (Damachi, 2001).



Unemployment had remained one of the most stubborn problem facing macroeconomic policy makers in Nigeria since independence in 1960. The matter had become worse with the graduate unemployment which began in the 1980s. Even the structural Adjustment Policy (SAP) adopted in 1986 ended up in aggravating the unemployment problem since it resulted in massive retrenchment of workers both in the public and private sectors, particularly in the manufacturing sector. No meaningful development could take place when a considerable percentage of the labour force was unemployed.

In 2003, the Federal Government adopted the National Economic Empowerment and Development Strategy (NEEDS). It aimed at reducing inflation, facilitating access to credit for businesses, and creating jobs in the millions. The manner of its adoption was fancifully and joyfully played with acronyms such that the state version of NEEDS, which it called SEEDS, and Local Government version called LEEDS in 2003. In spite of all these policies, unemployment and inflation pressures had continued to be on the increase.

Inflation generally refers to a situation of persistent or sustained upward rise in the general price level. It should be carefully noted that increases in the price of some goods is not inflationary if compensated by falls in the prices of other goods. As observed by Killick (1981), it is necessary to distinguish inflation from an economic phenomena of a one-time increase in prices, or when there are price increases in a narrow group of economic goods and services. The economic problems posed by inflation can be far-reaching. For example, it undermined the role of money as a store of value, and, in addition, frustrated investment, national output, growth and the general standard of living. As a matter of fact, the negative effects of inflation on economic growth had been explored in many studies, (Barro, 1995; Bruno and Easterly, 1995; and Gosh and Philips, 1998). As a thorny issue besetting all economies, Reagan (2008) described inflation as being "as violent as a mugger, as frightening as an armed robber, and as deadly as a hit-man".

On the other hand, a person is unemployed when he or she is able and willing to work, actively looking for work but does not have work. The macroeconomic objective of any nation is to achieve full employment and confine inflation in the price level to limits that do not interfere with the effective operation of the economy. The employment opportunities provided by any economy serve as a barometer for measuring economic performance. A gainfully employed labour force and an active population as contended by Englama (2001), have the potentials to contribute to the growth of national output for the promotion of economic development. In view of this, the issues of population, employment, unemployment, underemployment and economic development are closely related. The existence of unemployment in any economy was a source of concern to policy makers and the general citizenry. A high level of unemployment implied loss of output and income. Layard et al (1994) put it that unemployment generally reduced output and aggregate income, causing inequality, since the unemployed lost more than the employed. According to them, unemployment not only eroded human capital but also involved psychic costs. Okun (1962), observed also that unemployment implied not only actual output but less than potential output constituted a wastage of resources, because goods and services that could have been produced were forgone. Unemployment therefore, caused poverty, inequality, social unrest and a state of hopelessness to the unemployed. The recent youth restiveness in the Niger Delta region was a pointer to this fact. Similarly, the problem of armed robbery and other social vices could also be traced to unemployment as confessions obtained from many armed robbery suspects in most cases were that they were led into the crime on account of unemployment.

The world bank had predicted that the Nigerian economy would grow at a double digit rate in 2011 and beyond with the country's new focus on investment; and that Nigeria had recorded a GDP growth of 10.3%, 10.6%, 5.4%, 6.2%, 7%, 6%, 7% and 7.4% in 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012 and 2013 respectively, while in the opinion of Ochigbo (2011), the country's economy was expected to grow by 7.8% in 2014. This was in spite of the lull in economic growth triggered by the global economic crisis. With the creation of a new ministry to take charge of trade and investment, the country was on the right track towards achieving its objective of becoming one of the 20 leading economies by 2020.

In the present times, two lines of argument concerning inflation and economic growth exist. While one school of thought viewed inflation as anti growth, the other, the structuralists, postulates that inflation would accompany economic growth as a result of disequilibria created by structural changes which were necessary for development process (Killick, 1981:172). According to them, there was always a trade-off between rising prices and growth, implying that a society which gave priority to growth must be willing to tolerate the inflation that came with it. They also argued in favour of deliberate pursuit of inflationary credit creation as a means of accelerating growth. Some of the questions which this paper intended to address are as follows:

- i. What are the short run and long run impacts of inflation and unemployment on economic activities in Nigeria?
- ii. Are there any causal relationship between inflation and unemployment in Nigeria?
- iii. Are inflation and unemployment dynamics in Nigeria in consonance with Philips (1958) theory of inverse relationship in the short run and Friedman's (1977) theory of long run direct relationship?

In view of the theories that inflation and unemployment, though inversely related, exist together and affect the level of economic activities, the specific objectives of this paper were to:

- i. Determine the short run and long run impact of inflation and unemployment on economic activities in Nigeria.
- ii. Establish the existence or not of any causal relationship between inflation and unemployment in the Nigerian economy; and
- iii. Use data on Nigerian economy to test the validity of Philips (1958) and Friedman's (1977) theories of short run inverse correlation and long run positive correlation between inflation and unemployment.

### **Statement of the problem**

Ever since the 1980s Nigeria has continued to wage a relentless war against the twin evils of inflation and unemployment, with the active use of monetary and fiscal policies. As observed by Iyoha (2004), the use of these policies had always resulted in what he described as "overshooting" and the phenomenon of policy-induced cyclical fluctuations in the gross national product (GNP). Besides, it had been found that the goals of full employment and stable prices are largely incompatible.

In Nigeria, over-dependence of the economy on oil brought a boom in the 1970s while economic recession set in since 1981. The recession has had a very significant implication for the utilization of the country's human resources, leading to very high level of unemployment. The problem had aggravated to the extent that many university graduates could not secure jobs, let alone secondary and primary school leavers. Despite various government policies and programmes aimed at reducing unemployment among the youths and adults, the problem remained unabated. The phenomenon of stagflation in the 1970s and 1980s had gone further

to complicate the conduct of monetary and fiscal policies aimed at remedying unemployment. Stagflation was a situation of simultaneous occurrence of rising inflation and unemployment. The Structural Adjustment Programme (SAP) adopted in 1986 had in no small measure ended up in aggravating the problems of unemployment due to retrenchment of workers in the private and public sectors of the economy. These retrenchment exercises resulted in fall of output vis-à-vis a relatively higher demand pressure.

Most of the works done in this subject area such as Adeyeye and Fakiyesi (1980), Egwaikhide (1994), Englama (2001), Lawanson (2007), Akinbobola (2012) had been strictly on either inflation or unemployment alone. None had gone to the extent of analyzing their relative impacts on the economy, either in the short run or in the long run, or to determine the existence of any causal relationship between them. The determination of the existence or not of any causal relationship between inflation and unemployment and their relative impacts on the economy would aid in no small measure the selection of appropriate policy mix in reducing them to their barest minimum.

### **RESEARCH QUESTIONS**

Some of the questions which this paper intended to address are as follows:

- i. What are the short run and long run impacts of inflation and unemployment on economic activities in Nigeria?
- ii. Is there any causal relationship between inflation and unemployment in Nigeria?
- iii. Are inflation and unemployment dynamics in Nigeria in consonance with Philip's (1958) and Friedman's (1977) theories or postulations of short run inverse relationship, and long run direct relationship, respectively?

### **Statement of Research Objectives**

In view of the existing Philip's and Friedman's theories, inflation and unemployment, though inversely related, existed together and affected the level of economic activities, the broad objective of this study is to empirically analyze the relative impact of inflation and unemployment on Nigerian economy. Specifically, the objectives are to:

- i. analyze the short run and long run impact of inflation and unemployment on economic activities in Nigeria,
- ii. establish the existence of any causal relationship between inflation and unemployment in the Nigerian economy, and
- iii. test the validity of Philip's (1958) and Friedman's (1977) theories of short run inverse correlation, and long run positive correlation between inflation and unemployment.

### **Statement of Research Hypotheses**

This research is guided by the following hypotheses:

- i. Ho1:  $b_i = 0$ , Changes in inflation and unemployment rates in Nigeria do not significantly affect economic activities in Nigeria, both in the short run and long run.
- ii. Ho2:  $b_i = 0$ , There is no significant causal relationship between changes in inflation and changes in unemployment in Nigeria.
- iii. Ho3:  $b_i = 0$ , The relationship between inflation and unemployment is not significantly related with Philip's (1958) and Friedman's short run and long run theories about inflation and unemployment.

### **Significance of the study**

Economic performance seems to be determined mainly by a country's macroeconomic framework. Most African countries, Nigeria inclusive, have been bedeviled by the problem of poor domestic macroeconomic management. Right from the 1980s, this internal problem of

poor domestic macroeconomic management has been exacerbated by unfavorable external factors such as the oil glut, leading to an acute economic crisis characterized by persistent inflation, high unemployment, stagnation, etc.

When the relative impact of inflation and unemployment on the Nigerian economy are empirically analysed and determined, lessons from this study will be of immense value to the authority responsible for the formulation and implementation of macroeconomic policies in Nigeria. With the direction of causality between inflation and unemployment also established, macroeconomic policy makers will be in a better position to select the appropriate mix of macroeconomic instruments that could reduce inflation and unemployment to levels that might not adversely affect the welfare of the people, and ensure, in addition, the effective working of the market system.

The findings of this study will in no small measure equip the Central Bank Nigeria (CBN) with the true nature and extent of the relationship between inflation and unemployment in Nigeria. This will enable it select appropriate monetary and fiscal policies to achieve desired combinations of inflation and unemployment. In other words, it will provide a guideline to the CBN authorities about the rate of inflation which can be tolerated with a given level of unemployment.

Results obtained from this research will provide a reference document for scholars and researchers who may want to delve further into the subject matter.

Finally, findings from this study would serve as a background upon which further researches in this area would be conducted.

### **Scope and limitations of the study**

This study was an empirical analysis of the relative impact of inflation and unemployment on the Nigerian economy for the sample period 1980 to 2009. The variables employed in the analysis were Gross Domestic Product (GDP) which served as a proxy for Nigerian economic growth, growth rate of unemployment (GUNE), and inflation rate (INFR).

However, this study was not concerned with the discussion of factors that caused either inflation or unemployment, or the types of inflation and unemployment. Knowledge of their causes and types were taken for granted as they were replete in most economic literature.

A limitation worthy of mention here was data limitations resulting from the poor state of statistical information in Nigeria. Apart from underestimation of economic activities, data inconsistencies were rampant. Data from different sources tended to give different information on a variable for a particular period. Furthermore, there were long time lags in the reporting and compilation of certain information, making it difficult to update data.

Apart from the above-mentioned limitations capable of adversely affecting the accuracy of any research findings, all other errors and omissions were entirely those of the researcher. Nevertheless, the conduct of this research was very successful.

## SECTION TWO: REVIEW OF RELATED LITERATURE

### Theoretical Literature

Modern macroeconomic theories on inflation and unemployment saw an inverse correlation between the two as explained by the Philips (1958) curve. The notion that there existed a stable inverse relationship between inflation and the rate of unemployment gained acceptance in the 1960s, but, in the mid 1970s, after a dramatic rise in both inflation and unemployment the two variables began to move together, in open defiance of the Philips curve. The positive correlation between inflation and unemployment which Friedman (1977) noted in the 1970s was subsequently replaced by a negative correlation as the early 1980s saw disinflation which was inflation accompanied by recessions. Today, most economists view inflation and unemployment movements as reflecting aggregate demand and supply disturbances as well as the dynamic adjustments the economy follows in response to these disturbances.

For example, when demand disturbances dominated, inflation and unemployment would tend to be negatively correlated, but when supply disturbances dominated, inflation and unemployment would tend to move in the same direction (Killick, 1981: 166).

The economic belief before 1930, generally referred to the classical economics, with their chief proponent Smith (1776), propounded the theory that the economy would always maintain full employment level of output and resources. This was because the demand for labour would always equal the supply of labour at the prevailing wage rate. If for any reason, there was an increase in labour supply, money wages would fall and more workers would be employed. In the same way, if there was shortage of workers, money wage would rise eliminating the shortage. Thus, in the classical sense, there would never be involuntary unemployment.

However, with the great depression of the 1930s, Keynes (1936), attributed the observed unemployment to insufficient aggregate demand. Keynes assumed that workers were unwilling to accept a cut in money wages in order to secure more employment. Even though they would accept an equivalent reduction in the real wage brought about by an increase in the price level (inflation) while money wage rate remained unchanged. Essentially, Keynes examined the relationship between the quantity of money and prices both under unemployment and full employment situations, concluding that as long as there was unemployment, output and employment would change in the same proportion as the quantity of money, with no change in prices.

Unfortunately, the theory fails to appreciate the true nature of money and assumed that money could be exchanged for bonds only. In response to the weaknesses of Keynesian theory, the New-Keynesian theoretical exposition combined both aggregate demand and aggregate supply by assuming Keynesian shortrun view as well as classical longrun view. Here, they maintained that inflation depended on the level of potential output or natural rate of unemployment. However, the exact level of potential output or natural rate of unemployment was generally unknown and tended to change overtime.

Yesufu (2000) observed that a new and profound cause of unemployment also derived from attempts to manage the economy with policy instruments that were irrelevant, ill advised or far in advance of the stage of development. Curiously, these instruments were wrongly fashioned in line with the economies of advanced nations, and insisted upon by some international organizations, notably the International Monetary Fund (IMF) and the World Bank (IBRD). The enforcement of the type of Structural Adjustment Programme (SAP) that was imposed upon Nigeria in 1986 was a typical example.

According to Katsouli and Pallis (2006) numerous econometric models had been used to obtain estimates of the relationship between inflation and unemployment. On the basis of a review of alternative theoretical approaches, it was concluded that a reduced – form Philips curve framework was the most suitable for the task of estimating this relationship. This was because it provided a direct link to the relationship between inflation and unemployment and was consistent with a variety of structural approaches.

In the view of Pallis and Katsouli (2003), it might be said that the main problem in the estimation of the relationship between inflation and unemployment, using Philips curve specification, was the uncertainty surrounding the estimates of the natural rate of unemployment, and therefore, it was important any contribution to this area to be concentrated on new specifications of the equations involved and on new estimating techniques that would add to our knowledge.

As observed by Olivier (2011), the Philips curve postulates an inverse relationship or a trade-off between the rate of unemployment and inflation. According to him, an increase in aggregate demand due to reduced unemployment results in increased inflation, suggesting the extent to which monetary and fiscal policies can be used to control inflation without high levels of unemployment.

Dornbusch et al (2004), observed that inflation, economic growth, and unemployment were related through the business cycle. According to them, the business cycle was more or less of a regular pattern of expansion (recovery) and contraction (recession) in economic activity around the path of trend growth. At a cyclical peak, economic activity was high relative to trend, while at a cyclical trough, economic activity was low relative to trend. Inflation, growth and unemployment all have clear cyclical patterns. The trend path of GDP is the path it would take if factors of production were fully employed. But, output was not always at its trend level, that is, the level corresponding to full employment of factors of production. Rather, output fluctuates around the trend level. During an expansion (or recovery), the employment of factors of production increases, and that was a source of increased production. Conversely, during a recession unemployment increases and less output was produced than could in fact be produced with the existing resources and technology.

Leke (2011), demonstrated with data the rising concern over unemployment in Nigeria. According to him, Nigeria has about 90 million people who were willing and able to work, but about 70 million of them had no jobs. This represented a very serious impediment to Nigeria's economic growth and development because, apart from draining the country's human resources, it generated losses in terms of lower output which resulted in poorer incomes and increased poverty. The national unemployment rate, according to Leke, rose from 4.3% in 1970 to 6.4% in 1980; 40% in 1992, and 41.6% in 2011. He cited erratic power supply as the major reason for the rising unemployment rates, and that many industries had moved to neighbouring West African countries with lower production costs and friendly government policies. During this period, so many factories that hitherto provided employment to graduates and artisans collapsed because energy supply which served as the main engine of production became comatose forcing surviving industries to depend on power generators. The country was faced with a gross abuse and under-utilization of human resources with direct impact on national productivity and competitiveness.

## **Empirical Literature**

Although much empirical researches had been undertaken for various countries using different data and sample periods, the most revealing interchange took place between Rush and Waldo (1988) and Pesaran (1988). Pesaran (1982) produced a non-nested Keynesian model of unemployment which rejected Barro's (1995) model without itself being rejected by the new classical model. However, Rush and Waldo (1988) argued that Pesaran's version of the new classical model could be improved by taking account of the fact that when it was known that any war was over, the public will anticipate a reduction in government spending. In other words, they argued that the Keynesian model proposed by Pesaran (1982) could be rejected in favour of their improved new classical model.

Aron and Muellbauer (2000) examined multi-step models for inflation and output. The empirical results confirmed the importance of the output gap and exchange rate for forecasting inflation. Using a parsimonious and empirically stable error-correction model, Williams and Adedeji (2004), found that the major determinants of inflation were changes in monetary aggregates, real output, foreign price levels and exchange rates. Also, Khan and Schimmelpfeining (2006) showed that monetary factors were the main drivers of inflation.

Interesting studies on Nigeria's inflation include: Adeyeye and Fakiyesi (1980), Osakwe (1983), Ajakaiye and Ojowu (1994), and Egwaikhide et al (1994). All these studies seemed to find explanation in both monetary and structural factors as being responsible for the upward pressure on the general price level in Nigeria.

With regards to Nigeria, Oyejide (1972) examined the impact of deficit financing in the Nigerian inflation process and concluded that there was the existence of direct relationship between inflation and various measures of deficit financing. However, Ajayi and Awosika (1980) found that inflation in Nigeria was explained more by external factors in contrast to internal influences. Using quarterly data, Osakwe (1983) identified money wage rate and money supply as the two most important factors during the period. Pinto (1987), independently showed that the monetization of foreign exchange earnings from crude oil export constituted the single most important factor explaining the inflationary process in Nigeria from the 1970s to the early 1980s, Ocran (2007) in a study sought to ascertain the key determinants of inflation in Ghana for the past forty years using Johanson Cointegration test and an error-correction model, identified inflation inertia, changes in money, and changes in government treasury bill rates, as well as changes in exchange rates as determinants of inflation in the short run.

As demonstrated by Pondexter (1981), Delong (2002), and Iyoha (2004), the consequences of unemployment were low output, low savings and investments, low income and low standard of living. In turn, Todaro (1980) viewed unemployment as a vicious circle with its principal manifestations in factors contributing to low levels of living and inadequate or inefficient utilization of labour in developing nations in comparison with developed nations.

Holod (2000) explored an identified vector autoregression in modeling the relationship between consumer price index (CPI), money supply and exchange rate in Ukraine. The results show that exchange rate shocks significantly influence the price level. The study further revealed that money supply responds to positive shocks in the price level.

Nicolleta and Edward (2001) updated and extended Friedman's (1972) evidence on the lag between monetary policy actions and the response of inflation. Their evidence was based on

the UK and US data for the period 1953-2001 on money growth rates, inflation and interest rates, as well as annual data on money growth and inflation. Their findings reaffirm the result that it takes over a year before monetary policy actions have their peak effect on inflation.

Mahamadu and Philip (2003), explored the relationship between monetary policy, exchange rates, and inflation in Ghana using Error correction mechanism. The empirical result confirms the existence of a longrun equilibrium relationship between inflation, money supply, exchange rate and real income. In line with theory, the findings demonstrate that in the longrun, inflation in Ghana is positively related to money supply and exchange rate, while it is negatively related to income.

Asogu (1991) undertook an empirical investigation based on ten different specifications that covered monetary policy, structural and open economy aspects of inflation in Nigeria. Variables used in the regressions include money supply, industrial production index, import price index, and official exchange rate. In all the models estimated, the character of inflation seems to be well captured. The result suggested that real output, especially industrial output, net exports, current money supply, domestic food prices, and exchange rate changes, were the major determinants of inflation in Nigeria.

Odusola and Akinlo (2001) examined the link between naira depreciation, inflation and output in Nigeria, adopting vector Autoregression (VAR) and its structural variant. Their results suggest that the adoption of flexible exchange rate system does not necessarily lead to output expansion, particularly in the shortrun, and that the impacts of the lending rate and inflation on output were negative.

Despite Nigeria's real gross domestic product (GDP) of about N29.206 billion in 2010, with the tendency to continue to rise, the country still lacked the capacity to create new jobs for new employees. In his economy review, Bismark (2012), observed that the economy expanded by 7.22% in 2011, and was growing at a pace faster than the global and regional average of 3% and 5.2%, respectively. In his view, despite these indices, the country's unemployment rose to 23.9% in 2011 and might continue to rise in 2012 and 2013. The increases in the rate of unemployment, coupled with the relatively high inflation rate of 10.5% would push Nigeria's misery index upward to 34.4% from 32.9% in 2010. Bismark further noted that because of high level of unemployment, the number of individuals employed in positions which had no correlation to their level of education, in the light of prevailing market conditions were swelling. The question therefore, was, how the economy continued to expand at an average of 7.25% but the situation in the labour market had a different story.

### **SECTION THREE: METHODOLOGY**

#### **Research Design**

The methodology applied in this work was basically ordinary least squares (OLS) technique. However, recent developments in empirical research were utilized in the analysis in order to avoid drawing inferences based on spurious or nonsense regressions. These involved conducting the Dickey-Fuller (DF) and the Augmented Dickey-Fuller (ADF) tests to determine the existence or not of unit roots (non stationarity problems) in the variables (Dickey and Fuller (1979).

Cointegration and error-correction modeling were used to determine the existence of longrun relationships among the variables in the models. Granger (1986) causality tests were



conducted to ascertain whether there was any direction of causality between inflation and unemployment.

### Model Specification

In order to fully capture the relationship between Gross Domestic Product (GDP) and the explanatory variables namely, inflation and unemployment, both in the shortrun and in the longrun, the parameters of the following structural relationships were estimated and tested.

The following equations between economic growth, inflation and unemployment were estimated and tested:

$$GDP_t = \beta_0 + \beta_1 INFR_t + \beta_2 UNEM_t + U_t \quad \dots \quad i$$

$$\Delta GDP_t = \beta_1 \Delta INFR_t + \beta_2 \Delta UNEM_t + U_t \quad \dots \quad ii$$

Where:

- GDPT = Current value of Gross Domestic Product
- DGDPT = Change in Gross Domestic Product (GDPT - GDPT-1)
- INFRt = Current inflation rate
- DINFRt = Change in inflation rate.
- UNEMt = Current unemployment rate.
- DUNEMt = Change in the rate of unemployment.
- Ut = Stochastic error term.
- bo = Constant
- b1, b2 = Parameters to be estimated and tested.

Equations I and II were estimated and their parameters tested for longrun and shortrun relationships only when the variables had been tested and shown to be stationary or integrated of the same order.

For the second objective of establishing the existence or not of any causal relationship between inflation and unemployment, the parameters of the following structural models were estimated and tested using the Granger causality test statistics:

$$UNEM_t = \sum_{i=1}^n a_1 INFR_{t-i} + \sum_{i=1}^n \beta_j UNEM_{t-i} + U_{1t} \quad \dots \quad III$$

$$INFR_t = \sum_{i=1}^n \lambda_1 INFR_{t-i} + \sum_{i=1}^n \delta_j UNEM_{t-i} + U_{2t} \quad \dots \quad IV$$

where it is assumed that the stochastic error terms  $U_{1t}$  and  $U_{2t}$  are uncorrelated. Equation III postulates that current level of unemployment is related to past values of itself as well as past levels of inflation, and equation IV postulates a similar behaviour for inflation. This study may distinguish any of the following four cases as demonstrated by Giyarati (2009).

- i. UNIDIRECTIONAL CAUSALITY FROM INFR to UNEM was indicated if the estimated coefficients of the lagged INFR in equation III was statistically different from zero (ie,  $a_1 \neq 0$ ) and the set of estimated coefficient on the lagged UNEM in equation IV was not statistically different from zero (ie,  $\pi_i = 0$ ).
- ii. UNIDIRECTIONAL CAUSALITY FROM UNEM to INFR was indicated if the set of lagged INFR coefficient in equation III is not statistically different from zero, that was,  $a_1 \neq 0$  and the set of lagged UNEM in equation IV was statistically different from zero, that was,  $\delta_j \neq 0$ .
- iii. FEEDBACK or BILATERAL CAUSALITY was indicated when the coefficients of UNEM and INFR were statistically different from zero in both regressions.

- iv. INDEPENDENCE was indicated when the sets of UNEM and INFR coefficients were not statistically significant in both regression.

For the test statistic, we apply the F-test given by  $F = \frac{(RSS_R - RSS_{UR})/m}{RSS_{UR/n-k}}$

This statistic follows the F distribution with m and (n-k) degrees of freedom for the numerator and the denominator, respectively.

The third objectives will be determined based on the signs of the estimated coefficients of equations I and II.

### Data Discussions

The data employed in this research were Real Gross Domestic Product (RGDP), a proxy for economic growth performance. It is the real value of all final goods and services produced in Nigeria over a period of one year; Next was, the Growth rate of unemployment (GUNE) in Nigeria, that is, the ratio of the unemployed to the labour force, and finally was the inflation rate (INF) which is the rate at which the price level increases.

### Sources of Data Employed

The data for this study were obtained from the following sources:

- i. Central Bank of Nigeria (CBN) Economic and Financial Review from 1980 to 2009
- ii. Central Bank of Nigeria (CBN) Statistical Bulletin from 1980-2009, and,
- iii. Central Bank of Nigeria (CBN) Annual Report and Statement of Accounts from 1980 to 2009.

## SECTION FOUR: RESULTS AND DISCUSSIONS

### Unit Root Tests

Appendix I showed the empirical results which indicated that the unit root tests conducted on the variables, namely, Unemployment, Inflation and Gross Domestic Product were all integrated of order two, 1(2). In other words, they exhibited random walk characteristics and became stationary after second differencing. When variables were not stationary in their level forms, they could be made stationary by using their differences. However, as demonstrated by Gujarati (1995), solving nonstationarity problems through differencing of data may lose valuable information about the longrun relationships between the variables that were given by their levels.

The integration of the variables of the same order became a motivation for the researcher to probe further into the existence or not of a longrun equilibrium relationship among the variables using Johanson and Juselius (1990) Maximum Likelihood Ratio to test for their cointegration. The likelihood ratios indicated that the variables, namely, unemployment (UNE), inflation (INFR) and gross domestic product (GDP) were stationary at 5% significance levels. This implied that even though the variables were nonstationary at their levels, estimates arising from their OLS regression equation could no longer be spurious.

The error correction model (ECM) with a positive coefficient of 0.840212, and significance too, indicated the explosive behaviour of unemployment and inflationary crisis in Nigeria.

As shown in the longrun model (see Appendix II);

$$\begin{aligned} \ln GDP &= 1.205365 - 2.080773 \ln UNE - 0.452835 \ln INF - \dots \dots \dots v \\ Se &= (0.990680) \quad (0.798477) \quad (0.113164) \end{aligned}$$

$$t = (1.216705) \quad (-2.605927) \quad (-4.001583)$$

$$R^2 = 0.576073$$

$$\overline{R^2} = 0.563681 \quad F = 83.83553 \quad D-W = 1.350222$$

The coefficient of determination R2 which showed the predictive power of the model with a value of 0.563681 implied that the model explained about 56.4% of the variability in Nigeria's economic growth performance. This was intuitively high on the realization that there were other important factors that determined the gross domestic product of a nation which have been deliberately excluded from the model. Both unemployment and inflation variables appeared with negative signs (-2.080773 and -0.452835, respectively) showing inverse relationship with Gross Domestic Product. However, the negative sign of the inflation coefficient did not conform with the structuralist position that a society that gives priority to growth must be willing to tolerate the inflation that comes with it. In a nutshell, their argument, (structuralists), was that inflation redistributed incomes in such a way as to raise saving and investment, thus accelerating growth. The computed t-values of -2.605927 and -4.001583 for unemployment and inflation rates, respectively, supported the view that the two variables were highly significant in the determination of Nigeria's economic growth performance. The F-value of 83.83553 at the relevant degrees of freedom showed that the joint influence of unemployment and inflation factors were highly significant in the determination of Nigeria's Gross Domestic Product.

Holding other factors affecting Gross Domestic Product (GDP) constant, a percentage increase in the rate of unemployment will reduce GDP by about 2.08%, and vice versa, while a percentage increase in the rate of inflation (INFR) will reduce gross domestic product by about 0.5%, and vice versa.

Finally, the Durbin-Watson value of 1.350222 which is a measure of the existence or not of autocorrelation showed the existence of positive autocorrelation in the model. The implication was the continuous upward trend in the two economic and social problems of unemployment and inflation in Nigeria.

The shortrun regression results, or the differenced model was as shown:

$$\Delta GDP = -7.123855\Delta UNE - 0.977632\Delta INF \dots \dots \dots \text{vi}$$

$$Se = (1.956511) \quad (0.392109)$$

$$t = (-3.641017) \quad (-2.493266)$$

$$R^2 = 0.591889$$

$$\overline{R^2} = 0.556962, \quad AIC = 7.73239, \quad SIC = 7.828396$$

$$D-W = 3.008274$$

Source: Different regression result in Appendix II

In the shortrun both unemployment and inflation were inversely related to Gross Domestic Product (GDP) and were significant at 5% levels, since the computed t-values of -3.641017 and -2.493266 for unemployment and inflation rates, respectively, were greater than the tabular value of 2.060 at 5% level of significance. In the shortrun, both unemployment and inflation accounted for about 59% of variations in Nigeria's Gross Domestic Product. By differencing the model, we did not have the estimate of the constant term, which had some economic implications that were rather severe. Estimating a regression equation in differenced form told

us whether the dependent variable, in this case, GDP, was going up or down but did not tell us what its level actually was, because we did not have information about the intercept term. The Durbin Watson value of 3.008962 is an indicator of the existence of positive autocorrelation in the model.

**Granger Causality Test**

Granger (1969) causality tests were used to examine whether any cause and effect relationship existed between two or more variables, inflation and unemployment. The results are shown in the table below:

**Table 4.2.1: Granger Causality Test Results Between Unemployment And Inflation**

NULL HYPOTHESIS	OBSERVATION	F-STATISTICS	PROBABILITY
INF does not Granger cause UNE	23	1.94614	0.17830
UNE does not Granger cause INF	23	1.54103	0.22883

Source: Granger causality test results in Appendix I.

The results of the Granger causality tests at 5% significant level and at the relevant degrees of freedom of 1 and 23 for the numerator and the dominator, respectively, gave F-values of 1.94614 and 1.54103 for inflation and unemployment revealed a case of independence when compared with the tabular value of 4.28 (Koutsoyiannis, 1977). This implied that neither inflation nor unemployment Granger cause each other. The implication was that other forces might have been fuelling inflation and unemployment separately.

Finally was the test of the validity of Philips (1958) curve which postulates that there is a trade-off or inverse relationship between inflation and unemployment, and the Friedman’s (1977) postulation of a direct and stable longrun relationship between inflation and unemployment. The shortrun and longrun models from Nigerian data on unemployment and inflation were as shown below:

**SHORTRUN MODEL**

$$\begin{aligned}
 INF_t &= -17.81533 \text{ UNE} \quad \text{-----} \quad \text{vii} \\
 Se &= (2.897810) \\
 t &= (-6.147862) \\
 \bar{R}^2 &= 0.211046, \quad D-W = 0.072121
 \end{aligned}$$

**LONGRUN MODEL:**

$$\begin{aligned}
 INF_t &= 3.138181 + 0.007573 \text{ UNE}_t \quad \text{-----} \quad \text{viii} \\
 Se &= (0.168871) \quad (0.001941) \\
 t &= (18.58335) \quad (3.901445) \\
 \bar{R}^2 &= 0.329034, \quad F = 15.22127 \quad D-W = 1.004618
 \end{aligned}$$

The shortrun model showed that inflation and unemployment were inversely related to each other in the Nigerian context, while the longrun model indicated a positive relationship between the two variables. The two models were in conformity with Philips (1958) shortrun and Friedman’s (1977) longrun hypotheses.

In the shortrun, one percentage increase in unemployment resulted in about 17.8 percent fall in inflation, and vice versa, while, in the longrun a unit increase in unemployment gave rise to about 0.008 percent in inflation rates, and vice versa. In the shortrun, other factors remaining

constant, an adjusted R-squared value of 0.211046 indicated that unemployment conditions explained about 21% variability in changes in inflation rate. In the longrun, unemployment conditions explained about 33% variability in inflation rates. This was as shown by an adjusted R-squared value of 0.329034. The t-values of -6.147862 and 3.901445 in the shorten and longrun, respectively indicated that unemployment had always been a significant determinant of Nigeria's inflationary process. The low levels of Durbin-Watson value of 0.072121 and 1.004618 respectively in the short and longrun indicated the presence of positive autocorrelation in the models. The implication is that inflationary process in Nigeria spills from one period into the next period.

## **SECTION FIVE: SUMMARY, CONCLUSION AND RECOMMENDATION**

### **Summary of results**

The result of the analysis revealed the following information:

- i. That all the variables, namely, unemployment, inflation, and gross domestic product represented random walk models, that is, they exhibited unit roots, and became stationary after second differencing. In other words, they were integrated of order two, 1(2).
- ii. That the integrated of the same order implied, as shown in the Johanson cointegration results, that they were cointegrated at 5% and 1% levels of significance. This was also indicated from the likelihood ratio which were all greater than the 1% and 5% critical values.
- iii. The error correction representation coefficient of 0.840212 was shown to be highly significant and positive. This implied that the variables were explosive, and the gap between them increasingly by about 84% each period.
- iv. The estimated longrun parameters with computed t-values of -2.605927 and -4.001583 for unemployment and inflation respectively, were highly significant at 5% levels. It also showed that both unemployment and inflation rate were inversely related with gross domestic product (GDP).
- v. The longrun model showed an R-squared (R<sup>2</sup>) and Adjusted R-squared of 0.576073 and 0.563681, respectively, implying that both inflation and unemployment influenced about 57% of the variability in Nigeria's economic growth performance during the sample period.
- vi. The longrun model also showed computed F-value of 83.83553 which appeared highly significant, implying that both inflation and unemployment jointly accounted for about 84% of the variability in the gross domestic product. The Durbin-Watson value of 1.350222 indicated the presence of negative autocorrelation in the longrun.
- vii. In the shortrun, gross domestic product (GDP) was shown to be inversely related with unemployment and inflation. The estimated t-values of -3.641017 and -2.493266 for unemployment and inflation were very significant at 5% levels. The D-W statistic of 3.008274 was an indicator of positive autocorrelation.
- viii. The Granger causality test gave F-values of 1.94614 and 1.54103 for INF @ UNE and UNE @ INF (the arrow indicates the direction of causality) when compared with 5% theoretical F-value of 4.28. Since none of the two competed F-values was significant, the implication was that they were independent of each other.
- ix. The longrun regression model of inflation on unemployment showed a direct and positive relationship between inflation and unemployment. The estimated t-value of 3.901445 was highly significant at both 1% and 5% levels. An Adjusted R-squared of 0.329034 was shown to be low. The D-W value was 1.004618. The implication was that in the longrun changes in unemployment caused about 33% changes in inflation rate. However, the D-W value of 1.004618 was an indicator of negative autocorrelation.

## CONCLUSION

This study examined the relative impact of inflation and unemployment on Nigerian economy, for the sample period of 1980-2009. It specifically aimed at determining the shortrun and longrun impacts of inflation and unemployment on economic activities in Nigeria, the existence or not of any causal relationship between inflation and unemployment on Nigerian economy in order to test the validity of Philips (1958) and Friedman's (1977) theories concerning the shortrun and longrun relationship between inflation and unemployment.

The empirical analysis revealed that all the variables were random walk process, that is, they trended upwards overtime. It was also shown that both inflation and unemployment were highly significant in the determination of Nigeria's gross domestic product. The inverse relationship both in the short and longruns between the explanatory variables and GDP implied that any increase in the value of either inflation and/or unemployment would tend to drastically reduce the level of Nigeria's Gross Domestic Product, and vice versa. The adjusted R-squared value of about 57% indicated that unemployment and inflation influenced about 57% variability in Nigeria's economic growth performance. In the longrun, the Durbin-Watson value of 1.350222 showed the existence of autocorrelation, meaning that any underlying shocks to the economy would persist for more than one year.

The Granger causality test conducted at 5% significant level yielded insignificant F-values for both directions of causality. This was a case of independence, meaning that within the sample period neither did inflation cause unemployment nor did unemployment cause inflation. This result was however doubtful.

The shortrun and longrun regressions between inflation and unemployment revealed highly significant t-ratios, though with low coefficient of determination in each case. The shortrun model revealed an inverse relationship between inflation and unemployment, while the longrun model revealed a positive relationship. This is in consonance with Philips (1958) shortrun inverse correlation and Friedman's (1977) longrun positive correlation between inflation and unemployment. Both in the shortrun and longrun, there existed some measure of autocorrelation among the residuals

## RECOMMENDATIONS

The policy recommendations therefore, are that the Central Bank of Nigeria should pursue more vigorously and transparently its policy of inflation targeting. When this is successfully done, the effectiveness of monetary and fiscal policies will be enhanced towards the control of unemployment. With regards to unemployment, the investment climate can be significantly improved by improvement in infrastructure such as electricity, roads, communication, and access to credit, thereby, making it possible for more people in Nigeria to do business. The new Ministry of trade and investment should partner with the World Bank in its drive towards increasing the country's inflow of Foreign Direct Investment (FDI), job creation, and wealth generation policies towards the growth of small and medium scale enterprises (SMEs) should be vigorously pursued.

The government should do something urgently to revive the energy sector. This is because energy supply which served as the main engine of production had been comatose, thus forcing industries to depend on power generators and consequently underutilization of human resources. When the energy sector is substantially revived, the capacity-utilization of

industries will rise, employment will rise with direct impact on national productivity and competitiveness. This increase in output will have a downward pressure on inflation rates.

Adequate knowledge of the relationship between inflation and unemployment will suggest to the government the extent to which monetary and fiscal policies can be used to control inflation without high levels of unemployment.

Finally, to avoid a situation of total social breakdown, the trend in unemployment and inflation should not be allowed to continue. This could be done by controlling, through legislative and judiciary processes, the endemic corruption and inept leadership which had been the bane of Nigeria.

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## Animation in Transition: A Semiotic Reading of Ase Mmanwu Masquerade Costume in Performance.

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### Abstract

The study takes a critical look at costume in motion. Motion or movement here imposes on costume the image of a living object and as such a composition drawn on a symbiotic relationship between an article of material culture and an animator; usually a human factor. This thus infers that, it is in the conjugal relationship of performer and costume that the performance-costume attains full realization and finally, a scaling up in its utility value. The study addresses critically, the Ase Mmanwu costume in performance. As tool to aid artistic exhibition, the Mmanwu costume in performance comes alive as a rich semiotic field explored for signification in the Ase Mmanwu art. The brand, embodied in spatial movements and convolutions, creates and imposes strictly the image of an animated and highly reflexive object which lingers in the consciousness of its beholder(s) long after its perception. With special interest in the masking components of Ase Mmanwu tradition, this discourse is restricted to the animated and antiquated costume of the Mmanwu masquerade of Ase people of Nigeria.

**Keywords:** African, Performance, Masquerade, Costume, Animation.

### INTRODUCTION

Guided by a deep-seated attachment to African pristine norms, the African has developed a psyche that prompts him to identify with the pervasive features of his society. Thus he pays glowing tributes to his African roots through characteristic African performance forms, colorfully animated by verbal, visual and aural antecedents. The proliferation of artistic performance forms in African societies is usually traced to the African's celebrative spirit and indeed, his penchant to commemorate his various experiences in outward shows of conviviality. African performances come in a great many varieties, and differ from one another in form, content, purpose and magnitude. They are variously constituted and grouped, with brands ranging from the serious to the unserious. They may be commemorative or merely serve social needs of recreation. Thus, there are celebrative performances for designated festivals, masquerade cults and for ritual or religious rites such as funerary rites of passage or initiation and even royalty rites. There are also several other social forms, less formalised or stylised than the first and are used on occasions such as chieftaincy, circumcision, marriage, child-birth and child-naming ceremonies. On the other hand, there are types that are not too dogmatic and less formalised. Typical examples are revues, carnivals, and communal fairs employing loosely dance, music and acrobatic displays for engagement and entertainment. These can operate in both formal and informal settings and may accommodate innovations. All in all, in a spectacular and vivacious manner, African performances exhibit in a robust fashion, attributes of Africanness by which they are constantly distinguished or recognized.

### Festivals and Social Performances of Ase People (Nigeria)

Ase, often referred to as Ase-Ebeneze in honour of its founder, Ebeneze, came into existence at about 1456. The Ase Kingdom, covering Ase main town, Iwene, Asaba-Ase, Iwure-Ugboko,

Egbeme, as well as the fishing ports around Ekregbeesi, is located in the present day Delta State of Nigeria. It is bounded on the East by the River Niger, on the West by the Isoko communities, on the North by Ibedeni and on the South by Ijaw communities. Ase main town however, is the seat of the Igwe (King) of Ase, a descendant of the Umu-Ogwuezi Royal House of Umuonotu; hence, the centre of all festive activities of the clan. For administrative ease, the Ase clan is divided into six distinct areas or quarters as they are known. Each of these quarters – Umuonotu, Echei, Ogbonome, Ekukeni, Asaba-Ase and Egbeme – has a chief designated to oversee it on behalf of the Igwe. Thus, there is the Aguenya of Echei, the Eje of Ogbonome, the Onou of Ekukeni, the Onise of Asaba-Ase and the Ochoron of Egbeme. These, alongside several other palace chiefs, make up the Royal administrative caucus led by the Igwe himself. The main festival observed by the Ase people is Erishi Festival.

### **Erishi Festival**

The Erishi festival has remained the most significant of Ase festivals. Not only did it denote the climax of one harvesting season, it ushered in the new season with rites, pomp and pageantry. Significantly, Erishi festival, for the Ase citizenry, was not just fanfare but one dynamic social cohesive force with which stability, peace and human relations was maintained. Thus, besides being a reason for expiation, it was a season for supplication to man and the gods for wrongs or rights, as the case might be. The festival thus in multiple dimensions appealed to the collective consciousness of the people and indeed prodded a determination toward oneness and peaceful coexistence. Unlike other festivals of Ase, the Erishi Festival, was under the sole jurisdiction of the Igwe (King) and it was his prerogative to give approval for its celebration annually. Others, were mini festivals, and indeed the sole affairs of individual Quarters to which they belonged. However, for communal authenticity, approval had to be given first by the king; a mandate which enabled the Eze-Egwu (Dance-Chief), the dance maestro of the community, to team up with the Quarter Chief to organize it. Though performances were restricted to the celebrating party, mini Quarter festivals remained a communal celebration as Quarters not directly involved played participatory roles as audience to the performing group.

At the appointed time for the Erishi Festival, the Igwe summoned the Eze-Egwu (Dance-Chief) and empowered him to fix its celebration and as well as send words round the community to advertise it. Each Quarter was expected to field performances. The activities, usually at the market square, involved the entire members of the clan and lasted for a period of one week. Performers included Ekeneke the stilt dancers, the colourfully costumed Ekuwusie-Ododo, with their imposing head-gears as well as the egwu-isha and egwu-amara-buyo. Dance apart, performances included masquerade and acrobatic displays. With the expertise of the Uffie drummers and the rhythmic music from the percussive tamgbi setting the mood, performers exhibited well-rehearsed and intricate dance movements to the thrill of the audience. The most popular masquerades at the Erishi festival were the aggressive Anyangba, the Ogoni, the Owo, and the Mmanwu.

### **Ase Masked Performances: Mmanwu Masquerade in Focus**

Mask performances were rife among Ase people. This was so because of their common belief in the manifestation of dead ancestors through masquerades. The masquerade was thus a symbolic entertainment art form. It had from time immemorial served as a cultural signpost or icon denoting that invisible animating or energizing force the Ase people often referred to as Nmo (spirit). This line of thought is validated in the views of a number of scholars of Anthropology or Cultural Studies as indicated in the references: “ancestral character” “ancestral manifestation” “ancestral spirit”, “incarnate beings” “spirit being” (Henry Drewal 1974, Ojo, 1974 Okoye, 2007:60, Ododo, 2010:206, Dugga, 2010:219,) The Mmanwu’s outing,

according to the common belief of Ase people, presupposes the presence of an ancestral spirit, "credited with supernatural powers and supernal insights". They were said to visit their "erstwhile communities, at the ordinance of their members, to celebrate or mourn with them, or dispatch some social actions of consequence" (Okoye, qtd in Ododo, 2010: 206). Thus, in Ase cosmology, death becomes the medium by which the spirit of the dead is transposed into a higher being; a god or goddess or Nmo in the local parlance and who, by supernatural, means is conjured to visit the living through some designated mediums as reported by Robin Horton in "The Gods as Guests: An Aspect of Kalabari Religious Life" (Horton, in Ogunbiyi, 2014:98-137) The Masquerade device has been identified as one such medium by which the Kalabari people (Nigeria) communed with their ancestors. As with the Kalabari ethnic group, Ase people of Nigeria are also noted for their use of the masquerade medium as interface between the world of the living and the living-dead i.e. the world of the ancestral spirits. Conjured, the manifestation of the spirit is effected by its consummation with the designated costume designed for its purpose and which as a consequence becomes transmogrified. This transmogrification is exhibited in performance through a vibrancy which is associated with this spiritual incarnation. Against the paradoxical image of the living-dead, the ancestral figure takes on an oracular image. Built on the cognate relationship between man as a living being and man as a reincarnated being, it toes the path of mystery. Its conventions are enmeshed in secrecy open only to insiders bound by oath never to let them out to the ogbodi (non-initiates). The institution thus is well guarded by taboos and sanctions socially and culturally endorsed by its society. The Mmanwu masquerade, is perceived and conceived in a clothing idiom and manifests its being in an automated voluminous robe crystallized in kinesthetic motion. In relation to its composite structure, form, features and configuration, the Mmanwu masquerade of Ase is style-specific in every respect. This is so because it is specially guided by conventions and taboos sacrosanct and germane to its cult.

Although this research exercise is limited to the Mmanwu pedigree, it is pertinent to note that there are quite a number of other kinds of masquerades found among Ase people. They include: Ogbo-oyibo, Okpotu, Orikpo, Eze-nmo, Oje, Uridi, Ene and Ozo. Given the central focus of this study concerned with costume as animation in transition, the researcher critically examines, from a visual aesthetic position, the Mmanwu masquerade phenomenon of Ase people. Beyond its appeal as a mobile branded anthropomorphized object of material culture the Mmanwu masquerade costume is appraised as a construct with a duality of purpose; serving not only as dress but also as physical body to the ancestral spirit which we can only perceive in the subconscious. It is this latter concept that imposes the supernatural as well as the sacrosanct image with which all Mmanwu artifacts are appraised. Given these varying points of view, signification assumes a multi-dimensional and multileveled interpretation. Therefore, this 'covering' the 'outer-layer' that the ordinary eye can perceive takes on different meanings to different perceivers. The mystified and invisible masker's paramount place is to provide the Mmanwu costume with its energizing force and thus conditionally aids its transposition from the image of non-living to living. Basically, the study, against the backdrop of human kinetics and animation, relates to aspects of physical movement, and the illusion of unbroken movement by which the costume is characterized to play its peculiar traditional role(s). Because of his significant role of revivification, the masker stands as the soul of the Mmanwu itself. From another perspective, the Mmanwu may sometimes be seen as the spirit of the dead and as such, the masker may connote the invisible spirit of a dead ancestor for whom the masker serves as medium. Thus the masker acquires the esoteric image sustained in a hidden identity; unknown however, only to outsiders (non-initiates). Cast therefore in the image of the invisible (spirit) – a nonentity – the masker's persona is completely subsumed by

the peculiar clothing idiom that anthropomorphizes the Mmanwu phenomenon. The masker, while serving its purpose as the energizing force in its animation, transposes the costume-mask from being a mass of inanimate material culture to a living object appraised by its transitory convolutions in movement and dance. Thus, such successive convolutions of the dress-piece in a continuous stream simulates the illusion of unbroken movement – animation. This then creates varying pictorial images in movements which invariably continue to linger in the sub-conscious realm of a beholder long after their perception. This is corroborated by Peter Mark Roget’s notion that the retina of the human eye retains images for a while before they are replaced by succeeding ones. This study posits therefore, that the Mmanwu masquerade is a costume-mask art built on the framework of performance. More than a mere disguise technique, the Mmanwu costume metaphor is a design composition that supposedly derives its significance only through performance; and this by a symbiotic relationship between the specified articles of material culture (costume/accessories) and the energizing force (spirit/masker/performer). It follows therefore that it is only by such connubial relationship of costume and masker, and always within a performance structure, that the Mmanwu masquerade costume is accorded its full complement.

### **The Image of Ase Mmanwu Masquerade as Costume Par-excellence**

The Ase Mmanwu Masquerade costume is a mass of brownish raffia strips built into a conical-shaped gown covering which, from the upper part (head) spreads out toward the lower level (feet). The conical costume which is usually double the average human height, ends with a rich tuft of wigs. The torso, decorated with red fluffy wool strings and strips of red velvet material for aesthetics, also has small oval mirrors and Indian bells affixed. These stripes of velvet which hang loosely from the torso downwards sway harmoniously to the Mmanwu’s magnificent movements while his presence is visually and aurally highlighted by the sparkles of the mirrors and the jangle or clatter of the Indian-bells fixed generously about it. With a strange guttural but sonorous voice to cap it all, everything merge in a holistic synergy that produces in the Ase Mmanwu masquerade the awe-inspiring aura that forever hovers about its personality. The Ase Mmanwu masquerade costume carries an opposing binary image of life and death to the initiate and non-initiate alike. The costume, synonymous with the dead, metamorphoses in performance assuming the image of the living-dead. That is to say, in performance, the dead resurrects through costume animation. Thus, the represented spirit-being has the attribute of life imposed on its image; the costume serving at once as both spirit-body and spirit-dress. That masquerade costumes often portend the image of death is corroborated in Soyinka’s *Death and the King’s Horseman* in which the character, Amusa describes the Egungun masquerade costume as “uniform of death” (Soyinka, 1982: 25).



ASE MMANWU MASQUERADE

Photo by Gogo Gladys Oriekeme on Ase Day, April 2013

As both body and dress, it serves not only as 'casing' or aesthetic covering for the invisible spirit, but very much the personification of the spirit itself. In this dual capacity the Mmanwu costume, by its esoteric and aesthetic value, commands respect and veneration. Thus, it is in a synthesis of its intricate dance and costume movements, alongside its peculiar rhythmic drumming, that the Ase Mmanwu Masquerade's aesthetic value, and/or transmogrifying essence can be fully appreciated.

From a theatrical perspective, the Ase Mmanwu phenomenon is performance oriented. The dance art adopts a fluid structure; however, there are accompanying characters with function-specific roles delineated by the Mmanwu art itself. Characters include the flag bearer, the whip bearer and the interpreter. Although the Mmanwu, being the central figure, steals the show ever so often, the drummers, in a synergy of drumming and frenzied body movements play allied complementary roles. That is to say, all members sing, clap and dance to the rhythm of the drums alongside the Mmanwu who, however, remains the star performer. Under the spell of the magical mood created by the Mmanwu costume, the adept dancer, indeed the enlivening spirit behind the art, sits atop of his game, impersonating the spirit-being with remarkable vivacity.

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## **English literature in global contexts Arabic, Indian and Chinese literary readings**

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### **Abstract**

English-language literature holds a privileged place in global education. It is a central component of preparing second-language students, who expect to participate in the global knowledge economy, and who currently experience a global identity. Reading English-language literature is now part of the global student experience. This study uses Hofstede's Values Survey Module data, and Appraisal analysis, to explore the responses of Lebanese, Indian and Chinese second-language students to an English-language poem. Participants wrote a personal response to an English translation of Tao's "Returning to Live in the Country". Responses were aggregated into corpuses, for analysis, first comparing response rates to Hofstede's cultural dimensions scores for the national profile, and second for their subjective emotions, judgments and appreciations. Results indicate that readers mainly use local cultural values in responding to English-language literature. Participant groups diverged from their national profile in evaluating city and country life. Lebanese participants were more patriotic than the national profile. Indian participants were more focused on philosophic rewards than the national profile. Hong Kong participants' criticisms of the English translation of the Chinese poem selected suggest their collectivism, and the role of literature in helping second-language students place themselves into global contexts.

**Keywords:** language teaching and learning, English language, literature, cultural dimensions, Appraisal analysis.

## INTRODUCTION

English has become a global language, with nearly 2 billion non-native users worldwide (Graddol, 2007). Globalisation has redefined identities, with people participating in transnational trends, and blending local and international elements (Banks, 2001). The English language no longer belongs to any specific geography or people (Doiz, Lasagabaster, & Sierra, 2011). As a shared language, it is constantly re-shaped by global users (Crystal, 2000). University students worldwide see English as a ticket-of-entry into the global knowledge economy (Block & Cameron, 2002). Their global outlook and second-language education means they experience transnational identities (Levitt, 2001). Reading English literature is an element of this identity (Walther, 2009). Non-native readers of English literature now greatly outnumber native-speakers (Kachru & Smith, 2008). This will rework received interpretations of literature, which was until recently the preserve of native-speaker professionals (DeCoursey, 2012). The English literature read in L2 classrooms includes works written by non-native authors in English, and translations of world literature into English (Bruthiaux, 2010). Reading these L2 readers, and exploring their interpretations of literary texts, provides a window into the L2 construction of English literary meaning, in its new global contexts (DeCoursey & Ganpule, 2014).

## LITERATURE REVIEW

English literature is used in second-language (L2) classrooms worldwide (Paran, 2008). It motivates L2 learners to acquire vocabulary and grammar (Kramsch, 2004) and introduces new patterns of sense, syntax and collocation (Simpson, 1997). The authentic language of literary texts naturalises discourse structures better than the simplified texts prepared for L2 textbooks (Hanauer, 2001). These texts model the lexical, registerial, and stylistic complexities of the target language (Carter 2007). Plot and character development utilise a range of tense structures (Donato & Brooks, 2004). For these reasons, literature elicits extensive L2 interactions between learners (Meskill & Ranglova, 2000), effectively laying down target structures (Weist, 2004). Because it engages learners' subjective experiences (Boyd & Maloof, 2000), literature promotes discussion (Mantero, 2002), scaffolds extensive reading (Kim, 2004), and integrates the four skills (Yang, 2002), sensitising readers to shades of meaning (Badran, 2007), and modelling critical and creative thinking, and intercultural sensitivity (Kroskrity, 2000). The meaning of literary texts is indeterminate, as readers individually construct the sense of a text in the act of reading (Green, 2004). Individual readers, conditioned by their own contexts, use their native cultural commitments to attribute meaning (Ilieva, 1997). The encounter with literary words and phrases activates personal memories and previous textual interpretations (Carter & McRae, 1996). In processing literary texts, readers integrate local and global meanings (Gerrig & Rapp, 2004). The past decade has seen a resurgence of scholarship into the use of literature in L2 teaching (Scott & Huntington, 2007).

This study analyses the subjective and culturally conditioned responses of L2 speakers to an English-language poem. To explore the contributions of each to literary interpretation, responses were taken from Arabic, Indian and Chinese student readers. The three participant groups represent major world languages, organising cultural identities over a wide geographic area (Ruggles & Silverman, 2009). All three retain a valued heritage form of their language, alongside a diversity of local phonological variants which remain vital in daily and workplace communication (Benmamoun, Montrul, & Polinsky 2013; Pulleyblank, 2011). These three cultures are thus appropriate to use in exploring the next generation of contributors to the global knowledge economy, and new global meanings of English literature. Research questions addressed in this study include: how do Arabic-speaking, Marathi-speaking and Chinese-



speaking English L2 university students interpret English-language literature? What place do cultural values play when they construct the meaning of a literary text? What place does subjectivity play in this process? What does this show us about these members of the global economy?

### METHOD

Participants included 118 Arabic-speakers from Beirut, Lebanon, 100 Marathi-speakers from Pune, India, and 97 Cantonese-speakers from Hong Kong. All were 17-23 year-old tertiary students whose L2 proficiency had gained them entrance to an English language tertiary institution. Drawn from across the science, social science, business and humanities faculties, all were enrolled in an undergraduate course which used English literature to teach L2 skills. The text selected for the study was "Returning to Live in the Country," by 3rd-4th century Chinese poet Tao, considered the greatest poet of the Six Dynasties period, and widely anthologised in English-language literature textbooks (Minford & Lau, 2000). As Tao used a simple style, the English translation offers L2 students a text which is easy to understand. In 20 lines, the narrator explains how he left an unhappy city life after thirty years, returning to his native village, where he enjoys a serene country lifestyle. The poem includes ideational content likely to elicit both subjective sentiment and expression of cultural values, including (a) the individual in relation to collectives such as family, village and city; (b) reward for work in its tangible, material sense, and also in terms of personal satisfaction; and (c) emotional responses to the city and country as places and experiences. The poem invites readers to consider these, by evaluating the narrator's life and choices.

The task given to L2 students in the three locations was carefully structured (Connor-Greene, 2000). Teachers in the three locations announced that poetry elicited various opinions and this diversity was acceptable. They were careful not to provide background or historical information, instead asking open-ended questions such as "what do you think this poem is about?" and "How d you personally respond to it?" When handling student questions, teachers elicited group ideas rather than providing answers. They withheld their own opinions, and did not paraphrase or reformulate any language or content from the poem, keeping participants focused on forming their own opinions. Participants were allowed to look up unknown vocabulary. After an in-class discussion of about 15 minutes, participants wrote a personal response of about 100 words. Personal responses elicit more subjective content than the more widespread written tertiary genres such as essays (MacArthur, Graham & Fitzgerald, 2008).

Two analytic tools were used to explore the role of culture and of subjectivity in the L2 interpretation of literature. These were cultural dimensions, and appraisal analysis. Hofstede's (1991) Values Survey Model (VSM) provides data for five cultural dimensions based on psychometric data from international questionnaires (Hofstede, 2002). The longest-established research paradigm for investigating cultural values, VSM data is constantly updated, repeatedly challenged and reproduced, with multiple meta-analyses undertaken (Søndergaard, 2012). VSM furnishes values for Lebanese, Indian, & Hong Kong culture (Table 1)

**Table 1. VSM values for Lebanese, Indian and Hong Kong cultures**

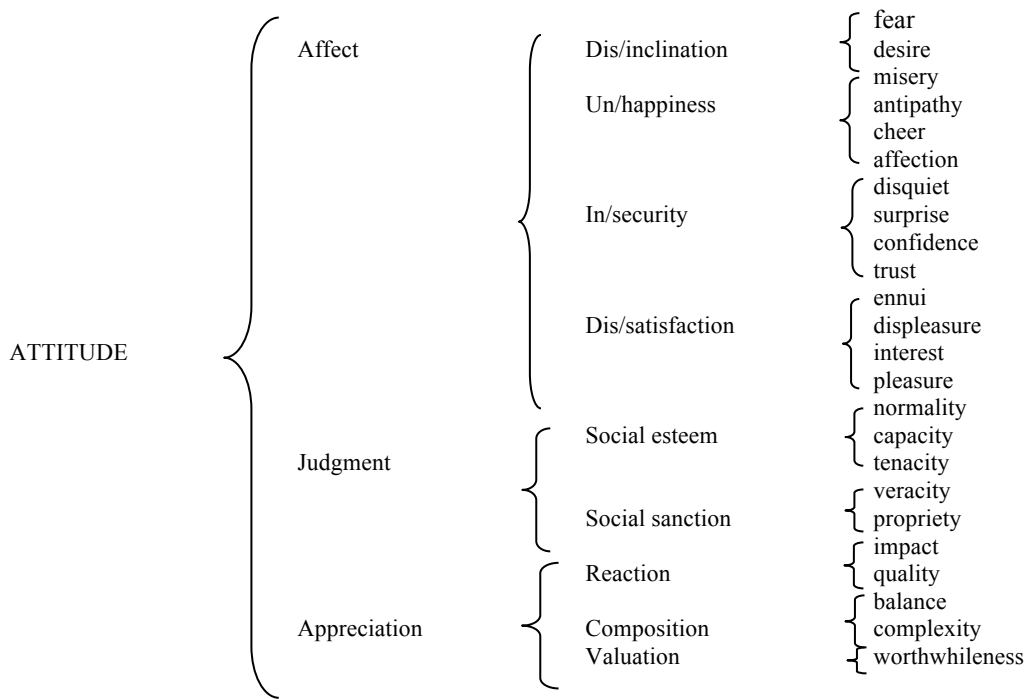
VSM VALUE	ARABIC(LEBANON)	INDIAN	CHINESE (HONG KONG)
long-term orientation	68	61	96
power-distance	75	77	68
task orientation	65	56	57
uncertainty avoidance	50	40	29
individualism	40	48	25

Note. VSM values, from Spector, Cooper & Sparks, 2000, and <http://geert-hofstede.com/lebanon.html>

The three cultures have been extensively researched. Lebanese culture places a high value on long-term orientation, meaning persistence, a focus on future status, and delayed gratification, as well as power-distance, or acceptance of inequality, hierarchy and duty (Kuehn & Al-Busaidi, 2002). It is more collectivist than individualist, valuing family, employment, and religious community, and relying on obligation, group loyalty and nurturing behaviours. (Twati, 2007). Lebanese culture frames individual effort as an aspect of personal relationships, encompassing effort and assertiveness, resultant rewards, and gender roles (Robertson, Al-Khatib & Al-Habib, 2002). Success is attributed to interpersonal relationships, unlike western cultures which attribute success to task mastery and self-reliance (Abdalla, 1997). Effort is viewed as foundational to virtue, reflecting religious beliefs (Ali, 1992). Lebanese culture is equivocal about uncertainty avoidance, meaning tolerance of ambiguity and expression of emotion and insistence on social codes to script behaviour (Alotaibi, 2001). Indians similarly value long-term orientation highly, understanding it as affective reciprocity, co-operation, endurance, and obedience (Walumbwah & Lawler, 2003). At work, conformism and obligation are valued over hard work or persistence (Chhokar, 2003). Personal relationships are governed by mutual deference and compromise (Sinha & Kanungo, 1997). Social relations are governed hierarchically (Panda & Gupta, 2004). Hong Kong culture places much the highest value on long-term orientation, but less on power-distance. All three cultures place a moderately strong value on task orientation, with Lebanese culture scoring highest for this value. Where Lebanese culture is equivocal about uncertainty avoidance, Indian and Hong Kong cultures place lower values on this value. All three place a low value on individualism. Hong Kong, treated separately from mainland Chinese culture due to its colonial history, is highly collectivist, stressing cooperation over independence, focusing on achieving lasting over immediate gains via persistence, via self-discipline, politeness and loyalty (Cheng, 2002). Family is the most significant Chinese collectivity, organising individuals' obligations, including performance at work (Shi, 2006). Persistence is viewed as the source of individual and collective success (Zhang & Harwood, 2004). Hong Kong people view social harmony as important, and based in social hierarchy (Yeung, 2000). By comparison, Indian values are collectivist also, with family being the most important group (Migliore, 2011). But this is organised around the eldest male, who is credited with members' social, educational and work attainments (Sinha, Vohra, Singhal, Sinha, & Ushashree, 2002).

The VSM data offers scores for cultural values in Lebanese, Indian and Hong Kong culture, which may be applied to participant statements about literary texts. However, VSM research has been criticised for its inability to capture subjectivity, particularly emotion (Herkenhoff, 2010). For this reason, Appraisal analysis was also used. Appraisal analysis is derived from Systemic Functional Linguistics. When individuals express a personal opinion, they select specific words from among the available options (Martin, 1995). Their lexicogrammar may be sorted into three semantic regions which together comprise the Attitude System: affect, judgment and appreciation, as in Figure 1 on next page.

Affect underlies the other two systems, which reword emotion as statements about affairs outside the self, either as adjudications about other people and their actions, or opinions about objects, events and processes (Martin & White, 2005). Attitudes may be positive or negative (for example, "I like the village in the poem" and "I hate city life so much too"). They may be directly inscribed ("I think the village life is the best life") or indirectly invoked ("The trees and the nature match the quietness of the man") (Bednarek, 2006).



**Figure 1. The Attitude System**

The Attitude system is “not arbitrarily posited” (Bednarek, 2009, 150). “Appraisal theories of emotions have gained widespread acceptance in the field of emotion research” (Kuppens, Van Mechelen et al., 2007, 689). The Appraisal system gains validity from its increasing convergence with psycholinguistic models of subjectivity (Oatley, Keltner & Jenkins, 2006). Attitude data is now routinely analysed using computational tools (Argamon, Bloom, Esuil & Sebastiani, 2007). When used to analyse aggregated textual data, the Attitude system network offers analytic detail and definition, at the level of the word and phrase (Halliday, 1994). Automated text concordancing is a routine analytic technique within computational linguistics, and an efficient means of analysing linguistic data (Polanyi & Zaenen, 2006). It applies sorting logics and concordancing within hierarchical classes, in order to identify patterns and regularities within the data (Scherer, Schoor & Johnstone, 2001). This method is “robust, result[ing] in good cross-domain performance, and can be easily enhanced with multiple sources of knowledge” (Taboada, Brooke, Tofiloski, Voll & Stede, 2011, 36). The software CorpusTool was used for this study (CT) (O’Donnell, 2008).

Two iterations of data analysis were undertaken. First, content analysis of the three participant response corpuses was undertaken to identify cultural values (Weber, 1985). Hofstede’s five dimensions furnished an a priori coding frame along with constituent units (Hofstede, 2001). Frequency scores were obtained by defining individual reflections as the unit of analysis, with meaning taken at the level of the clause (Carley, 1990). Coders in Hong Kong and Lebanon independently analysed the three corpuses, obtaining content-unit frequencies. Inter-coder reliability was calculated using Cohen’s  $\kappa$ , including percent-overall (p-o) and free-margin (f-m) (Lombard, Snyder-Duch & Bracken, 2004). Second, the three participant corpuses were analysed for attitude. Tagging was undertaken by two trained taggers in Hong Kong and Lebanon. Both had 250+ hours experience and tertiary graduate training in this area, and completed a 2-hour norming session by Skype in which example texts were analysed and compared. Inter-rater reliability was calculated using Cohen’s  $\kappa$ , p-o and f-m (Lombard, Snyder-Duch & Bracken, 2002).

**RESULTS**

The task elicited a Lebanese corpus of 18 218 words in 1068 sentences, an Indian corpus of 10 849 words in 788 sentences, and a Hong Kong corpus of 12 339 words in 841 sentences. Inter-rater reliability and Inter-coder reliability were determined. In both cases, these indicated robust agreement which cannot be attributed to chance, as in Table 2.

**Table 2. Inter-coder reliability for content analysis, and inter-rater reliability for Appraisal analysis, for the three corpuses**

	Lebanese	Indian	Hong Kong
inter-coder			
p-o	.857	.920	.914
f-m	.833	.896	.889
inter-rater			
p-o	.881	.871	.902
f-m	.843	.825	.878

Content analysis of the three participant corpuses allows us to see areas where scores for cultural dimensions responding to the poem diverge from scoring comprising national profiles. Total realisations in the dataset indicate the relative importance participant groups gave to each of the cultural dimensions. This can be compared to the VSM national scores, as in Table 3.

**Table 3. Lebanese, Indian and Hong Kong participants' cultural dimensions unit frequencies**

CULTURAL DIMENSION	CONTENT UNITS	LEBANESE	%	INDIAN	%	HONG KONG	%
<b>long term orientation</b>	persistence	77	169	45	162	112	219
	future status	52	=20.53%	93	=20.15	91	=23.78%
	delayed gratification	30		24		16	
<b>power distance</b>	inequality	38	120	121	163	8	158
	hierarchy	33	=14.58%	37	=20.27	137	=17.16%
	duty	49		5		13	
<b>individualism</b>	obligation	27	127	4	77	38	123
	loyalty	34	=15.43%	52	=9.58	79	=13.34%
	nurture	66		21		6	
<b>task orientation</b>	assertiveness	52	148	28	166	45	252
	reward	81	=17.98%	115	=20.65	186	=27.36%
	gender roles	15		23		21	
<b>uncertainty avoidance</b>	ambiguity	101	259	61	236	23	169
	emotion	136	=31.47%	133	=29.35	52	=18.40%
	social structures	22		42		94	
		823		804		921	

Lebanese responses were consonant with the national VSM data in realising strong long-term orientation (“That poem meant to me to never give up in our life and to fight for what we love and never lose hope”). They were moderately lower than the national data would predict for power-distance (“Maybe he’s obligated to stay there for work or other life problems that he is facing and making him stay”) and task orientation (“This poem really inspired me to stay in the place that makes me comfortable despite all circumstances and don't run after money only”). They were moderately higher for individualism. For example, some participants read the poem as a rejection of collective obligation (“people should do what they want and what they feel them happy”, “you live your life only once and you don’t have the chance to repeat the things you did that if you didn’t do them”). Many more realised a positive view of collectivism (“his village has become a part of him, he was born and raised in his village, his whole family is in that village so he spend most of his life they’re that’s why he is attached to it, “This poem made me think how precious is each one’s village and that we should not be carelessly about moving because we will regret”). This related more to country and family than to work as collectivities (“This poem meant to me more that any poem I have ever read before, since my family

originally comes from a village in South Lebanon”, “you feel how one should be related to his country and family”). Connections between extended family and village are particularly salient in Lebanon, where villages have historically extended their population and territories through marriage (Hourani & Sensenig-Dabbous 2012). Data from these participants diverged from the national VSM data, in realising strong rather than equivocal uncertainty avoidance, especially tolerance for ambiguity and expression of emotion. Realisations tended to realise uncertainty avoidance together with long-term orientation (“When you want to do something then do it for that thing you did will make you feel alive and make you live for a purpose, follow your dreams”), or task-orientation (“This poem is a symbol of insistence to achieve your goals, and never lose hope even in very bad situations”).

Indian responses for long-term orientation were consonant with the VSM national profile in viewing the narrator’s decision to return to his village positively (“I think the poet’s decision is appropriate. The village life is better as compared to the city life”, “It is the smart and correct decision of his part to return to the country house by leaving the illusionary world”). Frequent realisations of task-orientation (reward) suggest this is an important issue to Indian undergraduates, though it scores low in the national profile. While frequently-realised, many realisations of the “tremendous stress and strain” of working in the city were negative (“the thirteen years’ stay in the city taught the poet a lesson- the lesson of the life time! He realized that money was not everything!”). Indian participants understood a peaceful life surrounded by nature as a highly desirable reward (“The poet returned to his country house to live a pure, tension free and happy life”, “To get happiness, to get calmness, the poet decides to go back to his country house...He regains his peace of mind in the company of nature.”) This result cannot be modelled by VSM, which defines reward in material and organisational terms (Fischer & Smith, 2003). It is an unusual result among tertiary students, known to be ambitious (Richardson, Abraham & Bond, 2012). Indian responses conformed to the national profile for individualism, in that this was rarely realised, though the poem’s focus on the narrator’s experiences offered many opportunities. Indian responses differed from the national profile, in that their comments were low rather than high power-distance, especially in accepting inequality (“The house of the village ...was not a modern house with all the comforts. But still it had the touch of love, satisfaction and peace”, “In the village there was nothing as compared to the city- the luxuries etc., but still he felt the calmness”). Finally, frequent realisation of emotion runs counter to the national profile for uncertainty-avoidance (“in the city there was everything available. Whatever he wanted he could get in the city. But despite everything he felt the loneliness which always shuddered him internally”, “ He felt a strange feeling of loneliness in the city. The thirteen years’ stay could not form a bond of intimacy between the poet and the city. The bond of estrangement developed”).

Hong Kong participants valued long-term orientation less than the national profile. Many reviewed persistence positively, criticising moving to the country (“To live in the city reflects the real in the working world. We must put our time to hard work, even the thirteen years. It is to support the other generation”, “Some people dream of going to the beautiful village. In fact, living the country is too difficult, due to the dirty and poor situation. Everybody live in the city now.”) Where Indian participants accepted country dust (“He liked the dust also”), Hong Kong participants rejected it (“The hot and dusty are too unpleasant in the country”). Hong Kong comments fit the national profile for power-distance, especially hierarchy, but viewed social mobility as attainable (“ As time goes by, people want the success and comfortable life. Life should be something with enjoyment”, “Nowadays people do not want simple life. They want their life to be filled up by the social status and wealth”). They placed a low value on individualism, consonant with the national profile, except for loyalty (63=64.95% participants

in 113=13.44% sentences). Frequently realisations about traditional Chinese culture emphasised collectivity (“This is the poem by the recognized Chinese poet from two thousand years. He is the special person in our history”, “Tao is the known Chinese poet who does not have common feeling. He lived in the ancient time, when they can write by far the best poems”). Many (54=55.67% in 86=10.23% sentences) reviewed the translated version of the poem negatively. (“He can reveal the deep emotion of the classical era. The English translation seems strange. It cannot reveal the meaning in a subtle way”, “The poet is Tao. His original writing is simple and perfect. But the translation uses the inferior words”). Where Indian readers focused on the voice and experience of the poet (96% in 241=30.58% sentences), Hong Kong participants emphasised task-orientation especially reward much more than the national profile (“The village house means a lot to him as this is his property. He fly back to it with a strong intention like the bird”, “The fields and the rooms are his most valuable possessions”). Where Indian participants viewed the narrator’s country home as large and wealthy (“he had a big house of ten rooms”), Hong Kong participants read it as indicating poverty (“The poem mainly focus on the poor farming environment. There are only few spaces for him. But he is happy because it is the simple life in the old Chinese times”). Hong Kong participants’ strong value on uncertainty-avoidance differed from the national profile, especially via social codes (“The poet feels like caught in a trap. We rarely see this in the modern times. We can actively improve ourselves in order to be the winner in our society”, “We can feel the ancient affection of visiting the village which is shown in this poem. The poet must go home to the village, because his family expecting him. Nowadays, we miss the ancient ways”).

Attitude data for the three participant populations offers greater detail and definition. The Lebanese corpus contained 966 realisations of attitude, 764=79.09% positive and 202=20.91% negative. The Indian corpus contained 813 realisations of attitude, 662=81.43% positive, and 151=18.57% negative. Attitudinal density was 74.94 per 1000 words. The Hong Kong corpus contained 815 realisations of attitude, 458=56.20% positive, and 357=43.80% negative. Attitudinal density was 63.38 per 1000 words. In all three corpuses, the majority of realisations clustered in 8 categories, as in Table 4.

Polarity was clearly positive in the Lebanese and Indian, but more equally distributed in the Hong Kong corpus. All but one frequently-realised categories in the Indian data were positive. Polarity in the Chinese corpus was more negative, perhaps reflecting the cultural preference to offer hedged and mixed adjudications together (Cheng, 2000; Wei and Lei 2011). Many negative Appreciations of reaction-quality, Judgments of social esteem-capacity and – normality, and Appreciations of value-worth focused on the quality of translation of Tao’s poem into English, and the poet’s decision to live in the country.

The Lebanese corpus had the most frequently-realised categories in affect, where the Hong Kong corpus had the least. The Indian corpus showed a nearly equal distribution across systems, sets and categories, where the Hong Kong corpus was concentrated in Appreciations. All three corpuses included frequent positive realisations of Appreciations-reaction (quality), mainly focused on the natural beauties of the village. All included frequent positive Appreciations-valuation (worth), mainly focused on the return to one’s original village (Lebanese) or family (Chinese). In the Indian corpus, realisations of valuation-worth reflected the strong cultural value placed on philosophy (Sinha & Kumar, 2004) (“Just like the lotus flower, though the poet lived in the crowded, polluted and dirty city for thirteen years; he never lost his purity of mind, his goodness. The lotus flower grows in the mud and then is

offered to God in the temple. Likewise the poet stayed in the mud of the city, but came back to the country, a temple and a place of purity”).

**Table 4: Frequently-realised categories in the three corpuses**

	RANK	POLARITY	SYSTEM	SET	CATEGORY	N	%	EXAMPLES
<b>LEBANON</b>								
	1	+	Appreciation	reaction	quality	156	16.15	beautiful, lovely, attractive
	2	+	Affect	un/happiness	affection	141	14.60	love, passion, like
	3	+	Appreciation	valuation	worth	112	11.59	worth, deep, old-school
	4	+	Affect	un/happiness	cheer	85	8.80	happy, happiness, joy, enjoy
	5	-	Affect	un/happiness	cheer	79	8.18	sad, depressed, regret, blues
	6	-	Affect	dis/inclination	desire	53	5.49	miss, homesick, yearning
	7	+	Judgment	social esteem	normality	48	4.97	special, normal, different
	8	+	Judgment	social sanction	veracity	24	2.48	true, truth, real, right
						698	72.26	
<b>INDIA</b>								
	1	+	Appreciation	valuation	worth	147	23.19	deep, original, the truth, helps
	2	+	Appreciation	reaction	quality	121	19.09	beautiful, lovely, appeal
	3	+	Affect	dis/satisfaction	pleasure	95	14.98	like, satisfy, satisfaction
	4	+	Affect	un/happiness	cheer	82	12.94	happy, happiness, enjoy
	5	+	Judgment	social esteem	normality	67	10.57	natural, special, normal
	6	+	Appreciation	reaction	impact	48	7.57	attract, remarkable, fascinating
	7	+	Judgment	social sanction	veracity	45	7.10	real, actual, honest, honestly
	8	-	Affect	dis/inclination	desire	29	4.57	want, desire, miss, yearn
						634	77.98	
<b>HONG KONG</b>								
	1	+	Judgment	social esteem	normality	123	15.73	lucky, fortunate, stable
	2	+	Appreciation	reaction	quality	87	11.13	classic, ancient, valuable
	3	-	Appreciation	reaction	quality	81	10.36	poor, mistaken, incorrect, flaw
	4	-	Judgment	social esteem	capacity	59	7.54	not able to, cannot, not know how
	5	+	Appreciation	valuation	worth	55	7.03	worth, profound, life's truth
	6	-	Judgment	social esteem	normality	49	6.27	unfortunate, strange, not normal
	7	-	Appreciation	valuation	worth	41	5.24	inaccurate, not well done, inferior
	8	-	Affect	un/happiness	cheer	33		not happy, unhappy, unhappiness
						528	64.78	

The Hong Kong corpus contained frequent negative realisations of worth, focused on the English translation of the Chinese text. All three corpuses included frequent positive realisations of Affect-un/happiness (cheer). For Lebanese and Indian participants, this focused on the poet's return to his village and natural surroundings, where Chinese participants asserted the positive qualities of cities as compared to the countryside. The Lebanese corpus included both frequent positive and frequent negative realisations in this category, the Indian corpus frequent positive, and the Hong Kong corpus frequent negative realisations. All three corpuses included frequently-realised Judgments-social esteem (normality), positive in the Lebanese and Indian but negative in the Hong Kong corpus. Some categories were frequently-realised only within one corpus: positive Affect-un/happiness (affection) in the Lebanese corpus focused on love of the countryside, positive Affect-dis/satisfaction (cheer) in the Indian corpus focused on the narrator's decision to leave the city that made him unhappy, and negative Judgments-social esteem (capacity) in the Hong Kong corpus, focused on the inability to translate the Chinese text effectively into English.

## DISCUSSION

Distinctive features of the three corpuses, identified in the data through Appraisal and cultural dimensions analysis, are easier to appreciate in examples comments responding to major themes in the poem. One theme is place. The poem includes comments on the city, country, village and home, but the meanings of place are constructed differently in the three participant groups. The Lebanese corpus included frequent positive and some negative realisations of identity with birthplace (“This poem made me think how precious is each one's village and that we should not be carelessly about moving because we will regret”, “we cannot leave our land, our home, and memories in it”), emotional attachment (“This poem is very important because it made me think twice if I had to move from my village and home someday”), and nostalgia

("The author has the right to miss his country because in my opinion your country is your first mother"). Most fell within Appreciations of reaction (quality) and valuation (worth) and Affect-un/happiness (affection, cheer) considered within Appraisal analysis, and uncertainty avoidance (emotion), and a smaller number in task orientation (reward) and individualism (nurture) when analysed using VSM. This may reflect the diaspora resulting from the 2006 invasion by Israel:

I think the author travel to live in another country and forget everything here. He decides to come back because he knew that he can't forget his past wherever he goes. Finally, all people who are travelled for some reasons, one day they will come back to their country because our country is always the first and the last place where we live in.

The Indian corpus included frequent negative realisations of the qualities of the city ("city life is very filthy", "I don't like the crowded life of city where everyone is running after money", "In the city the pollution problem is very big"). The city and the country, realised far more frequently than the village or the poet's home, are framed as a universalised dualism ("Isn't it a true story of all of us? We all have taken away from our original blissful state of mind and thrown into the vale of dirty and filthy city life", "The poet is telling the truth of the 21st century where man is forgetting his purity of heart and is getting engaged with the glittering life of city. He forgets that all that glitters is not gold") in which the country is evaluated positively, the city negatively ("the poet tells us that country is the best place to live than that of the city", "I think the country life gives us healthy and pollution free atmosphere"). Most fell within Appreciations of reaction (quality) and valuation (worth), when using Appraisal analysis, when realising uncertainty avoidance, specifically tolerance of ambiguity and emotion ("In the city there is hardly any communication among people. The city life is very fast and furious. In the city you live in a cage. You don't have any friends. There are tall buildings, but there is no human bonding"). Both Lebanese and Indian participants realised extensive lexis associated with quietness (peace, peacefulness, quiet, calm, tranquillity, stillness and so on) for the countryside (for example, "He enjoys the silence and the eternal peace"). Lebanese participants connected peace with nostalgia ("He misses the atmosphere and peace of mind accompanied by homesickness", "It is the hometown for every man where there is peace"), the countryside with freedom ("He needs freedom and maybe nature is the only thing that can create freedom, "He sees that he can only find his freedom in the country"), and the city with imprisonment ("He describes the city as a prison", "I moved to the crowded city where I felt I am in a prison"). Indian participants focused more on the narrator's experience of the city, and the country ("He is dissatisfied and disturbed in the city", "There were many people in the city, but he was alone. There were a few people in the village, but he was not alone"). The Chinese corpus differed significantly in that most negative Appreciations-reaction (quality) and valuation (worth) and Judgments-social esteem (normality) focused on the countryside ("In my way of thinking, life in the country is not convenient, and does not give me chances", "Living in the village take so much time, and cannot equip me well for the future career"). When Hong Kong participants disputed the poet's view of the city as a prison, the polarity of those systems, sets and categories were reversed: ("I am glad to live in the city, where it could definitely help me do better," "In the contemporary world, the prison is for those having difficulty by making the illegal business, but the city is more exciting and fun").

### CONCLUSION

This study has produced five conclusions. First, the data shows that L2 readers mainly reproduce local cultural values when constructing the meaning of L2 literary texts. Values



expressed agreed with the national profile in 1-2, and closely agreed in 1-2 of 5 dimensions. Second, areas of divergence in each participant group became apparent at the level of the content units. Lebanese participants were more collectivist, patriotic and tolerant of emotion than the national profile. Indian participants were more focused on rewards, but defined them philosophically rather than materially, than the national profile. Hong Kong participants' collectivism may reflect their recent history, including the 1997 Handover to China. The tolerance for uncertainty may be discernible in the recent student demonstrations. These divergences may reflect the age of participants. VSM data is collected from the managerial class. As today's students will take up management positions globally in the coming decades, the present study may forecast attitudes these L2 students are likely to take with them into the global economy, particularly in views of city and country, themes which remain globally significant. Third, this study demonstrates the utility of using non-survey prompts as complements to the standard survey, due to their ability to access subjective and emotional content.

Fourth, this study the need for research into authentic L2 reader responses. One limitation of this study is the lack of research into the relationship between ideational content and cultural views elicited. As there is no metric relating the VSM to reader response scores, a simple comparison of incidence has been used. Clearly the ideational content of the poem must impact reader responses. Given the global reach of literature in English, this should be a productive area of future research. Further studies could explore whether literary texts realising values consonant or discordant with national profiles support L2 learners' lexical and morpho-syntactic acquisition, elicit L2 production and critical thinking, and naturalise target discourse structures and stylistic complexities. The Hong Kong corpus highlights the role of literature as a door into both L2 cultural performance, and intercultural sensitivity. The translation foregrounded disjunctures between local and global readings. In the L2 classroom, this creates opportunities to explore the role of a lingua franca, in displacing, colonising and standardising, but also in representing a culture, and connecting it to others. Translations offer opportunities to explore how words interact with identities, histories and reception, helping L2 students place their own cultures within global contexts. This study may be viewed as one contribution to the required research (DeCoursey & Ganpule, 2014).

Finally, while the VSM data effectively predicts the attitudes realised in most cases, this study highlights how data collection shapes results. The VSM surveys, using forced-choice questions to construct population norms along five dichotomous scales, are widely used, yet the instrument cannot take in any element of subjectivity. This study has shown how effective Appraisal analysis is, for detailing specific areas of meaning, in the first instance through polarity, but also through the subcategories of the attitude system. It offers a useful qualitative instrument, to complement quantitative instruments such as the VSM.

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## What about Education and Schooling for Sustainable Development?

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### Abstract

Schooling as a form of formalized indoctrination has come to an end. In the new global and (g)local order a new context of interrelations re-shapes school organization searching for new spaces and new nested niches to perform key ecological principles of sustainability and community participation. In this paper, we get to sustainability from ecological premises contextualize together with educational development premises. We clarify the real links of both to give a context to what it means looking at school education from progressive principles, which resumes to look at each one's (country or human) history, conditions for development, in order to do the best for growing, by not accommodating the system of education to strange external pressures which pretend to uniformize, fragmentize and exclude.

**KEY WORDS:** Practice architectures; Ecologies of Practices; Sustainability; Community; Development.

### GOOD PRACTICE AS AN ADDED VALUE

The search for new models to professionalize teacher awareness through active and thoughtful making opens today a shift to practice searching to promote an educational development criteria based on feasibility, rationality, justice and sustainability. The good educator is a knowledgeable person with technical ability to achieve educational objectives if he/she has the appropriate means, and if he/she has an open disposition to act properly. However, good teachers' skills, or virtues, are not given by nature. They are molded by the means of different circumstances, by education and experience, and they mediate arrangements at several levels of actions, which are the product and result of good schools, good leadership, good educators and good practices.

Education helps us grow as human beings. Through what we say, or participate: sayings, we speak languages and use shared codes that allow us understand, understand others, and the world. As people, we are part of shared practices and activities which are shaped by what we do: doings. In a similar vein, the groups: family, neighborhood, professional bodies ... shape our identity development and guide some roles and relationships with others: relating, referring participation and belonging [14].

Kemmis and Grootenboer [12], in their analysis about the "practice architectures" which shape how school education works (1), relate a three-dimensional context to prefigure what really happens when schooling. To say: \* ways of understanding in a cultural discursive level referring languages and speeches; \* some skills and abilities in an economical and material

space which relates to the physical and natural world, and \* solidarity, values and emotions in the realm of social and political systems of life. According to these authors, the three dimensions are shaped through language, work, and power [10]. At a micro level, the sayings, doings and practices, shape how things are for the educators. At the macro level, they all fit as actuality and possibility in a more general educational setting.

The "practice architectures" of education, are built around interrelated settings referencing the people involved, the external agents and organizations, institutions, spaces, and others. That is, these interrelations are established: \* by teachers and students, \*by curricula developers, \*by text authors, \*by planners and managers, \*by training experts, and many more. From another perspective, according to Bronfenbrenner [3], this can be also analyzed depending on the interrelationships at various organizational levels. Analyzing these different levels should lead us to explain the complexity of the influences and interactions between individual learning and the associated different systems. To say: \* micro systems that shape closer relationships, and relate the interactions in the immediate environment; \* meso systems that shape the relationships in the school environment and that refer interactions in the proximity systems; \* exo systems that shape the interactions related to the school regularization and refer to relations in the systems not directly involved in the school; \* chrono systems that shape the interactions related to different external conditions, this is, the influences and changes that occur in related systems, though not so directly with what it is moved in the school space, and \* macro systems that shape those interactions derived from dominant social and economic structures, once those structures that influence the setting of the values, beliefs and practices.

From one version, or another, related to the virtual world of the practices, and/or related to the interrelationships which move in an organizational order, the practice environment is dynamic and evolving. The practices are reproduced and transformed in time and space, depending on how the changing demands and needs develop in some or other contexts. The territory of the individual and the social, is organized under assumptions related to different practices in: generic communication practices, social connection, production and consumption, that is, in some sayings, doings, and relating that format cultural, social, material and economic strategies. And all this will have its impact on what is done, and can be done, in a school and educational setting.

All practices have a meaning. A complex practice, for example, an empty classroom, has a meaning. The curriculum and schedules are planned. The classroom is monitored, and it is known who the teachers and the students are although they may not be in that moment in the classroom. The students will attend the school. The school will operate, and will continue, or not, as planned, as resources may enable, or prevent. The context of the classroom, even empty, prefigures, in this sense, and links in complex form, the contents of the sayings, doings and relating of the different school situations. In this context, it will be important to develop integrated practices and to take care of them facing scattered practices [23], always under some nexus of actions, with rules and order. It is so that practices have and will have substance and materiality as an open space to meeting the social, as a discursive space, as a relational space, and also as a set of physical and economic conditions which favor school and educational possibilities.

Models of school management and evaluation open to collaboration, innovation and improvement, are the most appropriate way to improve practices. The realm of the social, at this point, orchestrates dynamic connections through participation in one and another action in relation to others and the world. Revealing what moves in a school setting, is thus in time to

improve what it is done, what it is said, and what it is supposed to be done. It has also a potential effect in the life of the organizations.

From another point of view, educational design is a task which requires knowledge, skills, wisdom, and a capacity for analysis and critical reflection. It is a task of constructing learning architectures and practice architectures that enable and constrain the work and the lives of students` and teachers` inside and outside schools. This represents that the people responsible for the design of education, have their share in the responsibilities of making futures through education. Improving practices, like the practices of education, demands improving the practices of individual practitioners and demands creating the institutional and social conditions that will support changes for better.

### **THE PRINCIPLES OF ECOLOGY APPLIED TO EDUCATION.**

For Kemmis and Mutton [16], the principles of ecology fit with education for sustainability, in the sense that the "the practices architectures" are shaped by other emerging practices to give a distinctive and sustainable substance. They are intertwined in human and social projects (recovery, improvement, advance ...), they are done through language, activity, work, power ..., they follow an order, an arrangement of the discourses, an arrangement of the objects in the material world, and care the relationships of people and objects in a physical and natural world. It is at this point that, evaluating, analyzing and valuing, the management and school leadership in their constitutive premises, and in its working order, will give clarity to the analysis of school performance practices in a particular context.

To transform the practices, and to transform their "architectures", contributes to change the properties of educational feasibility. And this extends to ways of: \* ordering and arranging educational discourses and sharing in this regard the semantic spaces, \* sorting and arranging some activities and different ways of working in a material world of facts, actions and resources, that share a physical space and time, \* sorting and arranging the relations between them and other groups, people, and objects, that foreshadow a shared social space , and \* sorting and fixing the ways in which individuals and groups can meet and interact in one and another educational context. Changing and transforming the practices therefore, is to change what people say and think: the speeches, what transfers, what is said and done at the different levels. Changing and transforming the practices, is looking for ways to model the activity and the work in action and participation. It is to change what people refer and is already referred, it is to change the relationships between the people, the objects and others, and it is to change the organizational and operational "architectures". It is more than changing the practices, because the practices are constituted and changed under an order of interrelationships that must be made explicit to advance.

By practice architectures, we are referring to the "social, material and discursive structures that enable and constrain educational practices". Practice architectures, draw attention to the reality of teaching practices. In this sense, the interdependence of one and another practices, refer orchestrated active actions, such as sliding in a space of relationships between leadership and professional development. Ideally, some actions lead to others, and are transformed by evolution and development in academic and social practices. Socially established human activity is cooperative, and practices are waiting for us to occupy them. Participation characterized as a distinctive human social project, derives from agreements between actions and activities. If its guidelines are interpreted, explained, or justified, under some speeches, we



are in the realm of the sayings, if it is under some models of action, we are in the realm of the doings, and when it is to link people and objects, we are in the realm of the relatings.

According to Landsberg, Kruger and Nel [17], the challenge of the education system is to understand the complexity of the influences, interactions and interrelationships between the individual learner and the numerous other systems connected to the learner. An ecological systems theory, following Bronfenbrenner [3], involves the scientific study of the progressive, mutual accommodation between an active, growing human being, and the changing properties of the immediate settings in which the developing person lives, once this process is affected by relations between the settings, and by the larger context in which the settings are embedded.

### **ECOLOGIES OF PRACTICES AND SUSTAINABLE DEVELOPMENT.**

As Schatzki suggests [23], the sayings and doings, plus the relatings [12], compose a particular kind of practices which hang together in a characteristic way to give a sense of purpose to practices understood as human social projects of a particular kind, and to shape the commitments of participants to achieve a particular kind of purpose. The practices, as such, are embedded in practice architectures clustered together in relationships with other practices to give form to what can be described and “metapractices”, or practices which shape, are shaped, influence and are influenced, by other practices. This in the field of education, following Edwards-Groves, Kemmis, et al [8] can be resumed as follows:

- The academic and social practices of students in one or another school.
- The new and innovatory educational practices of the teachers in these schools.
- The metapractices on Initial and Continuing Teacher Education which form and shape teachers' formal and informal practices.
- The metapractices of educational policy and administration which determine the resources, infrastructure and policies, that influence the conditions for educational practice, leadership and others.
- The metapractices of educational research and evaluation which reference the practices of education and other metapractices. They suggest how to understand one another, or how to monitor the conduct and the consequences of one another.

Under this frame, we can connect practices and meta-practices as living things organized in interconnected “ecologies of practices” which trace an ecological flow of a learning community open to collaboration, awareness, mindfulness and wellbeing. This on its site, and such as described by Edwards-Groves, Kemmis, et al [8], reinforces connections with positive approaches to educating.

To change education, involves changing the practice architectures and the mediating preconditions which prefigure educational practice at the level of the sayings, doings and relatings in one and another level and sequence and in the different stages in the educational processes. This means that changes in the sayings, doings and relatings, hang together to give form to new ways of working which provoke sharing a professional ethos of collaboration, awareness, mindfulness and wellbeing. And coherent patterns which “hang together” [23] allow us to know how to go on in practice in a coherent and appropriate way.

Kemmis and Mutton [16] when referencing the ecologies of practices refer to an educational space organised in: \*practices related to the academic and social practices of the students; \*innovative educational practices of the teachers, \*innovative educational practices of the students; \*initial and continuing educational meta-practices that shape related practices for teacher professional development; \*target management and administration meta-practices

which determine existing resources, infrastructures, possible policy development..., which influence educational practices and professional leadership, \*research and educational evaluation meta-practices which shape other practices and meta-practices and how these are understood from how the educational processes happen to develop.

The meta-practices [11] implicit in all policy development, management and education administration, shape teaching and learning practices that may, or may not, energize some facilities to planning time, equipment, resources, staff, rules and regulations. The meta-practices related to curriculum development, for example, help to fit ideas about what is taught, can be learned, subjects, objectives..., and the meta-practices related to teachers training, give form to the how and what is taught what also extensible to continuous training. On the other hand, the meta-practices of research on education and evaluation draw to different forms of education in different educational institutions: schools, colleges, universities...

### **CAPRA'S ANALOGY OF ECOLOGIES OF PRACTICE: LOOKING FOR CONNECTIONS IN EDUCATION.**

The ecological relationships settled by Capra [5] aiming to a joint of principles of ecology, sustainability, community, and the basic facts of life, cover a significance for determining whether practices and ecologies of practices in education can be considered living systems. They both are based in networks, nested systems; sustain relations of interdependence open to diversities, cyclically organized under flows of energy subject to dynamic balance to favour and push development for better. These different levels of interactions, networks and nested systems which flow up under ecological sustainable relationships in educational practices left aside under modernity, are to be recovered (2).

The systemic organization of the educational meta-practices which can draw an analogy with the species (practices) and ecosystems (ecologies), keeps a similarity with the development taken by Capra [5] around key ecological principles of sustainability and community while referencing living organisms and communities of organisms within ecological relationships. Capra [5], in this sense, states that there are a number of key concepts which provide "principles of ecology, principles of sustainability, principles of community, or even the basic facts of life".

Networks: Members of ecological communities derive their essential properties, and in fact their very existence, from their relationships. Sustainability is not an individual property but a property of an entire network, and it marks the different practices that derive their properties, and their existence, of its relationships with other practices. For example, leadership development, and professional learning meta-practices, are connected in practice networks that can be observed as shared practices of teachers` and students` that can lead to collaborative and collegial practices which have an influence in a space while affecting to practices in other spaces. Interconnect practices and share observation is possible. If educational processes are developed under hierarchical style leadership, or under more collaborative ways, the performance architectures will be built differently according to how and where messages are transferred under regulatory actions (speeches, actions and relationships) at all levels: from ministries and councils, to regional coordination, district, school management, school staff and internal coordination (seminar, department, specific plans, support, guidance, and others), administrative and service staff, families and social groups, and students, or vice versa, in the case of specific actions: disciplinary problems,

failure, neglect, specific treatments, including situations of inclusion and / or exclusion, and others. The processes in the chain of interconnections would develop in ascending or descending order, from the students to the education authority, or vice versa. What appropriates in any case, in an ascending or descending order of discussion and proposals for improvement, is to reorient the processes as they are developed in the whole chain of what is said, done and interrelated.

Transferring this to an ecological context, networks would explain the Trophic Chains or Food Network. A food chain is the path of food from a given final consumer back to the producer, or vice versa. It could also be defined as the transfer of matter and energy that make living things from one trophic level to another. Trophic levels are composed of the group of organisms which possess similar eating habits to obtain material and form what is a part of the biological communities or biocenosis [18].

Nested systems: At all scales of nature, we find living systems nested within other living systems-networks within networks. Although the same basic principles of organization operate at each scale, the different systems represent levels of differing complexity [5]. Life is to be found at different levels, for example, in cells within organisms, and organisms within communities of organisms. As nest networks, they trace practice networks at levels that are interconnected by how they include, for example, aspects of regularization, or leading, at large-scale or low level of activity at different levels. In a similar sense, when referring to working procedures in schools, and among teachers, leadership project activities are organized in specific activities at different organizational levels and in and for a specific time. If we envision a particularly collaborative learning environment with the meaning and sense of a learning community, the scope of relations of inclusion, and others, which fits, can be organized in a few development activities which will mediate in an explicit way in relation to particular activities exercised by the students.

Using the simile of the ecological context, bees could serve as a clear example of nested systems. They are social insects with a strong sense of community within an exclusively female society that revolves around the queen bee, who is the mother of the entire community. There are bees that specialize in being guardians and defend the nest, others in caring eggs and hatchlings, and others who are responsible for bringing food (nectar and pollen) to the hive, making honey. Although there are approximately 20,000 species of bees [22], honey bees (*Apis mellifera*) pollinate a wide variety of flowers. When they gather food from the flowers, the pollen grains adhere to them, allowing the transfer of pollen from one flower to another, which is fertilized resulting in a new seed and fruit. Each worker performs up to 30 daily departures, and each trip can come to pollinate a total of 50 flowers [1]. This means that a single hive would be able to fertilize the flowers in an area of 700 hectares and that the economic importance of honey bees is immense as they intervene in obtaining one in three meals. Without the action of bees, many food chains would be broken at the level of primary consumers, and a large part of the common fruits and vegetables would disappear from the shelves of supermarkets, losing the diversity of foods that are now known today [1].

The architectures of educational processes fit here again in the whole chain of interactions described above at some specific levels. See for example how to resolve educationally the situation of some groups that do not fit in generic treatments: deaf, of very specific handicaps, high capacities, or other, and where, and to what extent, would correspond to strengthening the architectures of the system. In a similar sense, and in the case of groups that for one or another reason move in situations of exclusion, the architectures of the system fit to macro

levels in what language, culture, identity and power as school action regulators are certainly interconnected [7] to enhance school actions for success. Cultural identity plays an important role in how people envision and react to the world, how we see ourselves and how we learn. A sense of belonging socially and in school must be appropriately addressed in a complex and mixed world from positions of ethnicity, race, class, gender, language, culture, identity, creed religious, geographical origin, and other [9].

The real world is much more complicated than a food chain, because the complex world of relationships that affects humans goes beyond the logic interface in a food chain. It might only relocate for a greater similarity to a food chain altered by weather conditions that change and shift as it loses balance and sustainability. Since 2006 in Europe, it has been observed annually a mass disappearance of bees hives at a rate of 20% [22]. If more than 80% of flowering plants are pollinated by animals [22], over 30% of the crop plants and fruits depend on pollination by bees. The cause of their death, which researchers categorized as CCD (Colony Collapse Disorder) is not exactly known, but it is believed that new synthetic pesticides (neonicotinoids) could attack the centers of the insect nervous system causing disorientation, change of behavior and death of workers away from the hives. Through this example we can see that the interconnected systems as interrelated food chains, take us beyond as educational events related to social complex conditioning and changes do. And these interrelated chains can lead to very serious consequences for human development [20].

**Interdependence:** The sustainability of individual populations and the sustainability of the entire ecosystem are interdependent. The exchanges of energy and resources in an ecosystem are sustained by pervasive cooperation [5].

They both derive to contextualize energy changes in the development of one or another educational process throughout their chain of architectures: from the regularizations to teachers and students, and it also marks a similar ecological drift. The sustainability of practices points to different spaces for practices which interplay in different contexts of reality, as different actors, which draw one or other response in the different levels of the relationships of interdependence. The ecosystem derived hence, depends for its sustainability of the relationships established with other ecologies of other practices, and the educational relations derived here situate alike at different levels. See, for example, learning communities and their aspiration to link school work, to the context, the teachers, the students, and the ways to do this.

Bascombe [2], analyzed the interactions between species and references this to climate change. For him to take into account the amount or species as it is being done in most studies on biodiversity, is not enough. He suggests incorporating the interactions between species, and highlights the importance of interdependence among species, maintenance, conditions and interactions. Looking at interdependence from the point of view of school education, the overall numbers of school failure, or desertion, leave aside and do not consider the school conditions and circumstances which can be a cause of failure or desertion, when failure is something shared and interdependent of many and different circumstances. Students can fail, but teachers fail too, and school materials, school circumstances, the conditions of work, and the interactions at the different levels..., have also their deal.

**Diversity:** A diverse ecosystem is resilient because it contains many species with overlapping functions that can partially replace one another. The more complex the network's patterns of

interconnections are, the more resilient they will be [5]. Different kinds of organisms are necessary to one another in an ecosystem, and such a view implies difference but also distribution of entities in time and space.

Some or other ecological functions are replaceable among them. For example, learning communities evidence different settings in different places depending on the different types of activity. This represents in the case of teachers that actions can and should be organized in different ways in different schools to try different aspects and different work units. The result is: leadership diversity, diversity of processes, diverse professional learning, diverse teaching strategies and learning strategies, and elasticity to adapt diverse practices in diverse circumstances, in order to be open to different paths and different means and to mark different learning styles ... Using again the ecological analogy of bees, these insects have a very complex social structure in which there is a variety of tasks. The queen bee is the mother of the entire community; the guard bees defend the nest from intruders; specialized bees care for the eggs or young; specialized workers provide food (nectar and pollen) to the hive to make honey. There are a variety of functions for the proper functioning of the hive, as it happens in our society and it will depend on the balance of these diversity relationships.

Diversity relationships vary according to the ecological cycles referred by Capra [5]. They trace their characterization as an involvement key. This means that, as it happens with food chains the practical cycles in some and other situations can be observed. For example, under the parameter of cultural discursive reproduction, practice can increase the capacity of the participants to continue practicing in the future. In this sense, the practices related to learning communities mark, for example, that the referential features of a community, feed and are fed by their own circumstances and practices. Consequently, such cycles of sayings, doings and relating, trace oscillations between relations of reproduction and subsidiarity. It will proceed then to adapt practices in each context and situation to what it is possible and feasible, not to what is regulated because it simply passes one or other education norm or law.

But no education law can change the reality because it is said and legislated. It will not change either the reality of what it is done, or the realities of interrelationships at all levels: And this is so unless some of the system architectures get altered because the norm includes measures to change the architectures. Overcrowding of classes, cuts in support and resources, changes in school integration policies, opting for active teaching methods or transmissive, opting for less time for teamwork, or for school projects and others, influence how education works. Say for example, the regulations about educational competences are not finding a proper way in South America, or in southern Europe. The curriculum organizers which give a detailed description of educational contents are so determined, that they close the way to organize an open content frame to develop competences. As it happens in Peru, for example, but also in many other countries, competences resume to something which is to be taken into account as evaluation criteria, but what evaluated, are educational contents.

Performance architectures are constructed by how messages are transferred and how regulatory actions at all levels are developed, in this case, under a descending sort: from ministries and councils shaping speeches and regulations. The framework of actions and relationships is tied to how coordination is regulated in regional sites, counties and districts if they have any authority in this. The how to transfer this to the school management, teachers and school coordination levels (seminar, department, specific plans, support, guidance, and others), the fitting of the administrative and service staff, families and social groups, and students, will prefigure the development linked to the conditions in which one or another Law,

or norm, develops. The order of discussion and action, the approaches for improvement, if applicable, should lead to reorient the processes as they are developed throughout chain milestones related to what it is said, done and interrelated.

Cycles. "Matter cycles continually through the web of life" [5]. For example, in food chains, "an ecosystem generates no waste" [5].

In an ecological context, the cycles are identified as material recycling cycles in ecosystems. These cycles recycle nutrients through the soil, air, water and living organisms. Nutrients are elements and compounds that organisms need to live, grow and reproduce. It is in these processes that they connect and are connected to the past, present and future forms of life. Within this recycling processes, we find biogeochemical cycles directly or indirectly driven by incoming solar energy and gravity, including the cycles of carbon, nitrogen, phosphorus, oxygen, sulfur and water known as the hydrologic cycle [24].

The four basic ecological cycles and processes of ecosystems are the water cycle, biogeochemical cycles (or nutrients), energy flow and community dynamics, ie how the composition and structure of an ecosystem changes after a disturbance (succession).

School education is organized in successive cycles and vertebrated in the management of each other stadiums going structuring educational contents, ways of working, coordination of one and other professionals ..., cyclically integrated. The cyclical relationships also extend to the entire space of meta-practices and practices that are organized in the educational environment: proposals for innovation, of educational research and evaluation, of legislation and educational regularization, of teacher training, of teachers and students in the different scales of educational processes, and they store in one and other circumstances within the history of education as it has happened, with the requirements of different contexts, with the development requirements and the demands for formal education, and others.

Flow: "All living systems, from organisms to ecosystems, are open systems. Solar energy, transformed into chemical energy by the photosynthesis of green plants, drives most ecological cycles, but energy itself does not cycle. Ecological systems are "dependent on a constant inflow of energy". [5]. It is characterized as a process of evolution and transformation. This represents the energy fleets, as it does the ecology of practices which is transformed, dissipates, loses, or stored. And that happens equally with: \* the meaning in a semantic dimension of language; with \* the survival in a spatial, temporal and material dimension as a means of working activity which is reproduced and modeled over time according to particular relations, or more general relations; with \* the solidarity that is held in a framework of relations of belonging to one and other practices considered as a dimension of social space, and also by the power, while in floating and connecting through some activities, and also, under interdependence relationships, deliberate, or explicit, depending on the expectations that one may have, and depending on the practices developed. Community learning relationships, reflective dialogue, language games in some / other learning communities, hierarchical relationships that can be established, make such a connection between the language reference, the ways of doing things all through, and the ways of associating, referring, and thinking.

The architectures of the education processes as they are performed relate to the chain of interactions in school and at internal educational functioning to micro- specific levels. For example, to manage in situations of special groups: specific handicaps, deaf, blind, hyperactive,

high capacities, or others, support resources should be designed and fit into specific school educational plans. To flow in this open space, we have to make explicit where, how, to what extent, or how to coordinate, in order to be able to strengthen the architectures of the system. In the case of groups that move in situations of exclusion, the architectures of the system must also fit in detailed school performances with measures to support how to deal with multi school literacies, use of languages, cultural dimensions, etc. Everything has to be done according to an order of appropriate collective plans to coordinate actions in the schools.

This educational flowing could be explained in an ecological context as a phenomenon comparable to the energy flow of the ecosystem itself. This flow goes from autotrophic organisms to those that feed on them, which in turn are called herbivores and are prey of other animals called predators. These will be found in the last link in the chain. This will be a real life chain in which each link corresponds to a living being. The principle of conservation of energy states that energy cannot be created, nor destroyed, merely transformed from one form into another. In these transformations, the total energy remains constant, ie, the total power is the same before and after each transformation.

In each transformation, part of the energy is transformed into heat. There will always be more primary producers than herbivores and there will always be more herbivores than secondary producers (carnivores). This forms a trophic pyramid.

Development: "All living systems develop, and all development, invokes learning; development occurs through stages, each one sustainable in its own right although it may then be superseded". [5]

An organization follows articulated practices in stages. Say for example, practices related to learning communities are based on some ideas, some activities and relationships, that give a sense of flotation in their management models, a waterline between agents, whether management, executives, staff, teachers, students ... it is also floating in the relationship between learning communities and teacher professional development options and personal development and learner skills...

Educational processes are organized in stages, from early childhood education, to elementary education, reorganized next as primary and basic in most territories. These stages have been regulated from the nineteenth century on [29]. The extension to secondary was in early twentieth century. Next higher education, continuous and lifelong. But school education is also organized in stages of perception regarding the transfer of educational activities in their format of sayings, doings and interrelations and the knowing how to do it.

In an ecological field, ecosystems are dynamic and its composition and structure changes over time. Disturbances such as fires, hurricanes, droughts, floods, plagues, earthquakes, substantially modify grasslands, forests, marshes, mangroves and other communities. These events are known as disturbance regimes and change from region to region depending on weather conditions. After a disturbance event that affects some populations, the process of community changes to its previous state (mature). This is called ecological succession.

In school education we can use a similar characterization. An educational process which evolves to school drop represents a denial of the right to education. Harassment, identically, has educational consequences because the educational processes resulting can be as irreversible as some of the events referred in natural contexts. See, in another sense, the

opposition between a subject like "Education for citizenship" opposed to religious education. This goes back in the time. The organization of the school systems reasonably opted many years ago for secularism. In a similar sense, the organization of the subject "Social Studies and Social and environmental studies" opened its way years ago in Anglo-American territories (Australia, Scotland, New Zealand, some states in the USA and provinces of Canada, and others) to organize jointly the teaching of history, geography, economics, sociology, anthropology, and religions [27], is an option to organize civic studies properly in times of peoples mobility [26]. But in many countries religious education and national sentiments are the preferred option. Neoliberal premises applied to school education, promote a spirit of fragmentation and privatization, and gets similarly back in time to when public school was considered a quality service [29]. Development then can get on or backwards depending on the politic circumstances of schooling. Dynamic balance: "All ecological cycles act as feedback loops, so that the ecological community continually regulates and organises itself, while living systems adapt to changes within and pushed by external pressures" [5]. It defines its significance in the organization. This marks that the ecologies of the practices can be adjusted in self-organizing processes to establish a continuity in the relationships between internal and external pressures, or alternatively, in the ways of conducting relations inside and outside schools. Each meta-practice whether from management or legislation, professional development or professional learning, or other, exerts its influence on the others. And given that the practices, support each other, they are replaced, are reinforced, get more sophisticated ... and also trace a shift from hierarchical, or collaborative relationships, depending on the styles of organization, the educational performance, life, values, etc.

In ecology the dynamic balance is defined as the state of the plant and animal populations in which interactions with physical and chemical factors of the environment and resource utilization make only minor variations in the ecosystem. A dynamic equilibrium occurs when two reversible processes occur at the same pace. Many processes (like some chemical reactions) are reversible, when they are in a dynamic equilibrium, ie reaction products recombine to generate reagents. According to Nicolau et al. [21] the clearest example is called chemical equilibrium in which various substances coexist in a system, reacting with each other and keeping the proportions of each. When the conditions are externally altered (for example by increasing the temperature), the reaction in a sense creates a new dynamic equilibrium subject to different circumstances. When living organisms and their behavior are incorporated into this analysis, the concept of dynamic equilibrium can be applicable, once there are internal changes in an ecosystem (births, deaths, predation, etc...).

In education, the dynamic balance is summarized to a good school environment, good atmosphere, some forms of cooperative and collaborative work for the good working, good understanding, communication, knowing how to face the problems, knowing what is necessary to work well, and coordinating properly.

But the term has other applications. It refers to stable situations and processes in balance. In ecology, a population of organisms that does not change is sustained from the balance between the birth rate and the death rate. In education, the parallelism between including and / or excluding one and another, or some groups, oscillates because the excluded fail, or drop out, as individuals or groups: some handicapped or some sections of social exclusion. In the field of health, the term dynamic equilibrium has come to use. A healthy body is in a state of dynamic equilibrium when all internal processes are in harmony and balance. Anabolic and catabolic



processes work in harmony and all the cells that form the body work together to maintain this balance.

### **CONCLUSIONS: TRANSNATIONAL ACTIONS IN EDUCATION AND REALITIES IN PRACTICE.**

In our global but (g)local context and situation, education can not be resumed as a form of initiation to lead us “into the lights” as it was in times of Enlightenment. We are living times when education is to get us “out of the darkness” of our misunderstandings, misperceptions and mistakes regarding the social and natural world we inhabit. Evolution is pushing us to keep and maintain and this can be done from ecological discursive, moral, social, material, economic and personally cared sustainable premises.

Religion and politics have predefined school education to a western dominant order. This model has been exported everywhere under globalization following a strategy which resumes to domination and control of nature and development. The whole panorama has changed today. Fragmentation, privatization, accreditation, push the system not to be sustainable. To charge students with packs of not much useful knowledge, to prepare students not capable of thinking to develop, to defend the benefits of some, forgets development. The postmodern order is diverse and to care about diversity changes the sequel. Reforming school education under international World Bank and OECD colonial premises does not promote human rights and equity values and is not inclusive anymore. That is why, what important today is to look back at each one, at the diverse conditions for development to organize new paths for education and schooling [28]. Otherwise, the time for school education is over [29].

This situation reminds former processes of transition when some (people) migrated from villages to cities to re-shape themselves in a new environment, to reorganize themselves in a new time and space, and to grow both personally and socially [4]. Today we humans as a whole move and we all change. The social organization has changed, the life styles and the systems of beliefs have changed, and the space for education and school education is wide open. The function of education is not to validate marginalization and exclusion but to promote positive behavior. The modern premises to development were control of energy, control of power, control of raw materials. But we get back to the provision of food and water as something still important for the future. People moves searching for better conditions of life and migrations have changed the world order of development in our cosmopolitan world [25, 26].

The site of the personal and the social pushes today diversity as the new curriculum organizer in which students, teachers, families, and communities ... at all levels: micro, meso, exo, chrono, macro [3], are to grow emotionally to be socialized positively, to learn together, to participate, to share, collaborate, flow, become aware, mindful, ... from inclusive perspectives, and under premises of democratic participation, human rights and equity. But better educational practices demands better educators, better schools, better resources, better funding, better supports and others. It is at this point that practice architectures as a strategy and a technique to elicit, allows us to clarify all interrelated perspectives of educational analysis for better consciousness, to improve the quality of the relationships, to develop participation, and for understanding and developing to better. Ecologic premises settle new conditions for sustainable development and, if applied to school education, create new conditions for transformation.

### **Notes**

1. Organizations, institutions and settings, and the people in them, create practices which have content and a meaning at each stage of developing, in each moment of planning,

acting, and validating. From a different perspective, people within a school: teachers and students, families and principals, and also people outside the school: curriculum developers, policy makers, text book writers..., construct their practices around particular units of work. And they all play their roles in shaping how to predefine the work to be done, the pedagogy to be developed at the level of actions, and the kinds of relationships established and which can be established at all levels and under one or another purpose.

2. See at this respect the work of Capra [5], Schatzki [23], Edwards-Groves, Kemmis, et al [8], the research of the Pedagogy, Education & Praxis Group led by Kemmis et al. (from 2006 onwards) [14] in Charles Sturt University (Australia), with the Universities of Gotheborg, Stockholm, Abo Akademy, Utrecht, Sheffield, and others. See also the E.U. funded research project: POSITIVITIES, led by the Foundation Fluir with the Public University of Navarra, the University of Aarhus, and the University Degli Studi di Milano.

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# Competition between Multiproduct Firms with Heterogeneous Costs

Roberto Roson

## Abstract

This paper draws upon Feenstra and Ma (2007, 2008), to develop a model of asymmetric competition between multiproduct firms. The model is used to analyze how cost asymmetry affects the equilibrium, with determination of quantity/price as well as product scope per firm. By treating the number of firms as a continuous variable, the model is extended to account for the endogenous determination of the number of firms in a long-run, monopolistically competitive equilibrium, with free entry by heterogeneous firms.

**Keywords:** Multiproduct firm, monopolistic competition, product scope, cost asymmetry.

## INTRODUCTION

A recent literature on international economics has focused on the effects of trade openness when firms are heterogeneous and multiproduct, since the seminal work by Melitz (2003). A number of oligopolistic and monopolistically competitive models have been proposed, and used to assess the theoretical implications of operating in a larger market and/or exposing domestic firms to international competition (Neary, 2009). The same models could be fruitfully be employed to explore other interesting issues, which may be of less interest for international economics but still very relevant for other fields, like general industrial economics.

Oligopolistic models for multiproduct firms, for example those introduced by Feenstra and Ma (2007, 2008), Eckel and Neary (2010), Luong (2010), allow for the endogenous determination of the number of product varieties offered by the same firm (product scope). The optimal product scope is then found where marginal profits of expanding scope are zero. Decreasing returns to scope are obtained in Eckel and Neary (2010) by assuming that firms possess a “core competence” in the production of a particular variety, becoming less efficient as more varieties are produced. Luong10 takes a different but somehow equivalent approach, by assuming that managing multiple brands requires organizational and managerial skills, which are scarce resources subject to decreasing marginal productivity.

By contrast, Feenstra and Ma (2007, 2008) obtain decreasing returns to scope by just relaxing the simplifying assumption, usually adopted in most models based on the Dixit-Stiglitz framework, of ignoring own-price effects on the aggregate price index. Departing from this assumption may be important when firms cover a non negligible share of the market, and this is likely to be the case when firms produce several products, rather than just one. When new products are added, demand for all existing varieties, including those produced by the same firm, decreases. This effect, which is sometimes referred to as “cannibalization”, reduces the marginal benefit of expanding the product scope and, since the cannibalization effect is stronger when more varieties are in place, this generates decreasing returns to scope.

The Feenstra and Ma model is sufficiently general and analytically tractable. In this work, I present the basic setting of this model, with only minor modifications, with the aim of

exploring equilibrium in the market when firms have different production costs and make different choices about the product scope. I then extend the basic model to account for free entry and monopolistic competition

Understanding the strategic role played by variations in the range of offered products may be especially important for some markets, like those of media services. Many differentiated services are provided on the Internet, where large multiproduct platforms, like Google, may coexist with smaller providers, typically focusing on one type of service. Another example is advertisement-based television broadcasting. In Italy (as well as in most European countries), this industry is concentrated, with three players covering much of the market. After the transition from analog to digital broadcasting, which allows for the existence of many more channels into the same frequency spectrum, the former State-owned monopoly RAI expanded its supply from 3 to 11 channels. Private companies Mediaset and Telecom Italia increased their number of channels from 3 to 7 and from 1 to 2, respectively.

Theoretical models like the one described in this paper can provide a conceptual framework to better understand the strategic response obtained through variations in the product scope. As a key characteristic of many markets in which multiproduct firms compete is firms' heterogeneity, it is also important to explicitly address the issue of asymmetric equilibria.

This is the primary aim of the paper, which is organized as follows. The next section introduces the model and illustrates its structure. Section three is devoted to a qualitative analysis of an asymmetric duopolistic equilibrium, which is done through a numerical example. The model is then extended in section four, to allow for free entry by heterogeneous firms in a monopolistic competition setting. A final section concludes.

## THE MODEL

### Basic Setting

We present here the basic assumptions and some preliminary results of the model, derived from Feenstra and Ma (2007, 2008).

There is a market, where a continuum of  $N$  differentiated goods or services, indexed  $i$ , is supplied. Total aggregate expenditure in the market,  $R$ , is given. The sub-utility function of a representative consumer in the market is expressed as a CES function:

$$U = \left[ \int_0^N q_i^{\frac{\epsilon-1}{\epsilon}} di \right]^{\frac{\epsilon}{\epsilon-1}} \quad (1)$$

The goods or services are produced by  $M$  firms, indexed  $j$ , each one supplying  $N_j$  varieties. Therefore:

$$\sum_1^M N_j = N \quad (2)$$

or, if even the number of firms is treated as a continuous variable:

$$\int_0^M N_j dj = N \quad (3)$$

Maximization of (1) under budget constraint (over  $R$ ) gives rise to the standard expression for CES demand functions:

$$q_i = \frac{R}{P^{1-\epsilon}} p_i^{-\epsilon} \quad (4)$$

where  $P$  is the CES price index:

$$P = \left[ \int_0^N p_i^{1-\epsilon} di \right]^{\frac{1}{1-\epsilon}} \quad (5)$$

With a discrete and finite number  $M$  of firms, assuming that all varieties produced by each firm  $j$  are priced the same at  $p_j$ , (5) can be also expressed as:

$$P = \left[ \sum_1^M N_j p_j^{1-\epsilon} \right]^{\frac{1}{1-\epsilon}} \quad (6)$$

It is easy to show that the perceived price elasticity of demand for each good produced by the  $j$ -th firm is linked to the market share  $s_j$  of that firm, that is:

$$\frac{\frac{\partial q_j}{q_j}}{\frac{\partial p_j}{p_j}} = -[\epsilon(1 - s_j) + s_j] \quad (7)$$

Where:

$$s_j = \frac{N_j q_j p_j}{\sum_1^M N_j q_j p_j} = \frac{N_j p_j^{1-\epsilon}}{\sum_1^M N_j p_j^{1-\epsilon}} \quad (8)$$

Production takes place on the basis of a technology, involving constant marginal costs  $c_j$  per variety (possibly differing by firm, not by variety), fixed costs per variety (possibly scope-dependent, therefore marginal costs in terms of scope)<sup>1</sup>  $F_j(N_j)$ , and total "headquarters" fixed costs  $h_j$ . Therefore, profits of a representative firm are given by:

$$\Pi_j = N_j [q_j(p_j - c_j) - F_j(N_j)] - h_j \quad (9)$$

Profit maximization brings about the standard mark-up rule, where the elasticity (7) is taken into account:

$$\Pi_j = N_j [q_j(p_j - c_j) - F_j(N_j)] - h_j \quad (10)$$

This result deserves some comment. The higher the market share of a firm, the lower the perceived elasticity (7), the higher the price is set (10). This is because a variation in the price of a specific variety changes its demand but also changes, in opposite way, the demand for all

<sup>1</sup> In the original formulation by Feenstra and Ma this cost is constant.

other varieties produced by the same firm. The latter effect is negligible only if the market share is very low, so that the firm is “small” in the market. Also, notice that profit-maximizing prices depend on market shares (10), but shares themselves depend on prices (8). Taking the number of firms  $M$  and varieties  $N_j$  as given, the market equilibrium is found by simultaneously solving (8) and (10) (determining  $p_j$  and  $s_j$ ) for all firms in the market.

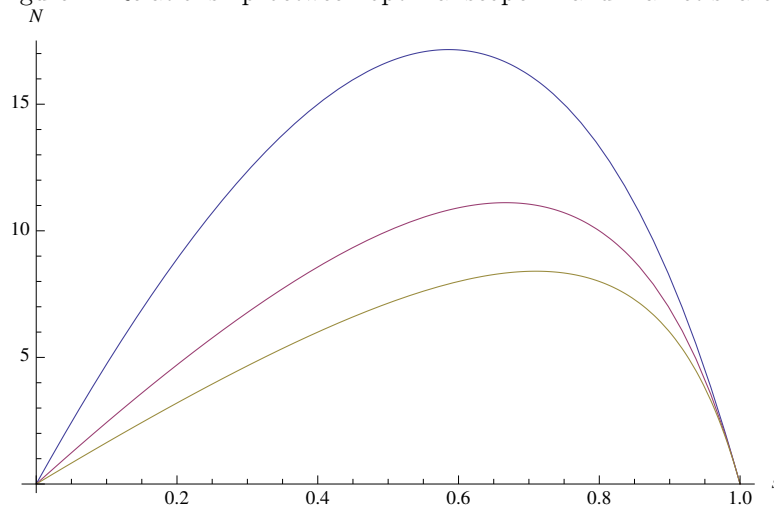
Feenstra and Ma (2007, 2008) derive an optimality condition for the profit maximizing choice of  $N_j$ . Interestingly, the optimal number of varieties (or “scope”) is also a function of a firm market share:

$$N_j = \left[ \frac{s_j(1 - s_j)}{\epsilon(1 - s_j) + s_j} \right] \frac{R}{f_j} \quad (11)$$

Where  $f_j = dF_j/dN_j$  is the cost of adding one more variety.

The optimal scope  $N_j$  is strictly increasing in  $R$ , decreasing in  $F_j$  and  $\epsilon$ . These relationships are all easy to interpret. The relationship between  $N_j$  and  $s_j$ , on the other hand, is not a trivial one. Figure 1 plots the optimal  $N_j$  as a function of the market share  $0 \leq s_j \leq 1$ , for arbitrary values of  $R$  and  $f_j$ , and various values of  $\epsilon$ .

Figure 1: Relationship between optimal scope  $N$  and market share  $s$



The optimal  $N_j$  is first increasing, then decreasing, reaching a maximum whose position depends on  $\epsilon$ . This is because there are two forces at work. A higher market share reduces the perceived elasticity in (10), thereby determining higher mark-ups per variety. This induces to expand the scope  $N_j$ . On the other hand, adding one more variety reduces demand for all existing varieties. This effect is stronger when the market share is quite significant and prevails over the previous one for sufficiently large values of  $s_j$ .

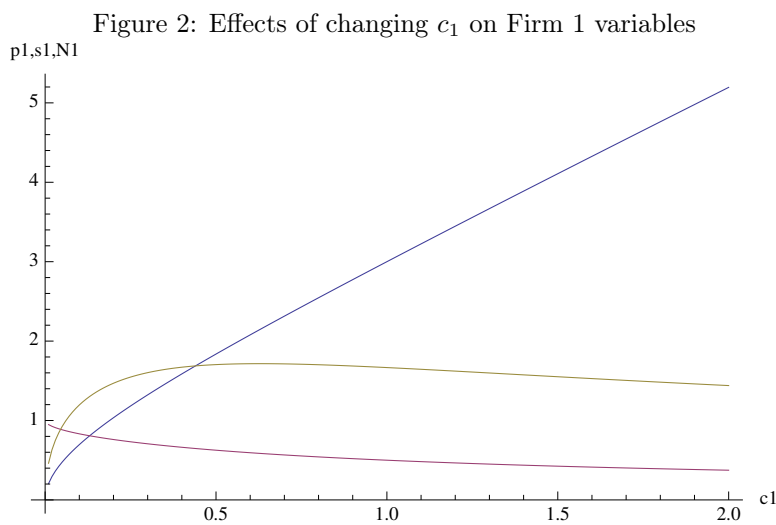
With the addition of (11) it is possible to identify a (short-run) equilibrium in a market of “size”  $R$ , where  $M$  firms are active.<sup>2</sup> Each firm is characterized by its cost parameters  $(c_j, F_j(N_j), h_j)$ , and it is associated with equilibrium conditions (8), (10) and (11). In other words, finding the market equilibrium entails solving a system of  $3M$  equations, for the determination of the

endogenous variables  $p_j, s_j, N_j$ . Quantities  $q_j$  and profits  $\Pi_j$  immediately follow on the basis of (4) and (9).

### An Asymmetric Duopoly

To illustrate the properties of the oligopolistic equilibrium as described in the previous section, and in particular the effect of cost differentials on market asymmetry, let us consider a duopoly with parameters specified as follows:  $\varepsilon = 2, P = 10, c_2 = 1, f_2 = 1$ . If we also set  $c_1 = 1$  and  $f_1 = 1$ , we get the symmetric equilibrium with  $p_1 = p_2 = 3, N_1 = N_2 = 1.67$  and, of course,  $s_1 = s_2 = 0.5$ .

Now, keep  $f_1 = 1$  and analyze how the equilibrium variables change for different values of the marginal cost  $c_1$  of the first firm. Figure 3 shows how the price  $p_1$ , the share  $s_1$  and the scope  $N_1$  would vary.



**Figures 3, 4 and 5 display the effects of varying  $c_1$  on: prices set by the two firms (Figure 3), market shares (Figure 4) and number of varieties provided by the two firms (Figure 5).**

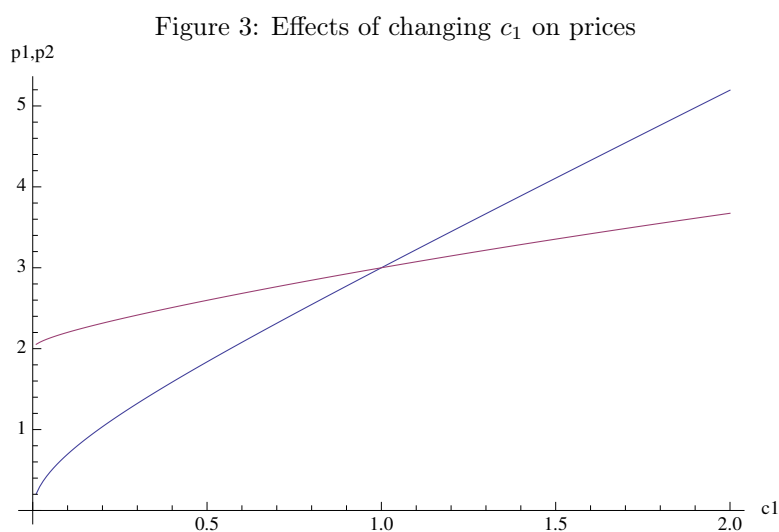




Figure 4: Effects of changing  $c_1$  on market shares

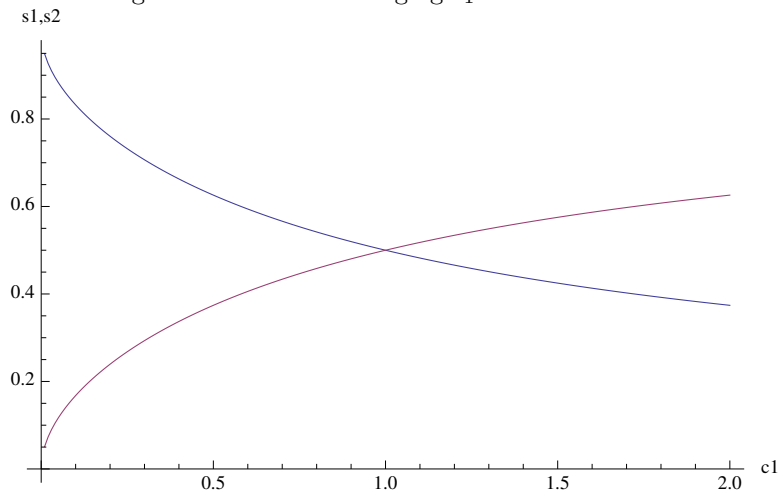
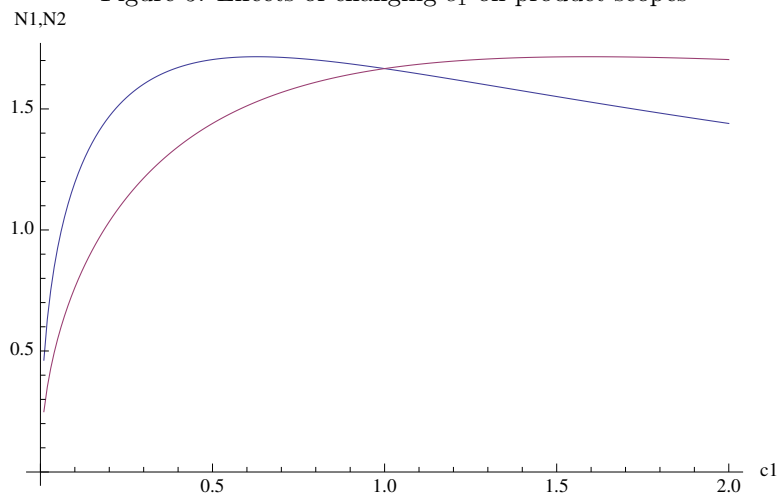
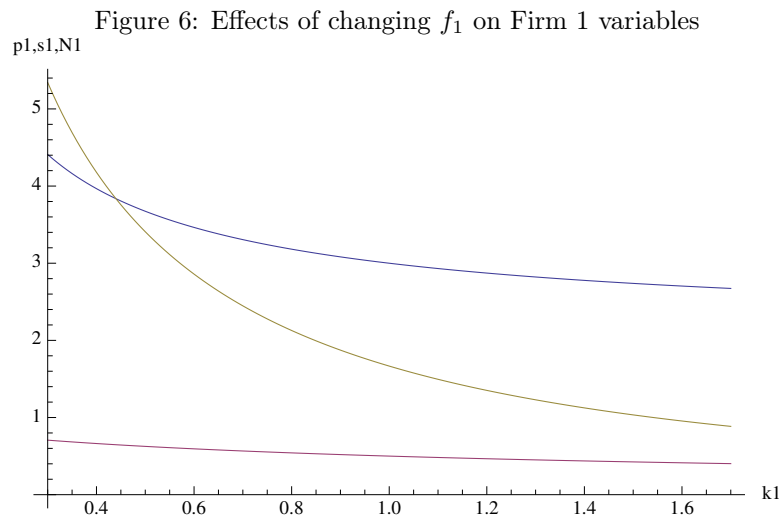


Figure 5: Effects of changing  $c_1$  on product scopes  $N_1, N_2$



When  $c_1$  increases, prices set by both firms increases because of the direct effect of variable costs (firm 1) and because prices are strategic complements (firm 2). The market shares move symmetrically, and when the marginal cost of the first firm approaches zero, its market share approaches one. The evolution of the variables  $N_j$  is more complicated. Both  $N_1$  and  $N_2$  are concave functions of  $c_1$ , reaching maxima at  $N_1^{MAX} < N_2^{MAX}$ . Consequently, when  $c_1$  is sufficiently smaller or sufficiently larger than  $c_2$ , the number of products put on the market,  $N_1$  and  $N_2$ , move to the same direction, that is, an increase in  $N_1$  is associated with an increase in  $N_2$ , and vice versa. However, for intermediate values of  $c_1$ ,  $N_1$  and  $N_2$  move in an opposite way.

A similar comparative exercise can be undertaken by fixing  $c_1=1$ , and observing how the variables of interest change for various values of the marginal scope cost  $f_1$ . Figure 6 is analogous of Figure 3 and shows how the price  $p_1$ , the share  $s_1$  and the scope  $N_1$  would vary with  $f_1$ .



The main effect of a higher set-up cost  $f_1$  is reducing the number of product varieties offered by the first firm. With a lower  $N_1$ , the market share  $s_1$  declines, increasing the perceived demand elasticity, which reduces the price  $p_1$ . This implies an increase in the quantity volumes  $q_1$  which partly compensates for the fall in market share due to the reduction in product varieties and price. For this reason, the market share  $s_1$  appears to be less sensitive to  $f_1$  than to  $c_1$ .

**Figures 7, 8 and 9 show the effects of varying  $f_1$  on the corresponding variables  $(p_i, s_j, N_j)$  of the two firms.**

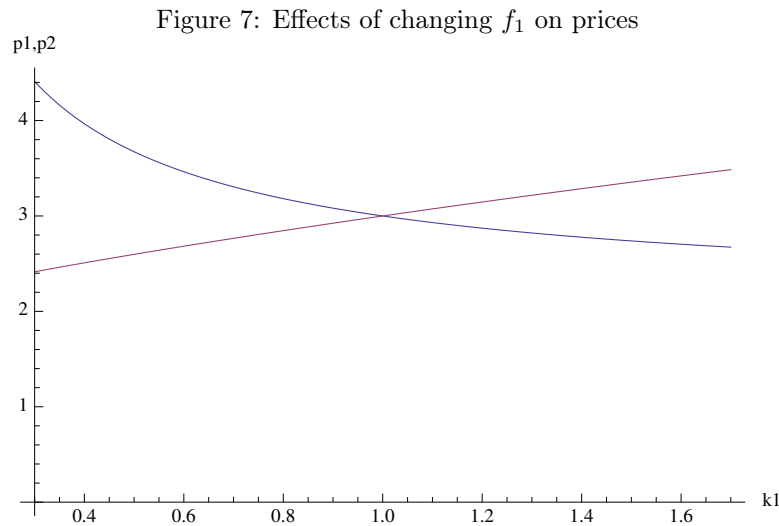


Figure 8: Effects of changing  $f_1$  on market shares

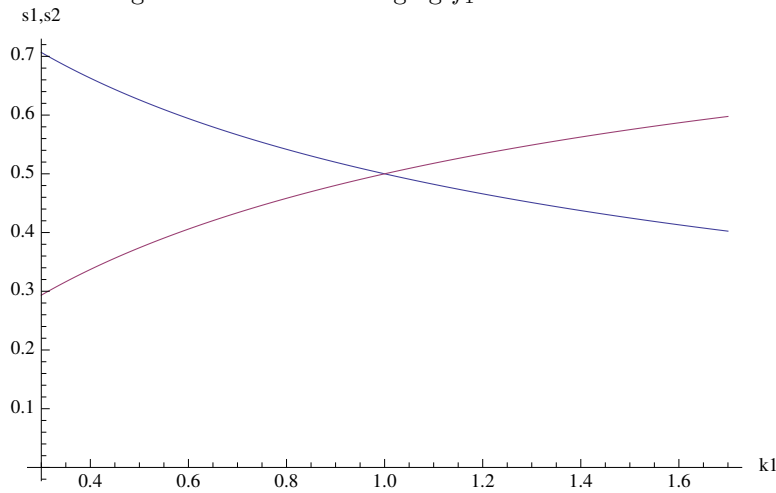
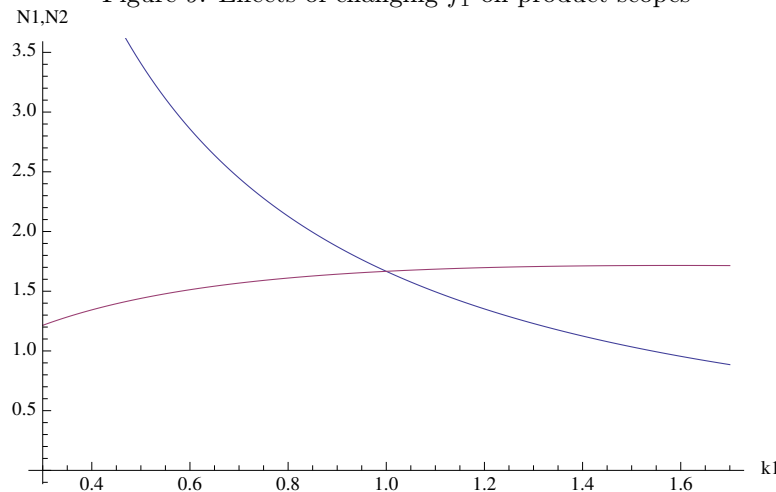


Figure 9: Effects of changing  $f_1$  on product scopes  $N_1, N_2$



The main difference here, with respect to the case of changing  $c_1$ , can be seen in the variation of prices. Whereas with a higher  $c_1$  we noticed that both prices increase (Figure 3), now a higher  $f_1$  induces a *reduction* in the price  $p_1$ , but still an increase in the price  $p_2$ . Indeed, in both cases higher costs bring about a reduction in market share  $s_1$  and an increase in  $s_2$  (therefore, in  $p_2$ ). However, whereas  $c_1$  directly affects  $p_1$ , the main impact of  $f_1$  is on  $N_1$ , which is partly compensated through adjustments in the price  $p_1$ .

### Monopolistic Competition

We consider now a monopolistic competition setting, with free entry driven by expected profits. Firms are assumed to have different marginal production costs  $c_j$  but, to simplify, have the same cost sub-function  $F_j(N_j)$  and no headquarters costs  $h_j$ . Unlike Feenstra and Ma (2007, 2008)<sup>3</sup> but similarly to Montagna (1995) we assume that firms are continuously distributed over a cost range, so that  $G(c)$  expresses the density of firms having marginal production cost  $c$ .

When the optimal product scope  $N_j$  is chosen (see (11)) the following condition holds, for positive  $N_j$ :

$$q_j(p_j - c_j)(1 - s_j) = f_j = \frac{dF_j}{dN_j} \tag{12}$$

By combining the latter equation with (4) and (10) it is possible to derive a relationship, linking the marginal cost  $c_j$  of a firm to its market share  $s_j$ :

$$c_j = P \left[ \frac{1}{(\epsilon - 1)(1 - s_j)} + 1 \right]^{\frac{\epsilon}{1-\epsilon}} \left[ \frac{R}{(\epsilon - 1)f_j} \right]^{\frac{1}{1-\epsilon}} \tag{13}$$

Entry will occur for all firms having positive profits, which applies to those firms having production costs  $c_j$  lower than a cutoff level  $c_0$ . The latter is easily identified, by noting that the least productive firm will have a zero market share, so that (13) can be applied with  $s_0 = 0$ . Furthermore, the market share of a firm can be expressed in terms of its relative cost ratio:

$$\frac{c_j}{c_0} = \left[ \frac{1 + \frac{1}{(\epsilon-1)(1-s_j)}}{1 + \frac{1}{(\epsilon-1)}} \right]^{\frac{\epsilon}{1-\epsilon}} \tag{14}$$

Which implies (with  $c_j \leq c_0$ ):

$$s_j(c_j) = \left[ 1 - \frac{1}{1 + \epsilon \left( \left( \frac{c_0}{c_j} \right)^{\frac{\epsilon-1}{\epsilon}} - 1 \right)} \right] \tag{15}$$

Observe that  $s'_j(c_j) < 0$  and  $s_j(c_0) = s_0 = 0$ .

In a monopolistic competition model, the number  $M$  of active firms is endogenously determined through the free entry condition, which in this case amounts to selecting the cutoff cost  $c_0$  in such a way that the sum (integral) of market shares sums up to one. This condition is:

$$\int_{\underline{c}}^{c_0} s_j(\gamma)G(\gamma)d\gamma = 1 \tag{16}$$

where  $\underline{c} > 0$  is the minimum marginal cost. Equation (16) can be solved to find  $c_0$ . As a consequence:

$$M = \int_{\underline{c}}^{c_0} G(\gamma)d\gamma \tag{17}$$

For example, suppose that  $\underline{c}=0$ ,  $\epsilon=2$ , and firms are uniformly distributed with density  $G$ , that is  $G(c)=G$ . Then (15) becomes:

$$s_j(c_j) = \frac{2(\sqrt{c_0} - \sqrt{c_j})}{2\sqrt{c_0} - \sqrt{c_j}} \tag{18}$$

and (16) becomes:

$$6c_0G - 8 \ln 2c_0G = 1 \tag{19}$$

bringing about:

$$c_0 = \frac{1}{(6 - 8 \ln 2)G} \tag{20}$$

$$M = c_0 G = \frac{1}{6 - 8 \ln 2} \quad (21)$$

In this setting, each of the  $M$  active firms is associated with a marginal cost  $c \geq c_j \geq c_0$ . Its market share is determined on the basis of (15). The number of product varieties is set through (11), and the price of each product is given by (10).

### CONCLUSIONS

Multiproduct firms are not just large scale clones of single product firms. When market conditions change, firms revise their policy in terms of price, production volume, quality, etc., but also in terms of the number of offered products. The latter effect is especially important in many service industries (telecommunications and media, in particular). Unfortunately, the industrial organization literature on multiproduct firms and endogenous scope choice is quite thin. Strategic scope choice has been studied mostly in relation with entry deterrence (since Judd (1985)) or as a response to entry (Johnson and Myatt, 2003). The determination of market structure when firms are heterogeneous and multiproduct has not been directly addressed, to the best of my knowledge.

Fortunately, some new models proposed in the field of international economics have the potential to fill the gap. In this work, I have discussed a recent model by Feenstra and Ma (2007, 2008), which I have extended and used to address the issue of asymmetry in equilibrium. Cost differentials are at the basis of differences in strategic responses by the firms. However, costs in multiproduct firms are multidimensional, as they refer to the production of a specific good, or to the addition of a new product line, or to fixed headquarters costs. Firms may differ in all these dimensions. Depending on the nature of these differences, a different asymmetric market structure may emerge.

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## Psychosocial Variables in Occupational Aspirations of Secondary School Students in Calabar, Nigeria

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### Abstract

This study investigated the influence of some psychosocial factors on occupational aspirations of secondary school students. Specific factors examined in the study were self-concept, gender and parental role. Three hypotheses of the study were tested at 0.05 levels of significance while a questionnaire with a reliability index of 0.815 was used for data collection. Independent t-test statistics was utilized to analyze data from two hundred (200) respondents within the context of Ex-post facto research design. Result of the study revealed a significant influence of the three key variables (self-concept, parental factor and gender) on occupational aspirations of respondents in the study. Based on the findings, it was recommended that occupational information should be made available to young people as early as in the primary school years so as to exert positive moderating influence on their aspirations with a view to avoiding wrong occupations that do not reflect their unique needs, interests and abilities.

**Keyword:** Occupation, aspirations and self-concept

### INTRODUCTION

Decision-making concerning appropriate occupational preference is one of the most critical tasks facing many Nigerian secondary school students today. To a large extent, this may not be unconnected to poor career guide and unavailability of Careers guidance services especially within the context of industrialization, technological development and urbanization which has resulted to increase in the range of career opportunities. Hence, general students' outcomes in this regard seem to be unrealistic aspirations, confusion and frustration.

A person's occupation is one of the most important aspects of human endeavour because it involves a person's total life (Asuquo, 2007). It determines one's income, choice of friends, pattern of dress, the extent of influence in the society as well as the amount of risk one is exposed to. Occupational aspiration is defined as the thoughts, feelings and fantasies that individuals visualize about their jobs which are capable of affecting their motivations and decision-making in respect to their occupational choice. Also included in the definition are the reasons and goals a person has in taking decision about an occupation. Ngwu (1999) adds that occupational aspiration entails a process of development of self-concept and identity whereby a person incorporates within his decision making, his interest and adequate knowledge of occupational information. It is also a process in which an individual perceives himself; how he evaluates and how he feels others evaluate him. Therefore, a comprehensive knowledge and

understanding of self and the world of work is required to help an individual make a realistic aspiration.

Occupational aspiration may be influenced by multiple factors which are either intrinsic or extrinsic (Echebee, 2009). These may include interest, self-concept, personality, cultural identity, role model and available resources. Many youngsters are likely to be influenced by careers that their parents favour or their religious orientations. Others may follow the careers that their education choices have opened for them while some may choose follow their interest and passion regardless of the outcome. Yet some youths are seen to go into occupations that are prestigious with high income while some prefer occupation with job security and some are influenced by teachers and peers in their occupational aspirations. By and large, it is observed that young people today aspire to occupations mainly because of the prestige attached to the jobs while others are due to parental and peer-group influences which do not reflect their needs, interests and abilities. Be that as it may, realistic occupational aspiration depends largely on the quality and the amount of occupational information made available to youths especially at the secondary school level (Asuquo, 2007).

As indicated above, aspirations to the right occupations continue to be a great need and a major source of anxiety, worry and frustration to many young people and also a major concern to their parents and educational sponsors at all levels of the educational system in Nigeria. Most secondary school students who are in their adolescence period are inexperienced, ignorant and immature and some are not well guided at this phase to aspire to occupations that suit their interests, values, abilities, skills, aptitudes and personality characteristics. For them (especially during the early adolescent period) whose days are filled with fantasies and dreams of greatness, it is easy to be a medical doctor, an engineer, a lawyer, a state governor, a president or any occupation that catches their fancies. As the child grows and develops, his choices are bound to change and become based on more realistic considerations. This is because in the school setting, he is exposed to different art and science subjects and may discover that he is more proficient at some subjects than others. Also, through his observation of adults at work he forms some idea of what is needed in various occupations and begins to aspire to one. He also realizes and learns that there are special physical, mental and emotional requirements for jobs against which he has to evaluate himself and choose from (Anwana, 2005).

It is observed that most Nigerian students are not properly guided to aspire and choose occupation that would cause them to maximize their potentials. Nwanadi (2015) asserted that most of the students in secondary schools do not have accurate information about occupational opportunities to help them make appropriate career choice. Occupational guidance and occupational aspiration are very essential for today's youths who are more than "motivated but direction less" (Schneider & Stevenson, 1999). Failure to make a realistic occupational decision leads to career frustration. Wrong choice of career occurs when a young person chooses occupation outside his ability, interest, achievement level and aptitude. This leads to obtaining non-functional university degree which one is neither proud of nor willing to use. Given that Young people are often confused and in a state of dilemma on what choice of career they should aspire to, they require the right occupational information since this is the foundation for the provision of career guidance services (Petters & Asuquo, 2009). Appropriate occupational aspiration has been found to lead to good vocational adjustment (Tang, Pan & Newmeyer, 2008; Petters and Asuquo, 2009) Those who are vocationally maladjusted due to wrong occupational aspirations are seen to be depressed, uncooperative and unproductive and at times exhibit maladaptive behaviours such as aggressiveness and withdrawal at the

workplace and at home. Such people may also lack positive self-concept and motivation to work hard. It is on the basis of this that the researchers deem it imperative to find out if psychosocial variables such as self-concept, parental factor, and gender have any influence on occupational aspirations of secondary school students.

### METHODOLOGY

This study examined the influence of some psychosocial variables on occupational aspirations of secondary school students. A sample of two hundred (200) students was randomly selected from public secondary schools in Calabar, Nigeria using stratified random sampling technique to ensure equal representation of the students taking part in the study. The research design was Ex-post facto. A dully validated Questionnaire was used for data collection. This instrument was equally subjected to reliability test using Spearman – Brown Prophecy Formula. An overall reliability index of 0.815 was obtained indicating that the instrument is reliable enough to generate the expected data for the study. The data collected was analyzed using independent t-test while the hypotheses were tested at 0.05.

#### Hypothesis one

There is no significant influence of self-concept on occupational aspiration of secondary school students. Result is presented in Table 1.

**Table 1: Independent t-test analysis of the influence of self-concept of students on their occupational aspiration (N = 200)**

Variable	N	$\bar{X}$	SD	t
High self-concept	130	31.78	5.52	4.513*
Low self-concept	70	28.23	4.92	

Significant at 0.05; df = 198; critical t-value = 1.972

Result of analysis in Table 1 indicates that the calculated t-value of 4.513 is greater than the critical t-value of 1.972 at 0.05 level of significance, with 2 and 198 degrees of freedom. On the basis of this, the null hypothesis is rejected and the alternate hypothesis retained.

This means there is a significant influence of self-concept on students occupational aspirations.

#### Hypothesis two

There is no significant influence of parental factor on occupational aspiration of secondary school students. Result is presented in Table 2 below.

**Table 2: Independent t-test analysis of the influence of parental factor on students' occupational aspiration (N = 200)**

Variable	N	$\bar{X}$	SD	t
High parental factor	126	32.46	4.99	7.115*
Low parental factor	74	27.27	4.96	

Significant at 0.05; df = 198; critical t-value = 1.972

Result of analysis in Table 2 indicates that the calculated t-value of 7.115 is greater than the critical t-value of 1.972 at 0.05 level of significance with 2 and 198 degrees of freedom. This means there is a significant influence of parental factor on students' occupational aspirations.



This implies that the students' occupational aspirations were greatly influenced by the parents. By this result, the null hypothesis is rejected and the alternate upheld.

### Hypothesis three

There is no significant influence of gender on occupational aspiration of students. Result is presented in Table 3.

**Table 3: Independent t-test analysis of the influence of gender on students' occupational aspiration (N = 200)**

Variable	N	$\bar{X}$	SD	T
Male	114	31.67	5.64	3.380*
Low parental factor	86	29.05	5.13	

Significant at 0.05; df = 198; critical t-value = 1.972

Result of analysis in Table 3 indicates that the calculated t-value of 3.380 is greater than the critical t-value of 1.972 at 0.05 level of significance with 2 and 198 degrees of freedom. This means there is a significant influence of gender on students' occupational aspirations. By these results, the null hypothesis is rejected and the alternate upheld.

## DISCUSSION OF FINDINGS

### Self-concept and students occupational aspiration

This hypothesis sought to find out if there was a significant influence of self-concept on students' occupational aspiration.

The result of this study indicated that there was a significant influence of self-concept on students' occupational aspirations. The null hypothesis was rejected contrary to the wide speculations that external factors such as high salary, prestige, peer group factors exhibited a great influence on students occupational aspirations. This study shows that self-concept of a person which is an internal factor has an influence on the occupations and careers student aspire into. This study is in consonance with Echebe (2009) who states that individuals select careers that they perceive as falling in line with their self-concept. This implies that some youths tend to implement self-image in choosing their occupations. A comprehensive knowledge and understanding of self and the world of work may help an individual student to make a wise occupational aspiration. This work is also in support of Lee (1984) who listed self-concept among the factors that influence career aspirations. Those with high self-concept seem to prefer professionally-oriented-occupations while young people with low self-concept have high preferences for occupations such as farming and cooking.

### Parental influence and students' occupational aspirations

This hypothesis sought to find out if there was a significant influence of parental factor on students' occupational aspirations. Null hypothesis was rejected and this indicated that there is a significant influence of parental factor on students occupational aspirations. In our present Nigerian society, children from high income families attend the best primary schools and on completion of their primary education, some of these parents send their children to high ranking top private secondary schools where exorbitant fees are paid. Such children become motivated at a very early stage to aspire into lucrative and prestigious professions. On the other hand, those from low income families lack such opportunities and they end up going for any available career in their immediate surroundings. Poor parental background affects their

occupational aspiration and this consequently limits their vocational development. This study is in support of Denga (2001) that explained that parents occupy a significant role in the life of the child in terms of occupational aspirations. Some parents encourage what is known as a family occupation by shaping up the interests of their children to take after their own profession.

However, this study also is in disagreement with Olayinka (1993) in which the result of his study showed that only 35.5% of his study sample (173) in Lagos consulted their parents on their occupational choice. About 41% got occupational information from relatives such as brothers, sisters and cousins. Petters & Asuquo (2009) carried out a study on awareness of occupational and labour market information among in-school youths in Calabar. The result in this present study is on agreement with their work that the commonest sources of occupational information which is capable of influencing occupational aspirations include parents, friends and mass media. In this case, students whose progress are closely monitored by parents perform better academically and are also guided into pursuing good careers. Parenting style is important in that autocratic parent makes great demand on their children in terms of career aspirations. Permissive parents seem not to care about grades and career aspirations and allow their children to aspire into any occupation whether it is lucrative, prestigious or not.

### **Gender and students' occupational aspirations**

This hypothesis sought to find out if there was a significant influence of gender on students' occupational aspirations.

Null hypothesis was rejected and the alternate upheld. This means there is a significant influence of gender on students' occupational aspirations. There are sex differences in career aspirations. Males and females are found to differ significantly in their occupational aspirations. This study is in support of Echebe (2009) who stated that certain occupations are designated for males and some for females. More girls seem to have preferences for nursing, teaching, home economics, home management, cosmetology, weaving technology. Males however are found to go for engineering, building, accounting, mining, military services and other occupations that require physical activities. During adolescence, students start to have an adult's level of understanding of the sex type and prestige level of common occupations. Females students might avoid choosing occupations that are generally perceived as too masculine e.g. career as a miner.

### **CONCLUSION**

This study examined the influence of some psychosocial variables on occupational aspirations of secondary school students in Calabar, Cross River State. Findings revealed that self-concept which is the self-image a student has about himself has a positive influence on the type of occupation he aspires into. Parents can affect their children's education by becoming seriously involved in their academic progress and sending them to the best schools in order to aspire into appropriate career that suit their interests, abilities, values, aptitudes and personality types. In terms of gender, female students might avoid choosing occupations that are generally perceived as too masculine e.g. career as a miner. Based on the results, it was recommended that occupational information should be provided early to children right from the primary school to secondary school levels. Career counselling should be strengthened at the senior secondary school level to ascertain students' vocational interest.

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# Nigeria's Ambition For the United Nations Security Council Within the Context of Historical Antecedents and Domestic Realities: Analysis of the Prospects and Challenges

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## Abstract

This paper draws a linkage between Nigeria's roles during the struggle against colonialism in Africa and the country's quest for a permanent seat on the United Nations Security Council (UNSC). The paper argues that Nigeria's past roles in African decolonization process especially its efforts toward the eradication of apartheid and colonialism in Southern Africa and its current domestic condition have both positive and negative implications for the country's ambition. The paper submits that Nigeria's greatest credentials for the UNSC seat lie not in its records of service to the African cause but in the combination of that record with an appreciable domestic condition which is epitomized by good governance, protection of human rights, sound and enduring democratic institutions, dedicated political leadership, zero tolerance for corruption and functional judiciary in the current context. Nigeria's success also depends on ensuring security on the home front, tackling mass impoverishment and working towards a robust economy.

**Key words:** African Union, United Nations, Good Governance, United Nations Security Council, Nigeria, Domestic Condition

## INTRODUCTION

Assessing Nigeria's ambition for the UN Security Council within the context of the country's antecedents in the decolonization struggle in Africa is of utmost importance. There is a linkage in the contemporary sense between Nigeria's leadership roles in the decolonization of Africa and the country's desire to become one of Africa's permanent representatives on the SC should the seat become available as anticipated. If the roles played by Nigeria during the course of the 20th century in the decolonization of Africa are truly a function of its leadership abilities as the Nigerian past and present leaders, diplomats and even authors have argued, the question then becomes: have these leadership abilities which Nigeria projects in order to secure regional, continental and global supports impacted positively on the socio-political and economic life of the country?

Have Nigerian leaders who continue to seek a permanent seat for the country on the SC been able to replicate the leadership virtues they are projecting to the world on the domestic front? On the other hand, what are the implications of Nigeria's roles in African decolonization for its contemporary quest to get a permanent seat for itself on an enlarged UNSC? Do these roles suggest Nigeria will be truly representative of Africa and Africans interests on the SC going by its antecedents? In the search for a UNSC permanent seat Nigeria has been moved by the conviction that "no single African nation has done as much as Nigeria for Africa and the Africans." Advocates of a UNSC seat for Nigeria also believe that "Nigeria has more than paid its dues to Africa and Africans." These facts constitute the positive implications for Nigeria in

its quest for glory in global politics. In view of the above, the paper examines the prospects and challenges which Nigeria faces in respect to the issues enumerated above.

### **On Nigeria's Rich Antecedents and Contemporary Political Ambition: The Prospects**

There are contemporary implications of Nigeria's roles in African decolonization issues for the country's quest for a permanent membership seat on the UNSC. In light of this, the present subsection discusses the challenges and prospects for the country's political ambition. Suffice it to say that Nigeria's bid for the UNSC has drawn part of its strength from its unmatched records at least by any African country in the struggle against colonialism and racism in Africa. If there is a major factor that puts Nigeria ahead of other African leading contenders for the UNSC seat, it will definitely be its undeniable accomplishments in the service to the Black component of humanity. The country played an outstanding leadership role on the colonial issues over a period of 30 years in the United Nations which justified its claim to continental leadership.

The consistencies of Nigeria's articulations of the colonial situation in Africa on the platform of the world body and the sacrifices which went with it will have positive implications for the country's ambition regarding global politics should the AU decide to ask contenders to present their scorecards in the service to Africa. It is simply a case of asking each aspiring African country for the permanent SC seat what they have done for Africa. After the attainment of political independence from Britain in 1960, Nigeria, motivated by the desire to play a dominant leadership role in African affairs swung into action to assert and to establish itself as Africa's most influential country throughout the colonial period.

As early as January 1960, ten months prior to its independence, Prime Minister Abubakar Tafawa Balewa had told the national parliament that the country would have a "wonderful opportunity to speak for Africa at the United Nations." The role Nigeria played during the struggle against colonialism in Africa is indicative of the roles it will play if selected as one of Africa's representatives on an enlarged UNSC. Its assertiveness, boldness, unflinching presence and the ability to stand up against external forces when the issue at stake revolves around the destiny and interests of black people is second to none in the annals of African history. There is supportive evidence to this claim and the sacrifices that went with Nigeria's roles during the struggle against the forces of colonialism on the continent. For instance, Joseph Garba, Nigeria's Foreign Affairs Minister (1975-1979) and the President of the UN General Assembly (1989-1990) once said: "Nigeria . . . made enemies of erstwhile friends – all on account of their attitude towards the South Africa question. We have formulated economic policies that have sometimes been detrimental to our own development because of our commitment to the eradication of apartheid."

The former Nigerian Minister Joe - Garba was also quoted to have authoritatively stated that "Nigeria had lost an estimated \$45 billion over 15 years for refusing to export oil to South Africa." This was part of the measures taken to put pressure on the apartheid regime to abolish its racial policies. The forgoing therefore attests to Nigeria's competence and political will to defend the interests of fellow Africans with unwavering commitment and unyielding tenacity when the occasion calls for it. This was the case during the decades - long struggle against colonial subjugation. Thus, for Africa to have a robust representation on the UNSC, the AU member states should insist on having one of their own that has a track record of service to the African continent.

Due to Nigeria's hard stance against apartheid, the P.W. Botha's apartheid Presidency (1984-1989) attempted to destabilize Nigeria militarily when he wooed Equatorial Guinea to provide

South Africa with a strategic military location where it could launch attacks into the Nigerian territory. Nigeria's government responded to this threat to its national security promptly without pulling out of the struggle against apartheid as Botha and his comrades would have loved. The Nigerian government exerted pressures on the government of Equatorial Guinea to sever the cozy relationship with South Africa. The pressure was sustained until it yielded the desired result that forced President Obiang Mbasogo to expel the South Africans from his country. With the apartheid military presence in Equatorial Guinea dismantled, the Nigerian Head of State General Ibrahim Babangida paid a two-day official visit to the Equatorial Guinea in June 1988 to signal the restoration of cordial bilateral relations between the two countries (Fawole 2003:166).

Nigeria under the Babangida regime (1985-1993) also gave financial assistance to the frontline states in Southern Africa to help them repair the damage inflicted on them by the South African apartheid security forces which invaded their territories in search of freedom fighters and ANC sympathizers. The foregoing clearly shows that Nigeria has never shied away from defending and upholding the interests of fellow Africans even in the face of adversity. Thus, going by experience and its records, no other country in Africa is deserving of that seat than Nigeria. The mechanisms that the AU will leverage on to elect/select its representatives for the available two slots for Africa on the SC must consider this leadership virtue in the choice of candidates that will represent Africa. To restore the dignity of the black man, Nigeria left no stone unturned. According to Akinjide Osuntokun, Nigeria "... sacrificed the good will of the West and economic development in order to see to the total liberation of Africa." The nationalization of the British Petroleum, the Barclays Bank and other British economic interests in Nigeria in the late 1970s shocked not only Britain – Nigeria's former colonial power but also a large population of Nigerians who considered it unthinkable that Nigeria would move against Britain with such venom just because Margaret Thatcher led British government of the time delayed in granting independence to Rhodesia (Now Zimbabwe).

In the case of South Africa, Nigeria applied measures that were aimed at putting pressure on the apartheid regime of Pretoria to change its racial policies. As Bola Akinterinwa noted,

Nigeria under General Obasanjo as Head of State, directed all Nigerian diplomatic missions abroad not to issue to any holder of South African passport in which there was a South African visa. In the strategic calculations of the Nigerian government, any visitor or traveler to South Africa could not but have interests that were likely to be inimical to those of Nigeria in South Africa. Consequently, the friends of South Africa were not wanted in Nigeria.

As earlier argued, it will be of immense benefit for African states if their choice of representatives on an enlarged SC is assessed against this background. If this is done, the above holds a positive implication for Nigeria's candidacy with regard to the SC seat. Another positive implication of Nigeria's role in African decolonization for its UNSC seat ambition lie in the promotion of articles 1-5 of the UN Charter on Human Rights which states that human beings are born free and equal in dignity and rights, entitled to all rights and freedom, shall not be held in slavery or servitude, and above all shall not be subjected to torture or cruel, inhuman or degrading treatment or punishment. The Articles also forbid discrimination of human beings on the basis of their colour, nationality, creed, origin, sex, etc. Nigeria played a key role in the promotion of these principles as enshrined in the UN Articles during the struggle against colonialism and racism in Africa. This commitment was captured in the inaugural address of President Shehu Shagari in 1979 thus:

*... Also it is our national will that Africa shall be free, free of racial bigotry, free of oppression, and free from the vestiges of colonialism. My government is determined to see the cause of justice and human decency prevail in Namibia, Zimbabwe, and South Africa. We shall continue to support all forces of progress and oppose all forces of oppression in Africa and elsewhere. I hereby reaffirm our faith and support for the Charter of the United Nations and the Universal Declaration of Human Rights...*

In respect of the above, Nigeria has done creditably well to help promote and uphold one of the basic principles upon which the UN system is founded as pledged by Nigerian Prime Minister Balewa upon the country's admission into the organization in October 1960 that: "We are committed to uphold the principles upon which the United Nations Organization is founded." Conclusively, the section has given a disservice to the prospects of Nigeria's case for the UNSC seat vis-à-vis its past records of service to Africa during the struggle against colonialism in Africa. It has established a linkage between the country's role in African decolonization issues in the UN and the contemporary desire to represent Africa in a permanent capacity on the UNSC. The above discussion demonstrates Nigeria's capacity and strength of character over a period of 30 years in the struggle against colonialism on the continent and reckoned that if given the opportunity to serve Africa, the country has the potentials to advance, and protect the interest of Africa on the global stage. The next section addresses the issues that may cost the country this opportunity.

### **THE CHALLENGES**

The preceding section examined the positive implications of Nigeria's role in African decolonization issues in the UN for the country's contemporary political ambition with regard to the UNSC. Here, we shall examine the factors that threaten Nigeria's ambitions. In considering these issues, there is a need to understand what the phrase "Domestic Condition" stands for before beginning with the discussion. This phrase was used by Ambassador Olu Sanu to explain the dilemma of the Nigerian State in the race for UNSC seat. The domestic condition according to the Nigerian diplomat refers to the socio-political and economic realities on the home front which does not portray the country as a serious contender for the UNSC seat.

These realities dictate that Nigeria must first of all put its house in order and concentrate inwardly to develop the country. He submitted that the country's leadership and its foreign policy machinery should not ignore this factor which will weigh heavily in the minds of members of the UN when the additional seat for Africa comes under consideration. Ambassador Sanu recalled that it was this factor that robbed Chief S.O. Adebayo of the UN Secretary General position despite being seen as the most qualified candidate for the job. These factors will be considered under this section in order to establish the fact that Nigeria's greatest credentials lie not in its records of service to the African cause but in the combination of that record with appreciable domestic condition. What then are these prevailing domestic conditions? The following offers answers to this question.

**Corruption Pandemic** – If there is any factor that will stand in Nigeria's way to becoming a permanent member of the UNSC, it is corruption. Corruption is the greatest evil that has bedeviled Nigeria since independence. It was corruption which birthed all the socio-political and economic problems that have faced Nigeria for the better part of its post-colonial life. That Nigeria is where it is today in terms of development is largely due to absence of financial probity, accountability, moral uprightness and sacrificial political leadership in the country's.

As a result, the country has repeatedly failed to demonstrate moral leadership due to lack of political will. Corruption has become the most talked about topic about Nigeria in recent times. According to Ire Omo - Bare: "No discussion of Nigeria can be complete without, at least, a brief mention of the problem of corruption." This underscores the pandemic nature of the problem which has become worrisome to many patriotic citizens of the country who have ceaselessly lamented the country's degeneration into this infamy. Pat Utomi, A Professor of Political Economy and Management Expert, described the Nigerian system as "an extremely corrupt system". He noted regrettably that this has impeded the country's growth in every aspect of its national life.

The corruption pandemic in Nigeria has a devastating effect on the country. According to former Vice President of the World Bank and a two-time Nigerian Minister, Obiageli Ezekwesili, corruption was largely responsible for Nigeria's stunted growth when compared to its peers across the world. She observed that several countries rated along with Nigeria in the 1960s as third world countries have made tremendous progress in transforming from the third world position into a first world because of the efforts made to develop those countries. The former Nigerian Minister noted that Nigeria lost a staggering \$600 billion in the last five decades to corruption in governmental circles, as she puts it, . . . "our country has earned more than \$600 billion in the last five decades and yet can only boast of a United Nations Human Development Index score of 2 out of 1 proximate to that of Chad and maternal mortality rate similar to that of Afghanistan. Nothing reveals the depth of our failures than such performance indicators considering the vastly greater possibilities that we have been bestowed." She also observed that the country was rated number 32 on countries with high corruption index, adding that the rating was as a result of the systemic corruption in Nigeria which continues to fester.

In his inaugural lecture in 2010, Kunle Ajayi, a Professor of International Relations, noted that corruption could cost Nigeria the SC seat. He argued that the epidemiology of corruption in the country is such that no institution of state is immune from the corruption virus. With regard to a SC seat for Nigeria, he said that the country leaders would have to first of all address the image problem because "corruption is one of the factors affecting Nigeria's image abroad." Some Nigerian scholars' have also observed the corruption trend in Nigeria and concluded that the country's leaders are to blame for the rots and Nigeria's descent into infamy. James, C. and Agazie, James argued persuasively in their 2013 article on corruption in Nigeria thus:

*If you judge African nations by the degree of corruption that goes on at both the governmental and local levels, Nigeria has no equal. To say that there is no corruption in Nigeria is to make an irresponsible statement, despite glaring evidence to the contrary. Pejoratives abound in every discussion about Nigeria which is considered to be the so - called "Epitome of African corruption."*

The authors' sentiments are faultless going by the prevailing situation in that country. The burdensome truth is that Corruption walks naked in Nigeria and the political leadership in Nigeria itself is deeply enmeshed in that practice. There is recent evidence to support this claim. For instance, the incumbent Nigerian government led by President Jonathan has perhaps surpassed the ignoble corruption record which was inherited from the past Nigerian governments as proven treasury looters of Nigeria's commonwealth have been awarded national honours as "outstanding promoters of unity, patriotism and national development." The case of former Nigeria's military dictator and Head of State late General Sani Abacha 1993-



1998 is offers a cursory example. The Nigeria government gave him a posthumous centenary award back in March 2014 during the celebration of 100 years of Nigeria's amalgamation as a single geographical entity by the British colonial authorities in 1914.

This was despite the fact that the award recipient in his life time stole a staggering \$6billion from Nigeria's coffers while in power. As NuhuRibadu, pioneer chairman of the Economic and Financial Crimes Commission (EFCC), said at an event in London in November 2006, "Abacha took over \$6billion from Nigeria." At of that sum, \$500m was recovered under the presidency of Olusegun Obasanjo 1999-2007, finance minister OkonjoIweala said. This is inimical to the candidacy of a country seeking to represent Africa on the SC. Notably, it was during the military regime of General Abacha that Nigeria became a pariah state in the international community – the status that was reminiscent of the fate suffered by the defunct apartheid regime of South Africa due to the wild human right violations and state sponsored assassinations of dissenting voices in Nigeria. Alas the incumbent Nigerian government thought it worthwhile to recognize that same individual with a posthumous award national award. This is symptomatic of a state's culpability in aiding and abetting corruption. Suffice to say that it was the inclusion of Abacha's name on the lists of awardees that forced Nigerian Nobel Laureate Prof Wole Soyinka to reject his own centenary award. Soyinka described Abacha as a "murderer and thief of no redeeming quality." In March 2014, barely a week after President Jonathan bestowed that posthumous award on the late Head of State, Gen. Sani Abacha, for his "contributions to the nation," the United States ordered a freeze on another \$448m in assets looted by the ex-dictator and his accomplices. According to Mythili Raman, the acting assistant attorney general in the department of justice, "General Abacha was one of the most notorious kleptocrats in memory, who embezzled billions from the people of Nigeria, while millions lived in poverty."

Again, this is an indictment of the Nigerian government. The US department described the forfeiture as "the largest civil forfeiture action to recover the proceeds of foreign official corruption ever brought by the department." Similarly, Transparency International (TI), an anti-corruption group, had in June 2014 criticized the decision of the Nigerian government to drop corruption charges against Mohammed Abacha, the son of the late Gen. Sani Abacha who was facing charges for assisting his late father to "steal and lauder" millions of dollars from government's coffers between 1995 and 1998.

The TI's regional director for Sub-saharan Africa, Chantal Uwimana, expressed the group's disapproval of the Nigeria's government decision in June 2014 thus: "allowing the theft of public funds to go unpunished sends the wrong message that those with powerful connections can act with impunity." His submission captures it all as corruption with impunity reigns supreme in the country particularly in governmental quarters where the virus is bred. A former United States Ambassador to Nigeria, John Campbell noted in a recent interview with Punch Nigerian Newspaper that corruption is deeply rooted in Nigeria He said: "I would pay more attention to corruption. It is mind-boggling how millions of dollars go missing." In the same vein, Campbell's compatriot Bissa Williams, the United States deputy assistant secretary, bureau of African affairs, gave her opinion about the corruption problem in Nigeria in an interview with the Vanguard Nigerian Newspaper, the American official said frankly: "if you ask me, I would say that corruption is extremely high in this country; there is no other way to say this."

Likewise, the United States government itself had in a "detailed and frank" assessment report on corruption in Nigeria published in 2013, entitled "Corruption and Lack of Transparency in Government" alleged that, in Nigeria, "Massive, widespread and pervasive corruption affected

all levels of government and the security forces.” The report alleged further that even judicial officials were not left out of the “massive corruption ring”, the Nigerian government was heavily indicted of not implementing the law on corruption with the seriousness it deserve, thus encouraging and deliberately allowing “officials to frequently engage in corrupt practices with impunity.” The foregoing indicates as earlier stated that the political leadership in Nigeria aids and abet corruption. Consequently, the question that begs for answer is: can Nigeria obtain the United States support for its UNSC ambition with the prevalence of state engineered corruption in that country?

This self-inflicted problem rubbishes Nigeria’s credentials and claims for the UNSC seat. Since the beginning of 2014, there have been allegations of corruption in government circles in Nigeria, the biggest of which was the allegation made by the immediate past governor of the central bank of Nigeria Lamido Sanusi Lamido that a colossal \$20 billion had gone missing from the federation account, for daring to expose the scandal, the CBN governor was asked to proceed immediately on terminal leave by the Nigerian government without verifying the authenticity of his allegations first. It later emerged that there were elements of truth in Sanusi’s allegations as both the Nigerian National Petroleum Corporation and the incumbent Jonathan Presidency itself acknowledged on national and international television that “only \$10.8 billion was unaccounted for. . .” However, the then CBN governor insisted that \$20 billion got missing and not \$10.8 billion the Nigerian government admitted was “unaccounted for.” Now, this particular case is instructive with regard to corruption in Nigeria for two reasons: first, it vindicated the 2013 US corruption report on Nigeria cited above that the Nigerian government allows corruption to thrive. Second, it also give credence to the arguments made earlier that impunity thrives in Nigeria; otherwise, as at the time of writing this dissertation, none of the state’s officials that heads the government ministries and corporation where the \$10.8 billion got missing or “unaccounted for” to use Nigerian government phrase has been relieved of their positions and handed over to the security agencies for prosecution which should be the case in a country where punishment is meted out on law offenders.

Unfortunately, the two female ministers under whose watch this financial atrocity was committed – Okonjo Iweala and Diezani Madueke still retain their governmental portfolios as the country’s finance and petroleum ministers respectively despite massive calls for their sacking and prosecution from the Nigerian public. Again, it’s instructive to note that the admittedly “unaccounted for” \$10.8 billion dollars in Nigeria is more than the combined Gross Domestic Product (GDP) of African countries such as Sierra Leone \$4.929 billion Cape verde \$1.888 billion and Swaziland \$3.791 billion which have a total GDP of \$10.608 billion going by the world bank GDP figures of countries in the world as at 2013.

This is the consequence of institutionalized corruption in Nigeria which the state itself has helped to fester in recent times as elucidated above. The implication of this therefore is that Nigeria has a burden of morality to contend with as the search for a UNSC permanent seat continues. As argued in this present chapter, corruption is responsible for all the vices in Nigeria including the security situation occasioned by the terror activities of Boko Haram – the Islamists fundamentalist group. As former United States’ Secretary of State Hilary Clinton, said about Nigeria in a public interview with ABC’s Robin Roberts, “they have squandered their oil wealth, they have allowed corruption to fester and now they are losing their territory because they wouldn’t make hard choices.”

The above indicates that Nigeria has not been able to put its house in order as expected. The country's continued failure in this regard poses a huge challenge for its bid for the UNSC seat. The irony of the situation is that the same crop of leaders that presided over the rots in the system has been the most vociferous campaigners for Nigeria's bid. Second, Nigeria was a signatory to the African Union Convention on Preventing and Combating Corruption which was adopted on 11 July 2003 by the 2nd ordinary session of the Assembly of the Union in Maputo. The country was also a signatory to the UN Convention against Corruption which came into force on 14 December 2005. Nigeria has however repeatedly failed to uphold the principles of these conventions thus placing a moral question on the country's eligibility for the SC seat. How then can a country which has failed to act in accordance with these basic principles leverage on the same Organizations to secure a permanent seat for itself? This is simply paradoxical. Corruption potentially remains the greatest obstacle to Nigeria's ambition for the UNSC seat.

**Bad Leadership –** Bad leadership in Nigeria also constitutes a major impediment to the Nigerian dream of getting a SC seat. Bad governance has prevented a massively endowed country from attaining its potential in every aspect of human development. As far back as 1984, renowned novelist Chinua Achebe gave a damning view about the leadership crisis in Nigeria. Although, at the time he wrote that book the trouble with Nigeria, political leadership was not as bad as it is today. However that particular era set the stage for the current leadership rots being experienced today in Nigeria. If not attended to urgently like a patient in an intensive care unit facility of a hospital, this could lead to Nigeria being officially declared as a failed state. Achebe explained Nigeria's leadership problem thus: "The trouble with Nigeria is simply and squarely a failure of leadership . . . the Nigerian problem is the unwillingness or inability of its leaders to rise to the responsibility, to the challenge of personal example which are the hallmarks of true leadership." The most worrisome thing about this submission is that the leadership problem still plagues the country till today far worse than the case was then. This is a major problem for Nigeria's ambition. The failure of leadership has brought the Nigerian state to where it is at present, as Achebe again noted: "Nigeria is what it is because its leaders are not what they should be." It will take a direct or indirect beneficiary of the Nigerian failed leadership system to fault this thought as it aptly captures the Nigerian leadership situation.

For Nigeria to be taken seriously by the international community as a contender for the SC seat, the leadership infrastructure has got to be redeemed. The current leadership situation does not in any way suggest sanity, as Friday Jarikre opined, "In a sane society, leadership is influence but in Nigeria leadership is affluence and how much a leader can amass from the collective patrimony of the people." This brings us back to the argument made earlier that corruption birthed all other malaises that Nigeria faces currently. Leadership failure will be a contributory factor to Nigeria not getting the SC seat if these issues are not addressed. As Wakdok Samuel said, "the story of Nigeria is a pathetic one. . . . A country with rich human and natural resources has been brought to the brink due to years of bad leadership."

A Retired Nigerian Ambassador DapoFafowora, was of the view that the leadership problem in the Nigerian domestic scene had caused the country's leaders to be held in low esteem abroad over the years because of their serial failure to institutionalize probity and good governance in the country. The retired Nigerian diplomat said leadership and respect are won abroad by showcasing exemplary leadership at home and not just throwing money around as it has been the case with Nigeria. He stated: "Leadership and respect are not won by simply throwing money around, but by setting an example of good government and probity in Nigeria's public

life. Nigeria's foreign policy would have had a major success and impact in Africa, but for the low esteem in which Nigerian leaders are generally held abroad. Implicitly, a failed domestic leadership cannot not produce a successful leadership abroad because it is said that charity begins at home.

**Weak Democratic Institutions** – Another one of the factors that could count against Nigeria's candidacy for the SC seat is its weak democratic institutions. The Nigerian democratic system has not yet recorded appreciable progress in the same way other emerging democracies in Africa have done. While democracy is waxing stronger in countries such as Senegal, Ghana and South Africa, the contrary is the case in Nigeria as democratic institutions have been debased. Electioneering processes are monetized to the extent that those who get elected into public offices are often the highest bidders. As a result of this, Nigeria operates the most expensive and wasteful democracy in the world. Given these realities, the odds might be stacked against Nigeria's candidacy despite its credentials because of the premium placed on sound democratic institutions and good governance by Western countries such as United States, Britain which are both permanent members of the UNSC (Saliu and Omotola, 2008). The country's history of intermittent coups arguably the worst in Africa which produced seven military regimes in 33 years is due largely to the absence of strong democratic institutions.

**Insecurity** – The security situation in Nigeria currently is inimical to its UNSC ambition. This owes largely to the corruptness of the country's ruling class which has failed to bring the situation under control despite billions of dollars budgeted for security in the last few years. The most challenging of it all is the Boko Haram insurgency in the North Eastern part of Nigeria which has led to the death of many innocent people – including security personnel. This has had negative foreign policy implications for Nigeria in the sense that it portrays Nigeria to the outside world as a country slipping gradually into anarchy; as a country where leadership infrastructure is collapsing; as a country where the state has lost the monopoly of violence. Thus, wherever global terrorism is mentioned Nigeria will be cited as an example. This problem flows is as a result of the corruption pandemic which then leads us to the conclusion that Nigeria's domestic problems are interwoven. Against the background of the foregoing, the foreign policy machinery of the Nigerian state would have to pay urgent attention to these issues of religious terrorism.

**Mass Poverty** – The problems of corruption and bad leadership has had a corresponding effect on the generality of Nigerian masses over the years. Despite huge revenue from crude oil and gas exports, a preponderant number of Nigeria's population still remains chronically poor with a staggering 69% of the domestic populace living in acute poverty. According to the Nigerian Statistician General, and the Head of National Bureau of Statistics Yemi Kale, "In 2004, Nigeria's relative poverty measurement stood at 54.4% but increased to 69% or 112.518 million Nigerians in 2010." This is staggering when compared to the World Bank population total of Nigeria put at 173.6 million in 2013.

The question that arises from this is, can a country suffering from this self-inflicted social malady push successfully for a UNSC permanent seat? Mass poverty in the midst of abundance is due majorly to the corrupt practices in public offices and bad leadership in Nigeria. The case of Nigeria's Niger Delta region is particularly ironic in this regard; despite the fact that oil is produced there, the poverty level in the region is extremely high due to rampant corruption and heartless mismanagement of the oil proceeds by states' officials. As Joseph Ebegbulem, Dickson Ekpe and Theophilus Adejumo expressly noted,

What is going on in the Niger Delta region is a clear demonstration of the fact that after many decades of oil exploration in the region, the natives have become poorer and less empowered, contrary to what one would have expected, judging from cases of oil countries like Saudi Arabia and Venezuela, who have learnt how to manage the excess wealth generated by oil. Crude oil as an essential commodity in this technological age; even though it has empowered many countries that possess it, has ended up impoverishing some countries like Nigeria, who cannot manage the enormous profit it generates as a result of corruption, selfishness and greed.

The importance of the above is instructive in the sense that it proves further that Nigeria's domestic scene is fraught with maladies which the country's leaders have foisted on it. A cursory look at that 112.5 million figure of people living in abject poverty despite huge revenue from oil and gas sales shows that the total number of Nigerians that are poverty stricken outstrips the total human population of seven West African countries namely, Ghana, Mali, Senegal, Burkina Faso, Cote d'Ivoire, Chad; and Liberia. These countries have a population total of 109.704 million people which then leads to the conclusion that there are more people living in abject poverty in Nigeria than the whole populations of these countries put together. Available data also suggests that there are more people living in poverty in Nigeria than the individual populations of South Africa - 52.98 million in 2013, Ethiopia 94.10 million - 2013; and Egypt 82.06 million - also in 2013 according to the 2013 World Bank data on the countries mentioned. This is the accumulated result of corruption and bad leadership in Nigeria.

### **RECOMMENDATION**

For Nigeria to clinch the UNSC permanent seat, it has to first and foremost get out of its self-imposed socio-political and economic maladies that plague the country. According to an African proverb, "one should first assess the cloth an individual is putting on before accepting the clothes he/she is offering as a gift." Implicitly, it defies logic for a naked man to give out clothes as a generous gesture. This aptly describes the Nigerian situation in respect to its desire to represent Africa on an enlarged UNSC seat when socio-political and economic statistics on the ground suggest that the country is unworthy of taking up such a role today given the failure of leadership at home with its attendant effects in the proliferation of corrupt practices with impunity in the country. Therefore, it is as a result of this existential reality that this study employs the usage of the phrase "moral burden" to dissect Nigeria's paradoxical situation. In essence, the recommendation is that Nigeria must first put its house in order before aspiring to represent Africa in global politics.

Suffice to say that the claimants to Nigeria's right to the UNSC seat have forgotten the dictum that says, 'Charity begins at home'. Otherwise they should have known that the prevailing events on the domestic fronts will shape the trajectory of debates on matters of this nature. Nigeria as it is today has a moral burden on its neck with regard to making a successful push for the permanent membership seat on the SC of the UN. The moral burden represents the domestic condition which has been discussed in the foregoing. This study has identified five major domestic problems that will affect Nigeria's chances in getting a permanent UN seat on the SC. These are: the corruption pandemic, bad political leadership, weak democratic institutions, insecurity; and mass poverty amidst oil wealth. The following recommendations are offered in light of these domestic ills. First, Nigerian leaders and government should use the domestic scene as a springboard to showcase their seriousness about the country's candidacy for the UNSC seat by tackling corruption headlong.

No country whose name is quickly linked to corruption in discourses can ever be allowed to ascend to an exalted position like the permanent membership of the UNSC. Consequently, the architects of Nigeria's bid for a UNSC seat must stop being delusional that the country deserves the seat on the basis of its historical strength as statistics have shown that Nigeria is extremely incapable to occupy that seat unless practical and results-oriented steps are taken to address the ugly situations on the domestic scene by the country's political leadership.

### CONCLUSION

Thus far the paper has been able to draw a link between Nigeria's past roles in African decolonization issues and its present political activities regarding the UNSC permanent seat ambition. It reckons that although Nigeria has impressive credentials needed to lay claim to that seat, however, as things stand, it will be extremely difficult if not impossible for Nigeria to realize this dream if the issues discussed in this paper are not addressed urgently with demonstrable and convincing results. The Nigerian case for the UNSC permanent seat is paradoxical in the sense that the country wants to represent Africa in the apex decision making organ in the international system - the UNSC when it has failed unremittingly to show leadership at home and also failed to fulfil its international obligations with regard to upholding the AU and UN conventions on corruption which it is a signatory to.

How then can the country leverage on these diplomatic platforms to secure the UNSC seat because Nigeria would have to secure the nod of AU and UN member states and then the UNSC P5 members to get that seat? This places Nigeria in a dicey situation.

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## Differences between feelings, emotions and desires in terms of interactive quality

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### Abstract

The importance of interactive quality has become central to understanding the meaning of wildness, the natural state. This article examines the differences between feelings, emotions and desires according to their roles during interaction. Emotions and desires are placed on the engaging side of the interactive loop, while feelings register the feedback gained from interaction. Feelings are further divided into somatic and neocortical feelings, where somatic feelings such as pain and hunger register how the body is being affected, while neocortical feelings are based upon the pleasure or displeasure for how a constructed sense of fairness and personal context was affected. Desires are thought to arise directly from bodily organs and from a theorised neocortical 'interaction desire' that seeks parsimony within the organisation of its developing pathways. The production of emotions is influenced by the level of wildness or ease of interaction being experienced within a given environment, so that they become more prevalent, varied and extreme during conditions of difficulty and conflict.

**Keywords:** Interaction, desire, emotion, feeling, parsimony, wildness, surprise

### INTRODUCTION

Interaction is a fundamental requirement for any animal (1-3), where it receives stimulation from the various constituents of its niche (positive or negative), processes that information internally, and then provides a response. The quality of interaction can vary, and it was suggested that highest quality leads to a state of wildness where behaviour becomes more fluent, natural and targeted (4). The more appropriate and timely the response, the more chance an animal has of surviving. For example, animals with increasing levels of wildness are known to have greater chances of survival in nature compared to human-reared animals, due to their improved knowledge of how to interact (5,6).

### INTERACTIVE LOOP

Emotions, desires and feelings are significant components in the interactive process, and presumably evolved during wildness, the natural state prevalent before human civilisation. Currently, these motivational states can be difficult to distinguish, often being grouped together or seen as aspects of each other. For example, desires (7,8) and feelings are often included with emotions (9,10), as may be pain (11) surprise and interest (12). However, by focusing on their roles during interaction it may be possible to gain improved distinction. These motivational states appear to be readily divisible based upon the two halves of the interactive process, where an organism can engage to have an interaction and then obtain feedback as lesson on interactive outcome.

Emotions and desire could be placed on the engaging side of the interactive loop. Emotions are motivated or action readiness stances (13,14). They are also intimately involved with cognition or the construction of plans, and in our species appear to be mental constructs that are

formulated within the neocortex (15,16). Emotions may not be separable from cognition (17), and they appear to prepare the body and mind for action.

Feelings appear to cater for the feedback side of interactions, and their coordination resides in the limbic system rather than being entwined with cognition and planning in the neocortex. For example, pleasure and displeasure involve the hypothalamus (18) and ventral striatum (19). Pain is experienced at least partially in the cingulate cortex (20). The amygdala is involved with surprise, fear and anxiety (21-24). The feedback received by the limbic system can also trigger automatic behaviours such as expressions, attack behaviour, drinking, feeding and copulatory actions (18,25). Feelings are responses to significant events and often motivate further actions and emotions (9).

The timing between feedback and engagement can be almost instantaneous, so that each state appears tied to the other. Emotions are often partly defined by their feeling states. However, it may be possible to disentangle emotions from feelings so that their roles during interaction are clearer. Plutchik (9) also recognised the role of a chain of events or feedback loops in the construction of emotions. Emotions and desires could be used when an animal attempts interaction. After the interaction, feedback may be registered as feelings. The following discussion shows how they could be separated according to these roles.

## FEELINGS

### Somatic feelings

For the most simple of interactions, there would seem to be three possible feedback outcomes imposed by external forces. These outcomes from interaction may register in the limbic system as 'somatic feelings' in any animal, irrespective of whether they have a neocortex that is capable of cognition and its emotions. The results of an interaction may be positive (satisfying), negative (painful or unresponsive) or a surprise (unknown, yet to be categorised) although the latter option will usually soon sort into either of the first two options upon further investigation and exposure. The possible neutral non-reaction should still register as negative or disappointing, because the engaging attempt seeks positive outcome rather than disinterest. These kinds of somatic feelings provide a sense of one's physical self (26).

The body has a number of needs represented by states such as hunger, thirst, sexual desire and thermal homeostasis. The fulfilment during interaction of these somatic desires produces somatic feelings of satisfaction such as the taste of food, filled stomach, prevention of nausea, orgasm and thermal comfort. These desires are important, so when they cannot be filled they can become matters of survival leading to starvation, gasping for air and shivering for example. Some reflexes can help to relieve these feelings; however, continued failure to fulfil the underlying desires can have significant implications and may soon escalate into urgencies. The word urgency is used here rather than displeasure, as the latter implies some cognitive judgement that hinges upon a preferred order or level of fairness. For comparison with the 'neocortical feelings' described later, it is noteworthy that these somatic feelings of satisfaction and urgencies cannot be replicated by thought but require physical involvement. Hunger can be ignored or remembered but not fulfilled by thought. Somatic feelings cannot be altered in kind by cognition.

Pain provides another example of the difference between feeling and emotion. We can feel pain but cannot repeat that sensation cognitively or emotionally. We can remember that pain hurts, that it is upsetting, fear it, but we cannot actually produce the pain sensation other than by

hurting the body again. The feeling of pain, and the cognition or anticipation of pain, produces different neural activation patterns (20). The phantom pain experienced by amputees may seem to contradict this rule. However, such pain is thought to be due to peripheral neuromas, spinal cord irregularities, and limbic input systems that stimulate the neocortex to recognise pain, rather than the neocortex initiating the feeling itself. A number of theorists also consider that pain is not an emotion (18,27).

Surprise is another example of a feeling that cannot reproduce itself as an emotion, and then repeat the same feeling. We cannot think or emotionally act to produce the feeling of surprise, because we already know the result. Similarly, we cannot tickle ourselves because there is no surprise in the action (28). The feeling of surprise usually dissipates very quickly as it cannot produce a direct emotion of its own to create a self-sustaining feedback loop, and the animal does not send an attempt into the neocortex aimed at confounding itself again. The limbic reflexive expression or reaction to surprise might be to jump, eye-blink, or have a rush of blood to the muscles in readiness for physical action and orientation (29,30). These actions however are not emotions but expressions, reflexes and physiological responses triggered by a somatic feeling. Instead, the emotional neocortical response to surprise is to assess and understand quickly. In a split second it might be realised that the surprise is not dangerous (a practical joke perhaps), and the pent up energy can be released with a laugh. Or surprise might lead to curiosity. If the surprise is dangerous then the emotions generated may be anger or fear. Others have considered that surprise (startle) may not be an emotion (12,13).

In certain instances of surprise the limbic system can even bypass the neocortex and its cognition and emotions. If the surprise is very dangerous or repugnant, the animal may go into shock which again is a feeling rather than emotion. It may not be possible to escape the cause of surprise such as a predator. Such a sudden surprise means that the neocortex was outwitted so still may not hold any answers. Shock produces a cognitive feeling of helplessness. It is a limbic assessment or feeling rather than an emotion that can act. After the reaction, we might say 'I am shocked', but that is a cognitive explanation rather than the production of more shock. During shock the limbic system bypasses the neocortex for a while, and reflexive reactions mediated by its sympathetic nervous system take over. There may be fight, flight or freeze reactions. The neocortex may be so little used that the mind will seem numb or dazed (31,32), and as no desire or emotion travels through the interactive loop no neocortical feeling will be experienced and pain may not be interpreted. If still alive, the neocortex may gradually formulate a plan and regain behavioural control.

Disgust is another form of surprise for the unknown or unexpected that illustrates the two groups of feelings presented here. Firstly, visceral or gustatory disgust can be a reflexive feeling or direct bodily reaction to taste, such as bitterness (33,34). This form of disgust will not produce an emotion directly that can replicate such a feeling of disgust, but will lead to emotions that can remember and avoid repeated consumption of the disgusting food. Such a disgust feeling may produce a reflexive action such as screwing up the face and a gaping mouth that tries to push out food (35). Alternatively, moral disgust can be felt as an offense to our cognitive sensibilities, culture or rules (34,36), and many of its expressions may have originated from gustatory disgust (37,38). This form of neocortical disgust can produce a matched emotion, as the more we think about the offense the more disgusted we can become.

### **Neocortical feelings**

The somatic feelings for bodily satisfaction/urgency, pain and surprise cannot be replicated by emotion or neocortical activity. In contrast, there are a range of feelings that can trigger

emotions that can then trigger the same feelings again, often instantaneously. We can feel anger, and emotionally think about the situation further and become even angrier (39,40). Or emotionally think lovingly about a person and feel even more love. These neocortical feelings use cognition to contextualise their cause instantly so that they might deploy conforming emotions that carry the feeling into their next interaction or thoughts, which can replicate the same feeling again. Such feeling states then help to define the emotion. Alternatively, neocortical interpretation may suggest a different engagement path for the next interactive attempt. For example, rather than using anger we could choose reason or understanding instead, which might trigger a different set of contextualised feelings such as compassion and forgiveness (41). We can change the way we feel by changing the way we think (42). Intervention by the neocortex within the interactive loop provides opportunity for emotion regulation and modification (14,43).

There may be only two main feeling states behind neocortical feelings and emotions, pleasant and unpleasant (44). Registration of this pleasant or unpleasant feeling appears to be inherited, common to all people and mammals, and central to the development of emotions (45,46).

While we can contextualise and therefore feel a large variety of emotions, the actual underlying feeling state appears to reduce to various degrees of pleasure or displeasure. The level of arousal or intensity within this binary choice can vary from approval and happiness to ecstasy (pleasures) or disapproval and sadness to emptiness and misery (displeasures). However, the process of differentiating new feelings (such as anger, hate, love) from the original stock of pleasure and displeasure takes time to learn. For example, knowledge of context is vital before the displeased feeling can be further conceptualised into fear rather than anger (47). This underlying differentiation of feelings into an original core of pleasure or displeasure has been used to explain emotional granularity (45,48,49), where some people only know happy or sad while others can describe many feeling types in detail. The latter group would have learnt greater diversity in context, association and interpretation. For some, fear and anger simply produce an empty feeling.

The requirement for learning context to produce the full range of neocortical feelings and their emotions takes time. While many adults have a full range of emotions, they are not present ready-made from birth (50,51), and require the involvement and experience of cognition (52). It would be interesting to understand the aim of the neocortex before emotions are needed. The involvement of cognition suggests that emotions are learnt, but what source is being modified?

While emotions are learnt, why they should care is not apparent. If emotions are inherited rather than learnt, then this question disappears as their reason for existing becomes one of survival and evolution, as elaborated by supporters of 'basic emotions' (53-58). However, in the constructionist approach for emotions favoured here, there could still be one inherited stem from which emotions arise. One original and inherited interactive loop is suggested by the inherited registration of pleasure or displeasure in the limbic system. However, this differentiation occurs on the feeling side of the interactive loop. The inherited component on the engaging side that may underpin learnt emotions is missing. Nevertheless, such a possibility for an 'original inherited interactive loop' may fit expectations. Gross and Barrett (43) consider that all mental states including emotion, cognition and perception arise from the one process, as they all involve subjective experience, expressive behaviour and physiological

responses. There may be an 'interaction desire' that encapsulates an inherited motivation entering the neocortex.

## **DESIRES**

While emotions are learnt and constructed (43), the desires that influence our emotions occur more deeply and can usually be assigned directly to certain survival needs and specific organs.

### **Somatic desires**

Within the body each organ and tissue evolved to perform a specific function essential to survival. Tissues and organs needing a behavioural response send messages and hormones to the central nervous system to convey information about their condition and what they need if they are to perform (59,60). Some needs are filled by involuntary or reflexive responses such as the heart beat, adjustment of the iris to differing light intensities, or churning the stomach to mix food.

In comparison, those needs that ask for significant behavioural response send their messages to the limbic system, especially the hypothalamus (18), where they are converted into desires that can then be sent into the neocortex for consideration (25,61-63). There are different messages being sent from all parts of the body, the intensity of which varies as some cells become hungry and others satiated. The stomach and blood sugar levels alert their condition to the limbic system which creates a desire for food (64). Hydration levels in the blood are noted by the median preoptic nucleus in the hypothalamus which produces thirst (65). If we become short of air, the lungs and brain will send the cortex an increased desire to breathe or gasp. The gonads secrete hormones that develop the desire for sex. The bowels and bladder desire excretion when full. The inner ear desires steadiness and balance in head posture (66).

Desires could be distinguished from emotions as inherited motivations that arise from specific bodily organs and have direct survival and biological purpose. They can be called desires because they are like wishes or requests placed before the neocortex for it to consider during its further interactive attempts. Nevertheless, desire could build to become an urgent and pressing need. Alternatively, the neocortex may require the somatic desire to remain patient or hidden, demonstrating its higher level control. The emergence of higher brain functions has inhibited the affectively conscious states of lower brain functions (19). For example, attempts to consciously inhibit sexual arousal activated the right superior frontal gyrus rather than limbic structures (67). This expanded capacity is especially important for those animals living in complex environments where correct interaction is not always straight forward. Even so, being a learning organ, the neocortex must gain experience before it can develop these options.

While some consider that drives such as hunger and sex should be included with emotions because they possess affects and other emotional facets (58), desire is not included in most sets of basic emotions suggesting that most theorists do not believe them to be emotions (12). Ortony and Turner (12) consider desires to be motivational states that differ from emotional states as they simply want rather than anticipate pleasure, with the latter implying some cognitive involvement and approval.

### **Interaction desire**

Somatic desires are like wishes placed before the neocortex for it to consider during its next interactive attempt. They do not enter the neocortex on their own as a flood of conflicting desires making a confusion of demands. Ultimately, there should be one other desire that leads the neocortex and oversees all other desires making requests so that it can sort them according

to its greater understanding for the reality of its environment. There are many signs that an 'interaction desire' has control or at least pause over the other desires, especially as that desire matures and gains more interactive experience in the neocortex with which to compare. We can suppress the desire for food and control when we eat. Some might even hunger strike to the point of death by starvation, if they think the cause was just (68). The desire to excrete can be suppressed, for a while at least, by an appreciation for social interaction. The desire to interact in the right way can also mediate our desire for sex. A proportion of priests have life-long control over their sexual desire, if they think it right. An interaction desire seems able to control or temper the other desires if needed and may also underpin emotions, similar to the way pleasure and displeasure underpins neocortical feelings.

Previously, a parsimony desire for the neocortex was hypothesised that has concern for simplifying the ordering of things within the mind (69), and could double as an interaction desire. The parsimony desire was used to explain our species' interest in the esoteric pleasures such as music, art, poetry. It also explained why improvements in parsimony could be experienced as the pleasure of insight, eureka moments, achievement and understanding. A mechanism by which it might operate was suggested, where the more subcortical pleasure hotspots or nuclei that can be stimulated as feedback in the limbic system at once after an interaction, then the more parsimonious and skilful must be the arrangements for pathways within the neocortex (69). This parsimony desire might also impinge on the more life-survival states felt during emotion. Improvement in interactive quality through internal improvements in parsimony of mind is a key factor in producing the wild state (70,71). The term interaction desire rather than parsimony desire is used in this article as the main purpose of the desire is to achieve good interaction, rather than some obscure notion of parsimony, even though the best way to measure interactive quality is by the measurement of parsimony as previously described (69).

The neocortex could focus on interactive quality rather than survival per se as proper interaction and associated improvements in wildness should improve survival chances in any case (71,69). If survival were the prime focus of the neocortex, then it is understandable that its contents might become inherited and hardwired as record of the hard lessons instilled by evolution. However, if the prime focus of the neocortex is quality of interaction, then it should be plastic and malleable, more sensual and alert to the realities of the environment into which it is born. This contrasting view on the role of the neocortex explains the oddity in evolutionary terms of suicide, so prevalent in our species (72,73). The priority in our species is interactive quality, that is, whether prospects for positive and fulfilling interaction seem real and achievable. Mere survival is not enough.

The interaction desire will need to deal with not just the pathways of understanding developing in its neocortex, but a range of inputs including the somatic feelings experienced through surprise, urgency/satisfaction and pain. The loss of someone can feel bad enough, but if coupled with a sense of injustice as well then consequential actions can soon escalate into the dramatic.

A neocortex ruled by a desire for interactive quality will produce minds that want to do the right thing simply because that state will represent the most parsimonious arrangement available. It would be a sign that more things can be interacted with directly, indicating attunement and interactive skill. The expectation for positive interaction is our first assumption. Children especially, try to be 'good'. They begin to develop an inequality aversion

between the ages of 3 and 8 (74). People seem to be born with an innate moral compass (75-77), where everyone aims to do the right thing, or at least starts out that way. A sense of fairness is common in humans and primates (78-80). Every emotion hides a concern, a disposition to prefer particular states of the world (13,81). This interpretation of how the world should be or of how we should be treated shows the underlying cognitive influence of an interaction desire. It shows that we develop certain expectations, morals, standards, bonds, likes, and become emotional when they are not met.

### EMOTIONS

An assumption in wildness, the natural state, is that interactive quality within a wild niche is high allowing an animal to do, or try to do, whatever it wants. It can feel a desire and pursue it directly and honestly. The interaction desire is suggested as a positive and engaging desire that evolved to assume that it would monitor and help shape the neocortex within a specialised niche where attunement is possible. If the interaction desire can meet its needs for efficient and comfortable outcome, then it will feel pleasure and it has no need to change. The interaction desire can continue to enter the neocortex on its own or while chaperoning other desires, unabated. It can be wild and free. However, such a continuously blissful state based on the pursuit of simple desires rarely lasts, especially for animals living in complex environments. Such pure interactive desire is often blocked or unfulfilled with feedback that is painful, unpleasurable or unresponsive. The interactive attempt was blocked in some way. At this point, many wild animals may not survive beyond their first block. They may be eaten, yet, they die wild. Their psyche is not dented.

Upon block, the unpleasant feeling experienced is registered in the neocortex, becomes associated with the context of the interaction, and the neocortex couples the context and unpleasant feeling into an appraisal of the block, whether it is dangerous, lazy or uninterested for example. The results of previous experiences and interactions become represented in the neocortex as somatic markers or representations of feeling (blocks) that then influence further decisions and emotions (26,58,82,83). The prefrontal cortex is involved in constructing reappraisal strategies that influence the production of emotions (42). The experience of pain for example, a feeling well studied, involves processes leading from the limbic system to the neocortex where it contributes to the emotional aspects (rather than the feeling) of pain (84), its representation and interpretation (85).

After the experience of block, those animals that do survive should not send their next burst of desiring interactive effort into the neocortex in the same way or with the same naivety. With knowledge about the nature of the block modelled in the neocortex, desire could anticipate the effects of the block early, before the next interaction. The interaction desire would need to cope or adjust to the block somehow, which it may do by converting itself into an emotion. Frustration or the presence of a barrier blocking the goal path provides examples of situations that elicit multiple emotions (54). Appraisal (of the block), and cognitive activity, are involved in the production of emotions (81,82,86,87). An emotional response includes the fundamental feeling aroused by the sensory stimuli, followed in the cortex by the cognizance of the stimulating situation, and emotions themselves are conditioned responses subsequently formed (47,88,89).

The type of emotion that the interaction desire converts into will hinge on an appraisal of the kind of block experienced (indifference, danger, anger from other parties, pain), past experience or neocortical understanding of the environment or its chances, the intensity of other requesting somatic desires, an assessment of the threat posed by the block, and the

internal state of confidence, health or well-being. Emotions have been recognised as being constructed (90), and the steps described could allow a rich diversity to arise.

Emotions may try to tackle the block by removing it (anger), appealing to the broader niche for help (hope), appealing directly to another who is capable (love), deceiving the block (lying or cheating), or by fleeing (fear). It is easy to see how negative emotions might be stirred by block especially when one is clearly identified and disturbing. For positive emotions such as love, the block is often felt as social rejection (91), or as a generally unfulfilled state without any clear cause or disturbing focus against which to act. 'A person is ready to fall in love because of one of a number of reasons, loneliness, sexual need, dissatisfaction, or a need of variety' (13). The response to social exclusion can vary from prosocial ones aimed at becoming more likeable, to antisocial responses including avoidance and aggression (92).

Emotions ready the body for action, and are energy intensive and agitated states whose purpose is to resolve issues or engage positively so that life can be easier and happier. 'The function of emotion is to restore the individual to a state of equilibrium' (9). Once the 'no more action needed' signal has sounded there is no more need for emotion (13). The excessive use of some emotions such as anger has been linked to adverse health outcomes (93). In the natural state where interactive quality is high, there should be fewer blocks encountered allowing the more direct pursuit of basic desires and sociality. However, in our modern society with so many complications, conflicts and stress, greater variety and more extreme emotions are experienced. An example of this difference is that indigenous cultures generally have fewer emotion words than in western civilisation (94-96).

### CONCLUSION

It is proposed that desires, emotions and feelings can be divided according to their roles during interaction. Desires and emotions engage with interaction, while feelings provide feedback. The somatic feelings reveal how interactive outcomes affect the body, while neocortical feelings of pleasure (approval) or displeasure reveal how the feedback squares with a developing cognition and understanding. On the engaging side of interaction, desires arise firstly and directly from bodily organs to produce somatic desires (such as hunger and thirst) and from a theorised neocortical 'interaction desire' that prefers parsimony and ease of interaction within the developing organisation of its neocortical pathways. When those pathways are blocked or become unfulfilling, emotions may be deployed in an active attempt to resolve the problem. During the natural state of wildness, it is further postulated that the organism can live more naturally using a desire and feeling psychology, 'pleasure and pain'. The deployment of emotions becomes more prevalent and extreme during conflict and difficulty. Nevertheless, fundamentally, they are designed to return the organism to a state of homeostasis and natural ease.

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## Influence of Library Value on University Education: Students' Perception Survey

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### Abstract

This study investigates the influence of library value on students' education. Library physical infrastructures, library information resources, library personnel, library information services were independent variables related to the overall library value to students' education. Descriptive survey design method was employed in this study and the population was the regular students of a federal university in Nigeria. Simple random and equal allocation sampling methods were used to select 500 students from 10 faculties in the university. Pre-tested questionnaire with a reliability coefficient of .95 alpha was used to collect data from the students in their faculty libraries during the 2013/2014 academic session. Data collected were subjected to descriptive and inferential statistics using SPSS17.0. Results indicate that the students' perceived the library to be of great value to their education and it impacted on their academic pursuits and studies, academic performances, productivity, and career. All the independent variables significantly influenced the overall value of the library individually and collectively. While the relative contributions of the library physical infrastructures, library personnel and library information services to the value of the library value were significant library information resources was not. Recommendations for improvement were also provided.

**Keywords:** Library value, University education, University Library, Undergraduates, Library physical infrastructures, Library personnel, Library information services, Library information resources.

### INTRODUCTION

Universities are established to promote education, scholarship, research and learning in all fields of human endeavours (Eze and Uzoigwe, 2013). The goals of university education as enshrined in the Nigerian National Policy on Education is to help students acquires both physical and intellectual skills which will make them self-reliant and useful members of the society (Federal Ministry of Education, 2004). For universities to properly educate students, the Federal Government of Nigeria advocated for a viable library in every university to provide adequate infrastructures, information resources, and services manned by qualified personnel. The extent these infrastructures, resources and services meet the educational needs of the users determines the value of the library.

Value is the quality of being useful or desirable. Therefore, the value of a library is the quality of its usefulness or desirability. Thus, the value of the library in university education is the quality of the usefulness or desirability of university library in supporting university education and there are many ways the library can demonstrate its' value. According to Creaser and Spize

(2012) libraries can show their value to teaching and research staff in terms of staff time saved, increased quality of student assignment, increased contact hour. Similarly, McCreadie (2013) opined that the level of library support and services provided to users; contribution to the parent institution missions and goals; or economic value for return on investment are ways of assessing library value. Students' educational outcome can equally be a measure of library value.

The value of academic library can be assessed by the adequacy of the library's physical facilities and infrastructures such as library building, seating capacity; air-conditioning system, lighting situation etc.; library's information resources ranging from textbooks, e-books, journals, e-journals, newspaper and magazine, abstracts and indexes, encyclopaedia, dictionaries, manuals and handbooks, AV materials, computer for general use, government publication, thesis and dissertations, grey literature, electronic and digital materials; provision of adequate library personnel; provision of adequate library services such as user education and orientation, reference services, Internet services, reprographic services, interlibrary loan services, exhibition and display, access to online databases, referral services etc.

Every university library today, is trying to demonstrate its value or contribution towards the educational mission of its parent body by impacting on students' education through the provision of improved infrastructures, resources, personnel and services. In this regard, Payne and Conyers (2005) posit that university libraries should be able to demonstrate the value of what they are doing and provide evidence of the impact they make which should lead to service improvement (Farkas (2013).

Demonstrating library value is of critical importance to all libraries; both to protect services and to serve patrons effectively and there are many ways of determining what patrons want, like, value, including surveys, focus groups, and informal methods (Brown, 2011). Students' perception survey method will be used to anchor this study to determine how the value of the library influences their educational pursuits.

The University of Benin Library system comprised of John Harris Library (The main Library), and 13 faculty aimed at bringing library services closer to the students with 201 professional and para-professionals. There are two e-libraries – MTN Foundation library and the Donald Partridge e-library with 228 computers linked to the university's fast Internet at the disposal of staff and students. The library maintains adequate lighting system with over 4,700 seating capacity, stand-by electricity generating set and air-conditions facilities in the entire library system, and it is situated in a clean environment for the comfort of library users. The library is well stocked with over 211,000 volumes of books, 344 titles of journals and presently subscribed to 172 titles of journals, and various electronic full-text information resources and databases such as E-Granary, EBSCOHost, The Essential Electronic Agricultural Library (TEEAL), Research4life etc, which are accessible in these libraries, student hostels and all over the campus. Each faculty library has at least five computers with Internet access to aid information access. Also available include large collection of pamphlets and audio visual materials (Students Affairs Division, 2014).

In the last three years, several millions of Naira has been spent in purchasing books and journals for the library in collaboration with faculty members. The library education services include annual orientation lectures, library orientation exercises, library instruction as part of GST 111 courses (the use of Library) in the university; all geared towards user education

programmes to assist the students in using the library adequately. Library services include current awareness services, selective dissemination of information (SDI), reference services, photocopying services, Internet, bindery services etc. The library organises training workshops on the use of e-databases such as TEEAL, Health Internetwork Access to Research Initiatives (HINARI), Online Access to Research in the Environment (OARE) and Agricultural Online Research Access (AGORA) for faculty and students and individualized training by specialized librarians. With these infrastructures, resources and services provided by qualified librarians, it is only imperative to evaluate the value derived by students from using these resources and services in the library.

### **OBJECTIVES OF THE STUDY**

The overall objective of the study is to determine the value of the university library and its influence on the educational pursuit of the students. Specific objectives include:

1. Determine the overall value of the library to the students' education.
2. Assess the value students placed on the library's physical facilities and infrastructures.
3. Ascertain the value of the library's information resources on students' education.
4. Find out the value students have on the library's personnel in support of their education.
5. Evaluate the value of the library's information services rendered to students.

### **Hypothesis**

The following null hypotheses will guide the conduct of this study and they will be tested at 0.05 level of significance.

Ho1: There is no significant difference in library value to students' education per faculty.

Ho2: Library infrastructures have no relationship with library value to students' education.

Ho3: Library information resources have no influence on library value to students' education.

Ho4: Library personnel have no relationship with library value to students' education.

Ho5: Library information services have no relationship with library value to students' education.

Ho6: There is no combined influence of library facilities, information resources, library personnel and information services on the overall value of the library to students' education.

### **SCOPE OF THE STUDY**

There are many ways to determine the value of the library however, library's physical facilities, information resources, library personnel, information services provision approach will be used in this study. Also, determination of library value in education can be done using faculty, students or other methods. Students' assessment was used to anchor this study as the students are the primary beneficiaries of the education provided in the university and therefore they are in good position to evaluate the library. The perception of the students' was used in this study.

### **LITERATURE REVIEW**

Assessing the value of the library in university education has engaged the attention of scholars in the field of library and information science in recent years. The value of university libraries can influence students' education in several ways through the provision of adequate physical infrastructures, information resources, manpower and information services. Reviewing academic library performance in 36 Colleges and Universities in the U.S., Whitmire (2002) reported that undergraduates attending research universities with greater academic library resources had higher self-reported gains in critical thinking. This means that library resources were of value and influenced the students' thinking. Also, Kuh and Gontea (2003) revealed that the library plays an important role in helping Indiana University in achieving its academic

mission by providing very valuable service and a positive learning environment for all undergraduates.

Reporting on academic library value in developing world, McCreadie (2013) findings revealed that university libraries have access to large range of high-quality information materials that offer great potentials to support faculty for research and teaching. The libraries were well perceived by faculty and evidence of teaching support exists implying that the libraries were of value to the faculty members. Investigating the use and satisfaction of library resources and services in Tezpur University, India, Saikia and Gohain (2013) found that students and research scholars were highly satisfied with the collection of online journals and library services thus the library is playing vital roles in meeting the multidimensional demands of students and research scholars information and knowledge needs. Also in India, a comparative users' evaluation of four university libraries effectiveness, Khan (2012) indicates that library infrastructures in all the universities were adequate in meeting their users' information needs and the users were satisfied.

Assessing the impact of academic libraries in Kuwait, Awadh (2012) found a positive perception of all three groups of academic libraries by students, administrators and academics; and the library collection was identified as the most important services influencing users' personal performance. At the Arab International University in Syria, Restoum and Wade (2013) found that students were satisfied with library services' quality in terms of accessibility of library collections and information resources in meeting their educational information needs. In Latvia, Paberza (2010) reported 95 percent satisfaction level of the available services in their public libraries and the libraries influenced the people leisure hour and supported their education.

Assessing the influence of libraries on students academic studies in Nigeria, Adio and Olasina (2010) posit that the library influenced students from primary school to tertiary level of education by providing information resources and services for life-long learning. Examining the place of academic libraries in university education in the Southeastern Nigeria, Eze and Uzoigwe (2013) found that most of the university libraries provided adequate variety of services - reference, Internet, interlibrary loan, and information resources -textbooks, newspapers and magazines that supported teaching, learning and research in the universities in the region. At the Kenneth Dike Library, University of Ibadan, Adeyemi and Fatoki (2013) found that the library support to learning and research was 64% and the users were satisfied with library space, photocopying, bindery services, print books and journals, library staff support, safety and security, and opening hour. The foregoing review has shown that academic libraries can impact university education through the provision of adequate infrastructures, resources and services.

The provision of adequate library infrastructures, facilities and a conducive environment can influence the value of academic library and students' educational development. Esew and Ikyembe (2013) identified inadequate material resources, poor infrastructures, absence of teaching and research facilities, inadequate ICT facilities, low bandwidth, inadequate information resources and staff training, and inadequate power supply as factors militating against library services for effective educational performance of students in universities in Nigeria. At the Abubakar Tafawa Balewa University, Bauchi, Isyaku (2010) reported that students' use of cell phone in the library against prohibition constitute noise, distraction and nuisance making concentration difficult which could affect serious students performances who



used the library. Adekanye (2004) found that the University of Lagos and Yaba College of Technology library buildings were grossly inadequate for the educational needs of the students due to current explosion of students and recommended improvement in reading space, stacks and climatic control. Okiy (2012) noted that despite the age long neglect in funding and infrastructural provision by government, academic libraries remain the pivots of any successful teaching and learning to produce competent manpower for national development in Nigeria. Awala-Ale (2012) concluded that existing literature confirms the need for the establishment of functional library buildings and services that will be a joy of library users. On the situation in Kenya, Ndirangu and Udoto (2011) reported that the quality of library, online resources and lecture facilities provided in Kenyan public universities were not adequate to support the desired education programmes effectively and facilitate the development of learning environment that support students and teachers in achieving their goals. Therefore, adequate infrastructures are necessary in enhancing the value of academic libraries.

Information resources are critical factors in determining the value of libraries and their impact on students' academic work. Students regard the library as a place to undergo academic works, including finding and using information resources. It is frustrating if research materials are not available for students to use in the library (Tunde and Issa, 2013). Adelaja (2014) posits that very many public university libraries in Nigeria are in appalling state due to inadequate funding as students and faculty now survives on obsolete information. When university libraries are not updated with recent information, the quality of learning and teaching is compromised and the library loses its value and relevance thus impacting negatively on students' education. Evaluating the use of library materials and services in four private universities in south west Nigeria, Ogbuiyi and Okpe (2013) concluded that the available library resources and services were grossly inadequate to achieve the educational objectives of the schools. Similarly, Onifade, Ogbuiyi and Omeluzor (2013) reported average level of satisfaction of library resources and services among postgraduate students in a Nigerian private university library therefore not meeting their educational information needs.

However, Popoola (2008) and Popoola (2009) found that the use of library information sources and services improved the research output and teaching effectiveness of social scientists in Nigerian universities while Emokiniovo and Ogunrombi (2012) reported maximum satisfaction with library materials in faculty libraries and the materials were used to meet the students' information needs for learning and research work. On the provision of e-resources, Tella, Tella, Ayeni and Omoba (2007) recorded significant contribution of electronic information resources use on academic performance of education students at the University of Ibadan mostly in the areas of general education, English and Mathematics. Similarly, Oyedum (2007) revealed that Internet services at the Federal University of Technology, Minna library have tremendously improved academic performances of the users. Ukpebor (2011) results also showed that Internet use has significant influence on academic efficiency of engineering students and faculty in three universities in Edo State, Nigeria while Afolake, Oluwafemi and Olatunje (2014) concluded that Internet use by humanity students in ten universities and their academic performance are related.

Physical facilities, information resources and services cannot produce effective result without qualified personnel to manage them. Research on the value of academic libraries for teaching and research staff in the UK, USA and the Scandinavia, Creaser and Spezi (2012) found that librarians generally understood the needs of their users and provided services to meet these needs but not all teaching and research staff appreciate the level and extent of the support available from the library. In Nigerian universities, Iyishu and Nkanu (2013) concluded that

good quality personnel abound to rendered reference, loan and user education services to the satisfaction of users in academic libraries in Cross River State to enhance academic performance of the students. At the University of Ibadan, Adeyemi and Fatoki (2013) revealed that 62% of Kenneth Dike library staff support users in effectively using the library resources and services to enhance their educational pursuits. Esey and Ikyembe (2013) stressed the need for librarians to guide students in using ICT for their knowledge advancement and educational development.

Academic libraries offer various library services to enhance their value and students academic successes. Such services should be valuable and tailored to meet students' academic needs. Ajidahun (2011) averred that the contribution of library services to all professionals including university staff and students is indispensable. Assessing the impact of student use of three library services on academic performance, Kot and Jones (2014) found that the library has a positive impact on new college students' academic performance. Examining the effect of librarian-led one-shot classroom instruction on students' grade point average at the Middle Tennessee State University, Vance, Kirk and Gardner (2012) found that the instruction does have impact on students' performance. Evaluating the use of library resources and services by students of Paul University, Awka, Nkamnebe, Udem and Nkamnebe (2014) found that users are satisfied with the services and facilities provided by the library in supporting their studies. In Cross River State, Nigeria, Iyishu and Nkanu (2013) showed that library users have higher than average satisfaction with reference, lending and user education services in academic libraries in the state. Adeyemi and Fatoki (2013) found that Kenneth Dike library users are satisfied with the space, print information resources, opening hour, location, safety and security, photocopy and bindery services. On the contrary, Whitmire (2002) observed that academic library services had a negative relationship with undergraduates' self-reported gains in critical thinking.

However, McCreddie (2013) averred that raising the visibility and awareness of library services to support faculty teaching and research, as well as building robust library websites for accessing e-resources and communication between library and its users can enhance the value of academic libraries in developing countries. Creaser and Spezi (2012) also advised library managers to support and promote staff development through appropriate training and research on the value of library services and use it to enhance their services. Tunde and Issa (2013) suggested that it is good to have convenient library, opening hour, adequate lightening and qualified staff that will enhance the quality of the library and hence impact on students' education.

### **METHODOLOGY**

The descriptive survey design was adopted in this study. The study population was UNIBEN full-time students. Simple random sampling was used to select ten faculties out of the existing 14 faculties and colleges in the university. Then, employing the equal allocation method, 50 students were randomly selected per faculty (Agriculture, Arts, Basic medical science, Education, Engineering, Law, Life science, Pharmacy, Physical science and Social science) bringing the sample size to 500 out of 30,159 student population. A self-developed questionnaire was used to collect data from the students. Thirty students in the faculty of management Sciences who were not included in the main study were used to pretest the questionnaire for reliability and the coefficient of reliability are: Part A – Biodata, Part B – Library physical infrastructures and facilities (Alpha = .82), Part C – Library information resources (Alpha = .90), Part D – Library personnel (Alpha = .84), Part E - Library information

services (Alpha = .94), and Part F – Overall library value to students' education (Alpha = .86), while the whole questionnaire yielded (Alpha = .95). The questionnaire consists of six parts A – F. Part A, consists of three questions, Part B, has eight questions, Part C, has thirteen questions, Part D, consists of seven questions, Part E, has fifteen questions and Part F, has 8 questions. The questionnaire is a 4-point Likert scale instrument: GV (Great value) = 4; LV (Little value) = 3; SV (Some value) = 2; and NV (No value) = 1. Data collection was carried out during the second semester in the 2013/14 academic session. For any of the answers to be significant and accepted, it must score a mean of 2.5 and above. Library officers-in-charge of the selected faculty libraries administered the questionnaires in their libraries after receiving instructions from the researcher. Faculty libraries were chosen because it is the location students can be easily accessed. All the 500 questionnaire administered were retrieved in usable form. Data collected were analysed by descriptive and inferential statistics using SPSS software.

## RESULTS AND DISCUSSIONS

Demographic results show that respondents were well distributed by level of study, sex, and age. Majority of respondents were in their 200 – 400 levels. Sixty one (61%) are male and (39%) female. Most of the students were within the age range of 21 – 30 years. This result is consistent with students demographics provided by the Office of Academic Planning of the university that male dominated the students' population and are within the age range of 21 – 30, which is the normal undergraduates' age. This result is similar to Restoum and Wade (2013) findings at the Arab International University in Syria who conducted similar study.

### Objective 1: Assess the overall value of the library to students' education

Eight items were used to elicit students' response. The result of the overall assessment rating in Table 1 revealed that the library is of great value to the students' education as it obtained a mean value of 25.37 and standard deviation 7.0219. Each item had significant impact on library value to students' education with a mean score of 3.05 and above. Therefore, the library is of great value to the students in their academic pursuits, educational and career advancement, academic performance, accessing information etc. This result should be sustained and improved upon. Restoum and Wade (2013) obtained similar result at Arab International University in Syria where students were satisfied with the quality of library service, valuable collection and equipments that supports their educational information needs. Also, Paberza (2010) found the greatest effects of the value of public library services in Latvia to improve reading and students' education.

**Table 1: Mean Scores of Overall Assessment of Library Value to Students' Education**

S/N	Statements	NV	SV	LV	GV	Mean	Std
1	The library resources are valuable in my academic pursuit	50 10.0%	80 16.0%	74 14.8%	296 59.2%	3.23	1.05
2	The library is valuable in enhancing my educational studies	45 9.0%	88 17.6%	73 14.6%	294 58.8%	3.23	1.04
3	The library is valuable to my education and career advancement	45 9.0%	86 17.2%	83 16.6%	286 57.2%	3.22	1.03
4	The library is valuable in my academic performance	57 11.4%	76 15.2%	79 15.8%	288 57.6%	3.20	1.07
5	The library is valuable in accessing information materials	49 9.8%	88 17.6%	82 16.4%	281 56.2%	3.19	1.05
6	The library is valuable in improving my productivity	48 9.6%	87 17.4%	94 18.8%	271 54.2%	3.18	1.03
7	The library is valuable in satisfying my research needs	58 11.6%	97 19.4%	93 18.6%	252 50.4%	3.08	1.08
8	The library is valuable in meeting my information needs	73 14.6%	86 17.2%	86 17.2%	255 51.0%	3.05	1.13

To find out if the library's value is the same across the faculty, data from the 10 faculties were tabulated as presented in Table 2. The result shows that the mean and standard deviation of the various faculties in the study were not the same meaning that there are differences by faculty.

**Table 2: Value of library to students per faculty**

Faculty	Mean	Std. Deviation	N
Arts	24.3600	6.2849	50
Engineering	28.5000	5.4295	50
Basic medical Science	21.1800	10.0766	50
Life science	26.9200	6.4928	50
Education	27.0000	6.1776	50
Social science	24.3400	6.8886	50
Law	24.9800	5.9298	50
Agric	24.0800	7.5182	50
Physical science	25.7400	6.1006	50
Pharmacy	26.6000	6.0170	50
Total	25.3700	7.0219	500

Ho1: There is no significant difference in library value to students per faculty

To verify if the library value to students per faculty was the same, data in Table 2 was subjected to further analysis. Table 3 result revealed that there is a significant difference in library value to students' education based on their faculty ( $F=4.551$ ,  $P<.05$ ). The null hypothesis is therefore rejected. The resultant differences may be as a result of the level of development of information resources and services offered in the different libraries as perceived by students. Assessing library performance in Syria, Restoum and Wade (2013) obtained similar result indicating differences in the satisfaction level between student participants per faculty.

**Table 3: Test of significant difference in library value to students per faculty**

Source of variation	Sum of square	DF	Mean square	F	Sig.
Faculty	1897.970	9	210.886	4.551	<.0001
Error	22706.580	490	46.340		
Total	24604.550	499			

Objective 2: Determine students' value of the library physical infrastructure and facilities

The rating of the 8 items on library physical infrastructures and facilities Table 4 shows an overall mean of 22.60 and standard deviation 5.6055. Six items scored a mean above 2.5 with the faculty library ranking highest followed by lighting system, air-cooling system, John Harris library, seating capacity, while Donald Partridge e-library and library website were least valued scoring below 2.5. This result inferred that the library's infrastructural facilities are valuable to the students thus investments made recently to develop faculty libraries and improve the lighting and cooling system in the libraries have paid off and therefore should be sustained. Efforts should be made to improve on the Donald Partridge library services and the library website to impart more on students' education. This present result affirms Emokiniovo and Ogunrombi (2012) that faculty libraries were maximally used which is a reflection of its value. Therefore, faculty library system should be encouraged in all universities worldwide.

**Table 4: Value of library physical infrastructure and facilities**

S/N	Statements	NV	SV	LV	GV	Mean	Std
1	Your Faculty library	52 10.4%	59 11.8%	64 12.8%	325 65.0%	3.32	1.04
2	Lighting system	51 10.2%	82 16.4%	89 17.8%	278 55.6%	3.19	1.05
3	Air cooling system	58 11.6%	84 16.8%	108 21.6%	250 50.0%	3.10	1.06
4	John Harris main library	58 11.6%	93 18.6%	95 19.0%	254 50.8%	3.09	1.07
5	Seating capacity	63 12.6%	123 24.6%	118 23.6%	196 39.2%	2.89	1.06
6	MTN foundation library	138 27.6%	97 19.4%	90 18.0%	175 35.0%	2.60	1.22
7	BNet library extension	191 38.2%	99 19.8%	111 22.2%	99 19.8%	2.24	1.16
8	John Harris library website	207 41.4%	104 20.8%	87 17.4%	102 20.4%	2.17	1.17

Ho 2: Library infrastructures have no relationship with Library value to students' education

To establish a relationship between library infrastructure and overall library value to students' education, result in Table 4 was further analysed. Result in Table 5 indicates that there is a positive significant relationship between the value of library to students education and library infrastructure ( $r = .467^{**}$ ,  $N = 500$ ,  $P < .01$ ). The null hypothesis is rejected. This means that library infrastructures such as lighting, air-cooling, and seating capacity influenced library value to students' education. It is imperative that university libraries should make concerted effort to provide adequate infrastructures. Awadh (2012) obtained similar result that the library's suitable environment enhanced concentration to study thus improved students' performance in Kuwait.

**Table 5: Pearson Correlation (r) between Library value to students and library infrastructures**

Variable	Mean	Std. Dev.	N	R	P	Remark
Library value to students	25.3700	7.0219	500	.467**	.000	Sig.
Library infrastructure	22.6040	5.6055				

\*\* Sig. at .01 level

### Objective 3: Ascertain the value of library information resources

Library's information resources were assessed by the students and the result presented below. The result of the 13 items on library information resources Table 6 indicates an overall mean of 32.76 and standard deviation 10.8041 meaning that the overall library collections were of value to the students. However, seven of them, printed textbooks, reference materials, e-books, printed journals, newspapers\magazines, computers for general use, Internet web sites and databases recorded mean score above 2.5 with printed textbooks ranking highest. Others like thesis and dissertation, e-journals, conference proceedings, government documents, technical reports and lastly audio-visuals were least valued scoring below 2.5. This implied that either the resources were not readily available to students or they were not needed in the course of their study. This result is consistent with Baro, Endouware and Ubogu (2011) findings at Niger Delta University in Nigeria. In South-Eastern universities, Eze and Uzoigwe (2013) reported that newspapers, magazines, textbooks and journals were valuable and used by students while

Tenopir, Volentine and King (2012) found scholarly articles most valuable to academic staff in six UK universities.

**Table 6: Value of library information resources**

S/N	Statements	NV	SV	LV	GV	Mean	Std
1	Printed textbooks	72 14.4%	65 13.0%	79 15.8%	284 56.8%	3.15	1.12
2	Reference materials (dictionary\encyclopedia etc.)	102 20.4%	97 19.4%	98 19.6%	203 40.6%	2.80	1.17
3	E-books	116 23.2%	100 20.0%	132 26.4%	152 30.4%	2.64	1.14
4	Printed journals	111 22.2%	115 23.0%	122 24.4%	152 30.4%	2.63	1.13
5	Newspapers\Magazines	120 24.0%	129 25.8%	108 21.6%	143 28.6%	2.55	1.14
6	Computers for general use	151 30.2%	89 17.8%	95 19.0%	165 33.0%	2.55	1.23
7	Internet web sites and databases	149 29.8%	105 21.0%	95 19.0%	151 30.2%	2.50	1.21
8	Thesis\Dissertation	148 29.6%	111 22.2%	126 25.2%	115 23.0%	2.42	1.14
9	E-journals	147 29.4%	118 23.6%	121 24.2%	114 22.8%	2.40	1.13
10	Conference proceedings	165 33.0%	107 21.4%	128 25.6%	100 20.0%	2.33	1.13
11	Government documents	164 32.8%	108 21.6%	131 26.2%	97 19.4%	2.32	1.12
12	Technical reports	175 35.0%	104 20.8%	125 25.0%	96 19.2%	2.28	1.14
13	Audio-visuals	206 41.2%	97 19.4%	93 18.6%	104 20.8%	2.19	1.18

Ho 3: Library information resources have no relationship with Library value to students' education

To establish a relationship between library information resources and overall library value to students' education, Table 6 result was analysed against the overall library value to students' education. Result in Table 7 shows a weak positive significant relationship between library value to students education and library information resources ( $r = .427^{**}$ ,  $N = 500$ ,  $P < .01$ ). The null hypothesis is rejected. It is concluded that library information resources influenced library value to students' education. This result is in tandem with Awadh (2012) that library collection was the most important and valued service within Kuwait academic library as it improves students' academic performance. Also, Cox and Jantti (2012) found a strong correlation between students' grade and use of library information resources at the University of Wollongong.

**Table 7: Pearson Correlation (r) between Library value to students and information resources**

Variable	Mean	Std. Dev.	N	R	P	Remark
Library value to students	25.3700	7.0219	500	.427**	.000	Sig.
Library information resources	32.7580	10.8041				

\*\* Sig. at .01 level

**Objective 4: Assess the value of library personnel support to students' education**

The rating of the 7 items on the value of library personnel in Table 8 produced a mean score of 18.92 and standard deviation 6.5917 which means that the library personnel were of value to the students. This was reflected as the library personnel were approachable when using the library, assist in finding information in the library, provide answers to queries, generally supportive, very hospitable and caring. Areas where the library personnel didn't make much impact scoring a mean below 2.5 were on students' education and career, and assignments. To correct these areas of deficiencies, librarians need to develop a programme aimed at assisting students with their assignments and studies. Reference librarian's role is imperative in this regard.

**Table 8: Mean Scores of the value of library personnel to Students Education.**

S/N	Statements	NV	SV	LV	GV	Mean	Std
1	The library staff are approachable when using the library	72 14.4%	90 18.0%	89 17.8%	249 49.8%	3.03	1.12
2	The library staff assist in finding information in the library	92 18.4%	77 15.4%	97 19.4%	234 46.8%	2.95	1.17
3	The library staff help provide answers to my queries	82 16.4%	89 17.8%	106 21.2%	223 44.6%	2.94	1.13
4	The library staff have been generally supportive	97 19.4%	128 25.6%	95 19.0%	180 36.0%	2.72	1.15
5	The library staff are very hospitable and caring	112 22.4%	141 28.2%	94 18.8%	153 30.6%	2.58	1.14
6	The library staff have impact on my career	152 30.4%	119 23.8%	106 21.2%	123 24.6%	2.40	1.16
7	The library staff were helpful doing my assignments\tasks	175 35.0%	103 20.6%	112 22.4%	110 22.0%	2.31	1.17

Ho 4: Library personnel have no relationship with library value to students' education

To establish a relationship between library personnel and overall library value to students' education, Table 8 result was analysed against and overall library value to students' education. Result in Table 9 revealed a strong positive significant relationship between library value to students education and library personnel ( $r = .569^{**}$ ,  $N = 500$ ,  $P < .01$ ). The Null hypothesis is rejected. It is concluded that library personnel influenced library value to students' education. University libraries should therefore select librarians with certain qualities to man their readers and reference services where direct contact with students and readers is high. In other universities in Nigeria, Adeyemi and Fatoki (2013) recorded average satisfaction from library staff support to students at the University of Ibadan while Iyishi and Nkanu (2013) recorded higher than average satisfaction from library staff support to students in Cross River State with the advice that library staff should be more helpful and users friendly.

**Table 9: Pearson Correlation (r) between Library value to students and library personnel**

Variable	Mean	Std. Dev.	N	R	P	Remark
Library value to students	25.3700	7.0219	500	.569**	.000	Sig.
Value of library personnel	18.9220	6.5917				

\*\* Sig. at .01 level

### Objective 5: Evaluate the value of library information services

The university library was set up to provide valuable information services in support of students' education. How have the services offered by the library been of value to the students. Table 10 rating of the 15 items on the value of library services produced a mean score of 36.38 and standard deviation 13.5754 indicating that the services were valuable. Seven of the services had a mean score above 2.5 beginning with reference services, photocopying, Internet, current awareness, collaboration with faculty and students, user education and referral services which means that the services were of value to the students. Important services that could impart directly on students work like SDI, online access and database searching and library display of new arrivals scored below 2.5 mean. These services need improvement. Similar results obtained by Peberze (2010) indicated very high satisfaction of the value of public library services in Latvia. At Arab International University Syria, Restoum and Wade (2013) found reference service as one of the essential services while Belanger, Bliquez and Mondal (2012) indicated that library instruction was most valuable to most university students in the United State of America.

**Table 10: Mean Score of the Value of Library Information Services**

S/N	Statements	NV	SV	LV	GV	Mean	Std
1	Reference services	123 24.6%	99 19.8%	102 20.4%	176 35.2%	2.66	1.19
2	Photocopying services	148 29.6%	87 17.4%	93 18.6%	172 34.4%	2.58	1.24
3	Internet services	148 29.6%	84 16.8%	112 22.4%	156 31.2%	2.55	1.21
4	Current awareness services	136 27.2%	113 22.6%	113 22.6%	138 27.6%	2.51	1.16
5	Collaboration with Faculty and students	149 29.8%	93 18.6%	110 22.0%	148 29.6%	2.51	1.20
6	User education\orientation for staff and students	159 31.8%	95 19.0%	85 17.0%	161 32.2%	2.50	1.24
7	Referral services	151 30.2%	98 19.6%	99 19.8%	152 30.4%	2.50	1.21
8	Selective dissemination of information (SDI)	137 27.4%	116 23.2%	126 25.2%	121 24.2%	2.46	1.13
9	Access to online\Database searching	167 33.4%	90 18.0%	91 18.2%	152 30.4%	2.46	1.24
10	Library exhibition\display of new arrivals	169 33.8%	85 17.0%	109 21.8%	137 27.4%	2.43	1.21
11	Bibliography services	181 36.2%	96 19.2%	115 23.0%	108 21.6%	2.30	1.17
12	Bindery	184 36.8%	101 20.2%	94 18.8%	121 24.2%	2.30	1.20
13	Indexing and abstracting services	178 35.6%	108 21.6%	118 23.6%	96 19.2%	2.26	1.14
14	Document delivery\interlibrary loan services	213 42.6%	84 16.8%	86 17.2%	117 23.4%	2.21	1.22
15	Translation services	203 40.6%	111 22.2%	99 19.8%	87 17.4%	2.14	1.13

Ho 5: Library information services have no relationship with library value to students' education



To establish a relationship between library information services and the dependent variable, result of Table 10 was analysed against overall library value to students' education. Result in Table 11 indicated a strong positive significant relationship between value of library to students and library information services ( $r = .558^{**}$ ,  $N = 500$ ,  $P < .01$ ). Thus the null hypothesis is rejected. Therefore, the value of information services influenced library value to students' education. University libraries should of necessity provide adequate information services to stand relevant. In South-East university libraries in Nigeria, Eze and Uzoigwe (2013) and Iyishi and Nkanu (2013) found reference, user education, orientation, lending and Internet services adequate to support university education and therefore valuable to students education.

**Table 11: Pearson Correlation (r) between Library value to students and information services**

Variable	Mean	Std. Dev.	N	R	P	Remark
Library value to students	25.3700	7.0219	500	.558**	.000	Sig.
Library information services	36.3800	13.5757				

\*\* Sig. at .01 level

Ho 6: There is no combined influence of Library facilities, Information resources, Library personnel and Information services on the overall value of the library to students' education To determine the extent to which the linear combination of the independent variables predicts library value to students' education, regression analysis was performed. Table 12 reports the results of the multiple correlation of library value to students' education with library infrastructures and facilities, information resources, library personnel, and Information services. It was found that the linear combination of the variables significantly predict library value to students' education with a coefficient of multiple correlation ( $R = .643$  and a multiple  $R^2$  of .414. This means that 41.4% of the variance was accounted for by the four predictors when taken together.

**Table 12: The joint contribution of the independent variables (Library infrastructure, Library information resources, Value of library personnel and Library information services) on Overall Value of the library to students' education**

R	R Square	Adjusted R Square	Std. Error of the Estimate			
.643	.414	.409	5.3972			
A N O V A						
Model	Sum of Squares	DF	Mean Square	F	Sig.	Remark
Regression	10185.048	4	2546.262	87.409	.000	Sig.
Residual	14419.502	495	29.130			
Total	24604.550	499				

The significance of the composite contribution was tested at  $P < .05$ . The table shows that the analysis of variance for the regression yielded an F-ratio of 87.409 (significant at 0.05 level). This implies that the joint contribution of the independent variables to the dependent variable was significant and that other variables not included in this model may have accounted for the remaining variance.

On the relative contribution of the four independent variables to the dependent variable, the result is as presented in Table 13, expressed as beta weights, viz: library infrastructure ( $\beta = .185$ ,  $P < .05$ ), library information resources ( $\beta = -.019$ ,  $P > .05$ ), value of library personnel ( $\beta = .312$ ,  $P < .05$ ) and library information services ( $\beta = .283$ ,  $P < .05$ ) respectively. The result shows that while library infrastructure, value of library personnel and library information services were significant, library information resources was not. This finding confirms the earlier result where information resources had a small statistical score of  $r = .427$ . This trend could be due to the drift towards the use of electronics to access information, low reading culture or inaccessibility of the resources to students. Awadh (2012) obtained similar result that library collection was not as important to students' studies as many preferred to study at home using the Internet.

**Table 13: Relative contribution of the independent variables (Library infrastructure, Library information resources, Value of library personnel and Library information services) on Overall Value of the library to students' education**

Model	Unstandardized Coefficient		Stand. Coefficient	T	Sig.
	B	Std. Error	Beta Contribution		
(Constant)	8.913	1.044		8.534	.000
Library infrastructure	.232	.055	.185	4.183	.000
Library information resources	-1.265E-02	.032	-.019	-.391	.696
Value of library personnel	.333	.048	.312	6.876	.000
Library information services	.146	.027	.283	5.470	.000

### CONCLUSION AND RECOMMENDATION

Evidence from this study suggests that the library is of great value in support of students' education. The library imparted positively on students' education through the high value of its physical infrastructures and facilities, information resources, personnel and information services provided in support of all aspects of the students' education. It is recommended that the library information resources should be improved upon to make more impact while the personnel should develop means of assisting students with their assignments.

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# Procurement, availability, affordability and use of essential medicines and health supplies at community level in Uganda

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## Abstract

**Purpose** - The challenges associated with procurement in Uganda lead to non-availability of essential medicines and health supplies. Some citizens do not afford prescribed medicines, leading to irrational use. This paper examines procurement, availability, affordability and use of essential medicines and health supplies at community level.

**Design/methodology/approach** - The study covered a total of 8 purposively selected districts in Uganda. Both quantitative and qualitative methods were used. The study was guided by 22 medicines and health supplies as indicator items. Using mixed methods, data was collected, analysed and interpreted in relation to the drug supply management practice.

**Findings** - Procurement regulations were not complied with. Health units did not stock all recommended items. Stock outs were more prevalent at lower than higher health units. Affordability was found to be a problem, leading to patients bribing medical personnel to get some medicines and health supplies at cheaper prices. For all sampled respondents, all dimensions of proper use of medicines and health supplies like advice on utilization and side effects and knowledge on appropriate storage conditions for medicines and health supplies were below acceptable levels.

**Originality** - Whereas there is extensive work on supply chain of medicines and health supplies, not enough knowledge exists which is specific to supply chain at community level for developing counties. Besides, the tracking study that combines procurement, availability, affordability and use is very insightful and a strong starting point for future theoretical work.

**Keywords** - Procurement, Availability, Affordability, Use Paper type - Research paper

## INTRODUCTION

The Government of the Republic of Uganda through the Ministry of Health is responsible for providing for the supply of Essential Medicine and Health Supplies (EMHS). One of the guiding principles of the Uganda National Health Policy (NHP, 1999) is the equitable distribution of health services country wide; with priority given to further decentralization of the health care delivery system.

Monitoring of health sector performance is part of the core functions of the Ministry of Health. Studies are expected to be conducted on the content and relative cost-effectiveness of delivering the Uganda National Minimum Health Care Package (UNMHCP). Specifically, it focuses on: effectiveness of National health financing, efficiency and equity in allocation and utilization of available resources; appropriate accountability and transparent use.

The National Drug Policy (NDP) aims to contribute to the attainment of good standard health by the population of Uganda through ensuring the availability, accessibility and affordability at all times of essential medicines of appropriate quality, safety and efficacy, and by promoting their rational use. One of the goals is to establish and maintain a secure, cost-effective medicines supply system in order to ensure that required essential medicines are available, affordable and accessible to the population and that quality is maintained up to the point of use. Another goal is to promote research which will contribute to the effective implementation of the NDP.

A core strategy for achieving maximum outcomes in the Second Health Sector Strategic Plan 2005/6- 2009/10 (HSSP-II) is the implementation of the UNMHCP. Procurement and management of EMHS are considered key elements in achieving the related objectives of HSSP-II. Objective 2 relates to ensuring the constant availability and accessibility of key items required for provision of core UNMHCP interventions at each level of the health system through a comprehensive, integrated and harmonized EMHS procurement, financing and logistics system (including any third party contributions).

The main objective of this paper is to examine procurement, availability, affordability and use of essential medicines and health supplies at community level. Specifically, the paper examines the procurement of essential medicines and health supplies practices in selected districts in Uganda; the availability of medicines and health supplies in selected districts in Uganda; the affordability of essential medicines and health supplies in selected districts in Uganda and the use of essential medicines and health supplies in selected districts in Uganda.

## **LITERATURE REVIEW**

### **Procurement**

Procurement is the acquisition of external goods, works, consultancy and associated services through purchase, franchise, rental, lease, license or any other contractual means (Knudsen, 1999). In Uganda, public procurement is important because it accounts for about 70% of public expenditure in Uganda (Agaba and Shipman, 2007). Procurement influences availability, affordability and use of medicines and supplies in Uganda. However, the procurement profession has not been given due attention, it has been neglected (Khai Thai, 2001).

Public procurement of medicines poses a bigger challenge to the availability and affordability of medicines and supplies. The procurement of essential medicines is an area of special concern because of the potential risks involved if medicines are unsafe (WHO 2015) or do not reach where they are needed in time.

There is another dimension to availability of medicine. This is to do with the rational use of the medicine. The right medicine does not always reach the right patient; approximately 50% of all patients fail to take their medicine correctly (WHO Report, 2012).

Procurement of medicines involves quantifying medicines requirements, selecting appropriate procurement methods and prequalifying suppliers (WHO 2015). Therefore there is need to strengthen medicines supply management capacity coordinate the different medicines procurement stakeholders.

### **Availability**

Essential medicines save lives and improve health when they are available, affordable and of assured quality and properly used. Availability refers to the fact that health services can be

reached both physically and in a timely manner. It constitutes the physical existence of health resources with sufficient capacity to produce services (Levesche, J., et al. 2013). It is crucial that reachability of medicines should reach a certain standard (WHO, 2008).

Due to lack of public resources, inaccurate demand forecasting and inefficient procurement and distribution, availability of medicines remains a problem (WHO Report, 2010).

In a study by Myhr (2000), Ethiopia and Tanzania had low or non-availability of many of the observed medicines, whereas Uganda was medium rated. The study further noted that availability is more of a problem in public sector than in private and not-for-profit sectors, although the Ecumenical Pharmaceutical Network (EPN) revealed poor availability of medicines for children in both public and private facilities (Robertson et al. 2009). Uganda is struggling to develop adequate health care systems (Kumar et al. 2009). According to Okiror (2009), about 32-50 percent of medicines essential for treating common diseases are not available. This is further confirmed by the Ministry of Health (MoH) (2009) report.

The conclusion from the literature is that availability of medicines is crucial for humanity. It is also clear that in Uganda, the non-availability of medicines remains a problem to sort out.

### **Affordability**

Affordability is the ability of citizens to pay for the medicines (WHO Report, 2008). According to Sussanne G. et al. (2006), affordability is the number of days the lowest paid unskilled government worker would have to work in order to afford the cost of 30 days of treatment for the chronic condition being analysed. It reflects the economic capacity for people to spend resources and to use appropriate services (Levesque, J., et al. 2013). Citizens should be able to pay for health care services without selling their basic assets e.g. homes (Levesque, J. et al. 2013).

Retail medicines prices in developing countries, and in Uganda in particular are high. Compared to common food items, it was rarely possible to pay for a treatment course (Balasubramaniam, 1996). In Uganda, poverty and social isolation continue to restrain citizens from paying for health needs.

### **Usage**

Use of medicines refers to alignment of activities, capabilities and existing resources of health system stakeholders to ensure patients receive the right medicines at the right time and use them appropriately (WHO, 2012).

Some medication errors are dangerous and should be prevented. Medicines should be used safely and effectively. It is crucial that a consumer knows and participates in rational use of medicines. The consumer can be active by speaking up, asking questions and learning the facts (FDA News, 2015). Besides the overuse, underuse or misuse of medicines results in wastage of scarce resources (WHO, 2012). Approximately, 50% of all patients fail to take their medicine correctly (WHO, 2012).

Irrational use is a global problem and occurs in institutional and community settings (WHO, 2012). Given the heavy African disease burden, with limited resources, optimal use of resources and medicines procured is a logical conclusion.



## METHODOLOGY

### Study Area

This study covered a total of 8 districts selected evenly amongst the four traditional regions of Uganda. The districts covered were: Masaka and Kiboga in the central region; Tororo and Butalejja in the Eastern region; Moroto and Gulu in the Northern; and Kisoro and Kasese in the Western region. The selection of districts was purposive, choosing one that had performed well and one that had not performed so well according to the Annual Health Sector Performance Report (AHSPR) of 2006/07 and 2007/08. In addition to the above, four (4) regional referral hospitals [RRHs] (one from each of Uganda's traditional regions) were included. In each of the sampled districts, 9 health units ranging from general hospitals to HC II were selected. A total of 72 health units was considered in the study. Health facilities were also purposively selected to include at least three (3) Private-Not-For -Profit (PNFP) health facilities per district. Selection of health facilities for the study was done in consultation with the respective District Health Officers (DHOs).

### Data Collection Methods

The study collected data using various methods (Bryman and Bell, 2011, p. 628). These included: In-depth Interviews with Key-informants; Client Exit Interviews; Focus Group Discussions (FGDs); and Document Review.

### In-depth Interviews

In-depth interviews were the main source of information. The key informants were all those persons engaged in handling and management of EMHS. These included officials in various ministries comprising; Ministry of Health (MoH), Ministry of Finance Planning and Economic Development (MoFPED) and Ministry of Local Government (MoLG). Development partners that contribute towards procurement of EMHS or support the health sector were also consulted including; Danish International Development Agency (DANIDA), Swedish International Development Agency (SIDA), Irish Aid, Italian Cooperation, Belgian Technical Cooperation (BTC), United Nations Population Fund (UNFPA), United Nations International Children's Education Fund (UNICEF), and African Development Bank. Civil Society Organisations (CSOs) were consulted. Also included were bodies that play key roles in procurement, supply and regulation of EMHS including: National Medical Stores (NMS); Joint Medical Stores (JMS); and National Drug Authority (NDA). Other key informants included; heads of accounts, procurement and administration departments in the study districts, in-charges of health units and Medical Superintendents.

### Client Exit Interviews

During the field work, the study teams carried out client exit interviews. These involved asking clients who had received /sought a service from a health facility about various aspects of service delivery at that health facility. These were used to capture quantitative data to gauge the clients' satisfaction with the services provided. Twelve clients were interviewed at each health facility visited, making a total of 886.

### Focused Group Discussions

The study conducted 2 FGDs per district visited (apart from Moroto district where only one FGD was conducted). The FGDs were organised in such a way that participants in one FGD included people involved in the management of a health facility the study team had visited. The second FGD comprised community members that were located far away from any health facility. While the first group provided insight into general management aspects of the HUs, the latter presented the challenges faced by communities in accessing EMHS.

## Document Reviews

The study involved reviewing of documents at every health facility. This pertained to documents related to procurement of and expenditure on EMHS. It included but not limited to: reviewing stock cards for the indicator items; requisitions; local purchase orders; delivery notes and invoices; certificates of non-availability; and vouchers. Other documents reviewed included; government health policies and frameworks.

## Indicator Items

The list of EMHS for Uganda (EMLU 2007) contains 538 unique medicines formulations. This study was guided by a list of 22 medicines and medical supplies as indicator items as agreed upon with the MoH. The list of indicator items for this study is presented in Table I

**Table I Study Indicator Items**

	<b>Service</b>	<b>Item</b>
1	Malaria	<ul style="list-style-type: none"> <li>• Coartem Yellow 20/120 mg Tab</li> <li>• Quinine 300mg/ml 2ml</li> </ul>
2	HIV Testing and Counseling	<ul style="list-style-type: none"> <li>• Determine i/ii kit</li> </ul>
3	Family Planning	<ul style="list-style-type: none"> <li>• Depo Provera Injections</li> </ul>
4	STI Diagnosis and Treatment	<ul style="list-style-type: none"> <li>• Cotrimoxazole 480mg/ 120 mg Tab</li> <li>• Amoxicillin 250mg Capsule</li> <li>• Metronidazole 200mg Tab</li> </ul>
5	Immunization	<ul style="list-style-type: none"> <li>• Measles Vaccine</li> </ul>
6	ANC/ PNC	<ul style="list-style-type: none"> <li>• Ferrous Sulphate/ Folic Acid Tab</li> <li>• Ibuprofen 200mg Tab</li> <li>• Paracetamol 500 mg Tab</li> </ul>
7	Hypertension	<ul style="list-style-type: none"> <li>• Propranolol 40mg Tab</li> <li>• Bendrofluazide 5mg Tab</li> </ul>
8	Diabetes	<ul style="list-style-type: none"> <li>• Glibenclamide 5mg Tab</li> <li>• Insulin Mixtard 30/70 IU 100 IU/ML</li> </ul>
9	Mental Health	<ul style="list-style-type: none"> <li>• Haloperidol 5mg Tab</li> <li>• Carbamazepine 200mg Tab</li> </ul>
10	Supplies	<ul style="list-style-type: none"> <li>• Examination Gloves</li> <li>• Syringes 2ml</li> </ul>

## DATA MANAGEMENT AND ANALYSIS

The data collected was analyzed and interpreted in relation to drug supply management. Analysis was done using MS Excel to derive ratios and percentages to explain the stated drug supply management indicators and was appropriately interpreted in the context of the drug supply management indicators provided.

## Key Informant Interviews

Data collected through key informant interviews and in-depth interviews was analyzed qualitatively using thematic analysis. The interviews targeted key persons at different levels i.e. national, district and health facility levels. The list of key informants is presented in Appendix 1. The data collected was analyzed and interpreted in relation to drug supply management and help to recommend solutions to potential drug supply system or process problems and performance of indicator outputs.

### Client Exit Interviews

The data collected through client exit interviews was entered into the computer using EPINFO. This was after cleaning and editing all that data. Data analysis was then done using the SPSS program. Bivariate and Multivariate analyses were conducted in order to find out the clients' level of satisfaction with services offered by their HUs and their assessment of the trends in the health service sector in general.

### Focus Group Discussions

Focus Group data was analyzed using thematic procedures. The major issues of concern were analysed in relation to the itemized subjects and the corresponding answer categories classified by each item of a particular theme.

### Document Review

A detailed review of relevant documents was undertaken in order to supplement and corroborate information gathered through the field study and other primary sources. Data from documents was analyzed using content analysis and appraised in reference to particular themes under investigation.

## RESULTS AND DISCUSSION

### To examine procurement of essential medicines and health supplies practices in selected districts in Uganda

#### *Procurement Lead time*

Procurement lead time, the time it takes to order an item and when to receive it is an important indicator of efficiency and effectiveness. An order placed by the HU passes through a number of stages: the in-charge compiles the order, which he submits to the Health Sub District (HSD); the HSD submits it to the District Health Officer (DHO) for approval and the DHO requisitions for funds from the Chief Administrative Officer (CAO) before submitting the order to NMS/JMS. In most cases, data at the sampled HUs was insufficient to establish the exact periods the process took at each stage. However, Table II presents randomly selected examples of the period processing the orders took at some of the sampled HFs.

**Table II Average Process Lead Time between HU and Submission to NMS/JMS**

Order Number	Requisition Date	Date of DDHS Approval	Date of CAOs Approval	Total Number of days
05/07	13/8/07	16/8/07	16/8/07	4
06/07	25/10/07	31/10/07	31/10/07	7
05/07	13/08/07	16/8/07	16/8/07	4
05/07	13/08/07	16/08/07	16/08/07	4
06/07	8/10/07	31/10/10	31/10/10	24
01/08	5/2/08	12/2/08	13/002/08	9
03/08	28/3/08	10/3/08	11/03/08	15
04/08	21/4/08	6/5/08	7/05/08	17
02/08	10/3/08	13/3/08	14/03/08	4
01/08	21/01/08	12/2/08	13/02/08	24
<b>Average</b>				<b>11.2</b>

Source: EMHS Field Data, 2009

The results show that the average lead-time to process an order from the HU to submission to the suppliers (NMS/JMS) was 11.2 days. A number of limitations can be identified in this system. The approvals depended on the availability of the approving officer. It was noted that several officers were required to fully approve an order. For example for a hospital (GGH), the signatories to a requisition included the Medical Superintendent, the DMO, CAO, Internal

Auditor, Chief Finance Officer, and Vote-book Controller. This manifests bureaucracy, which prolongs the lead-time. Secondly, transport and other logistical constraints seemed to delay the movement of the orders from the HF to the DMO. Thirdly, though collective ordering is ideal, it prolongs the lead-time in that those HUs that place their orders to the HSD early have to wait for others before their orders are forwarded to the next stages.

The second stage of the procurement process comprises the activities at NMS. The lead-time at NMS considered all activities between the supplier receiving the order and the time the supplies reach the HU. There is a working arrangement (MoU) between the MoH and NMS that NMS deliver supplies up to the district headquarters. The district and the HSDs arrange the distribution from the district headquarters to the HUs differently. The system at JMS is different in that JMS does not deliver. The clients collect their consignments from JMS. Table III presents the procurement lead times for the sampled districts compiled by the study team from field data.

**Table III Procurement Lead-time at NMS by the Sampled Districts (in days)**

Lead time between	Gulu	Tororo	Butalejja	Moroto	Jinja	Masaka	Kiboga	Kisoro	Kasese	Kabarole	Average
Received order & Posting	34	34	24	14	19	38	27	33	13	25	26.1
Posting & Dispatch	24	8	12	9	12	13	9	6	11	9	11.3
Dispatch & delivery (to district)	2	1	4	4	1	2	2	4	4	2	2.6
<b>Sub-total (NMS)</b>	<b>60</b>	<b>43</b>	<b>40</b>	<b>27</b>	<b>32</b>	<b>53</b>	<b>35</b>	<b>43</b>	<b>28</b>	<b>36</b>	<b>39.7</b>
District to HSD	3	1	0*	2	-	3	2	-	5	-	2.3
HSD to HF	4	3	4	3	-	3	3	6	6	-	4
<b>Sub-total (district)</b>	<b>7</b>	<b>4</b>	<b>4</b>	<b>5</b>	<b>-</b>	<b>6</b>	<b>5</b>	<b>6</b>	<b>11</b>	<b>-</b>	<b>6</b>
<b>TOTAL District</b>	<b>67</b>	<b>47</b>	<b>44</b>	<b>32</b>	<b>32**</b>	<b>59</b>	<b>42</b>	<b>49</b>	<b>32</b>	<b>36**</b>	<b>45.7</b>

Source: EMHS Field Data, National Medical Stores

\* Butalejja has no district store; NMS delivers directly to the HSD store at the district hospital

\*\* Jinja and Kabarole only RRHs were sampled.

Table III shows big differences in procurement lead times by the sampled districts. The first stage is under the control of NMS; delivering up to district headquarters. The second stage is arranged differently by the respective districts with their HSDs. The biggest variations were at the stages of receiving and posting orders. Masaka (38) recorded the highest number of days while Kasese (13 days) and Moroto (14 days) reported the shortest. The average lead time for the sampled districts was 26.1 days. The explanation for the large variations at this stage was that districts continuously sent in their orders and yet NMS made deliveries according to a pre-set schedule. Orders that arrived at NMS early therefore stayed longer at NMS and consequently recorded longer procurement lead times than those which came late, but in time

for the same scheduled delivery. Districts close to each other (like Butalejja and Tororo) would be expected to have close delivery dates yet, Table III shows wide gaps (4 days). The explanation given was that verification of deliveries (carton by carton and at times opening the cartons) often took long when orders were large. Drive time and the route chosen by the truck driver could also affect the delivery times. In stage one, Gulu experienced the longest lead-time (60 days), followed by Masaka (53 days) and Kisoro (43 days). Moroto (27 days) and Kasese (28 days) experienced the shortest lead-time. On average the sampled districts experienced a procurement lead-time of 40 days (39.7days) in stage one. The next stage is distributing the supplies from the district to the HSDs and from HSDs to the HUs. Kasese took the longest (11 days) followed by Gulu (7 days). Tororo and Butalejja took the shortest (4 days each) followed by Moroto and Kiboga (6 days each). Overall, Gulu experienced the longest procurement lead-time (67 days), followed by Masaka (59 days) and Kisoro (49 days). Moroto, Jinja and Kasese experienced the shortest lead-time with 32 days each.

On average, the sampled districts experienced a procurement lead-time of 45.7days. This accounts for the time NMS receives the order to the time the HF receives deliveries. However, additional time is spent between the HF compiling the order and the CAO authorizing expenditure as shown in the example in Table II. Figure 1 is a diagrammatic illustration of the trend of lead-times for the sampled districts:

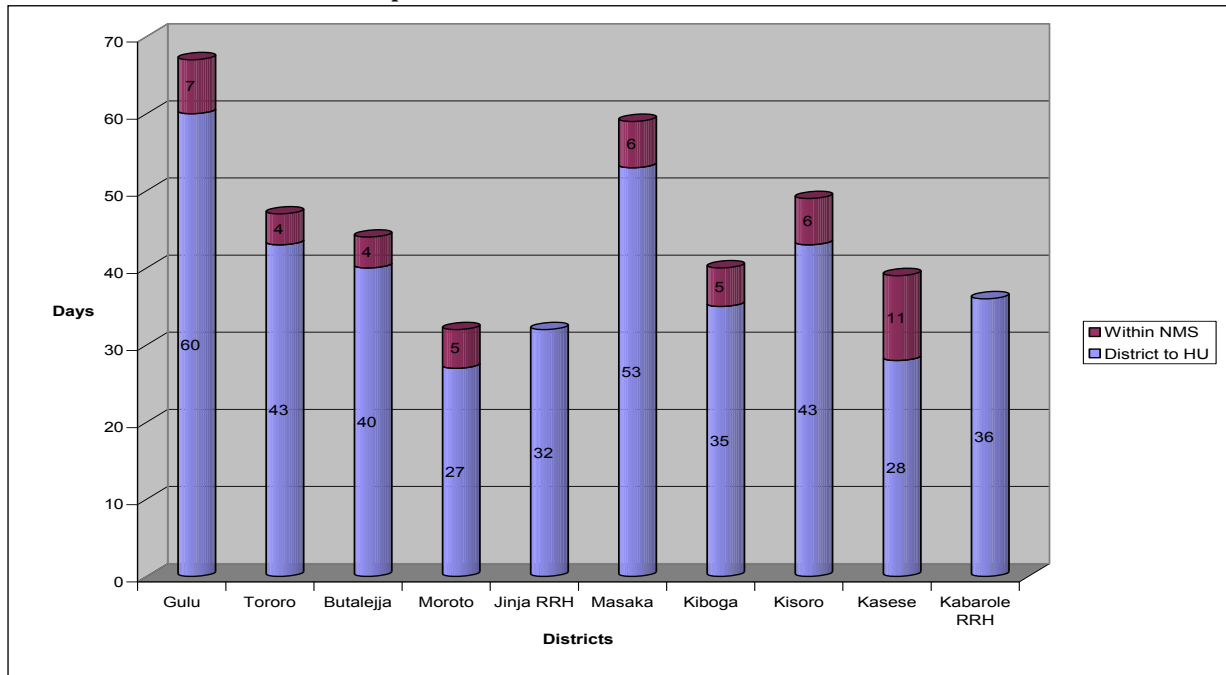


Figure 1. Procurement Lead Time:  
Source: EMHS Field Data, National Medical Stores

The high lead times for Gulu and Kisoro can be attributed to the long distances and difficulties in accessibility to these districts. Moroto district which has similar distance and accessibility circumstances as Gulu had the lowest lead-time of 27 days; yet Masaka district, which is nearer to the supplier, more accessible, experienced a lead-time of 53 days! This shows that besides the time the order is placed with NMS (late or early for the same scheduled delivery), there are several other factors at play like the truck driver deciding where to start delivering from (whether to start with the nearest or the farthest) and the conditions of the roads. On average, the lead-time between the district and the HSD was 2.3 days. The delay in distributing the supplies from the district to the HSDs is attributed to lack of transport and poor communication (information flow). The lead-time between the HSD and the HU was longer

(averaging 4 days) because of lack of transport and communication. The HUs did not have a budget for transporting supplies and many of them are in remote areas where communication is very poor.

### To examine the availability of medicines and health supplies in selected districts in Uganda

The pattern of availability was established by first ascertaining the number of days in every month when a given indicator item was out of stock at a given facility. The total number of days in the study period was then summed up to get the total stock out-days for that particular item. The total was divided by 365 (days in a year) to get the proportion of stock out in the year, which was then expressed as a percentage.

We also looked at the percentage of indicator items that were stocked at a given facility (stock items) where the denominator was the total number among the indicator items that were allowable at a given level of health facility. In cases where some records were missing, the denominator was only valid data obtained.

### Availability and Accessibility of Indicator Items

This study was guided by a list of 22 medicines and medical supplies as indicator items, selected from the 538 unique medicines and formulations listed in the EMHS for Uganda (EMLU 2007). The selection covered five categories based on burden of disease; maternal and child health; new emerging life-style diseases; mental health; and key health supplies. Table IV shows the service area, items covered and level of healthcare where they may be used.

**Table IV Study Indicator Items and Level of Use**

	Service Area	Item	Level of Use
1	Malaria	• Coartem Yellow 20/120 mg Tab	HC II
		• Quinine 300mg/ml 2ml	HC III
2	HIV Testing and Counseling	• Determine i/ii kit	HC III
3	Family Planning	• Depo Provera Injection	HC III
4	STI Diagnosis and Treatment	• Cotrimoxazole 480mg/ 120 mg Tab	HCII
		• Amoxicillin 250mg Capsule	HCII
		• Metronidazole 200mg Tab	HC II
5	Immunization	• Measles Vaccine	HC II
6	ANC/ PNC	• Ferrous Sulphate/ Folic Acid Tab	HC II
		• Ibuprofen 200mg Tab	HC II
		• Paracetamol 500 mg Tab	HCII
7	Hypertension	• Propranolol 40mg Tab	HC IV
		• Bendrofluazide 5mg Tab	HC III
8	Diabetes	• Glibenclamide 5mg Tab	HC IV
		• Insulin Mixtard 30/70 IU 100 IU/ML	HC IV
9	Mental Health	• Haloperidol 5mg Tab	RRH
		• Carbamazepine 200mg Tab	HC IV
10	Supplies	• Examination Gloves	HC II
		• Syringes 2ml	HC II

### Stocking Patterns

The level of stock out of EMHS at HUs is a key factor in the study because it acts as an indicator of the level of availability/accessibility to health supplies. This indicator was measured by the

proportion of indicator items available at different levels of HUs against those allowable at that level according to the EMLU. Figure 2 presents the findings about stocking levels of the listed items.

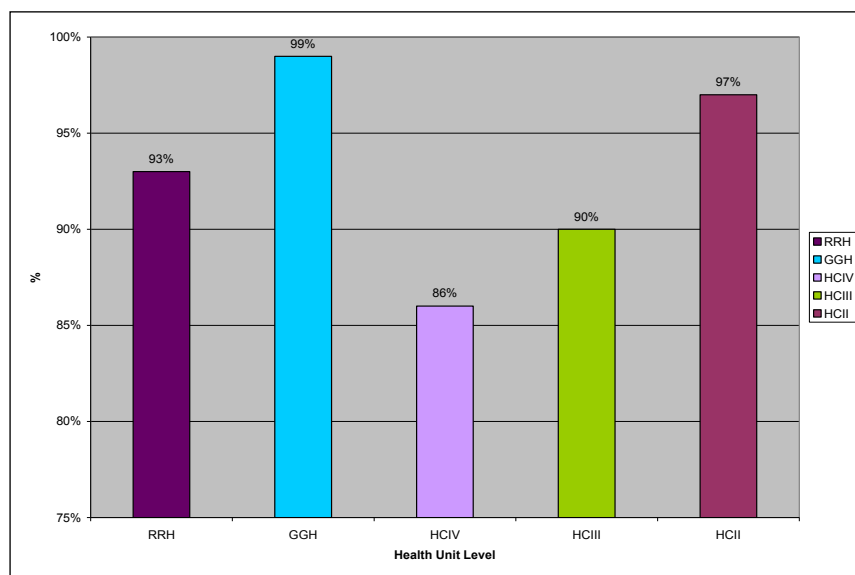


Figure 2. Stocking Patterns by Health Facility Level  
Source: Field Data EMHS Tracking, 2009

Overall, the sampled health units acknowledged stocking 93% of the EMHS Tracking Study listed items allowable at the respective HU level. The RRH stocked all (100%) of the items. However, this study had sampled Lacor among the RRHs and it does not stock contraceptive items. Inclusion of Lacor reduced the stocking rate at RRHs to 93%. The stocking rate for GGHs was (99%), at the HC IV, 86%; at HC III it was 90% and HC II, 97%. The GGHs showed a higher percentage because all of the sampled units were public facilities. Kiboga hospital did not stock Glibeclamide and Moroto hospital did not stock Depo Provera for lack of market.

Eight (67%) of the sampled 12 HC IVs did not stock Insulin; 7 (58%) did not stock Bendrofluazide; while 6 (50%) did not stock Glibeclamide. Two (17%) did not stock Propranolol and Carbamazepine.

The stocking rate at HC IIIs was affected by the number of HUs in the sample that were PNFs. Nine out of twenty four (37.5%) were catholic-founded and therefore did not stock Depo Provera and Microgynon. Twenty (83%) did not stock Bendrofluazide while four (16.6%) did not stock Ferrous/Folic.

According EMLU, HCIIIs may stock measles vaccines but because most of the sampled HUs did not have cold chain facilities, they did not stock it. Of the 24 HC IIIs that were sampled, only 4 (16.6%) stocked the vaccine. Six (25%) out of 24 did not stock Ibruprofen while 4 (16.6%) did not stock Ferrous/Folic.

### Stock outs across Health Units

The study sought to establish the frequency of stock outs of the listed items at the different health facility levels of the sampled HUs. It was found that all the HUs across the levels experienced stock out of at least one indicator item at any one time during the FY 2007/08. Fig 5.2 presents the details.

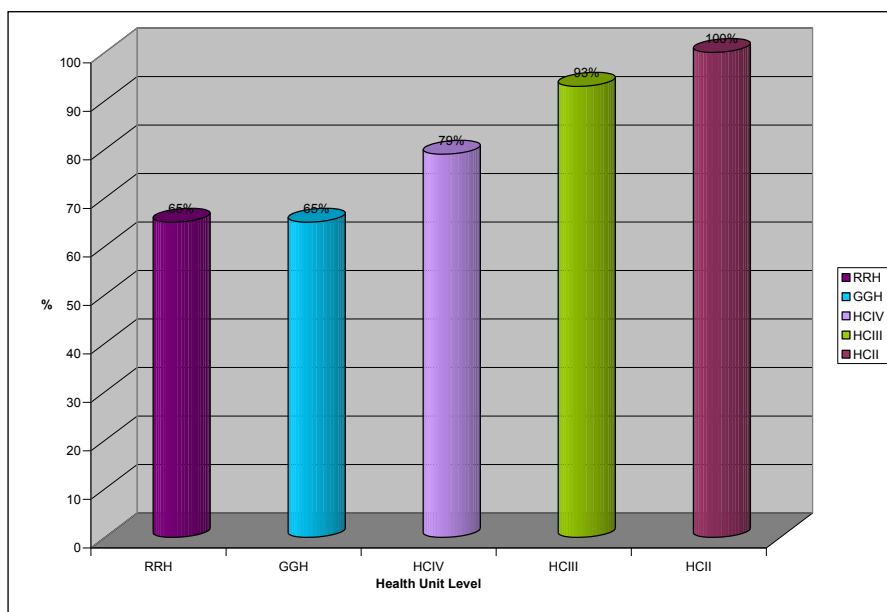


Figure 3. Stock Out Levels Across Health Units  
Source: Field Data EMHS Tracking

The results show that all the sampled HC IIs at one time or other during 2007/08 experienced stock out of each of all (100%) the listed items. At HC IIIs and HC IVs, 93% and 70% respectively of the items in this study were out of stock while at RRHs and GGHs 65% of the items experienced stock outs. This shows that stock outs were more prevalent at lower HUs than at higher ones.

### Stock out Rates exceeding 30 Days

Having established that most listed EMHS experienced stock outs at the respective levels of health care, the study team sought to establish a reasonable stock out period. Taking into account, the lead times at the various levels of the supply chain, the team considered any stock out period of indicator items beyond one month (30 days) in a year (365 days) as critical.

Results show that 67% of all the 20 indicator items experienced stock out days of more than 30 days at HC II level. At HC IIIs, 50% of indicator items were out of stock for more than 30 days. RRHs reported stock out days beyond 30 days averaging 60% while that at GGHs and HC IVs was 49% and 40% respectively.

### Discrepancies between Physical Count and BIN Card Balance

Records available at the visited HUs tended to provide inaccurate information regarding stocking levels of EMHS at those HUs. In-charges would report stock out of a given item yet the Bin cards/Stock cards reflected contrary information. The study therefore carried out on-spot physical count to ascertain whether stock cards were updated. The importance of this finding was to establish whether the stock card balances represented the actual availability or stock out levels and whether the conclusions drawn from the stock cards were correct. Figure 4 indicates the discrepancies between physical (on spot) count and BIN card balances of EMHS at HUs.



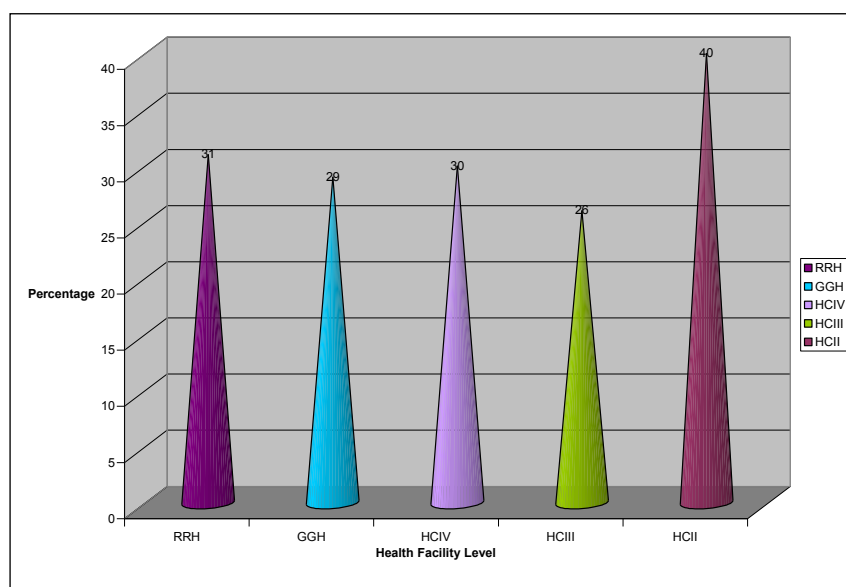


Figure 4. Discrepancies between Physical Count and BIN Card Balance  
Source: Field Data EMHS Tracking, 2009

Figure 4 shows that there were discrepancies in Bin/Stock card balances and physical count of stocks at all health facilities visited across the five levels. HC IIs had the highest (40%) discrepancy between spot check physical count and BIN card balance. RRHs had an average discrepancy of 31% while the discrepancy at HC IVs averaged 30%. The lowest discrepancy (26%) was at HC III. The results show that the Bin/Stock cards do not reflect the correct position of stock levels at the health facilities. In most cases, the balance reflected on BIN Cards was much higher than the physically available stock. Stock card balances are therefore not a reliable indicator of availability of EMHS in the facility.

On investigating the reasons for the discrepancies, the staff at HC IIs claimed that the discrepancies were largely due to inadequate staffing at the HUs; the staff were few in number and prioritized attending to patients leaving them little time to up-date their records including Bin cards. However, the study team noted that in addition to inadequate staff, the available workers largely lacked the capacity to utilize the Bin cards accurately. This is the reason the entries on the cards were often incorrect. At most HC IIs clients reported in the morning and the health units closed at around 1 PM. The remaining time of the day (2 -5 PM) could be used to do administrative work including up-dating Bin cards if the staff were serious at their work. Further, the higher HUs (RRHs and GGHs) had relatively competent staff that could handle stock cards competently but they too had the same problem of inaccurate Bin/stock cards. This means that the reason for not updating stock cards went beyond under-staffing per se. The main reason according to the study team was negligence of duty by most workers. The study further noted that 18% (3 out of the 20) indicator items did not have stock cards. The common items that did not have stock cards were Folic/ Ferrous Sulphate, Examination Gloves and Depo Provera. On why these items conspicuously lacked Bin cards, the stores' staff at various health facilities claimed that these particular items were stored in the maternity wards and were controlled there. However, in the maternity wards, no one was in charge of records. Nurses picked materials and used them without any recording. Overall, 57% of the available Bin cards for the listed items at the sampled HUs were updated.

### Level of Prescription Fulfillment

Respondents were asked whether they obtained all the medicines that were prescribed for them from the HU they visited. This indicator would show the level to which the prescribed medicines were available at a given health facility and dispensed if available. By prescribed medicines, the study means prescribed medicines by type and not number. The study assumed that each prescribed medicine was dispensed in full dosage (number of tablets etc). The responses are categorised in two; those who received all the prescribed medicines and those who received less than the prescribed medicines. The assumption was of a full dose i.e each medicine is used to have been received in full dose. Figure 5 illustrates the responses by district.

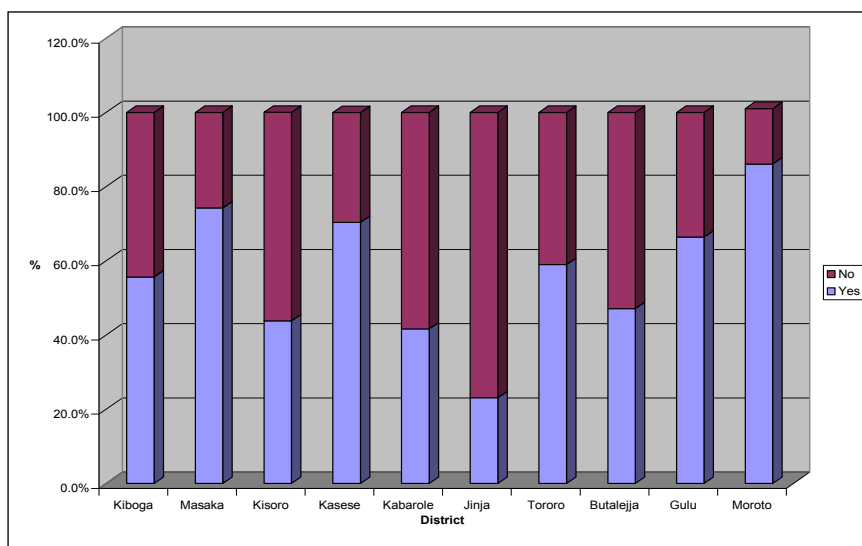


Figure 5. Prescribed Medicines that were obtained at the Health Facility.  
Source: Field Data EMHS Tracking

According to Figure 5, Moroto had the highest number of clients (86.1%) who received all the medicines that were prescribed for them. Masaka and Kasese followed with 74.3% and 70.4% respectively. Jinja regional referral hospital had the lowest (23.1%) number of clients who received all the medicines that were prescribed. The details of proportions the clients received are shown in Table V.

**Table V Prescription Fulfillment by District**

District	No. of Respondents	No. of Medicines Prescribed (x)	No. of Medicines fully Dispensed (y)	Level of Prescription Fulfilment (y/x%)
Kiboga	108	648	511	78.9
Masaka	107	642	509	79.3
Kisoro	109	654	455	69.6
Kasese	111	666	592	88.9
Kabarole	12	72	62	86.1
Jinja	13	78	43	55.1
Tororo	94	564	443	78.5
Butalejja	92	552	465	84.2
Gulu	113	678	574	84.7
Moroto	120	720	684	95
<b>Average</b>		<b>527</b>	<b>434</b>	<b>80</b>

Source: Field Data, EMHS Study 2009

The results in Table V show that the average capacity of the sampled districts (and RRHs) to dispense fully the prescribed drugs was 80%. Moroto reported the highest capacity of 95%, followed by Kasese (88.9%) while Jinja (55.1%) reported the lowest. The results further show

that 54.8% of the clients interviewed received all the medicines that were prescribed for them from the health facility they visited. A small proportion (13.3%) of all the clients interviewed received 83.5% of the medicines prescribed while 4.8% of the interviewed clients got 17% of the prescribed medicines as presented in Appendix 4.

Although Moroto and Kasese were among the districts that reported the highest capacity to dispense all the prescribed medicines, the two districts also reported the highest number of clients who claimed to have informally paid health workers in order to be given the medicines. Figure 6 illustrates the responses as to whether or not clients made informal payments for the medicines they received.

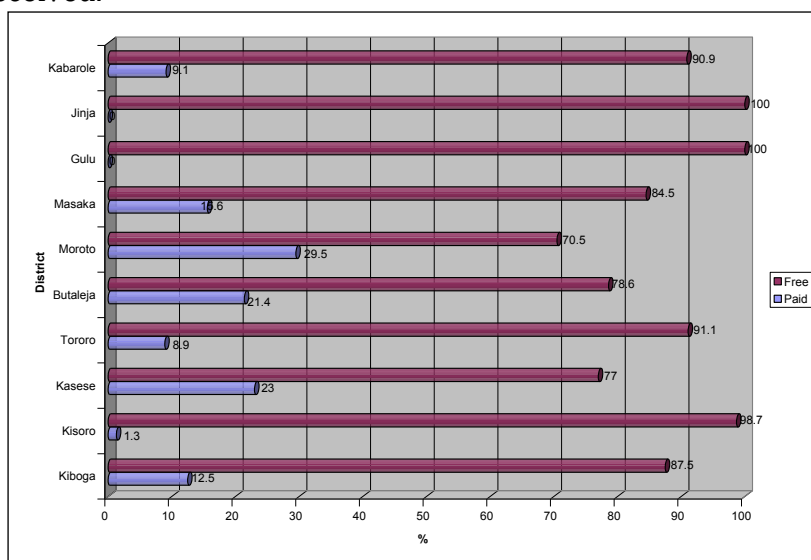


Figure 6. Informal Payment for the Medicines Received  
Source: Field Data EMHS Tracking

The districts that reported the lowest number of clients claiming to have paid for services at public health facilities were Jinja and Gulu (0%), and Kisoro (1.3%). This corresponds to the explanation for the small proportion of clients that received all prescribed medicines in those districts as earlier presented in Table 5.2. This seems to indicate evidence of corruption in dispensing of medicines in public health units. A possible explanation is that HUs in Gulu and Kisoro hoarded the medicines as long as the clients were not offering to pay (informally) for the medicines and sent patients to private pharmacies.

### Trends of Availability of EMHS over Time

While the official stock out data as presented in AHSPR 2007/08 showed deterioration in availability of EMHS measured by the six tracer medicines, the general perception of healthcare consumers seems otherwise. A possible explanation would be that the GoU credit line budget increased in FY 2007/08 to Ug.Shs. 12.6b, from Ug.Shs. 8b in FY 2006/07 while stockouts can be attributed to poor management practices. In FY 2008/09 the GoU credit line budget decreased to Ug.Shs. 6.7b, which is even lower than in 2006/07. The study team sought the views of the clients about availability of medicines presently (2008) at the health facilities as compared to one year ago (2007). Figure 7 presents the views expressed by clients that were interviewed at the sampled HUs.

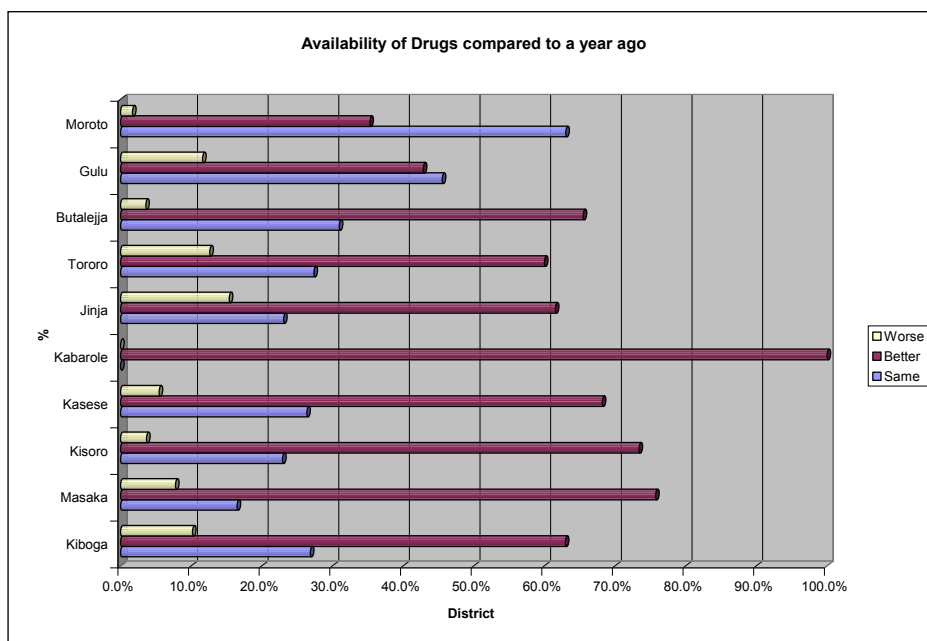


Figure 7. Clients’ Perception of Availability of Medicines Presently Compared to a Year Ago.

Source: Field Data EMHS Tracking

The findings show that all the respondents in Kabarole were of the view that medicines were more available today (2009) than last year (2008). In Tororo, Kisoro, Kiboga, Butalejja, and Kasese, more than 60% of the interviewed clients were of the view that medicines were more available today than they were a year ago. However, in Gulu and Moroto, less than 50% of the clients interviewed thought the situation had improved. In Moroto, more than 60% of the respondents thought the situation had remained the same while in Gulu nearly 50% thought the situation had remained the same and about 15% thought it had gotten worse.

Overall, about 80% of the interviewed clients were of the view that the availability of medicines had improved in 2009 compared 2008. Their argument was that even if the prescribed medicines were not available at the public HU, the medicines would be available at private outlets (PFPs). Participants in Focus Group Discussions were of the same view that medicines were presently more available than the previous year.

**Alternative Source of Medicines**

Some indicator items were reported to be out of stock for over a year. The study team asked clients what they did in situations where the medicines were out of stock for such long periods. Fig 5.9 presents the alternative sources from which clients sought services.

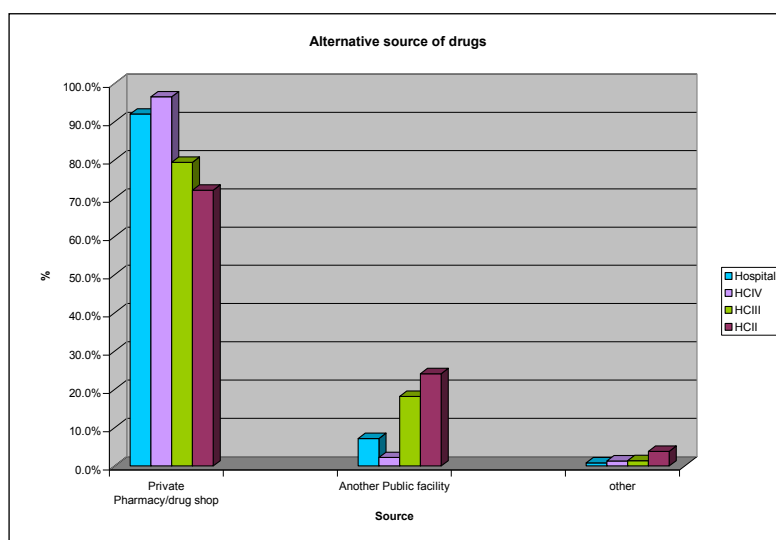


Figure 8. Alternative Source of Medicines  
Source: Field Data EMHS Tracking

The results in figure 8 show that on average 85% of patients who did not receive medicines from the public health facilities bought them from private pharmacies/drug shops. A small proportion (13%) visited another public health facility for the medicines while 2% reported that they waited for the next delivery of the medicines to their HU. More clients (24.1%) at HCII than at any other level went to higher public health facilities for medicines. At hospital level (regional and district), 7% of the clients reported to be getting the unavailable medicines from another public health facility. This leaves one wondering whether they go to lower levels for medicines. Participants in FGDs reported that clients were advised of the pharmacies or drug shops from where to buy medicines they had failed to find at public HUs. This may be a good practice but it raised suspicions as clients alleged that those pharmacies/drug shops belonged to the health workers at public health facilities. According to the clients, health workers who doubled as private drug-shop owners could divert medicines from the public health facilities to sell at their shops. However, this study could not clearly establish the link between the health workers and the drug shops ownership.

### Factors Affecting Availability of EMHS

The study identified a number of factors that contributed to unavailability of medicines at service delivery points. Among the main ones are:

#### Inadequate Funding

The national health budget has not shown any significant increase overtime despite the increase in population and EMHS needs. According to MoH, as earlier indicated, Ug.Shs.252 billion was needed for the health sector but only 144 billion was approved for FY 2008/09 (Ministry of Health Planning Department). The budget for procurement of EMHS, both credit line and PHC (Recurrent Non-wage) is inadequate.

#### Non- Compliance to Guidelines on Use of PHC to Procure EMHS

All health facilities did not comply with the MoH guidelines regarding the proportion of PHC that should be used to procure EMHS. As indicated in the analysis, MoH guidelines provide that RRHs and GGHs spend at least 40% of the PHC (recurrent non-wage) on procurement of EMHS. The lower HUs are required to spend at 50%. However, it was found that RRHs spent 36.6% (Masaka spending 44.2 and FortPortal 29%, whereas GGHs spent only 37% and the lower HUs spent 32%.

### **Stock Outs at HUs**

EMHS experienced stock outs at all levels of health facilities. The problem was more critical at lower HUs (HC IIs and HC IIIs) yet, these were the main service delivery points to the communities. Some essential medicines and supplies were out of stock for periods exceeding 3 months. At HC IIs and HC IIIs, supplies meant to last 2 months were reportedly consumed in a period of 1-2 weeks because demand far exceeded supply.

### **Capacity of the Suppliers**

The capacity of the main suppliers (NMS/JMS) affected availability of EMHS at health facilities. The study established that most times, NMS supplied less than the ordered quantities despite the fact that the beneficiaries had credit with NMS and had actually ordered for more supplies.

The requirement that the supplier gives the client a certificate of non-availability as authorization to purchase elsewhere was reportedly an impediment to timely procurement as suppliers especially NMS were said to be reluctant to give the certificate of non-availability. This purported "refusal" compelled some clients to wait until NMS stocked the item the HUs wanted.

### **Poor Record Keeping**

Record keeping at most HUs at all levels was poor. This meant that the HUs did not have reliable records upon which they could accurately plan and forecast their work plans including procurement of EMHS.

### **Long Procurement Lead Times**

The procurement process for EMHS was long with various stages. At each of these stages were several processes that required time to complete. Ultimately, the process was long and therefore, it took time to replenish an item that ran out of stock.

### **Human Resource Capacity**

Most HUs especially HC IIs and HC IIIs had insufficient human resource capacity in terms of required skills. Consequently, the HUs could not properly forecast and quantify the EMHS needs to make orders in time. Inadequate capacity contributed to poor record keeping and lack of initiative to follow up orders and deliveries.

Furthermore, there appeared to be no commitment to work as it was found that most HUs especially lower ones opened only in the morning closing at 1' O'clock yet official government business starts at 8AM and should close at 5PM.

### **Affordability**

The majority of the clients (79%) claimed they could afford medicines not obtained at public health facilities from PFPs. This means the 21% who could not afford were unable to access medicines that were not available at public HUs. It was also indicated that there were cases of under-the-counter payments to health workers in order to access medicines at public Health facilities. This means that those who could not afford under-the-counter payments to health workers would not access the medicines at public HUs.

### **Frivolous Consumption**

HC IIs and HC IIIs are situated within the communities. People were more aware of "practices" at these health centres as compared to RRHs and higher HUs. When supplies are delivered the

local people get to know immediately. As indicated earlier, the study found that people tended to flock the HUs whenever medicines arrived at the HUs whether they were sick or not.

### **Irrational Prescribing of Medicines**

Although most clients (98.6%) were adequately advised on how to use the medicines, they were not given sufficient information about how to store the medicines (51.1%) nor their side effects (55.4%). This may lead to irrational use of medicines and ultimately, waste of resources that go into purchase of such badly stored medicines.

### **To examine the affordability of essential medicines and health supplies in selected districts in Uganda**

Availability of essential medicines was identified as a major problem at public HUs. On the contrary, PFPs were found to be generally well stocked with essential medicines most of the time. Even in GGHs that had private wings, the medicines were more available in the private wing than in the public wards. Because medicines were often not available at public outlets, clients at times bought the medicines from private outlets after getting prescriptions from public HUs. Clients interviewed at the sampled public HUs who had not been given the prescribed medicines were asked whether they would be able to buy those medicines at private outlets.

According to the results, 72.3% of the interviewed clients responded that they could afford the charges. The responses were based on the previous contact of the client with the drug source since they were interviewed before going to the pharmacy. However, much as clients expressed the view that they could afford to buy medicines at PFP, health workers were of the contrary view that most clients could not afford. On further inquiry from health workers, the study established that clients thought that affording less than full dosage or just one out of the prescribed medicines was alright. The implication here is that perceived affordability did not consider the issue of right dosage, a situation that is dangerous to clients. Clients using medicines in this way is inappropriate and tantamount to irrational use of medicines, creating medicines use problems in future (such as antibiotic resistance), but this also indicates unprofessional or poor dispensing practices.

### **To examine the use of essential medicines and health supplies in selected districts in Uganda.**

Officials at MoH reported that there had been efforts to promote appropriate use of EMHS by health professionals, patients and the general public. This, they argued, has been implemented through attempts to provide appropriate information on medicines to the health workers and the community.

In 2007, the MoH formulated the latest edition of the EMLU. This has helped in guiding the health workers and streamlining procurement based on the national needs. The Uganda Clinical Guidelines-UCG (2003) was also in place. According to the participants, the most essential medicines were Coartem, Paracetamol, Quinine, Fansidar, Ferrous Sulphate/Folic Acid, and Metronidazole all of which were listed in EMLU. However, they noted that these medicines usually ran out of stock in a short time.

In the study area, all the four (4) sampled RRHs and six (6) GGHs had MTCs. The MTCs at the hospitals participated in compiling the procurement orders of medicines. Members to the MTC were drawn from different departments/sections/units. Each unit representative presented the needs of their unit. These were put together to compile a complete order for the hospital.

The purpose of this participation was to ensure that all and only relevant medicines were ordered.

It is a good practice that health workers advise clients on taking medicines; storage; and possible side effects of the medicines given. The study team interviewed some patients at sampled HUs to find out whether they were given information about: how to take the medicines given; storage of the medicines; and possible side effects.

### Advice on How to Use Medicines Given

Exit clients were asked whether they had been advised on how to use the medicines given. This was done by first asking the clients what advice/instructions they had received and the response was compared with the instructions written on the dispensing envelopes. Table VI shows the findings about clients who were advised about medicines dispensed to them and could recall the instructions that were given.

**Table VI** Clients who could Recall Instructions give on How to Use Obtained Medicines.

Level of HF	Were given Appropriate Advice on how to use medicines given and could recall it (%)	Were not given Appropriate Advice on how to use given medicines or could not recall advice given (%)
Hospital	98.8	1.2
HCIV	98.9	1.1
HCIII	98.9	1.1
HCII	97.6	2.4
Average	98.5	1.5

Source: Field Data EMHS Tracking

The results show that most patients were advised on how to use the medicines given to them and could recall it. This was across all the levels of HU. At the hospital level, 98.8% of the interviewed patients had been advised on how to use the medicines and could recall the advice. At the HC IV and HC III level, 98.9% had received and could recall the advice. Similarly, at HC II level the proportion of those who had received and could recall the advice was 98.6%. This implies that most clients (98.6%) at different health facility levels were generally advised on how to use the medicines given to them and could recall the advice. This is a good effort for enhancing rational use of medicines.

### Advice on Possible Side Effects

Clients are supposed to be advised on the side effects of the treatment they are undertaking. This information reduces on drug wastage that comes from discontinuing treatment because of side effects of the medicines. In such cases, clients usually think the treatment is not working and they fail to adhere to medicine prescriptions. About whether they were advised of the possible effects of the medicines, clients who responded in the affirmative were 66.5% at HC IV, 44.2% at hospital level, 35.1% at HC III and 32.5 % at HC II. On average, 44.6% across all levels were advised on possible effects of medicines given to them. The implication is that 55.4% of the interviewed clients were not advised on the possible side effects of the medicines they received. This could lead to irrational use of medicine. For example, clients that were not aware of the side effects might discontinue the medicine before completing the dosage.

### Advice on Storage

Clients should be advised to keep the medicines according to the prescribed information with regard to appropriate temperatures and where they may not be tampered with especially by



children. Respondents were asked whether they were advised on proper storage of medicines. Table VII presents the results.

**Table VII Advice Given on Best Storage Conditions**

Level of HF	Were given advice on best storage conditions (%)	Were not given advice on best storage conditions (%)
Hospital	64.4	35.6
HCIV	59.1	40.9
HCIII	72	28
HCII	58.1	41.9
Average	63.4	36.6

Source: Field Data EMHS Tracking

The results show that 64.4% of respondents at GGHS were not advised on the best conditions to store their medicines. At HC IV, 59.1% had received the advice while at HC III, 72% and at HC II level, 58.1% of the respondents had been advised. The results imply that although most patients were advised on storage conditions for the medicines given, a significant number was not advised. Poor storage may amongst others, compromise the effectiveness of medicines and can be dangerous to children.

### **EMHS Supply and Utilization of Health Facilities**

Health Units reported that once medicines were delivered, even people who were not ill, flocked them overwhelmingly. This was reportedly most common at HCIIIs and HCIIIs, where supplies were said to last 1 to 2 weeks because of the upsurge in client attendance immediately after delivery of supplies. This issue was investigated by comparing client attendance records one month before and one month after delivery of the medicines. Records available at HUs showed minor increases in client attendance following delivery of medicines contrary to what HUs reported. The possible explanation to the apparent sharp increases that HUs experienced was that once medicines were delivered, clients came in big numbers over a short period of time (1-2 weeks). The reason, people all of a sudden flocked the HU once supplies arrived, was that many people in the communities were sick but had kept away because they knew there was no medicine and waited until the medicines arrived. In addition, because of the erratic availability of medicines at HUs, some people turned up to collect medicines to keep at home for use in future when they fell sick.

## **CONCLUSIONS**

### **Tracking procurement of EMHS**

Stock out of EMHS was a chronic problem at most of the public HUs visited. Some of the listed items had been out of stock for over a year. Service delivery at public HUs was rated very poor particularly regarding availability of medicines.

The budgetary allocations and expenditure for EMHS were too low to satisfy the minimum health care needs of the country. This grossly affected service delivery at facility level. The meagre budgets could not address the chronic stock outs of EMHS at public HUs. Furthermore, funds for procurement of EMHS were not disbursed in time. Procurement of EMHS was being done as and when funds were available on an adhoc basis.

District Officials preferred to procure EMHS using PHC funds from local PFPs rather than NMS as recommended by government. The requirement for more than one pre-qualified supplier was frequently ignored. The preference to procure from PFPs was suspect particularly since regulations to use the open tender system with more than one pre-qualified supplier were not

followed. It is possible that unscrupulous district authorities diverted funds for procurement of EHMS to other uses.

Some Districts had not procured EMHS from NMS with any of their PHC funds (cash) as required by the government guidelines claiming that NMS was reluctant to issue the certificate of non-availability. The reluctance by NMS to issue "certificate of non-availability" was being used by the districts as an excuse to ignore the guideline and procure from their preferred sources (PFPs). The requirement for all public HUs to procure EMHS exclusively from NMS exerted a lot of pressure and demand for service on NMS hence creating logistical and capacity problems for NMS.

Record keeping at the HUs regarding funding and procurement of EMHS was very poor. Finances allocated, orders placed and deliveries made could not be tracked easily from the HUs. HUs did not have reliable records upon which to base their procurement and other management plans. Under collective ordering, all HUs submit their orders, at different times before the DHO/HSD finally compiled a combined order to the supplier. Collective ordering prolonged procurement lead time for HUs. Those who submitted their orders first had to wait for late-comers.

### **Availability, Affordability and Use of EMHS**

Access to essential healthcare items was poor due to persistent non-availability of EMHS at the public HUs. In some cases, essential items were out of stock for periods exceeding a year. The EMHS supplies made to HUs were less than the minimum needs of the communities as manifested in the frequent stock outs. Improved forecasting and inventory management practices could improve availability (Kaufmann et al. 2011)

Clients shunned lower HUs and congested at higher HUs especially general hospitals. Persistent stock outs of essential medicines at lower HUs forced clients to seek services from GGHs, which were relatively better on availability of medicines. For the PNFPs (NGO HUs); which charged a modest user fee, they experienced lower stock outs of essential medicines. Therefore a modest charge on patients towards their treatment can improve availability of EMHS.

Private clinics were largely run by health workers who also worked at public HUs. Whereas there were no medicines at public HUs, the private clinics always had medicines. This left the community members wondering and accusing health workers of stealing public medicines for sale at their clinics. Although it was not possible to prove this accusation, allowing health workers serving at public health facilities to run private clinics nearby, is likely to create conflict of interest.

Clients that failed to get all the prescribed medicines at public HUs and could not afford them at private outlets turned to irrational means of treatment such as taking less than prescribed dosages. The high cost of medicines at private outlets led to irrational use of medicines as clients could not afford the right quantities from the right places.

Monitoring of EMHS at public HUs was poor despite the existence of HUMC (Health Unit Management Committees). Most HUMCs did not go beyond witnessing the delivering of EMHS to the health facility. The performance of HUMCs is reportedly constrained by lack of sustenance of their motivation since their work is purely voluntary. HUMC were not closely

discharging their responsibilities of watching over and ensuring that delivered EMHS were properly used at the HUs.

Rational use of medicines requires that clients be given adequate information about use, storage and side effects of medicines given to them. Health workers explained instructions to patients on how to use the medicines given (e.g. 1X1 daily) but offered little explanation regarding storage, side effects and names of those medicines. Clients were not receiving enough information about the medicines they were given. Lack of adequate information contributed to irrational use of the medicines.

## **RECOMMENDATIONS**

### **Tracking procurement of EMHS**

The various units in the supply chain are dependent on each other for resources and information (Arshinder et al. 2011). There is need to have a coordinated supply chain system in order to improve on efficiency in management of EMHS.

The health sector budget should be increased to match the healthcare needs of the population. The increase should be consistent with the Abuja Declaration (15% of National Budget to be spent on Health).

All DHOs, Hospitals and HSDs should be compelled to fulfil accountability conditions so as to receive the funds for procurement of EMHS in time. The MoH/MoFPED should enact sanctions against districts/RRHs/ GGHs that flout guidelines. Penalties could include cuts in funding. This is a “best practice” that has registered improvements in service delivery in Local Government Administration.

The PPDA guidelines should be enforced with vigilance to ensure use of the open tender system when purchasing from PFPs. However, there is need to adjust procurement guidelines to take care of districts that may not locally get more than one pre-qualified supplier.

NMS should provide the certificate of non-availability immediately on noticing unavailability of needed items to facilitate procurement from other sources.

HUs should train records staff, strengthen supervision and where possible, progressively computerize to improve record keeping. Improve human resource capacity especially at lower level HUs to quantify needs and compile accurate orders. There should be proper planning by NMS to ensure that EMHS deliveries are consistent with orders placed.

### **Availability, Affordability and Use of EMHS**

EMHS managers should optimize utilization of the available funds through rational procurement planning, forecasting and quantification. The more focus should be on availing medicines at lower HUs, which are closer to communities to prevent swarming GGHs. This could be done by increasing the proportionate funding of lower HUs within the available budget and improving efficiency of HU. Increasing allocations for EMHS to PNFs and embossing of all public medicines could improve on EMHS availability.

MoH should conduct community programmes sensitizing people about the dangers of irrational use of medicines. Progressively, MoH/NDA should ensure that private outlets are managed by qualified personnel to avoid irrational use of medicines. There should be regular

refresher courses for health workers, mainly focusing on medicine prescription and dispensing; including dosage, side effects, storage and usage by clients.

### **Practical implications**

This paper provides useful information on procurement, availability, affordability and use of medicines and health supplies. This information will be useful for academia as blocks for building theoretical knowledge and for medical practitioners and policy makers in their medical practice and administration.

### **Limitations**

Since it was necessary to provide a lot of background information for future researchers in the novel area of medicine and health supplies supply chain in Uganda at community level, the research was more of descriptive than correlational and prescriptive. However, the analytical nature of the discussion and the richness of relevant data will be a strong base for future applied research in medicines and health supplies supply chain.

### **Future research**

With strong contextual base this paper has come up with, future research should be based on theoretical underpinnings of each of procurement, availability, affordability and use of medicines and health supplies. Since the findings may be having an anthropological connotations. Respondents from other areas of sub Saharan Africa, given differing social environments, could have different interpretations of the world, and therefore results may be different and interesting when compared to the Ugandan findings.

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## Exploring a Research Method - Interview

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### Abstract

There are many research methods exist in the educational research. For example, the interviews, the observations, the surveys, the action research, and so on. As a researcher, he/she can select these methods in the process of the research. In this essay, I focus on one of the educational research data generation methods--- the interview. I will analyze and discuss the interview in detail. First of all, I will comment on the question "what is the interview". The definition of the interview will be described from different aspects and situations, some definitions the former researchers give us will be introduced. At the same time, my understanding about the definition of the interview will be added in this section. Secondly, the main characteristics of the interview will be discussed. The quality of the interview will be explored. Thirdly, I will analyze some key factors of the interview. Fourthly, the ethical implication will be considered.

**Key words:** interview; research method; exploit

### THE DEFINITION OF THE INTERVIEW

As to the definition of the interview, different people have different opinions about it. They give us some definitions of the interview in former research. According to Stewart and Cash (2000), "an interview is an interactional communication process between two parties, at least one of whom has predetermined and serious purpose, and usually involves the asking and answering of questions (p.1)". Through this definition, we can see that the interview is a kind of interactional communication process, the interview is happened between two parties, and it has purpose. However, this definition neglects an important factor of the interview--- structured. According to Hunt and Eadie (1987, p.5), the structure of the pattern of the interview is important factor to distinguish the interview from routine interaction. Actually, most often the pattern of the interview is interviewer lead interview and ask question to interviewee. This point of view has been referred by Cohen and Manion, according to Cohen and Manion (1994, p.271), the interview is conversation involved in two-person, interviewer lead the interview for get research-relevant information (cited in Mills, 2001, p.292). Through the analysis above, I try to give the definition of the interview, an interview is an interactional communication process between two parties--- interviewer and interviewee, interviewer try to achieve the planned purpose through conversation---asking and answering questions, the pattern of the interview is structured.

## THE CHARACTERISTICS OF THE INTERVIEW

The interview as a good research method has been used in educational research. I want to consider the characteristics of the interview in this part; the purpose is trying to make deeply comprehension about the interview. There are lots of characteristics of the interview. In this part, I want to analyze the unique points about the interview that are different from other research methods. In my point of view, there are two main points: the interview is an interactional communication process; there are two parties in the interview---interviewer and interviewee. The two points will help us make clearer the interview.

Firstly, the interview is an interactional communication process. The interactional means that the two parties of the interview both need to talking, listening and thinking; they should share and exchange their feelings and motives in an interview. According to Stewart and Cash (2000) said, "Interactional is an exchanging of roles, responsibilities, feelings, beliefs, motives, and information" (p.1). Through interactional each other in the interview, information and knowledge has been generated. Researchers can get useful information through communication with participants. An effective interview can make the interviewer get most useful information from interviewee; interviewer and respondent can complete furthest knowledge exchange. Communication skill is a very important factor to the effective interview. Understanding and managing the good communication skills can create more chance to make an effective interview. Like Hunt and Eadie (1987) said, "although a successful interview is not entirely dependent on good communication, by understanding communication, both the interviewer and the respondent can enhance their chance of conducting an effective interview" (p.15).

Hunt and Eadie (1987) also introduce some basic communication skills that they think useful to the good interview to us (p.15-23). For example, role playing skill, managing skills, and so on. These skills can help the interviewer or respondents to communicate with him/her partner. According to Hunt and Eadie (1987), these skills "are most useful when communicators consider the needs and attitudes of the other person when they communicate" (p.15). I want to focus on the role playing skill in following discussion.

As to role playing, the roles of interviewer and respondent can change in the interview. Interviewer is not always asking questions to respondent, and the respondent is not always answering the questions that the interviewers give. Hunt and Eadie (1987) said that "the interview is not always the one who asks all of the questions, and the respondent is not always the one who answers" (p.16). This perspective has been supported by Stewart and Cash (2000), they said that "interview parties often exchange roles of interviewer and interviewee as an interview progresses" (p.2). A good interviewer will change the roles in terms of the development of actual situation in the interview, for example, the expectations of the respondent, the development of the questions, and so on. To conduct a good interview, the interviewer should deal with the role playing in flexible attitude. As Hunt and Eadie (1987) said, "Good interviewers recognize the need for change when it occurs and adapt their role playing accordingly" (p.16).

Secondly, there are two parties in the interview---interviewer and interviewee. If the researchers want to use the interview method to plan an investigation, researchers must select the respondents for the research. In this process, the researcher is interviewer, the respondents is interviewee. Actually, the researchers will select more than one people in the interview. That is to say, there are more than two people join in the interviewing. But these respondents belong to the interviewee party; these researchers belong to the interviewer party. It is impossible to have more than two parties in an interview. Like Stewart and Cash

(2000) comment on, the “interviews may involve two or more people but never more than two parties---an interviewer party and an interviewee party. If more than two parties are involved, a small group interaction is occurring, not an interview” (p.3).

### **SOME ISSUES ON THE INTERVIEW**

#### **The situations which the researcher should use interview**

The interview is not strange term for most people. Many people have the job interviewing experience. As a way of gathering and generating knowledge, the interview has been used in the process of research frequently. There are some situations which we use the interview, for example, we want get information from smaller number of people, we have enough time and money for research, we want to make in depth investigation, and so on (cited in handout of Research Method in Education). As a research method, the interview is very effective way to gather people’s idea and activities. According to Allport (1942), “if you wanted to know something about people’s activities the best way of finding out was to ask them” (cited in Brenner, Brown and Canter, 1985, p.2). May (1997) point out the interview is the most effective way to apperceive participant’s experiences, opinions, feeling, attitudes, and so on (cited in Mills, 2001, p.291). According to Powney and Watts (1987), “Interviewing is a particularly useful way to gather people’s view as one formulates research hypotheses (p2)”. So the interview has been widely used in many situations which try to get people’s idea.

#### **The Limitations and the advantages**

Like other research methods, the interview has limitations and advantages. Compare with questionnaire, the interview is more difficult to get reliable information, because the interview is not anonymous, the respondent will have pressure to answer the sensitive questions, then maybe give us not assuring information. Like Phillips (1973) comment that “when respondents feel sensitive about topic raised in the interview, the answers are likely to be invalid” (cited in Brenner, Brown and Canter, 1985, p.4). Another limitation is that the interview need lots of preparation work for collection of the information, it will cost more money and time than questionnaire (Cohen, Manion and Morrison, 2000, p269). This point has been support by Scott and Chanlett (1973), “the cost of assembling and training a field staff to do the interviewing are much greater than many people would anticipate” (cited in Brenner, Brown and Canter, 1985, p.4).

Interview also has some advantages. Firstly, it is the action of face to face, so the information has been collected in time. Like Brenner, Brown and Canter (1985) said, the advantage of the interview that “it gives rapid, immediate responses” (p.3). At the same time, the misunderstanding of the interview can be checked by interviewer and interviewee immediately (Brenner, Brown and Canter, 1985, p.3). Secondly, the interview gives respondents more appropriate speed to think about the questions (Cohen, Manion and Morrison, 2000, p269). Thirdly, as an interactional conversation process, the interviewer can get more deep information from respondents. Cohen, Manion and Morrison (2000) point out the interview “allow for greater depth than is the case with other methods of data collection” (p.269).

#### **Validity of the interview**

As a research method, we must consider the validity, reliability and generalizebility of the information from the interview. According to Cohen, Manion and Morrison (2000), comparing interview measures with other measures can improve the validity of the information of the interview. Another effective way is avoiding the bias as much as possible. Some aspects of the



bias should be considered, for example, the attitudes of the interviewer, the misperceptions on the respondent words, and so on (121).

### **The data Analysis of interview**

There are seven steps to conduct the interview: thematizing, designing, interviewing, transcribing, analyzing, verifying, and reporting (Kvale, 1996, p.88, cited in Cohen, Manion and Morrison, 2000, p.274). When we complete the collection of the interview data, analyzing is next step for our investigation. According to Stewart and Cash (2000), the analysis is an action that “makes sense of the data you have obtained” (P.166). Powney and Watts (1987) comment on the analysis “is the detailed examination of the database that ensues from single or multiple interviews” (p.161). Mills (2001) provides a very useful comment about the nature of analysis, “the process of analysis was reflective and cyclical in that it aimed to expose and track particular themes as they arose from the original research question” (p.288). Coding is used most often in the process of analysis. According to Kerlinger (1970), coding is the action of translating and categorizing the question that respondent give the researcher for the aims of analysis (cite in Cohen, Manion and Morrison, 2000, p.283). Cohen, Manion and Morrison (2000) point out every response can be translated by objection way. The researchers should give the abbreviations to every response; these abbreviations should be understood immediately by the researchers.

### **Ethical implication in interview**

Researchers must consider ethical issues before they conduct the research. Gorden (1975) provide that the ethics is “the application of social values to concrete behaviour” (cite in Morton-Williams, 1993, p.14). Cohen, Manion and Morrison (2000) said, “Social researchers must take into account the effects of the research on participants, and act in such a way as to preserve their dignity as human beings” (p.56). In interview method, we should take into account some ethical implications. For example, as an interviewer, they should respect the private right of the interviewee when they make interview questions and manage the process of the interview. At the same time, the interviewer should keep the information about the interviewee without the consent of interviewee (Cohen, Manion and Morrison, 2000, p.61). I agree with this point, the ethical issue is very important for a good interview.

## **CONCLUSION**

As a research method, the interview is very important method for people who want to explore the people’s experiences, opinions, feeling, attitudes, activities, and so on. It is necessary for researchers to have a comprehension on the definition of the interview and the characteristics of the interview. In addition, some issues about the interview have been discussed: the situations which the researcher should use interview; the limitations and advantages of the interview; Validity of the interview; the data analysis of the interview. Finally, some ethical implications have been considered.

From this article, we understand that the interview methods are very important to us in educational area. They can help educators to make the depth investigation for their research as well as develop education itself.

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## The Small-medium Enterprise in New Zealand

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### Abstract

The small-medium enterprise (SME) plays a significant role in New Zealand economy, which consists of average 95% small enterprises. The purpose of this paper is to mainly examine which and how e-local government strategy related to SME influence and exploit the expansion of the small business industry through analysing the following three questions; thus taking advantage of the economic growth all over the New Zealand market. This essay will search the components of e-local government strategy related to SMEs from 80 local councils in New Zealand, then determine what has been implemented by these councils via tables, and create an evaluation criterion to show the three most useful components to advance the small business based on the following table.

**Key words:** Small-medium enterprise; New Zealand; analysis

### WHAT COMPONENTS OF E-LOCAL GOVERNMENT STRATEGY RELATE TO SME

E-local government strategy related to SMEs is very closely. It can influence and exploit the expansion of the small business industry. In New Zealand, Small business is organised by New Zealand Trade and Enterprise (NZTE). It is a New Zealand government agency, which can support some programs and make more benefits for small business. E-local governments formulate many components for small business around four areas: "provision of advice, mentoring and practical tools; access to finance and business support; enhancing the environment for small business and improvements in the regulatory environment." (SBAG, 2004) Under these four areas, there are six components of e-local government strategy relate to SMEs: 1. Funding policy; 2. Enterprise training; 3. Equal employment opportunities; 4. Innovation activities; 5. Networking support; and 6. Employment creation.

Firstly, E-local governments set up many funding policies for small business. These funding policies can help people to set up their own business, because E-local governments can give small business many financial supports, and also they offer many good business financial ideas for small business to raise their profits and operate their activities. For example, to support much money to small business for their district wide projects and future project (Far North District Council, 2004). Take another example, E-local governments set up internal borrowing policy, in order to help small businesses have enough money to operate their businesses (Far North District Council, 2004).

Secondly, E-local governments offer some enterprise's training programmes for small businesses. If you want to be a boss, these training programmers can teach you how to start

your own business. "This program is intended for individuals who have been working for others" (SmallBusiness-Start.com, 2005). Enterprise's Training is an important component of small business support in New Zealand, such as the Investment Ready training, which is about raising capital. That means if you want to plan a new concept, you can through this training to learn how to find investors, and "this programme is also meant mainly for existing businesses, to expand or diversify their activities" (SmallBusiness-Start.com, 2005).

Thirdly, Equal employment opportunity is a very important component for all small business employees. This component formulates all small businesses must offers an equal competition opportunity for their employees, such as sex, race and age. It means E-local governments set up different equal policies to regular small business. Under these policies, all employees can compete with each other in an equal environment, and there is no peculiarity. For example, E-local governments set up time policy, which means that working time for all employees must be same.

Fourthly, Innovation activity is a very major component related to small business, because it has a significant relationship with enterprise size. "Innovation activity is a strategy which small firms have been using to enter industries and remain viable in industries in which they otherwise would experience inherent cost disadvantage" (Holmes et al., 2003, p.47). The E-local governments offer some information and resource for small business, in order to maintain their research and development, also give small business the greatest opportunity for diversified enterprise. For example, "Small enterprises are able to introduce new technology more rapidly than large enterprises because of their more flexible production structure" (Nikzad, R., 2015, p.176-187).

Fifthly, networking support is other component related to small business. E-local governments set up many ways to improve communication for different small businesses. Such as website, meeting and conference. Through this, small businesses can contact each other and share the information.

Finally, Employment creation is also an especially component for small business. The aim of this component is to maintain build good relationship between job creation and enterprise size. Job creation, which means e-local governments formulate some policies and make more benefits for small businesses, in order to encourage people to develop small business, therefore increasing the small enterprise size and reducing unemployment levels. Under job creation, E-local governments pay attention on two things. 1. Job quality. The quality of jobs created by different sized enterprises is a very significant issue. There are two aspects of job quality: the first one is financial remuneration, such as more money pay when people working hard. The other one is fringe benefits, such as subsidized housing, child care and job security. 2. Minimum price. That means that E-local governments set up Minimum wages policy to all small businesses, in order to maintain or ensure job satisfaction and keep price to a minimum. (Holmes et al., 2003, pp.50-51).

#### **DETERMINE WHAT HAS BEEN IMPLEMENTED BY EACH LOCAL GOVERNMENT**

The following table shows the eighty councils and their components related to SMEs have or not have implemented by these councils. The horizontal proportions indicate each council has applied percentage of the six components of e-local government strategy. The vertical proportions appear how weight the councils have used each component.

<b>Strategy to SMEs E-local government</b>	<b>1. Funding policy</b>	<b>2. Equal business opportunities</b>	<b>3. Innovation activities</b>	<b>4. Employment creation</b>	<b>5. Enterprise training</b>	<b>6. Networking supports</b>	<b>%</b>
Ashburton District Council	√	√	√	√	√	√	100.00 %
Christchurch City Council	√	√	√	√	√	√	100.00 %
Mackenzie District Council	√	√	√	√	√	√	100.00 %
Gore District Council	√	√	√	√	√	√	100.00 %
Hutt City Council	√	√	√	√	√	√	100.00 %
Timaru District Council	√	√	√	√	√	X	83.33%
Waimakariri District Council	√	√	√	√	√	X	83.33%
Waimate District Council	√	√	√	√	√	X	83.33%
Clutha District Council	√	√	√	√	√	X	83.33%
Dunedin City Council	√	√	√	√	√	X	83.33%
Waitaki District Council	√	√	√	√	√	X	83.33%
Papakura District Council	√	√	X	√	√	√	83.33%
Matamata-Piako District Council	√	√	√	√	√	X	83.33%
Rangitikei District Council	√	X	√	√	√	√	83.33%
Wanganui District Council	√	√	√	√	√	X	83.33%
Upper Hutt City Council	√	√	√	√	√	X	83.33%
Wellington City Council	√	√	√	X	√	√	83.33%
Kaipara District Council	√	√	√	√	√	X	83.33%
Waipa District Council	√	√	√	√	X	√	83.33%
Waitomo District Council	√	√	√	√	X	√	83.33%

Rotorua District Council	√	√	√	√	√	X	83.33%
Napier City Council	√	√	√	√	X	√	83.33%
Taranaki Regional Council	√	√	√	√	X	√	83.33%
Horowhenua District Council	√	√	√	√	X	√	83.33%
Banks Peninsula District Council	√	√	√	√	X	X	66.67%
Invercargill City Council	√	X	√	√	√	X	66.67%
Central Otago District Council	√	√	√	X	√	X	66.67%
Environment Southland	√	√	√	X	√	X	66.67%
North Shore City Council	√	X	√	√	√	X	66.67%
Environment Waikato	√	X	X	√	√	√	66.67%
Otorohanga District Council	√	√	X	√	√	X	66.67%
Waikato District Council	√	X	√	X	√	√	66.67%
Kawerau District Council	√	√	√	√	X	X	66.67%
Western Bay of Plenty District Council	√	√	√	√	X	X	66.67%
Central Hawke's Bay District Council	√	√	√	√	X	X	66.67%
Hastings District Council	√	√	√	√	X	X	66.67%
Wairoa District Council	√	√	√	√	X	X	66.67%
South Taranaki District Council	√	√	√	√	X	X	66.67%
Stratford District Council	√	√	√	√	X	X	66.67%
Manawatu District Council	√	X	√	√	√	X	66.67%

Kapiti Coast District Council	√	√	X	X	√	√	66.67%
Masterton District Council	√	X	X	√	√	√	66.67%
Tasman District Council	√	X	√	√	√	X	66.67%
Southland District Council	√	√	√	X	√	X	66.67%
West Coast Regional Council	√	√	√	X	X	X	50.00%
Westland District Council	√	√	√	X	X	X	50.00%
Environment Canterbury	√	X	√	√	X	X	50.00%
Hurunui District Council	√	√	√	X	X	X	50.00%
Otago Regional Council	√	√	√	X	X	X	50.00%
Queenstown-Lakes District Council	√	√	√	X	X	X	50.00%
Northland Regional Council	√	√	X	X	X	√	50.00%
Manukau City Council	√	√	X	X	√	X	50.00%
Rodney District Council	√	X	X	X	√	√	50.00%
South Waikato District Council	√	X	X	√	X	√	50.00%
Thames-Coromandel District Council	√	X	X	√	√	X	50.00%
Bay of Plenty Regional Council	√	√	√	X	X	X	50.00%
Opotiki District Council	√	√	√	√	X	X	50.00%
Taupo District Council	√	√	√	X	X	X	50.00%
Whakatane District Council	√	√	X	X	X	√	50.00%
Manawatu-Wanganui Regional Council	√	√	√	X	X	X	50.00%

Ruapehu District Council	√	X	X	X	√	√	50.00%
Tararua District Council	X	√	√	X	X	√	50.00%
Carterton District Council	√	√	X	X	√	X	50.00%
Porirua City Council	√	√	√	X	X	X	50.00%
Wellington Regional Council	√	√	√	X	X	X	50.00%
Nelson City Council	√	√	X	X	√	X	50.00%
Auckland City Council	√	X	√	X	X	X	33.33%
Auckland Regional Council	√	X	√	X	X	X	33.33%
Hamilton City Council	√	X	X	√	X	X	33.33%
Hauraki District Council	√	X	X	√	X	X	33.33%
Tauranga City Council	√	√	X	X	X	X	33.33%
Gisborne District Council	√	X	X	√	X	X	33.33%
New Plymouth District Council	√	X	X	√	X	X	33.33%
South Wairarapa District Council	√	√	X	X	X	X	33.33%
Grey District Council	√	X	√	X	X	X	33.33%
Far North District Council	√	X	X	X	X	√	33.33%
Whangarei District Council	√	√	X	X	X	X	33.33%
Franklin District Council	√	X	X	X	X	X	16.67%
Waitakere City Council	√	X	X	X	X	X	16.67%
Buller District Council	X	√	X	X	X	X	16.67%
%	97.50 %	71.25 %	68.75%	57.50%	46.25%	30.00%	



(The above table information comes from the government website: <http://www.govt.nz/>) According to the table above, in eighty councils, there are five councils using all the six components (100%), nineteen councils using five components (83.33%), twenty councils using four components (66.67%), twenty-two councils using three components (50%), eleven councils using two components (33.33%), and only three councils using one component (16.67%).

### **PROVIDE EVALUATIVE CRITERIA FOR DETERMINING, ON THE BASIS OF THE DATA YOU HAVE, AND ANSWER TO THE QUESTION**

Base on the analyzed table, we designed one pie (see appendix 1) to show the weight of the six components. The following essay mainly discusses three most useful components: Funding Policy, Equal Employment Opportunity and Innovation Activities, and exam how the e-local governments achieve their goals by using these components.

#### **Funding Policy**

Funding policy is the most useful component of e-local government strategy relate to SMEs. In New Zealand, equity is an essential component of small business finance. Many business owners have to borrow money from others, unless they bring in some money themselves. However, the local governments make the funding policy just for helping the SMEs, which are non-profit or do not have enough equity, to expanding their business. The government's Venture Investment Fund experiment appears to have had minimal effect to date in expanding the size of the venture capital funds available for new ventures. Moreover, governments have responded to the challenges SMEs face in raising finance by providing funds at subsidized rates or providing guarantees for SME lenders. (SBAG, 2004) Therefore, the local governments play an important role in encouraging the financial institutions in New Zealand, such as encouraging banks to lend on cashflow/ character in addition to assets and loan guarantees, with an aim to make access to funds easier for SMEs with growth potential. (SBAG, 2004)

There are many types of funding be using in New Zealand. For example, Mortgage Loans, Term Loans, Lease and Hire Purchase, Overdraft or Line of Credit, Working Capital Loans, Personal Loans and so on. However, lenders want to ensure that loans are repaid. Therefore, the evaluative criteria of each business which want a loan fund could be strict. The three factors should be considered as criteria. The first one is the past credit behaviour of the borrower. The second one is the business project. The last one is the experiences of managing the business and specific understanding of the market. (SmallBusiness-Start.com, 2005)

Take the Guarantees Loan Funding document on the Tauranga District Council website for example. The Council act as a guarantor to makes a policy in respect of the provision of guarantees to community groups and organisations seeking loan funds. Significantly, the conditions are very severe and detailed. The Director of Finance has to submit all the requests for guarantees to the Council before them being agreed to gain the loan funding. (Tauranga District Council, 2005)

#### **Equal employment opportunity**

The second most useful component of e-local government strategy relates to SMEs is equal employment opportunity. According to the above pie, we can know that there is 70 % of e-local government having equal employment opportunity policy statement. It can be defined that "A systematic results-oriented, set of actions that are directed towards the identification and elimination of discriminatory barriers that cause or perpetuate inequality in the employment of any person or group of persons" (Ashburtondc government, 2004). It means that all

employees must be given the equal opportunities to do the job towards this statement. The main goals of this policy are:

- To ensure that there is no discrimination in selection, opportunities for training and promotion of employment.
- To support that employees are selected by qualifications and working experience regard to the position, regardless of any “marital status, religious or ethical belief, race, ethnic or national origins”, gender, age, trade union activity and disability to apply for the job.
- To monitor all job information such as job description will be checked under the principles of equal employment opportunity.
- To comply the provisions of the Human Rights Commission Act, the Equal Pay Act, the Local Government Act and others.

(Ashburtondc government, 2004)

Based on the above data of our research and table, most of e-local governments have their own methods to support training, action plans and procedures. For example, in Wanganui government, they provide the “Core Training” and “Individual Training programs” as well as do the survey in order to conduct equal employment opportunities effectively among SMEs, which are responsible to comply with the principles of Equal Employment Opportunities (Wanganui Government, 2003).

### **Innovation activity**

Based on the above table, we can see there is about 74% e-local government implementing innovation activity component, which is the most useful to support the small enterprise to enter industries and remain stable and innovate to protect from cost disadvantage. In fact, “the relationship between small business and innovative activity is a significant area of economic research.” (Holmes et al., 2003, p.45) Because the small enterprises have not enough ability and money to acquire all kinds of information and resource which expansion their own business, the governments carry on a set of support activities to help small business research relevant data and knowledge; thus taking advance of economic performance in small enterprises. For example, most of councils provide library service, which contain a large number of financial and account data as well as market information. The small firms can research the relative data and information needed freely to determine whether they should innovate their technology, to change their products and to enter the new industry as well as to create the new production line so that the small enterprise can satisfy the whole market trends to against die out. In reality, small firms can change their technology and product rapidly mainly due to the flexible product structure. Not only library services, but also some annual report published by e-local government, both of them provide the useful and valuable data and information about the whole district development condition to support the SMEs innovate. For example, Centre Otago District Council provides the valuable data and information, such as housing and property for owners build or lease houses, the information about export and import goods, the industry trend in recent years. However, if the governments provide the inadequately data, the SMEs would be likely to face fate. Therefore, it is significant that the councils can publish the adequate and valuable data and information to support SMEs innovate rapidly to satisfy market trend.

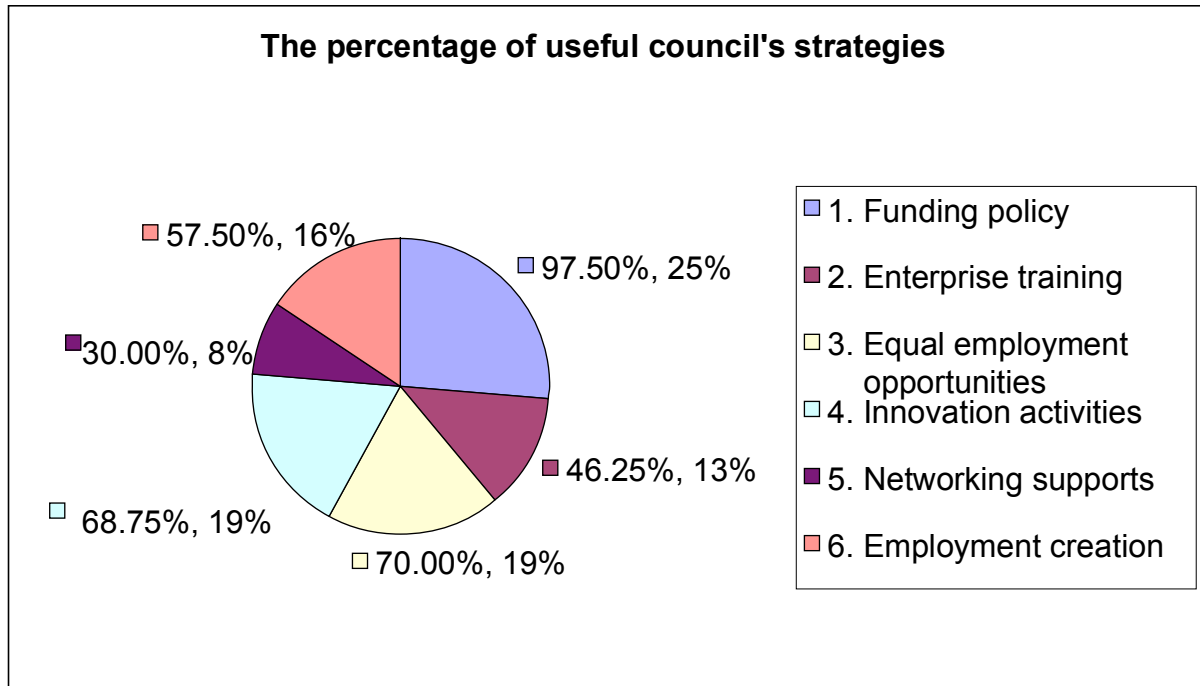
## CONCLUSION

From the above analysis and our research, we can find eighty councils mainly publish the following six components of strategy related to SMEs: funding policy, enterprise training, equal employment opportunity, networking support and employ creation as well as innovation activity. Most council can publish and implement these components better to support the SMEs to expand and satisfy the market trend. The most three useful components are funding policy, equal employment opportunity and innovation activity, which are able to support government to achieve their goals of pertaining to SMEs as well as possible.

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**APPENDIX 1**





# **Fostering Corporate Social Responsibility and Sustainable Development: A critical analysis and perspective on the organizational strategies implemented by corporations**

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## **Abstract**

**Purpose** – The research focuses on the analysis of hundreds of articles on the promotion of ethical and moral values for corporate social responsibility (CSR) and sustainable development. This theoretical framework analyzes the CSR, ethical values, and sustainable development in terms of relevance and efficiency, and asks why these points are relevant, and what they have in common in terms of obstacles and drivers for social performance. This paper also tries to identify who will be the winners of all these strategies implemented on a local and global level. Several lines of thought emerge in the context of this theoretical analysis of academic texts and reports. Indeed, factors related to education and vocational training, communication, the sphere of influence of the company, culture, governance and performance evaluation of the CSR actions are paramount.

Given the multiplicity of actors, this research has not identified a specific category of actors as being the only winner of the promotion of sustainable development. Our theoretical analysis advocates a new business practice that takes into greater account the ecological, economic and social challenges. The research also proposes the setting up of policies aimed at drastically reducing the economic and social inequalities in order to promote certain ethical and moral values of social responsibility and sustainable development of enterprises and countries. Each region is specific with regards to its sociological context, and in harmonizing global and local challenges. The discourses are still different, even when the conceptual framework of CSR is understood. What is the significance of responsibility? Given the aforesaid, what is conventional here, could be unconventional somewhere else. This would dictate the lack of a coherent approach in the creation of a global village.

We emphasize that education plays a crucial role in understanding the practices of CSR and sustainable development management. From this perspective, it is necessary to nest or coordinate the conceptual and operational strategies of the company, so that intentions can be translated into concrete and consistent practices.

**Keywords:** Ethics, Corporate Social Responsibility, Moral, Social Performance, Governance

## INTRODUCTION

In the literature on corporate social responsibility (CSR) and sustainable development, it was noted that several authors have raised this as one of the most pressing issues of our world today (Dyck et al. 2009; Laplume et al. 2008; Montiel 2008; Scharwtz and Carroll 2008; De Bakker et al. 2005; Freeman and Hasnaoui 2010; Lockett et al. 2006). Some have addressed the issue of sustainable development and social responsibility at a semantic level or as "barriers to the implementation of CSR/CSP initiatives in relation with typologies of HRD interventions" (Garavan et al. 2011).

Other authors have highlighted the acuteness of the problem of ethics in business performance and management (Park and Lee, 2009; Vallentin, 2009; Dentchev, 2009; Hine and Preuss, 2008; Jakobsen et al. 2005). However, difficulties are apparent in the implementation of this concept through different sociocultural and socioeconomic contexts (Antal and Sobczak, 2007; Breitbarth, 2009; Cordoba and Campbell 2008; Christensen et al. 2006; Preuss et al. 2006). Indeed, globalization leads to the deployment of comprehensive strategies that can have positive effects on the sustainable development of communities in various regions of our planet.

The concept of CSR has existed since the rise of industrial capitalism; Engels (1845/1973) and Marx (1867/1965) showed how the plants of the Large-scale Industries had created lost cities and ghettos, where the workforce survived in an unhealthy and polluted environment due to industrial activity. The awareness of environmental degradation comes from the observation of the economic and social misery of working people, the loss of moral and ethical values, the lack of education and training.

## CONTEXT AND BACKGROUND

CSR has gained much importance in business management literature. This renewed interest is most illustrative for policy makers and business leaders to challenge the efficiency level of our economic and commercial activities. We are thus witnessing a multitudinous definition. All that, seems to reflect the organization in its CSR relationship, in terms of economic, social and environmental requirements, and even the taking into consideration of the sustainable satisfaction of all stakeholders. Seen in the dimension of sustainable economic and trade activities of production, "Corporate Social Responsibility is the continuing commitment by business to behave ethically and contribute to economic development while improving the quality of life of the workforce and their families as well as of the local community and society at large" (Holme and Watts, 2000). The world business council's report for sustainable development provided some evidence of the different perceptions of what this could mean for a number of different societies across the globe (Baker 2011).

These definitions are as different as "CSR is about capacity building for sustainable livelihoods. It respects cultural differences and finds the business opportunities in building the skills of employees, the community and the government" from Ghana, through to "CSR is about business giving back to society" from the Philippines. Traditionally, in the United States, CSR has been defined much more in terms of a philanthropic model. Companies make profits, unhindered except by fulfilling their duty to pay taxes. Then they donate a certain share of the profits to charitable causes. It is seen as tainting the act for the company to receive any benefit from their giving (Baker, 2011).

The European model is much more focused on operating the core business in a socially responsible way, complemented by investment in communities for solid business case reasons: (1) Social responsibility becomes an integral part of the wealth creation process - which if managed properly should enhance the competitiveness of business and maximize the value of wealth creation to society. (2) When times get hard, there is the incentive to practice CSR more and better - if it is a philanthropic exercise which is peripheral to the main business, it will always be the first thing to go when push comes to shove (Baker, 2011).

In the search logic of the definition most appropriate to its business environment, companies also compete in terms of strategies implemented to promote sustainably societal well-being. The question is furthermore to concretely measure the different degrees of CSR's political relevance given the diversity of views arising from the contexts of both sociology and economy. The levels of social relevance or performance must be submitted to the impartial assessment of stakeholders.

It is a key difference, when many business leaders feel that their companies are ill equipped to pursue broader societal goals, and activists argue that companies have no democratic legitimacy to take on such roles (Baker 2011).

### **Corporate Social responsibility versus Corporate Social Performance**

Since the pioneering work of Sethi (1975) and Carroll (1979), Performance of Corporate Social Responsibility (PCSR) has become a central paradigm for understanding the relationship between Company and Company (Preston, 1975) (Wartick & Cochran, 1985: 758, 763). For instance, corporate social performance (CSP) has been a prominent concept in the management literature dealing with the social role and impacts of corporations (Gond and Crane, (2010).

The debate on the sustainable development of business must also be stated in terms of social development, because without human capital, human resource quality, companies will experience great difficulty in generating economic benefits in the long term. PCSR means "a business organization's configuration of principles of social responsibility, processes of social responsiveness, and policies, programs, and observable outcomes as they relate to the firm's societal relationships"(Wood, 1991: 693). Waldman et al. (2006) reveal in their study, that CEO intellectual stimulation (but not CEO charismatic leadership) is found to be significantly associated with the propensity of the firm to engage in 'strategic' CSR, or those CSR activities that are most likely to be related to the firm's corporate and business-level strategies.

It is obvious that the impact of corporate social performance requires the board of directors and senior management to focus more on employee satisfaction in their workplace. This satisfaction is characterized in several forms through the attractiveness of wages and other benefits, such as social protection and other non-monetary incentive measures. Turban and Greening (1996) indicate that independent ratings of CSP are related to the firms' reputations and attractiveness as employers, suggesting that a firm's CSP may provide a competitive advantage in attracting applicants. Corporate social Performance is viewed as one of a host of concepts, including CSR, stakeholder theory, Business ethics, and corporate citizenship (Gond, (2010). For instance, Mitnick (2000:426) makes a "critical distinction", between social performance and social action, arguing that "outcomes (impacts) are not as even as outputs (activities)". It is through this same attempt that Mattingly, (2006) elaborated a new classification of the former one made up of corporate social actions underlying the Social Ratings Data compiled by Kinder Lydenburg Domini Analytics, Inc.

Therefore, there is an impressive history associated with the evolution of the concept and definition of corporate social responsibility (Carroll, 1999). For instance, scholarship on corporate social responsibility (CSR) shows both that the concept itself is interpreted in a multitude of different ways and that significant cross-cultural differences exist in the way that business approaches the questions of social responsibility and ethics (Blasco and Zolner 2010).

Therefore, in this research we do not retrace the evolution of the CSR concept in recent decades. However, it is rather a question of seeing, in relation to this development, how this concept is relevant through economic and social environments that are almost ever changing. It is also a question of examining the adaptability and viability of such a concept in terms of a sustainable model of interaction between the company, its environment and its stakeholders. "The promotion of sustainable enterprises is a broad and wide-ranging subject, not least because enterprises take many forms, not just in terms of size, sector and spatial dimensions but also in terms of how an enterprise is managed and governed and its legal status and operational objectives" (Buckley et al. 2008). So, it has been noted that businesses are an important link, in many fields of economic and social development.

However, these companies are now under the spotlight of their community. The real impact of their activities is called into question and has led to a certain awareness of public opinion and informed observers, namely development experts, researchers, business leaders, policy makers. An issue of the world's economy today poses us the question regarding what should represent sustainable development in terms of CSR, corporate social performance (CSP), responsible corporate citizenship, in light of the stakeholder theory, and business ethics theory in world economic development, and if being a good businessman means assuming the practice of certain moral and ethical values in carrying out one's duties. Brasseur and Magnien (2010:37) define ethics as the reproduction of behavioural norms and guidance in complex situations of individual and collective action based on a prioritization of humanistic values.

On the other hand, if morality refers primarily to the idea of implicitly shared values, then ethics is the domain of activities of the action rooted in a given context and as desirable. Ethics can be regarded as rules; standards by definition almost always apply to a discipline or to a particular environment. Ethics are a pact and a commitment that are more or less binding over time (Boyer and Brousillon, 2010: 55). What significance could be given to moral and ethical values in a context of financial crisis and the socioeconomic and socio-political interaction between organizations, individuals and environment in a general or specific sense? Indeed, one of the significances may thus contain, production or professional ties we weave with other entities in order to improve the quality of our living environment.

### **CSR & the end of the long-term employment contract**

With globalization, we are witnessing an increase in precarious and atypical employment, resulting in disastrous social and economic insecurity, a certain fragility, or lack of social security, the weakening and loss of labour rights, dependency, burn-out and poverty. Employment is a major issue of CSR. This issue features several forms in business development, both at macro, meso and micro levels of the environment. Indeed, the employee hired in the firm assumes a contract in due form. Nevertheless, today, the contract goes beyond the legal aspects that it stipulates. For example, the health and safety matters touching work conditions are beginning to take on more and more importance through a moral and psychological contract between the company and its employees. Indeed, "the psychological



contract that was characterized by security and stability of the individual-organization has changed its nature" (Goux and Mercier, 2010: 30).

What we see today in the workplace is more job insecurity, which in turn has created a dichotomy between the objectives of managers and employees. This insecurity is also revealed through the narrowing of permanent contracts in favour of fixed-term contracts.

Good practice in recruitment may thus be fundamental and necessary to be inscribed on the agenda of strategies to implement the development of the social performance of the company. Indeed, this society issue implies, as argued Gond and Crane (2010), "the necessity to understanding the concept and consequences of Corporate Social Performance (CSP) and its impacts on employees; and of course these impacts would be analyzed in terms of the relationship between employee perceptions of CSP and organizational commitment.

Thus it appears more than ever essential to revise the contracts to reflect the legal, social and psychological impacts on the ethics and social responsibility of business, in which workers are considered less protected from the risk of losing their jobs: a weakness that befalls to the detriment of workers.

As such, the "Decent Work" (ILO 2009; UN 2007) could play a predominant role in the implementation of sustainable business. Indeed, the work performed by an employee must not only meet the security and fulfillment of what it implies, it must also be organized around the economic sustainability of economic and commercial activities. Indeed, the management of the company must do everything in its power and within the framework of its relationship with its employees to safeguard their work tools. Social responsibility of the business leader should not simply be confined to its organization, but be part of the planning of productive activities, which aim at preserving a certain degree of social cohesion. To promote ethics and corporate social responsibility involves the integration of a new vision for the development of entrepreneurship and for the advent of innovative companies.

This new vision would involve the establishment of legal norms, of an economic, social and ecological order to serve the interests of stakeholders. The notion of decent work is an attempt to capture, in a common language, the integration of social and economic goals. It brings together employment, rights, security and representation in a package which makes sense as a whole. Promoting employment without considering the quality and content of those jobs is no recipe for progress. Promoting rights at work without worrying about whether or not there is work for those who want it is equally fruitless (Rodgers, 2007).

Ideally, solutions concerning the quality of life of the individual and collective work "will be constructed based on consultations in daily and operational dialogue, not only in social dialogue, and individual adjustments in collective action contributing ultimately to the recreation of a new "pact of management and organization" among stakeholders (Vaivre and Bouvet, 2010: 68). As such, the implementation of a bidirectional communication strategy between socioprofessional groups from the center to the periphery; as well as those from the base to the organizational pyramid summit stays crucial.

### **CSR as a policy of interactive dialogue & communication**

Communication is at the heart of the organization. It plays a role in enhancing coherence in the functioning process and the various services of the organization. Image perceptions are critical to both the stakeholders and the organization because they influence market transactions

(Riordan et al. 1997). As such, corporate image is related to stakeholder decisions about the organization such as consumers' perceptions of price level for goods or services (Klein and Leffler, 1981), job seekers' decisions to apply for employment (Gatewood et al., 1993), investors' decisions to invest in the firm (Milgrom and Roberts, 1986), and employees' attitudes and behaviours toward their organization (Dutton and Dukerich, 1991).

That is why the communication strategy must take such forms as are understandable in the eyes of all stakeholders. Smidts et al. (2001) show that the relative impacts of employee communication and perceived external prestige on organizational identification differ between organizations; this was attributed to differences in the reputation of the companies. Yaniv et al. (2011) found that Organisational Citizenship Behaviour (OCB) is positively related to the Person-Organisation Fit (POF), so that the higher the POF the higher the OCB. They also examined the correlations between POF and Organisational Identification (OI) levels and found a positive correlation between them too. The communicative relationship and the management of interpersonal relationships within the optimal functioning of the business remain a factor in the setting up of social policy performance.

Companies should communicate their CSP to all employees because it has the potential to increase the organizational commitment of the employees, which may result in positive organizational outcomes Stites (2011). Communication is a fundamental factor in the development of enterprise policy. The communication policy of the company, however, must be consistent both internally and externally according to the needs and issues to which they are being confronted. Bhattacharya et al. (2008) show in their study that companies do not clearly and systematically communicate the scope and details of their CSR initiatives; only 37 % of employees surveyed were aware of the CSR programs in their company. Peterson (2004) demonstrated that the relationship between corporate citizenship and organizational commitment was stronger among employees who believe highly in the importance of the social responsibility of businesses.

This is a challenge for many enterprises within the framework of how and what to communicate in the implementation of strategy. Clearly the way an enterprise should communicate with its environment and with its employees should depend somehow on its status and bylaws. Non-profit organizations do not generally communicate in the same manner as do private organizations. In fact, we need to emphasize the importance of employees as a relevant stakeholder for CSP, as well as employ comprehensive perceptual methods to foster the strategies over time. A key element of the employee experience is the perception of the awareness about how both, they and others are treated by organizational stakeholders, as well as the level of dignity and respect bestowed by the organization to external groups.

Employees, therefore, are looking in all directions in order to grasp their working experiences, and they depend on these judgments to find the way to the organizational position. Christmann, (2004) found that consumers are pushing companies to standardize their environmental strategies based on the information that they communicate.

The information and communication technology has been an amplifier of the negative attitudes of some multinational corporations toward the environment. The communication and information sector, at all levels, should support these strategies which are aimed at disseminating and sensitizing the sustainable development with regards to promoting moral and ethical values in relation with an organization's policy for social responsibility. For

example, we know that the communication strategy within the company can take several forms in the environment in which it operates. To appease all stakeholders, strategies can range from philanthropy to cohesion among project teams. It still must be stressed that these strategies that are put into practice for social responsibility and ethical values cannot be deployed without a shared vision between management and staff. That makes all the difference between a company that deploys effective compliance strategies for sustainable development through ethics and social responsibility.

In order to develop strategies adapted to a changing economic environment, the company will constantly create links with socio-professional and sociocultural stakeholders, to strengthen its image in the community. Indeed, the company must also develop its capacity for social innovation in order to serve the community and feel accepted by it for its actions of support and participation in the sustainable development of its business environment.

### **CSR and national rules**

The new global economy looks like a battlefield between economic giants in the form of TNCs from the USA, Western Europe, Japan and – more recently – the ‘Asian Tigers’. These TNCs are the driving force behind a world-wide system of competitive capitalism, which increasingly creates conditions that allow TNCs to escape the rules and controls of national states (Jauch 2000). A second issue of CSR and ethics is the context of the 2008 financial crisis and capitalist globalization that put us in a sort of dilemma characterized by how to create profit and to develop efficient policies for environmental protection. When the gap of social inequalities widens, with at the end environmental degradation, the need for implementing Corporate Social Responsibility (CSR) is to attempt to bridge the gap between the rhetoric and reality of corporate conduct (Miller 2010).

We emphasize that the companies have set up CSR programs within their organizations. Nevertheless, many of them end up behaving in ways contrary to the respect of ethical and moral values for a sustainable business. As explained by Marcus et al. (2010), an embedded view is best able to help us address these challenges, as it infers a holarchical (or holistically hierarchical) perspective of the business – society – nature interface. Because there are links between cause and effect, the interrelation between systems, the bedrock of the economy, is primarily social and political. By obscuring to put an emphasis on the human dimension of globalization, we risk losing some human values necessary for world peace, democracy, social justice and innovation, solidarity, free and equitable trade policy and individual freedom of movement.

Hence is the importance of promoting business ethics which are capable of allowing the promotion of sustainable development. Unfortunately, CSR is a tortured concept and a number of alternative definitions of the construct exist at the theoretical level, and much debate surrounds the meaning (and its related implications for practice) of the term (Godfrey et al. 2010).

CR has emerged as an important source of innovation as well as a constraint upon modern competitiveness. Deemed by some an altruistic gave-a-way beyond the economic interests of the firm (McWilliams & Siegel, (2001), CR is also considered a tangible investment toward “operating in tune with the way the world works” (Gates, 2008)—effective management reflecting investment commitments to what the organization values (Carroll, 1999; Graves & Waddock, 1994; Griffin, 2008).

If there has been a significant increase in interest in corporate social responsibility (CSR) in recent years, we can note that the series of corporate scandals, growing numbers of formal and informal protocols about corporate behaviour, as well as high-profile public debates on social issues, such as global warming and world poverty, have led to increasing pressures on companies to act in a socially responsible way (Gulyás 2009; Sethi et al. 2011).

### **CSR & Private sector**

Although the concept of CSR has been recognized as an important ingredient for business success, the relationship between CSR and companies' financial performance has been examined as conclusive in airline companies (Lee and Park, 2010). The CSR must not only be analyzed at the enterprise level but also in terms of its relationship with its suppliers and customers. It is interesting to study how the company can act in its sphere of influence in order to foster a sense of respect for certain ethical and moral values. There are many examples of industries that tried to reduce their negative impact on the environment. An example is Osisko, a mining corporation, where sustainable development is reflected through a series of actions, measures, ideas and details that helped build the Canadian Malartic project as a balance between the economy, the environment, and the social and community components. Rio Tinto Alcan seeks to promote the goals of sustainable development by participating in the activities of these bodies: International Business Leaders Forum (IBLF); Transparency International (TI); United Nations Global Compact. Turcotte and Hervieux (2010) highlight the issue of fair trade as a force for change in business practices.

The analysis of Park et al. (2006) revealed that SRB's Socially Responsible Buying / sourcing consisted of three dimensions: employment/human rights, environment, and consumer safety. Although some companies are making efforts to meet certain social and environmental standards, the question that remains difficult to answer is whether environmental policy statements accurately represent a corporate commitment to environmental sustainability. For instance the case of Mattel, who was forced to recall US\$100 million worth of product when one supplier used lead-contaminated paint on the company's toys in 2007. The company watched its stock price fall 18 % in the months that followed and has since been the target of litigation (Brammer et al. 2011). According to Ramus and Montiel (2005), companies are not required by law to publish environmental policy statements nor to verify that these statements are true using independent third parties; external stakeholders often wonder when a published commitment to a policy translates into actual policy implementation.

That is the reason why the partnership between a business-owner and the community needs to be broadened so as to develop a model for the participation of businesses in decision-making processes as part of policy making and social-economic planning in the community (Boehm, 2005).

Over the last 20 years, multinational corporations (MNCs) have been confronted with accusations of abuse of market power and unfair and unethical business conduct, especially as they relates to their overseas operations and supply chain management (Sethi et al. 2011). Globalization, through its implementation, has accorded more importance to the economy that is completely disconnected from politics, and this has enhanced the power of companies without providing any adequate institutional oversight to monitor whether it is exercised properly with respect to the social and environmental impact of their activities. It is considered that such failures must be analyzed in every action strategy aimed at integrating ethical and moral values in relation to corporate social responsibility.

## **CSR & Philanthropy**

As stipulated by Foster et al. (2009), companies that have integrated philanthropy into their operations are quite distinct from those who haven't, in both attitudes and behaviour. Although companies can change the role of philanthropy within their organization, when it isn't truly integrated into the business of the corporation it is not something that can develop and evolve over time; if that vision is not present in the corporate culture from the beginning, it is not likely to develop. It is undeniable that companies play a leading role in economic development between countries in general and particularly in their home communities. However, those who use communication methods to make themselves visible through their responsible action for the community must be differentiated. Those who behave in an ambiguous way, these types of organizations who want to give themselves a good conscience through philanthropic actions, barely veil their flashy eye strategy.

This prevails, even if Media's visibility has a significant influence on public opinion and contributes strongly to forming the reputation of companies (Capriotti, 2009).

Laouris et al. (2008) argue that it is unethical to plan an action for social change without excavating the knowledge and wisdom of the people who are responsible for implementing the plans of action and the people whose lives will be affected. However, the people, being immersed in contemporary complexity, do not know what they know until it emerges as a consensus following a structured dialogue among the group which represents all stakeholders. The implementation of strategies designed to strengthen the capacity of organizations to integrate sustainable development and even ethical values and social responsibility, requires specific leadership skills and also the capacity for each of us to develop a propensity to empathy.

Do we need new teaching methods and an update on program management training? Should this training not also integrate the upper echelons of corporate decisions? Indeed, what do governments do in implementing such strategies? How will tools be provided to citizens to enable them to behave responsibly across the society and the environment?

## **CSR, Education & Training**

In this new dynamic quest for compliance with certain ethical and moral values for sustainable development, education cannot be relegated to a second place. In light of the myriad of accounting and corporate ethics scandals of the early 21st century, many corporate leaders and management scholars believe that ethics education is an essential component in business school education (Halbesleben et al. 2005). Rands (2009) in his research, has particularly focused on skills related to facilitating organizational change; for instance, on environmental change and related course projects that could be particularly helpful in the development of these attributes and on the use of service learning applied to campus sustainability issues for engaging students in change-oriented projects. Dickson and Eckman (2006) surveyed eighty-seven members of the International Textile and Apparel Association (ITAA) which revealed the scholarly activities in which these members are engaged in the issues that relate to social responsibility. Their surveys highlighted that the most important were topics related to labour practices and trade in and with developing countries, consumerism, aspects of environmental protection, and corporate image. As argued Brasseur and Magnien (2010:41), ethical and moral values can be quite integrated into a specific cycle of learning within an organization. Managers and the board would play a leading role in the internalization of such values in favour of all stakeholders of the company.

In this perspective, it may be accomplished by developing a Code of Conduct or a Code of Ethics. However, all these tools can be really effective only if the various corporate players involve themselves directly in identifying the cultural values for the development of their organization. In reality, the degree of internalization of new ethical and moral values through an efficient organizational learning process for a social accountability agenda is also closely related to the permeability of the board of directors to carry out behavioural change through its structures, administration processes and across its own value chain. It is not the technical expertise of the company that should change but the relationship between the deployment of this technology or technical expertise, the stakeholders and the environment.

As such, the company must adopt appropriate pedagogy of change that would combine in a balanced manner the interests of the different stakeholders. Is it the responsibility of organizational learning for a sustainable development, and therefore the various facets of an enterprise's culture which are firmly rooted in the processes, values and mission of the organization?

### **Culture, Policies & CSR**

Culturally, the effect of child labour in south countries and the implication of the context of globalization and multinational corporate actions within this situation should be analyzed. Globalization has many implications in children's lives, their involvement in work, and the ways in which we think about these issues (White 1998). For instance, Nike was publicly accused of using child labour in offshore factories in 1996. This criticism endured until 1998 when Nike's CEO announced significant, long-term measures to improve working conditions in supplier factories (Brammer et al. 2011). This raises many questions regarding the development of ethical and cultural values in the field of economic and social policies that integrate the activities of local and global companies (Pierik and Houwerzijl 2006; Congdor, 2010; Hilson, 2010). This is important to emphasize because large companies outsource some of their activities to local companies. This outsourcing of activities can sometimes be done in ignoring certain legal and regulatory authorities. White (1998) notes the growing divergence between views deriving from conceptions of children's rights and orthodox policies and campaigns on the child labour issue, and the need to look for common ground.

The local culture and its socioeconomic and socio-political sense, is a particular influence on the culture of the company. Even so, this does not presuppose the practical mode of production that exploits children as a cheap workforce in favour of the market.

It is a paradox to see, when we speak of a global village across which discontinuities and inconsistencies exist in the overall policy implementation, at the local level.

For example, when the "International Conventions" (ILO, 1999) specifically prohibited child labour in some regions, the local people involved in such practices considered that it was a pursuit of learning and apprenticeship to acquire a profession rather than real work. All these issues deserve more attention, because we cannot continue to believe that a harmonious and global sustainable development could take place while the vast majority people on Earth live in suffering, misery and indigence. This is the challenge faced by the relevance of our sustainable development policies. It seems necessary to make choices for the company in general, so it can continue to be a place of socialization of the individual in his community. However, to give the company the ability to play this role of regulator and trainer in our cities and countryside, it is

necessary to elaborate equitable policies and focus them on some moral principles and ethical values.

It becomes necessary to support private initiatives through a legal framework without equivocation and one adapted to promoting sustainable development.

Of the many factors which influence the business environment, aspects of the legal and regulatory environment invariably figure highly on most policy agendas (Buckley et al. 2008). Without any legal framework, able to take into account the needs of sustainable development for global companies, will follow a culture of movemented social protest because of the growing inequality and the fact that policy makers have less and less control over the activities of large-scale companies.

In fact, our economic development has meaning and significance only if we can position ourselves clearly in relation to life and universal human values, philosophical and ethical (DeBry et al. 2010:97).

### **Global Governance & Ethics in CSR**

The recent economic and financial crises of 2008, shows how our current “economic model is confronted with the ethical values and corporate social responsibility” (Sklair and Miller 2010) in promoting a shared vision of sustainable development. Indeed, the behaviours of multinational companies are puzzling and lead us to believe that it is imperative to establish new world governance that is able to properly meet the current economic, social and environmental development challenges. Over these past decades, some large-scale industries have been accused of their negative impacts in terms of unfairly low wages, child labour, excessive work hours, and unsafe work environments; pollution and contamination of air, ground water and land resources; and, undermining the ability of natural governments to protect the well-being of their citizens (Sethi et al. 2011). We cannot continue to conduct economic activities without worrying about their effects on the Biosphere, and the protection of common goods. Our economic activities today should allow future generations to enjoy the real progress that is the fruit of our evolution on Earth. Our social, economic and technological progress must be measured by our ability to maintain the individual’s well-being and sustainable development for all.

What is good for private organizations and what is not? Indeed, the overlap between the private and public sectors deserves to be analysed in more than one way in terms of creating greater synergy, as the missions of different types of organizations come together in at least one of their predominant aims: to give the individual a greater capacity for autonomy and choice in order to develop economically and socially.

Social, cultural, political, economic and environmental factors need to be addressed in a systemic manner. Compartmentalization has led to people thinking and acting in isolation without understanding the ripple effects and feedback loops (Christakis, 2006).

Indeed, the challenge to promote ethical values and corporate social responsibility questions the respect of individuals, the safeguard of our environment, and the taking into account of “intellectual and cultural values” (Laisne and Le Net, 2010: 24). However, it also is the fight against predatory practices that are linked to the deregulations pursuant to an economic development system where the pursuit of pecuniary benefit and unscrupulousness, represent the only unit of measures for economic performance, which limits the distribution of losses and

profits throughout the community, or the shared aspects of development that go beyond the boundaries of each country. All these crosscutting matters need to be supported by an interactive policy of the information and communication technology in order to develop better strategies to sustain the sustainable development. For instance, we cannot merely rely on a logical research solution and leave companies go their own way in measuring their environmental impact, whatever is their size. It is essential that the superstructures characterized by public authorities at the local and international levels develop coercible systems with regards to companies' ethical behaviours. It is striking that these international organizations must be legitimately able to promote such strategy policies in the pursuit of sustainable development.

Thus, the higher levels of legitimacy presuppose another ethos of the social responsibility, that universal rights promulgated be respected by all parties. Lafont (2010) analyzes some conceptual difficulties associated with the demand that global institutions be made more democratically accountable, and that they consider this, in the absence of a world state. It may seem inconsistent to insist that global institutions be rendered accountable for their decisions touching these matters.

Who has the responsibility to protect the environment: minorities, States, international organizations and civil societies? All these issues are eminently affecting the ethical moral values for sustainable development.

It is considered that such failures must be analyzed in the prism of strategies in action that aim at integrating ethical and moral values in relation to corporate social responsibility. It should be noted that the implementation of coherent strategies at the global and local levels involves draconian economic and financial rules. These regulations require strong political and democratic institutions in order to lend concrete meaning to the way the sustainable development of enterprises should be implemented. Democracy is currently increasingly criticized for not representing the interests of citizens (Christakis and Bausch, 2006; Nussbaum, 1995; Pape, 2005) or not taking into account the social justice and environmental concerns that span national boundaries (Singer, 2002; Nussbaum, 2006).

Such international organizations as the UN and intergovernmental agencies for development have to play their part to allow for the consistency of economic policies between the local and the global. These policies create a sense of coherence while ignoring fake regional cleavages, but also avoid being the hostage to a few economic or political pressure groups, as is the case at present.

According to Donaldson and Dunfee (1999), it is the responsibility of business leaders to ensure an ethical obligation which will enhance societal well-being under the seal of an implicit contract (social contract) between the company and the community, which in turn recognizes the right to operate as if it served the community's interest. Erskine (2011) considers that the prominence of issues such as environmental degradation, humanitarian intervention, and global inequality in the distribution of resources and wealth, challenges the theorist of international relations not only to recognize moral obligations that are transnational in scope, but also to ask the difficult question of who, or what, is to bear these responsibilities. The role of states might be seen as one of the main links to promote and implement a common accountability. Kustermans (2011) argues that in the debate in International Relations and International Law, States should be considered as having real person-status.



As such, International organizations are actors capable of bearing moral responsibilities and they ought to be accountable for their failures in doing so.

However, we should understand these responsibilities and respond to their failures in light of more comprehensive considerations about morality and the common goods (Dobson, 2008). Although there are attempts to fill in this gap, it is easy to see new forms of partnerships put into place to correct some flaws in the production systems and operations of natural resources. However, the “related challenges of governance and effectiveness” (Hertel, 2010) of these strategies are still real issues requiring further research, in terms of their relevance in different and varied contexts. For instance, Hertel, (2010) considers that Public Private Partnerships (PPPs) are an emergent phenomenon in global rule-making on labour rights; yet academic literature on the topic is marked by a lack of clarity on their scope and distinctions. Barry and Reddy (2009) argue for the creation of an international institution that can promote global economic prosperity through trade while at the same time encouraging societies to improve labour standards. It is a great challenge for international institutions, Private Sector and States, to seek agreement on how to balance the pursuit of profit and the protection of human rights, particularly formidable in the context of wars and other armed conflicts (Martin-Ortega 2008).

Very often the exploitation of natural resources gives rise to displacement, the expropriation of fertile land for agriculture, but also to competition for the acquisition of markets and corruption which is limited to the promotion of certain values and ethical moral support of sustainable development (CNCA, 2011). Grigorescu (2008) argues that international organizations need to quickly increase their independence in order to become more effective and to avoid the continued erosion of the legitimacy of IOs.

A full understanding of justice phenomena requires the consideration of individual differences; contextual influences; affective, cognitive, and social processes; as well as a person-centric orientation, that allow for both time and memory to influence the social construction of the worker phenomena (Rupp, 2011).

### **Limits and Implications for further research**

Public participation and sustainable development have become central and interconnected terms in today’s development discourse. Their currency and pervasiveness are due, in a large measure, to their adoption as important norms of the international order in various UN forums. Consequently, governments, business corporations and other actors on the international scene have felt obliged to express and demonstrate their commitment to these norms (UNECA, 2004:1). However, the problems of measuring concrete efforts made by a company are difficult to quantify. Nevertheless, many international organizations have put into place practical tools for managing and assessing social responsibility and sustainable development (Global Reporting Initiative, 1997, ISO 2010, Ethics Resource Center, 2007; Society for Corporate Compliance and Ethics, 2007; Domini 400 Social Index, Dow Jones Sustainability Indexes).

All these instruments for measuring the relevance of corporate social responsibility policies are sometimes difficult to apply because of the amount of information and the complexity of the contextual factors that vary from one country to another.

The relevance of sustainable development policies is facing a number of parameters. As noted above, the micro, meso and macro parameters require a higher degree of integration with respect to one another. At this level, we found a lot of constraints that are related to the

implementation of a global strategy for sustainable development. The UN, in a recent report, warns against the overexploitation of natural resources. Global consumption of natural resources could triple by 2050 to rise to 140 billion tons per annum unless drastic measures to curb over-exploitation are taken (UNEP, 2011). Such constraints are, for example, due to conflicting interests among stakeholders. Among other constraints, the case of certain local policies should be noted, as they are not developed sufficiently enough to compel stakeholders to implement them firmly and strictly. In other words, there is also an ability to implement more democratic processes and structures within the framework of international organizations. Furthermore, it is to be noted that an increased democratization of international organizations would lend greater legitimacy to the latter, in exerting all possible ways and means in order to comply with effective coercive measures – at both global and local levels – for sustainable development.

The United Nations Programme for the Environment considers it necessary to rethink the full exploitation of natural resources and provide for "massive investment" in economic and social innovations to achieve at least a freezing of current-level resource-consumption in rich countries (UNEP, 2011).

Thus, an organization's performance in relation to the society in which it operates and to its impact on the environment has become a critical part of measuring its overall performance and its ability to continue operating effectively (ISO, 2010; Imbs, 2010: 167). Indeed, the ISO 26000 standard is a perfect illustration of this confusion between the inventory of practices and the application of certain criteria relating to economic sustainability. For example, the ISO 26000 standard is an innovative tool that will enable companies to assess the relevance of their sustainable development policies as if all or almost all the criteria of social performance were identified through the development of this standard. The weakness of this important normative tool is that it leaves the company the choice to adhere to the standard or not to.

This incites us to ask the question again about who should enforce the application of certain common and universal values. Is it only the State and / or international organizations that need to acquire such prerogatives?

### CONCLUSION

According to Schlosberg (2008), justice is not only—and not even primarily—about securing a fair distribution of goods. Treating others justly also involves recognizing their membership in the moral and political community, promoting the capabilities needed for their functioning and flourishing, and ensuring their inclusion in the political decision-making. It is generally accepted, for example, that peace, a trusted and respected legal system, appropriate levels of social development and relatively predictable and stable political institutions are necessary. All have a major bearing on the sustainability of enterprises (Buckley et al. 2008).

Internationally, the Global Compact meets this desire to align business operations and strategies on universally accepted principles concerning human rights, labour standards, the fight against corruption and respect for the environment (Boyer and Brousillon, 2010: 59). Ethical codes developed by business managers may prove effective for some time provided they take into account the issue of equitable sharing of operations between the various stakeholders.

This equitable sharing can take place by considering a certain evolution at the socio-economic level but also by unilaterally creating a balance between the powers that be: management, unions and governments.

True global governance makes it urgent to build a genuine partnership to meet global challenges and solve real concerns related to human societies and their organizations (De Bry et al. 2010: 98). To build genuine global governance, it also becomes urgent to carry out political, economic, social and cultural conditions that are consistent with this Search for innovation in creating a sustainable business model. Today, the concern for innovation and creativity should lead policy makers to address the needs of the sustainability of a business through action-research and effective management practices aimed at economic sustainability and the social environment. Fostering creativity and innovation in the economy becomes an essential step in promoting a certain quality of life for all people and from there, to promote sustainable development through effective local and global policies, to safeguard the public goods.

Indeed, we must further refine the various definitions that include the concept of sustainable development for the promotion of moral values, ethics and corporate social responsibility.

Despite multiple definitions, everyone agrees that we cannot further exploit irrationally the natural resources of the planet (UNEP, 2011). And it seems increasingly necessary to draw up comprehensive global plans that fit more into local plans. We must learn to live in solidarity, knowing that the development of one can no longer continue ecologically, economically, socially, and politically to be drawn upon the underdevelopment of the others.

The current debate surrounding the promotion of ethical and moral values, social responsibility and sustainable development, arises from the growing interference between cultures and civilizations. The process of globalization has increased the interdependencies so that the borders of countries have yielded to the generalist requirements of political, economic and social data. The awakening of universal consciousness and the importance of sustainable development data coincide with the signs of the slowing global economic model inspired by Western capitalism. The financial capitalism crisis of 2008 unveiled the flaws in the mechanics of this model, which has long advocated the rule of profit over the human dimensions.

The pressure exerted on the environment in order to acquire the necessary resources to fulfill capital requirements, has openly revealed the imbalances and environmental degradation of our ecosystem. In this context, the international community displays divergent interests on the subject of sustainable development.

Western countries have exercised their development cost of heavy damage on the local and global ecological framework. Today they find themselves at a stage where they seek their ability to assimilate sustainable development. Indeed, the industrial revolutions of the eighteenth century required enormous expenditures of natural resources and energy. Conversely, developing countries and poor countries that have long paid the greed of western capitalism are now in a very uncomfortable situation. Specifically, the gap between the rich and the poor has widened with globalization. Precarious employment, youth unemployment are a real problem for our societies.

Will the international community rise above the scrum in order to build a consensus to effectively reduce poverty worldwide, to slow global warming without being trapped by the

interests of large national and international economic groups? Given all these economic, social and environmental issues that were discussed, it seems necessary to radically change our methods of producing and consuming, by allowing for more space to respect the biodiversity, promotion of solidarity, fair trade and exchange.

Faced with all these issues of social responsibility and sustainable development as just noted in this study; it is appropriate to note that the concept of degrowth becomes more and more important in the speeches of anticonsumerist, anti-productivist and environmentalists associations. Indeed, during the past two decades, several researchers, policy and decision makers have addressed this concept in relation to certain choices of economic and social development for our societies. If the effective policy implementation of sustainable development - social and environmental responsibility - could provide solutions to the ills that are related to the unbridled pursuit of economic and financial performance, which in turn insidiously obscures the role of the social and the environment in producing such organizational goals. In fact, the problem of degrowth is nevertheless fraught with economic and social development model that is characterized by economic deregulation measures that continue to increase social inequalities - within countries and across countries - through subsequent neoliberal policies of globalization. Dealing with limited resources available on earth should we better articulate development strategies towards aspects of quality of life and well-being; or should we further promote solidarity in economic and trade exchanges? The result of this complexity conflicting interests should not however suggest that no win-win solution is possible for the benefit of all stakeholders.

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## A Study on Stylistic Features and E-C Translation Skills of International Business Contract

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### Abstract

With China's Reform and Opening-up Policy, especially her entrance into WTO, China's international trades are mushrooming. As is known to all, most contracts of international trades are written in English which have intensely accurate vocabularies, well-structured organization and standardized forms. This paper analyzes international business contracts' stylistic features such as lexical features, use of terminology, use of archaic words, juxtaposition of synonyms, frequent use of long sentences and passive tenses. Then the author tries to offer E-C translation skills correspondingly guided by Nida's functional equivalence theory. It is believed that with a good understanding of the source text and command of both languages as well as related knowledge, E-C functional equivalence translation of IBC can be realized effectively.

**Key words:** IBC(International Business Contract); stylistic features; Functional Equivalence Theory; E-C translation techniques;

### INTRODUCTION

International business contracts refer to such articles of agreements made by related parties in accordance with laws and put into notarization so as to ensure their rights and obligations. Both of the related parties should absolutely obey the stipulated articles. With the rapid development of China's foreign trade, especially its step into WTO, China becomes increasingly active in foreign trades. However, there are also more and more problems between Chinese and foreign business engagements which occur more frequently than before. And many of those problems result from the translation mistakes in contracts. To put it more accurate, some party involved in contract consciously or unconsciously avoids his responsibilities and obligations because of those loopholes in contracts causing some contract disputes accordingly. Those loopholes fail to clearly stipulate the rights and obligations of each party, as a consequence of inadequate terms, ambiguous meaning, loose structure, unspecific reference and so forth. Hence, even a minor mistake may result in troubles even failure of trades. We should be sober-minded about the increasing importance of exact translation of business English contracts. This paper mainly studies the lexical features, syntactic features of international business contract and their Chinese translation techniques guided by Nida's Functional Equivalence Theory.

### BRIEF INTRODUCTION OF FUNCTIONAL EQUIVALENCE THEORY

Eugene A. Nida is one of the most famous representatives of linguistic group in western countries. He was skilled in many country's languages and made investigations on more than one hundred languages. During his academic research, he was engaged in various fields such as linguistics, semantics, anthropology and communication engineering. He was also involved in the translation of Bible. By fifty years of translation practices and theoretical researches, he put forward the world-renowned Functional Equivalence Theory. He holds the view that

translation dose not only mean lexical equivalence but also semantic and stylistic equivalence; besides, translation also means digging out the deep cultural meaning more than the shallow lexical information. He points out that "it is essential that functional equivalence be stated primarily in terms of a comparison of the way in which the original receptors understood and appreciated the text and the way in which receptors of the translated text understand and appreciate the translated text"(Nida, 1993:116) [1]His theory first is called Dynamic Equivalence Theory and it includes four aspects: 1)The matching words; 2)Syntactic equivalence; 3)The textual equivalence; 4)Stylistic equivalence. In these four aspects, Nida thinks that meaning is one of the most important thing, form is the second. The form is likely to hide the meaning of the source language culture and block cultural exchange. Therefore, in literary translation, according to Nida's theory, the translator should take the dynamic equivalence as the translation principle and reproduce the source language's culture connotation accurately in the target language. Due to the misunderstanding and also to emphasize the concept of "function", Nida gradually uses the "functional equivalence "to substitute for "dynamic equivalence". As a matter of fact, the two concepts have the same implications.

"Functional equivalence" theory puts modern linguistics, communication, information theory, semiotics and aesthetics into the field of translation, undermines the traditional thought in the macro view, provides a new perspective for translation study, makes detailed studies on translation from various angles, puts the new thinking, concepts and methods into the translation, provides many new methods for translation studies, lays a solid foundation for modern translation.[2] The "functional equivalence" plays an important role in promoting literary translation. Thinking from microcosmic view, "functional equivalence" solves the competition between "free translation" and "literal translation"(Lao Long, 1989)[3]. "Functional equivalence" provides many constructive suggestions to the translators. At the same time, it eases translator's debate from the perspective of language and culture, it finds a balance of "domestication" and "dissimilation" from the perspective of science.

### **STYLISTIC FEATURES OF IBC**

With the increase of the modern business activities, social request for business contract is becoming more and more urgent. Business contracts refer to the agreement provisions which are formally concluded according to laws and notarized by both of parties when doing some business cooperation. International business contracts are a kind of general contracts. In international trade, if both parties have no special request for the contract and goods, they generally use the content and form of the commercial contract. Contract language is a sub-variety of legal language, taking on such distinctive forms as selection of particular vocabulary, different types of sentences structures and different conventions for the textual organization attributable to its solemnity, accuracy, preciseness and authority.

#### **Lexical features**

Words are the building bricks of communication. The language of English contract is quite different from that of the other fields in terms of vocabulary and style.The lexicon of English contracts is featured with formality, clarity, exactitude and authority.The main features are the frequent use of terminology, archaic words and the juxtaposition of synonyms.

#### ***Terminology***

When drafting or translating English business contracts, a multitude of professional words are frequently used in international commerce, international settlement, international investment and the like. Just name only a few, free on board, bill of lading, neutral packing, general

average, force majeure, factoring and so forth. Besides, in business contracts, many general words are used as terminology for their specialized meaning. As a consequence, when translating, translators should exactly figure out their specialized meaning instead of viewing them as common meaning which otherwise will cause ambiguity or discrepancy in contracts.

ST: This agreement is hereby made and entered into on March, 16, 2014, by and between Hua wei Co.China(hereinafter referred to as Party A ) and Zhong Xing Co.(hereinafter referred to as Party B )

TT: 本协议由中国华为公司（以下简称甲方）与中国中兴公司（以下简称乙方）于 2014 年 3 月 16 日订立。

### **Archaic Words**

One of the main language features of English business contracts is the frequent use of archaic words. As we know, modern English develops and evolves on the basis of archaic words and other borrowed words; however, with the development of society, they are hardly used in other writings. Archaic words, formal and serious, said by Leech(Leech, 1998)[4], are in accordance with accuracy and conciseness of English business contracts. The archaic words mostly used in contracts are compound adverbs, namely, those words combining “here”, “there” or “where” with “in, on, of, to, at, by, after, upon, under, with”. Here, “here” implies the meaning “this”, “there” is “that”, “where” is “which”, and their corresponding Chinese meanings are “兹” or “特此”.

ST: 1) We hereby certify to the best of our knowledge that .....

TT: 特此证明，据我们所知.....

Apart from their formal and serious style, archaic words can also help to make the content more clear and concise without repetition and redundancy. For instance, “依照本合同” are nearly hardly seen as “according to relevant terms and conditions in the contract” but “as provided herein” in contracts, which exactly illustrate the accuracy and conciseness of archaic words as well as the stylistic feature of English business contracts.

### **The Juxtaposition of Synonyms**

In order to shun ambiguity and discrepancy by emphasizing and exactly demonstrating content, English business contracts see a prevailing use of juxtaposition of two words, to put it more accurate, the two words conveying the same or similar meaning are put together with “and ” or “or”, such as “keep secrete” and “confidential”. Juxtaposition ensures the words’ meanings are exactly understandable and the contents are complete and precise, which actually reflects the principle that when translating contracts, we shall keep the content complete; moreover, it also reveals contracts’ serious and formal style and the frequent use of archaic words.

ST: This contract is made by and between the buyers and sellers, whereby the buyers agree to buy and the sellers agree to sell the under-mentioned. Commodities according to the terms and conditions stipulated below.

TT: 本合同由买卖双方签订，根据本合同条款，买方同意购买，卖方同意出售以下产品。

Some people may easily translate 条款 into “terms”, but putting “terms and conditions” together is absolutely correct and accurate.

The followings are common juxtapositions of two words in English business contracts:

1. Nouns : terms and conditions ; provisions and stipulations ; agent and representatives.
2. Verbs : alter and change ; bind and obligate.
3. Adjectives : null and void ; sole and exclusive ; final and conclusive.
4. Conjunctions : when and as.
5. Prepositions : from and above ; under and by.

### **The Syntactic Features of International English Business Contracts**

Frequent use of long and complicated sentences or lengthy sentences is the most prominent feature of international contract language. Such sentences always cover a large amount of or even the majority of a contract. Besides, the use of passive tense in business contracts is also common.

#### **Frequent Use of Long Sentences**

English contracts have complicated sentences because of their frequent use of complex clauses and coordinate clauses. Sometimes some sentence may also entail another clause and a layer is qualified by another aiming to ensure preciseness and clearness expelling discrepancy and loopholes. English and Chinese differ in thought and expression, so translators shall not translate long sentences in contracts directly from the literal meaning. That is to say, we shall fully understand the exact meaning of phrases, qualifiers and conjunctions, figure out the main idea, time and logic sequence, and then divide these sentences respectively and translate them one by one or readjust the logic sequence if possible.

E.g: All disputes arising from the execution of this Agreement shall be settled through friendly consultations. In case no settlement can be reached, the case in dispute shall then be submitted to the Foreign Trade Arbitration Commission of the China Council for the Promotion of International Trade for arbitration in accordance with its provisional rules of procedure. The decision made by this Commission shall be regarded as final and binding upon both parties. Arbitration fees shall be borne by the losing party ,unless otherwise awarded.

#### ***Dominant Use of Passive Tense***

The purpose of passive tense is to stress the receivers and objectively describe truth. Contracts are used to stipulate related parties’ rights and obligations, to put it like this, we shall make it objective and fair, formal and serious , which results in the use of passive tense in contracts. Passive tense is prevalently used in packaging, shipping, insurance, payment, inspection, and dispute settlement stipulated in contracts. Sometimes we Chinese translate them into Chinese passive sentences. However, because of distinct ways of expression, we Chinese tend to translate them in active sentences ether by changing the receiver into subject or directly translating them into active sentences.

ST:1)The quantities, prices and shipments of the commodities stated in this Agreement shall be confirmed in each transaction, the particulars of which are to be specified in the Sales Confirmation signed by the two parties hereto.

TT:本协议所规定商品的数量、价格及装运条件等，应在每笔交易中确认，其细目应在双方签订的销售协议书中作出规定。

ST:2)This Agreement is entered into between the parties concerned on the basis of equality and mutual benefit to develop business on terms and conditions mutually agreed upon as follows.

TT:2)为在平等互利的基础上发展贸易，有关方按下列条件签订本协议。

#### 4. E-C Translation Skills of IBC Based on Functional Equivalence Theory

##### **Semantic Equivalence**

Semantic meaning means surface and deep meaning. Surface meaning refers to the literal meaning while deep meaning refers to the intended meaning which can only be explored and figured out in context with one's knowledge of original language's society, history, culture and art. As the Functional Equivalence says that if articles can be perfectly translated directly, in this case, reorganization and readjustment of sentences and information are unnecessary. As business contracts and agreements are accepted by law, their surface meaning is exactly what they want to convey, no implied or deep meaning, that is to say, translator should understand those terminologies and archaic words and directly translate them without unnecessary deep thinking.

##### **Translation of Terminology**

The use of technical terms is one of the marked features that delimit every field or every occupation. English contract language certainly has its own inventory of terminologies such as damages, novation, tort, collection, franchise, forfeiting and so on. According to different subject matter, there are various kinds of contracts. Therefore, the translation of IBC is an interdisciplinary activity which involves different legal systems and laws, WTO rules and other customary practices, and also concerns such special fields as ad commodities, market, commodity inspection, transportation, insurance international finance, arbitration and foreign exchange, etc. If translators deal with technology transfer or technology-related contracts, they are facing more serious challenge. Having good command of Chinese and English doesn't make a good translator, he/she should be familiar with the terminology he/she is supposed to translate.

ST: Full set (including three copies each of the negotiable and non-negotiable) of clean on board Bill of Lading or Charter Party Bill of Lading in accordance with the Charter Party, made out to order blank endorsed, notifying the China National Foreign Trade Transportation Corporation at the port of destination.

TT: 全套（包括可转让的和不可转让的各三份）洁净无暇的装船提单或与租船同一一致的租船合同下的提单，凭命令的，空白背书，在目的港通知中国对外贸易运输公司。

##### **Translation of Archaic Words**

As has been discussed, frequent use of archaisms marks the language of IBC. As contract is one of formal and solemn legal documents, employment of archaism can render a tint of authority and formality to the language, avoid repetition and improve accuracy and simplicity. Therefore, when they are translated into Chinese, archaic, formal and solemn Chinese equivalents are needed to achieve the same effect in the Chinese readers not only as the content but as the

authority. For example, herby means by means of this or by reason of this that can be translated as “兹、特此”; “thereto” means “to that” and it can be translated as“随附、附之”; whereby means “by what” or “by which” that can be“凭此条款、凭此协议”.

More archaisms are listed as follows for reference:

**Table 1:archaisms and their Chinese translation**

hereafter	今后;此后	therefrom	从那里
herein	此中;于此	thereinbefore	在上文中
hereinafter	在下文	thereof	由此;因此
hereof	在本件中;于此	thereupon	随后;因此;关于那
hereto	至此;□此	therewith	从此;于此
heretofore	迄今;到□在□止	whereas	□于;而
herewith	同此;付此	whereby	由是;凭那个
thereby	因此;由此	whereof	关于那事;关于它

ST: Upon accession, China accedes to the WTO Agreement pursuant to Article XII of that Agreement and thereby becomes a Member of the WTO.(Compilation of the Legal Instruments on China’s Accession to the World Trade Organization, 99)[5]

TT:自加入时起,中国根据《WTO 协定》第 12 条加入该协定,并由此成为 WTO 成员。(《中国加入世贸组织法律文件》, 99)

### Stylistic Equivalence

As is said before, English business contracts are enforced by law , it is of extremely serious forms and appropriate vocabularies, as a consequence, translators ought to follow the original writing’s style. M.A.K.Halliday[6], once put forward the famous Register Theory, also advocates that language varies with its function and situation, so register owns its meaning of choosing the equivalent language conforming to the situation. However, just translating writings casually regardless of the style, the translated writings will definitely result in incorrectness and impropriety.

ST:The shipping documents for the consignment are now with us and we shall be glad if you will arrange to collect them.

TT : 货运单据现存我行，请安排前来赎单。

### Syntactic Equivalence

#### *Translation of Long Sentences*

Drafters of English contract have long developed an inveterate preference in using lengthy sentences to convey most complicated and discreet ideas. Long sentences often have complicated grammatical structures and consist of large numbers of attributive and adverbial elements. In E-C translation of IBC, translators’ task is to decode and rearrange the complex adverbial and attributive elements to make Chinese texts faithful, accurate, genuine and authoritative. Translators should notice the grammatical relations between the sentences and induce and generalize the gist of them, then select appropriate translation techniques such as embedding, cutting, reversing, splitting-off and recasting to achieve inter-coherence between source texts and target texts. These techniques combined together adroitly will undoubtedly

help facilitate the translation for long and complicated sentences and will definitely make the sentences expressed in a more adequate way. For the limit of space, the author just offers one example here.

**ST:** In the case of the Machinery, the handling, operation, use, testing and maintenance of the Machinery, which are owned by or in the possession of FOREIGN PRO (other than such information relating to propriety coatings which are not owned by FOREIGN PEO), or may be available to or hereafter acquired by FOREIGN PEO from third parties(unless same are subject to secrecy agreements precluding disclosure by FOREIGN PRO to others), as may be updated and improved by FOREIGN PRO to others), as may be updated and improved by FOREIGN PRO from time to time during the term of this Agreement, regardless of whether same are patented(or patentable) or not, and based on which FOREIGN PRO as of the Effective Date of this Agreement and during the term hereof manufactures the Licensed Products and Equipment or operates and maintains the Machinery.

**TT:** 关于这些机器的处理、操作、使用、测试、保养等；所有这些都是外方所有或占有的（不属外方所有的专用外涂物体除外）；或者是外方现在或今后可以从第三者那里得到的（除非外方按照秘密协议不能向外人透露）；是外方在本协议期间随时加以更新改进而不管是否取得专利的；以及外方在此基础上于协议期间用来制造特许产品和设备或者操作保养这些机器的各种技术资料都应包括在内。

### ***Translation of English Passive Tense***

Where it is unnecessary to mention the parties to the contract, or to emphasize the patient of the action, or to keep text coherent, impersonal and formal, the passive tense is widely used in English contract. In order to abide by the intercoherence rule, the concept expressed by passive tense in English must be rendered into one expressed by active tense in Chinese. The structure of active in the Chinese often expresses a passive meaning and we can convert the passive in English to active voice in Chinese. We can transform the doer in ST to the subject in TT or the transformation of the adverbial in ST to the subject in ST : 1) All certificates relating to Quality and Product Safety Standards must be provided by the seller, at the seller's expense.

**TT:1)** 供应商自费提供所有关于质量及产品安全标准的证明书。

**ST:2)** All disputes arising out of the performance of, or relating to this Contract, shall be settled amicably through negotiation.

**TT: 2)** 凡因执行本合同所发生的或与本合同有关的一切争议，双方应通过友好协商解决。

**ST: 3)** The establishment, remuneration and the expenses of the staff of the training, preparation and construction office, if agreed by both parties, shall be covered in the project budget.

**TT: 3)** 如果甲乙双方同意后，工程预算应包括抽检工作人员的编制、报酬及费用。

From the above examples, we can see in E-C translation, translators needn't rigidly adhere to the source text but understand its semantic meaning and functions and try to realize them in the target text. In this way, the functional equivalence and successful communication can be realized.



## CONCLUSION

As China's foreign trade becomes increasingly prosperous, correctly and effectively translating contracts plays a bigger role in guaranteeing success of trades. However, because of distinction of Chinese and English, many errors frequently occur in translating contracts. This paper mainly analyzes the stylistic features, namely, lexical and syntactic features of international business contract and tentatively discusses Chinese translation techniques of English business contracts guided by Nida's Functional Equivalence Theory, that is to say, semantic equivalence and stylistic equivalence. For the saving of space, the author only analyzes some features of the international business contract and their Chinese translation techniques which does not cover all the business contracts. And more need to be done in the future.

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# Performance of Public-Private Partnerships in delivering Education services: The Case of Universal Secondary Education Policy Implementation in Uganda

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## Abstract

After implementing the Universal Primary Education policy for 10 years, Uganda initiated the Universal Secondary Education (USE) policy in 2007. The objective of the USE initiative was to equitably increase access to secondary education. The policy is implemented by public secondary schools as well as through a Public-Private Partnership (USE PPP) between the Ministry of Education and Sports and selected private secondary schools—mainly in sub counties without any public secondary schools. Within the USE PPP, the government provides a subsidy (capitation grant) to private schools to enrol UPE graduates. In this paper, we adopt the integrated framework for assessing public-private partnerships to examine the workings and performance of the USE PPP. The focus on USE PPP is due to the fact that this type of arrangement in delivering education services never existed prior to the USE policy. Based on 2013 survey findings, the USE PPP is performing moderately well in terms of good accountability, relevance, effectiveness, impact and participation. However, the USE PPP is performing poorly in terms of efficiency and sustainability. The paper has documented the major challenges faced by the USE PPP and proposed specific actions that can improve and sustain the impact of USE policy under PPP framework.

**Keywords:** Public-private partnership, Universal Secondary Education, Uganda

## INTRODUCTION

### Background

Transition from primary to secondary education has remained very low in Sub-Saharan African (SSA) countries. According to the 2010 Education for All (EFA) Global Monitoring Report, 38 percent of children who are supposed to be in lower secondary school are actually out of school. Moreover, access to secondary education is inequitable, to the detrimental of poor children.

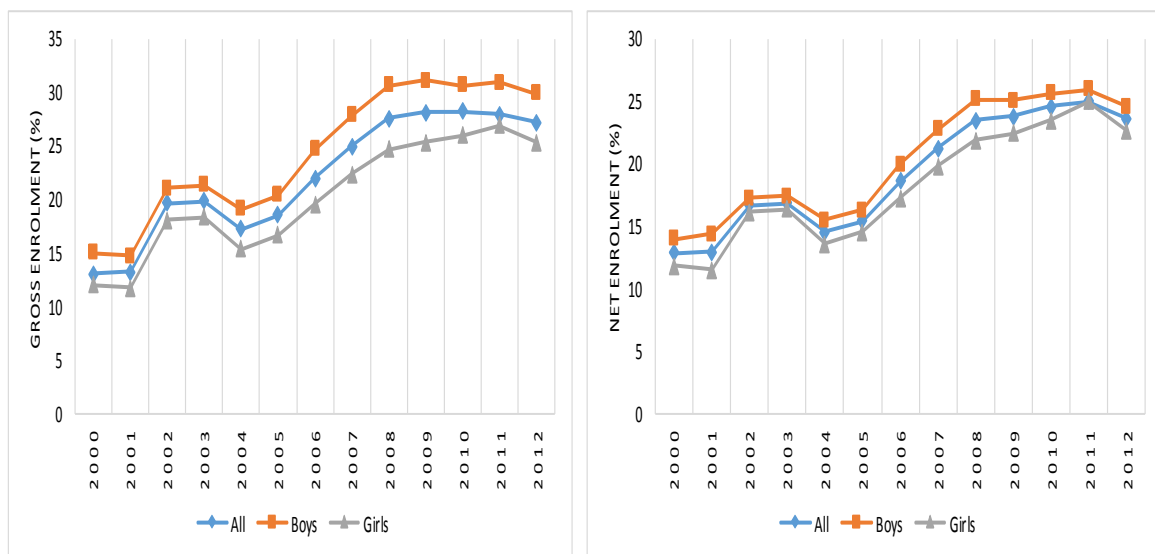
Like many other SSA countries, Uganda's secondary education sub-sector is characterized by low enrolment and high drop-out rates. In 2013, the average Gross Enrolment Rate was estimated at 27 percent (29 percent for boys and 25 percent for girls) (Ministry of Education & Sports (MoES) 2013). Analysis based on Uganda National Household Survey (UNHS) of

2009/10 indicates that high cost of schooling remains a major barrier to accessing secondary education. Besides, the challenge of low secondary school enrolment, the drop-out rate is alarming, especially for the girl child. Only approximately 34 percent of girls that join secondary schools complete the ordinary secondary school level compared to about 52 percent for boys (MoES 2012).

In order to address access constraints to secondary schooling, a number of countries in SSA (for example, Malawi, Kenya, Tanzania, and Uganda) are implementing Universal Secondary Education (USE) policy. Uganda started implementing the USE policy in 2007, through a Public- Private Partnership (PPP) – owners of some private secondary schools have partnered with the MoES to enrol eligible children for the ordinary level secondary education. The USE policy aims at consolidating Universal Primary Education (UPE) gains and ensuring equitable access to secondary education by all eligible students regardless of their socio-economic background.

In Uganda, it is over six years since the USE policy was launched, yet enrolment for secondary education remains below 30 percent as illustrated in Figure 1. Both gross and net enrolment rates increased after the introduction of the USE policy, but seem to start declining after 2011. Yet, by Government introducing the USE policy and implementing it in partnership with private schools, it was hoped that many children would then gain access to relatively affordable secondary education. This raises questions on the performance of this partnership against the expected outcomes of the policy. Therefore, this study sought to provide insights into the performance of USE implementing public-private partnership.

**Figure 1: Gross and net enrolment rates in secondary schools (2000 – 2012)**



**Source: Education Management Information System 2000 -2012**

The information generated from this study can be used as evidence for possible reforms in the re-design and implementation of the USE policy. The scope of the current study is limited to the performance of the PPP but it does not focus on the learning outcomes, which thus can be an area for further research.

The remaining part of the paper is structured as follows: section 1.2 provides a conceptual framework for the study; section 2 presents the review of literature; section 3 describes the

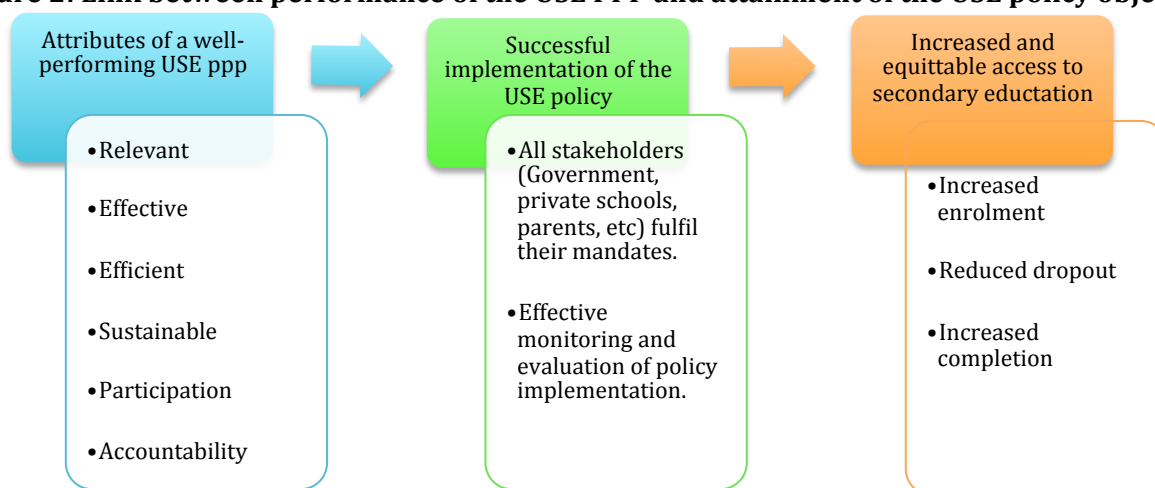
methodology used; section 4 presents the results and discussion, while section 5 provides the conclusions and emerging policy actions.

### Conceptualisation and definitions

Although there are Government aided USE schools, implementation of the USE policy heavily relies on the partnership that exists between the MoES and selected privately owned secondary schools. This partnership is largely driven by limited public secondary school infrastructure, which would otherwise limit access to all qualifying children. Collaborations such as this are commonly referred to as public-private partnerships (PPPs). MoES (2010) defines a PPP as a Medium to long-term contractual arrangement between public and private sector to finance, construct/renovate, manage and/or maintain a public infrastructure, or the provision of a public service.

Thus, in the context of this study, if the contractual arrangement between MoES and private secondary schools works well as illustrated in Figure 2, access to secondary education should greatly improve. Currently, the MoES mainly uses Gross Enrolment Rate and Net Enrolment Rate to measure access to secondary education. Accordingly, if the USE PPP is indeed performing well, then access should increase, and drop-outs previously associated with high cost of schooling is deemed to reduce, hence registering higher completion rates.

**Figure 2: Link between performance of the USE PPP and attainment of the USE policy objective**



## DATA AND METHODS

### Data sources

This study used secondary data on number of USE schools and USE enrolment for the period 2007 to 2012 to gain an understanding of how the USE PPP has grown over the years. This data is collected by MoES and was sourced from the Education Management Information System (EMIS).

To be able to evaluate the performance of the USE PPP, primary data was collected in June 2013 from 61 private secondary schools that are partnering with MoES to implement the USE policy. These schools were selected from four purposively selected districts of Arua, Iganga, Kibaale and Luwero – representing the regions of northern, eastern, western and central respectively. The choice of the districts was based on the number of private USE schools in a given district – from each region a district with the highest number of private USE schools was selected so as to obtain adequate observations for analysis. The actual numbers of private USE

schools visited per district are: Luwero (23), Iganga (18), Arua (11) and Kibaale (9). The study did not collect data from public USE schools because they are not part of the USE PPP (they are entirely government aided and do not have a private sector component).

Using a semi-structured questionnaire, we conducted face-to-face interviews with the Headteachers of the selected schools. In some cases, we also interviewed bursars, Directors, Chairpersons of Boards of Governors and other school administrators. Additionally, we reviewed the Memorandum of Understanding (MoU), certificates of accountabilities, head count forms and other relevant documents to be able to extract more data. To further get insights on the operations of the USE PPP especially with regard to policy implementation, support supervision, school inspection and evaluation, we interviewed the Assistant Commissioner in charge of private schools, Chief Administrative Officers (CAOs), District Education Officers (DEOs) and other school inspectors.

## **Analytical framework**

### ***Integrated framework for assessing public-private partnerships***

The analytical framework adapted for this study is a modification of the OECD's standard aid evaluation criteria, which assesses PPP performance, based on five criteria namely relevance, effectiveness, efficiency, impact and sustainability. Lund-Thomsen (2007) while assessing the impact of PPPs in the global South, added two other criteria (participation and accountability) to OECD's standard aid evaluation criteria and came up with what he called "An integrated framework for assessing the performance of PPPs". Below is a description of the seven PPP performance assessment criteria.

**Relevance:** This evaluation criterion tests whether clear objectives were established under the PPP and whether the PPP objectives are in line with those of the partnering institutions. This criterion also explores whether the PPP objectives meet the perceived needs of the stakeholders (in this case schools, parents and teachers); and whether the stakeholders are supportive to the realization of the PPP objectives. Thus, assessing a PPP's relevance is not only necessary in ensuring that the priorities of the PPP and the those of the intended beneficiaries are taken into consideration, but also helps to improve design of the PPP.

**Effectiveness:** This criterion first assesses whether the PPP has yielded the intended objectives. In context, the study attempts to establish whether the USE PPP has led to increased access to ordinary level secondary education for all categories of children (boys and girls, residents in poor and non-poor households, children living with disabilities, and those in war affected areas). Second, effectiveness criterion assesses whether the achievement of the intended objective is indeed remarkable – in this context we assess whether the USE PPP has significantly increased access to secondary education. Third, the effectiveness criterion assesses whether the PPP is being implemented as per the guidelines. Specifically, in this study we sought to find out whether USE private schools adhered to all implementation guidelines that are provided by the MoES in the "Policy and operational arrangements for implementation of Universal secondary education (USE)". And lastly, this criterion assesses whether the stakeholders are satisfied with the outputs/outcomes of the partnership.

**Efficiency:** This criterion assess the performance of a PPP with regard to whether; 1) the public financial contribution is adequate, 2) the private partners are using the available resources optimally, 3) the private partners have adequate resources to enable them implement the activities of the PPP, and 4) the private partners consider themselves more efficient than the public in delivering the service in question. Thus, in line with the

mentioned, we assessed whether private USE schools; receive adequate funding from Government to enable them enrol and educate students, have adequate resources (e.g. qualified teachers, classrooms, laboratories, libraries, etc.) and use the resources optimally, and are better providers of secondary education compared to public USE schools. An understanding of how the private USE schools are using the limited available resources to increase access to secondary education will guide the redesign and implementation of USE programme.

**Impact:** This criterion assesses whether a PPP: has been effective, has yielded un-intended consequences, has co-opted stakeholders and regulatory efforts are respected, and has in place an effective monitoring and enforcement system. Particularly, efforts were made to understand whether: apart from increasing enrolment for secondary education the USE PPP has had other positive or negative externalities; schools, parents and students are included in the operations of the PPP; regulations governing the USE PPP are observed; and private USE schools are monitored and recommendations are adopted.

**Sustainability:** This criterion assesses whether the PPP achievements are sustainable in the long run, whether the PPP can financially sustain itself and whether the organizational structures created through the PPP will continue to exist. The particular issues that were examined in the current study included; whether the Government and private USE schools can sustain their contributions towards USE implementation, whether the Boards of Governors created in fulfilment of the USE PPP requirement will continue to exist with or without the partnership, and whether parents and guardians will continue to fulfil their roles.

**Participation:** The OECD (2007) defines participation as the process through which stakeholders influence and share control over priority setting, policy-making, resource allocations and access to public goods and services. In terms of assessing the performance of PPPs, this criterion facilitates an investigation into whether the intended beneficiaries of PPPs have had any influence on the design, implementation, monitoring and evaluation of PPP initiatives. In the context of this study, the beneficiaries of the USE PPP are the participating schools, parents/guardians and children. Thus, we made investigations into whether private USE schools, parents/guardians, and students participated in the design and implementation of the USE PPP; and whether they (beneficiaries) have taken interest to monitor and evaluate the USE PPP undertakings.

**Accountability:** This criterion provides an understanding of whether there are internal checks and balances in the PPP that can be used to guide the conduct of its participants and enforce agreed-upon rules. Having had prior knowledge that the MoES produced a document on the operational arrangements for implementation of USE programme, we investigated whether private USE schools have knowledge of what the operational arrangements provide for; and whether the actions of participating schools and parents are in accordance with the set procedures and rules of conduct.

### ***Application of the integrated framework for assessing PPPs***

During data collection, for each PPP assessment criterion, the respondent was requested to explain with examples a set of questions/issues. Based on the information provided by the respondent, the research team, made an objective evaluation of each criterion and assigned numbers 1, 2 or 3; where 1 = True, 2 = True but to a less extent, and 3 = Not true. The

descriptive analysis based on the scores is what gives an indication of how the PPP is performing.

## RESULTS AND DISCUSSIONS

### Growth of the public-private partnership implementing USE policy

Table 1 (Panel A) presents a snap shot in the growth of both government and private USE schools since 2007. Broadly speaking, the number of private USE schools increased from 1,155 in 2007 to 1,919 in 2012 – translating into 66 percentage increase. While this growth is mirrored in both categories, the share of government USE schools is on a decline relative to that of the participating private schools. Put differently, the public-private partnership has continued to grow over the years – with a share of nearly 47 percent in 2012. The increase in the number of USE schools seems to have led to significant increases in the number of USE students enrolled in ordinary level secondary education by five-fold. Although, the increase seem to have been faster for girls compared to their male counterparts. It is also important to note that immediately after the implementation of the USE program in 2007, enrolment of eligible students almost doubled in 2008 – regardless of gender. All this said, the share of USE private schools in total USE enrolment seem to lag their share in the total number of USE participating schools.

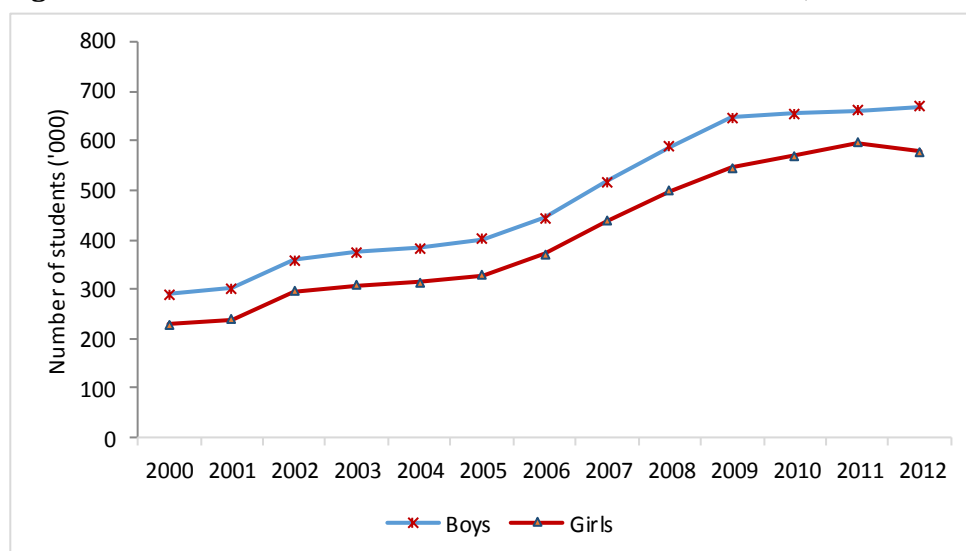
**Table 1: USE schools and enrolments; 2007- 2012**

	2007	2008	2009	2010	2011	2012
<i>Panel A. Number of Schools</i>						
Total	1,155	1,231	1,348	1,490	1,647	1,919
a) Government USE schools	791	803	802	841	904	1,024
b) Private USE schools	364	428	546	649	743	895
Percent private USE schools in total	31.5	34.8	40.5	43.6	45.1	46.6
<i>Panel B. Enrolment</i>						
Total	161,396	316,652	451,187	600,328	689,541	751,867
a) Males	92,388	180,086	254,289	334,639	377,293	408,441
b) Females	69,008	136,566	196,898	265,689	312,248	343,426
Percent females	43	43	44	44	45	46
Percent USE students in private schools	25	27	30	32	35	39

Source: Education Management Information System (EMIS) 2007 – 2012

While there is a noticeable increase in enrolment, the gender gap remains almost unchanged. Notably, Figure 3 reveals a widening gap in 2012. In other words, the gender gap has persisted even after the introduction of USE in 2007. These trends are partly explained by the differences in primary leaving examination (PLE) pass rates for boys and girls. Compared to boys, fewer girls pass PLE, which is a prerequisite for joining secondary education. For example, in 2012, 68 percent of boys who sat PLE passed by scoring 28 aggregates versus 66 percent for girls (EMIS 2000 – 2012).

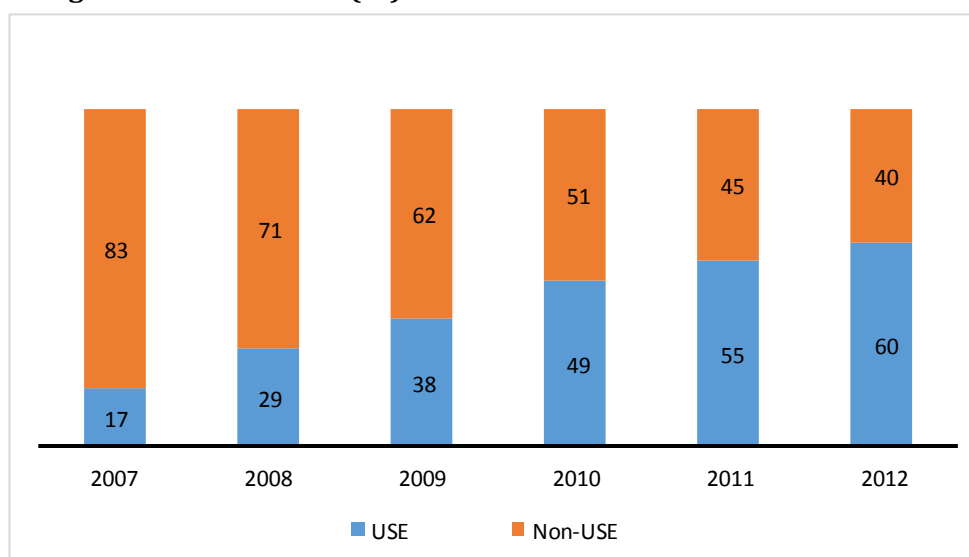
**Figure 3: Trends of overall O’level enrolment for all schools; 2000 – 2012**



Source: Education Management Information System (EMIS) 2000 – 2012

Figure 4 illustrates the extent to which the USE program has remained the key driver of increasing enrolment for the ordinary level secondary education in Uganda. The share of the USE program increased from 17 percent in 2007 to 60 percent in 2012. To put it differently, six in every ten students that were enrolled in O’ level secondary schools in 2012 were beneficiaries of the USE program.

**Figure 4: Contribution (%) of USE to O’ level enrolment 2007 – 2012**



Source: Education Management Information System (EMIS) 2000 – 2012

**Performance of the partnership between MoES and private schools**

This section discusses the performance of the government partnerships with private schools based on primary data collected from sampled schools. The discussion is guided by the seven criteria of the integrated framework for assessing performance of PPPs (see section 3.2.1). Each criterion is discussed separately in the subsequent sub-sections, and a synthesis of the seven assessment criteria is provided at the end.



### **Relevance**

Nearly 77 percent of the respondents demonstrated knowledge of the USE PPP objective of increasing access to secondary education and that it does not contradict with their respective school objectives. Growing enrolment is a positive move given the profit maximising objective of most private schools.

More than half of the respondents perceived that the partnership meets the needs of the stakeholders (partnering schools and the parents). Most participating schools are satisfied with the USE support in terms of capitation grant and the teaching resources. Reporting on behalf of other parents, most Boards of Governors cited increased access to secondary education as well as growing number of adults in the communities with at least Uganda Certificate of Education (UCE). This was considered as a positive development compared to the pre-USE period.

A given partnership is said to be relevant if the stakeholders are supportive to the realization of its objectives. The field findings reveal that various stakeholders are to some extent supportive to the realization of the objective of the USE policy. For instance, parents take and register their eligible students at school, some of them contribute to their children's feeding by either paying lunch fees in cash or in kind (provide food items e.g. maize flour and beans), and others provide school uniforms and scholastic materials to their children. Additionally, in many schools, parents voluntarily contribute towards purchase of laboratory chemicals and apparatus, and construction of more school buildings when approached. It was interesting to note that also some politicians (e.g. area members of parliament) actively participate in school funding activities to support such developments.

Notwithstanding these positive developments, challenges still remain. Like with the experience with the Universal Primary Education (UPE), some parents do not provide their children with the necessary school related requirements (uniforms, books, pens and lunch among others). This has partly resulted into some students dropping out of school before completing Senior Four. There is some degree of politicisation of the USE programme. The Resident District Commissioner (RDCs) were cited to have interfered in the parents' participation in school development activities – claiming that government contribution to the participating schools covers all these expenses. Headteachers reported that there is a misconception that under the USE programme a parent has no financial obligation whatsoever. Lack of support from some stakeholders is not peculiar to Uganda but a global issue as Patrinos et al. (2009) rightly put it that managing education PPPs can sometimes be complex.

### **Effectiveness**

In theory, PPP effectiveness is measured by attainment of its intended objectives, stakeholder satisfaction with its outcome and compliance with its implementation guidelines. One clear objective of the USE PPP is to increase education access equitably – i.e. minimize disparities in education access by the different categories of student (poor and non-poor, girls and boys, and children living with disabilities). Survey findings revealed that about 92 percent of respondents were in agreement that the PPP has helped to avail learning opportunities to all qualifying children, irrespective of their socio-economic status. However, with the available information it remains difficult to establish the extent to which the program has benefited children living with disabilities. Indeed, most Headteachers reported that they lack special facilities for students with major disabilities.

On the other hand, about 74 percent of the respondents agreed that the USE PPP has yielded substantial increments in school enrolments – which corroborates with the findings based on EMIS data. The respondents observed that at inception of the USE policy, enrolments skyrocketed and over the years, the enrolment in non-USE participating private schools has steadily declined.

Next we consider adherence to PPP guidelines as another measure of effectiveness. While more than half of the respondents cited following the guidelines and procedures as stipulated in the USE implementation guidelines, the practise on ground might be different. This is demonstrated by the fact that only one school out of the sampled schools had a copy of the implementation guidelines – implying that the rest of the schools were implementing the programme haphazardly. Nonetheless, most managers of schools had knowledge of some of the guidelines and to an extent followed them. This is illustrated by the fact that all schools had certificates of accountability – implying they were properly accounting for the USE funds; some schools had class sizes not exceeding 60 students per stream, which is the recommended upper limit; all schools had set up Boards of Governors, as required in the USE implementation guidelines; and admitted only eligible students. On the other hand, some schools were found to be violating certain principles, for example, they were not displaying on their notice boards the monies received as USE capitation grant, against what is required of them.

### ***Efficiency***

One of the indicators of efficiency is adequacy of contributions of partnering institutions. Three quarters of the Headteachers or Directors interviewed cited inadequacy of the currently level of USE capitation grants relative to the various school requirements. They reported teachers' salaries as one of their biggest expenditure, partly driven by the pressing demands for better and timely pay from teachers. Resultantly, some of the schools are compelled to violate the guidelines on expending USE funds. For example, one Headteacher emphatically stated that, "We in this school spend about 80 percent of the USE money on teachers' salaries". Yet, some schools reportedly borrow money from either friends and/or banks (at high interest rate) to clear their bills as they wait for government releases that often come late.

Additionally, the field results revealed that many schools were not using the available resources optimally – in most cases there was over utilization of certain infrastructure. For instance, in heavily populated schools, the numbers of students per stream were above 60 - which is above the permissible ceiling. The Headteachers explained that they have few and sometimes small classrooms and yet they are expected to admit all qualifying students for secondary education. This presents a challenge of managing demand against limited resources. It is argued that overcrowding compromises on quality of education because a teacher may not have the capacity and time to attend to several students' learning needs, thus making schools inefficient (Wokadala 2012).

One last measure of efficiency is whether the private sector considers itself more efficient relative to the public sector in providing a given service. The field findings show that about 69 percent of the Headteachers agree to an extent that private USE schools are less efficient than those that are fully funded by government. They cited plausible explanations for this to include: (i) the quality of students admitted in senior one - private schools, especially those in rural areas, usually admit students with lower PLE grades compared to their counterparts in fully government funded schools. As such, private schools are pushed to put in more efforts to ensure that these students excel in UCE examinations; and (ii) level of funding – government

aided schools receive more funds and material support than private schools – this enables them to operate smoothly and concentrate on teaching. More important, the teachers' remuneration in government schools is in most case much better than in private school – this motivates Government teachers to remain committed to the task. Nonetheless, some respondents observed that private schools to be more effective because: decision making is easy; automatic promotions that compromise academic standards are not tolerated; and private schools generally have relatively few students, which is an advantage - students begin practical lessons right from senior one, teachers can easily manage the few students and it is relatively easy to track students' performance.

### **Impact**

One of the focus areas for the impact criterion is an evaluation of whether the PPP has yielded un-intended consequences. The field findings reveal that 67 percent of the respondents reported that the PPP has yielded mixed unexpected consequences. Further probing revealed that some of the positive effects include: employment creation as a result of the necessity for additional teaching and non-teaching staff (but some of the employed persons, particularly teachers are not qualified); significant reduction in the cost of looking for students as well as the burden of school fees collection; increased ease of implementing schools' work plans; increased access to information; and ease in registration with the Uganda National Examination Board (UNEB) – this is paid for under USE set up.

On the other hand, some common negative consequences were reported and these include: (i) attainment of poor grades in UCE examinations, which is partly attributed to relaxed Senior one entry requirements and automatic promotion policy; (ii) deviant behaviour among the students - since the law abolished corporal punishment and this has further culminated into rampant absenteeism among students (especially during harvesting seasons in rural areas); and (iii) increased irresponsibility among some parents with the misconception that government USE grant caters for all school requirements. The declining academic performance reported in some private USE schools is not unique to Uganda - Verspoor (2008) found in other countries that although private schools implementing PPPs recorded significant increase in enrolment, quality and equity issues still remained unaddressed.

The stakeholders involved in the implementation of the USE programme are: Central Government, District Local Governments, Parents and Guardians, Foundation Bodies/Proprietors, Headteachers, and BoGs – whose roles and responsibilities are clearly documented in the USE implementation guidelines. Nearly 59 percent of the respondents felt that all key players in USE implementation had been co-opted in the PPP framework. From the field visits, we found that generally stakeholders were doing their jobs except for those parents who were not fulfilling their responsibilities (e.g. not meeting their children' health and feeding expenses).

The impact criterion further assesses whether the regulatory efforts are respected. Our findings reveal that some of the PPP regulations are not followed or respected, partly because of ignorance of the USE implementation guidelines. As mentioned earlier, only one school in the sample had a copy of the "Policy and Operational Arrangements for Implementation of USE". Disregard of implementation guidelines was especially true in the area of financial management – which states "The school USE Bank Account shall be opened and administered by the Chair person BoGs and the Headteacher". However, many Headteachers complained that the Directors/Proprietors of the schools had taken over this role and were not spending the monies as per the approved budgets.

The other aspect looked at when assessing impact is the effectiveness of the monitoring and enforcement system. First, we note that all the respondents indicated that their schools are regularly (at least twice a year) monitored by various stakeholders. Under general provisions of the USE implementation guidelines, monitoring, supervision and regular evaluation of the USE implementation programme is expected to be conducted by various stakeholders to ensure quality and success of the programme. The field study reveals that District Education Officers (DEO), Officials from the Directorate of Education Standards (DES), Gombolala Internal Security Officer (GISO) and District Internal Security Officer (DISO) are the regular monitors (Table 2). The stakeholders have a mandate of carrying out regular (at least once every term) school inspection and teacher supervision to ensure that government gets value out of the USE partnership.

**Table 2: USE Programme Monitors and Frequency of Monitoring**

<b>Monitor</b>	<b>Frequency (percent) N = 61</b>	<b>Number of schools visits per year</b>
DEOs office	56 (91.8%)	2.4
MoES officials	33 (54.1%)	2.2
Directorate of Education Standards	31 (50.8%)	2.8
GISO and DISO	11 (18.0%)	2.5
UNEB	4 (6.6%)	1.9
Others (LCs)	11 (18.0%)	2.2

Source: Authors' computations based on field data

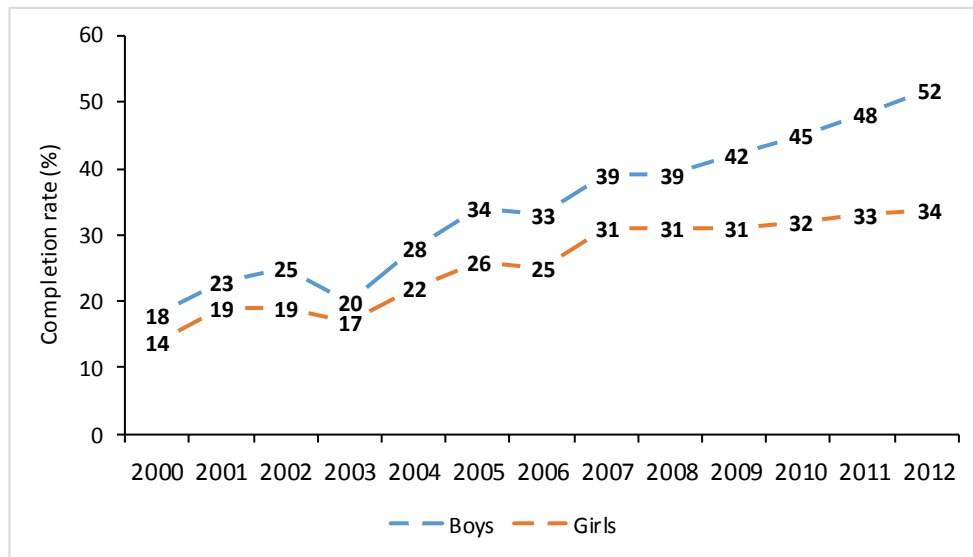
During monitoring of private USE schools, different institutions focus on different aspects. For instance, the DES evaluates the teaching curriculum, schemes of work, and lesson preparation. The officials from UNEB usually focus on centre supervision and availability of facilities like laboratories and classroom space. The MoES usually conducts general supervision and focuses on issues such as utilization of USE funds, teacher supervision, staff qualifications, student enrolment, and other pedagogical aspects. The DEO's office checks on schemes of work, lesson plans, performance appraisal, facilities for learning, hygiene of the school; adequacy of human resource, time table; and emphasizes transparency in accountability and routine census, among others. The GISO and DISO monitor schools to verify the teaching and learning; whether USE funds are released timely and in the right amount; and establish how parents/stakeholders support the USE programme.

About 78 percent of the interviewed participants in private USE schools reported that they regularly receive evaluation reports as feedback from the inspection/monitoring. However, our interaction with the Headteachers revealed that suggestions/recommendations provided by the inspectors are rarely implemented (monitoring reports are simply shelved), even in circumstances when the recommendations are relevant and achievable. Given such scenarios, it is difficult to conclude that monitoring of USE implementation is effective, especially with regard to improving teaching and learning, instructional leadership, academic achievement and overall school performance. That said, 72 percent of respondents were of the view that both the external and internal monitoring of USE implementation is quite effective.

### Sustainability

First, this criterion assesses whether the achievements of the PPP are sustained over time. One major achievement that should be expected from the USE programme is an increase in the number of people who have successfully completed ordinary level secondary school cycle. Therefore, sustainability will be reflected in increasing senior four completion rates. Figure 5 depicts growing O’level completion rates for both boys and girls. Although the trends shown are for both USE and non-USE students, it is generally noted that since the inception of USE, the increasing trends have been maintained. The trends seem to suggest that the USE PPP is able to achieve and sustain high O’level completion rates in the long run. However, we should not ignore the limited growth for girls as well as a growing gender gap in completion rates. The persistent gender gap is explained by, among others, persistence of low value attached to girls’ education, sexual abuse of girls, early sexual engagement and teenage pregnancy (MoES, 2013).

**Figure 5: Senior four completion rates (%) for boys and girls; 2000 – 2012**



**Source:** Education Management Information System (EMIS) 2000 - 2012

Another aspect of sustainability is whether the PPP can financially sustain itself. In this context, Government is the partner that makes the biggest financial contribution towards USE implementation. Funds are annually allocated for USE implementation by MoFPED. On the other hand, the private USE schools raise additional funds through tuition fees paid by the purely self-sponsored students and other charges (such as development fee) that are paid by both USE and non-USE students. It may be noted that in private USE schools, even the USE students pay some money in form of development and lunch fees – they are only exempted from tuition. Based on these facts, many Headteachers felt that the partnership is financially sustainable. However, sustainability should not be confused with adequacy – although the partners can sustainably contribute towards USE implementation, the contribution, especially from Government is currently inadequate. Since 2007 when the USE programme was first implemented, the capitation grant per student has remained fixed at UGX47, 000 per term. This amount is inadequate to enable the schools deliver quality education in the era of tight economic conditions.

Also, when assessing sustainability, it is important to know whether there are organizational structures specifically created to play an oversight role. Indeed, the operational arrangements for implementation of USE require that schools form Boards of Governors, who are responsible for management and administration of the USE programme within their localities. Indeed,

every USE school that we visited had this governance structure in place, that among other things, ensured expending of USE grant as per the guidelines and engaged in monitoring the implementation of USE in their areas of jurisdiction.

### ***Participation***

One of the aspects investigated while assessing participation is whether the intended beneficiaries influenced the design, implementation, monitoring and evaluation of the PPP. It was revealed from the field that stakeholders such as school proprietors, teachers, BoGs, PTA executive had influence in the design and implementation of the PPP. In other words, they were consulted before signing the MoU with the MoES. However, in certain unfortunate scenarios, some stakeholders (especially parents and the communities) were notified after signing the MoU.

Three quarters of the respondents acknowledged having influence on USE implementation. For instance, parents, local and religious leaders, and politicians are invited to schools to make decisions regarding, for example, how much fees to charge on USE students; how to provide students with lunch (e.g. charge lunch fees or allow parents to bring food items); organizing fundraising functions for a particular cause (e.g. raise funds to construct a laboratory), and recruitment of new staff, among others. In a similar line of argument, about 66 percent of Headteachers or Directors agree that teachers and parents have taken own initiative in monitoring and evaluating the USE PPP activities.

### ***Accountability***

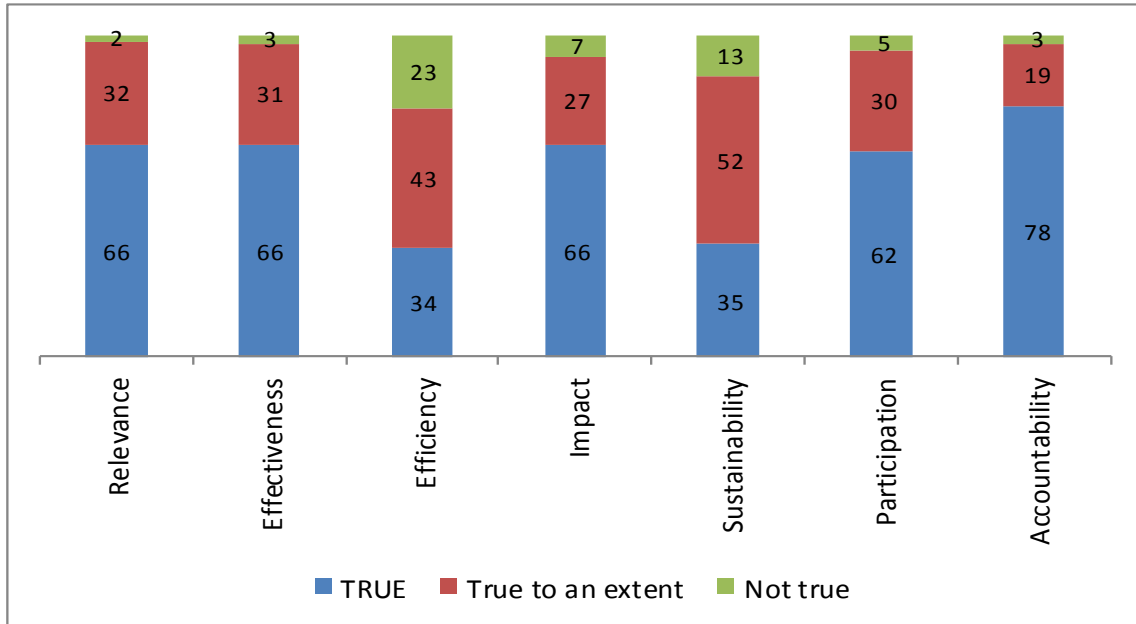
This criterion of assessing PPPs investigates whether there is a system in place to guide the conduct of people or institutions participating in the partnership. In this study, we learnt that there exists a set of operational arrangements for implementation of USE. Private schools in the USE PPP are expected to comply with the USE implementation guidelines and there are penalties for non-compliance. For example, Headteachers are expected to account regularly for all the monies received to implement USE, which is a requirement before more money can be released. The study team observed that most Headteachers or Directors had in possession certificates of accountability (issued by MoES) to certify that all monies expended to schools have been properly accounted for.

Still looking at financial accountability, we noted mixed perceptions with regard to management powers. For instance, in some schools the powers of Headteachers were restricted to general administration and instructional leadership, and were less involved in making decisions regarding financial matters. It was common that some Headteachers have less knowledge of USE funds because they are not signatories to the school accounts. Yet, the USE guidelines empower the Headteacher to be signatory to the USE fund account. In such schools, the proprietors/Directors hijack the powers of the Headteachers as far as finances are concerned. Even though the grant guidelines spell out that it is the Headteacher who is accountable for the safe keeping and proper expenditure of all USE money. Thus, despite the existence of systems for accountability, to an extent power is abused by the school proprietors.

Finally, we consider the overall performance of the USE PPP by bringing together all the seven criteria discussed above. The results are presented in Figure 6. It is evident that the USE PPP was performing moderately well in some aspects and poorly in others. Majority (78 percent) of the respondents agreed that there is good accountability in the partnership. Many (66 percent) stated unreservedly that the USE PPP was relevant, effective, and of great impact. Also, without

reservation, 62 percent of the respondents were of the opinion that the USE PPP allows stakeholders to participate in decision making. On the weak side, few respondents were of the view that the USE PPP is efficient (34 percent) and sustainable (35 percent). Thus, overall the performance of the USE PPP is quite mixed. Improvements are needed especially in the areas of increasing resources and using them optimally, and ensuring financial sustainability and sustainable impact.

**Figure 6: Summary on the integrated framework for USE PPP assessment (% reporting)**



Source: Authors' computations based on field survey data

## CONCLUSIONS AND EMERGING POLICY ACTIONS

### Conclusions

Drawing from the EMIS data of 2000 – 2012, we note that the USE PPP has been growing both in terms of number of participating private schools and the number of USE students enrolled in private schools. Precisely, the percentage of private USE schools to total USE schools has increased to nearly 47 percent in 2012 from about 32 percent in 2007. Similarly, the percentage of USE students enrolled in private schools to total number of USE students has increased to 39 percent in 2012 from 25 percent in 2007. The positive trends in the overall enrolment in O'level seem to suggest that indeed USE has led to expanded access to secondary schooling. For example, the population of O'level students has grown by 53 percent considering 2006 as the base year (i.e. the last year prior to the rolling out of the USE programme).

Based on the guided scoring of the seven criteria in the integrated framework for assessing PPPs, we found that the USE PPP was performing moderately well in terms of good accountability, relevance, effectiveness, impact and participation. On the other hand, the USE PPP is performing poorly in terms of efficiency and sustainability. This performance is partly explained by the many challenges faced by private USE schools. The most frequently mentioned challenges are long delays in disbursing USE money to the school, mismatch between grant allocations and actual expenditure items of the schools, low and fixed capitation grant per student, and failure to put teachers in private USE schools on Government payroll.

### Emerging policy actions

There are certain aspects about the USE programme and its implementation modalities that need to change or improve for better outcomes as listed below:

- a) Automation of data collection of enrolment of qualifying USE students: Government should set up a web based system where once the schools have compiled the numbers of eligible USE students, they upload them onto the system and then government accesses this information from the web and uses it to compute the respective capitation grants. Timely submission of headcount forms to the MoES by the schools would probably eliminate the delays in funds disbursement;
- b) Introduce a small tax and earmark a portion of Government tax revenue for USE implementation with intent to gradually increase the capitation grant per USE student in tandem with changes in the cost of education inputs. By increasing the USE capitation grant, schools will be able to improve the quality of services through recruitment of qualified teachers, conducting experiments more frequently and expanding infrastructure to avoid overcrowding;
- c) Provide school infrastructure e.g. laboratories and libraries: Besides, providing instructional materials (e.g. textbooks and science kits), government should provide infrastructure support as promised in the USE operational guidelines. Facilities such as libraries and laboratories can offer space for textbooks and promote science subject teaching;
- d) Place selected teachers in private use schools on the Government payroll: Government should consider putting on its payroll some teachers (especially those who teach mandatory subjects at Ordinary level) in private USE schools. The huge relief from payment of teachers' salaries would increase the capacity of schools to invest more in infrastructure development;
- e) Introduce consequences to disregarding the recommendations from the school monitoring/inspection report: For example, a Headteacher should face disciplinary action for not acting on specific important recommendations which are within reach; and
- f) Create awareness and sensitize stakeholders about their roles and responsibilities: This will increase compliance and support towards the realization of the intended objectives of USE programme. It was evident from the survey findings that some stakeholders (especially parents/guardians) were ignorant of their duties and responsibilities, and this negatively impacts on the performance of the PPP.

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## The Implication of the 2011 General Elections on Democracy and Good Governance in Nigeria.

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### Abstract

This paper discusses the implication of the 2011 general elections on democracy and good governance in Nigeria using descriptive method as a mode of analysis. The paper attempts a critical discourse of how the abysmal failures of the stakeholders in the 2011 general elections in Nigeria like the INEC, political parties, security agents and the media, to administer credible elections would affect democracy and good governance in Nigeria. Thus, secondary data such as library research, newspaper articles and internet retrievals were used in this investigation. The results of the analyses revealed that the 2011 general election were flawed, due to compromise among the major stakeholders. The paper further argues that although the conduct of the 2011 general elections was comparatively better than the previous elections conducted in Nigeria such as 1999, 2003, and 2007, the election fraud and rigging in the 2011 general elections were mostly prevalent during the Governorship and State Assembly elections, particularly in the South-East and South-South geo-political zones of Nigeria. Therefore, the paper recommends among others, the adoption of electronic voting system, credible party primaries by political parties by the INEC as critical steps to restore sanity in Nigeria's electoral process.

**Key Words:** Election, Democracy, Good governance

### INTRODUCTION

Election is considered as an indispensable ingredient of democracy in the contemporary world. Thus, it is viewed as the process of choosing a person or group of people for a political position. However, this process which requires mass participation of the citizens of the state is usually carried out by voting in a democratic and civilized world.

In Nigeria, the history of election dates back to 1923 (Duru and Nwagboso, 2005). However, the first election in the annals of the political history of the entity, now referred to as Nigeria was conducted as a result of the entrenchment of elective principle in the Macpherson Constitution of 1922. Thus, between 1923 and 2011, Nigeria has conducted several elections. These elections were ultimately held to enthrone democracy and to achieve good governance in Nigeria

Sadly, these elections were alleged to have been bedeviled with allegations of frauds, agitations, consternations and crises. Hence, the Nigeria's electoral history and the quest for enthronement of democracy have not been rosy. This pathetic situation seems to have not only

adversely affected the growth of democracy, but also good governance in Nigeria. However, the 1999, 2003 and 2007 general elections were alleged to have been characterized by various forms of electoral malpractices and consequent agitations by the opposition parties. This ugly trend has been put in clear perspective by Ugah (2011) that:

*...Certain political parties and politicians, most especially within the opposition group, have alleged many irregularities which negatively affected a free and fairness of the exercise...(This day Newspaper, p.10).*

Thus, before the enthronement of democracy in 1999, other elections conducted prior to independence in Nigeria were also hotly disputed by political parties. According to PM News (May 17, 2011), the only election that was not seriously disputed before it was dictatorially annulled by the military junta headed by General Ibrahim Babangida was the 1993 presidential election.

Indeed, the 2011 general elections which kicked-off on April 9, 2011 with the National Assembly election has attracted mixed feelings among Nigerians. To some, the 2011 general elections was free, fair and credible, while others argue that the said election was akin to others held before it. According to Alao (2011: 15), "the 2011 general elections will go down as the most free and fair election in the history of Nigeria. Similarly, the international and domestic observers, including the Nigerian Labour Congress (NLC) and Trade Union Congress (TUC), have publicly lauded the 2011 general elections as truly free and fair.

Contrarily, some people have argued that the 2011 general elections was marred by irregularities. To them, this election is the most monetized election so far in Nigeria's electoral history. This view is supported by an Organization known as the Civil Society Election Situation Room which argues that:

*Only candidates sponsored by parties already in power or candidates that have access to looted funds and or supported by the super-rich were able to win elections across the country and across parties... the ruling party at the centre, the PDP, despite having little or nothing to positively show for its control of power in 12 years and despite huge crude oil money that has accrued to Nigeria during this period... is still in control in Nigeria (www.socialistnigeria.org)*

Notwithstanding these arguments over the outcome of the 2011 general elections, the fact remains that this election was aimed as restoring sanity in the Nigeria's electoral process. Also, the Stakeholders – the INEC, Political Parties, Security agents, the Media, the Civil Society organizations, among others, agreed to play the 'electoral football' during the 2011 general elections according to the rules and regulation enshrined in the 1999 constitution and amended 2010 Electoral Act of Nigeria. Unfortunately, available evidence appears contrary.

In consideration of this, this paper attempts a critical exposition of the implication of the 2011 general elections in Nigeria. The paper examines the extent to which the outcome of 2011 general elections could impact positively or negatively on democracy and good governance in Nigeria. This is against the backdrop of the fact that a free, fair and credible election is expected to usher in rapid socio-economic development in the country and further paves away to efficient service delivery to the citizens.

## THEORETICAL FRAMEWORK

This paper adopts goal-setting theory and structural – functional approach in the analysis of the implication of the 2011 general elections on democracy and good governance in Nigeria. The choice of these theories is as a result of their strengths and efficacy to explicate the political phenomenon under investigation.

The goal-setting theory was propounded by Edwin Locke in 1968. According to Locke (1968), the assumption of this theory is that, it is a goal that a person is aiming for that actually motivates him and not just the satisfaction of attaining it. Therefore, the desire to attain set goals becomes a major driving force which propels people to greater achievement.

By application of this theory to the study on the implication of the 2011 general elections on democracy and good governance in Nigeria, we argue that Nigerians were poised to correct past errors in the country's electoral process starting from the 2011 general elections. Also, the electoral body (INEC), political parties, security agents, the media, civil society organizations, among others, openly informed Nigerians that they were committed to ensuring a free, fair and credible polls election during the 2011 general elections. They, therefore, demonstrated this at different public forum before the commencement of the election on April 9, 2011. In such forum, all stakeholders were urged to perform their statutory roles in order to ensure credible polls. Thus, the extent to which these stakeholders performed their assigned roles during the 2011 general elections could serve as veritable platform to evaluate the credibility of this election as well as the expected service delivery to Nigerians in the next four years.

To further investigate the activities and roles performed by major stakeholders during the process, structural – functional approach is adopted in this study. This theory assists us to examine the roles of the key stakeholders during the 2011 general elections such as the INEC, political parties, the security agents, the media, civil society organizations, among others. This theory, however, was propounded by Talcott Parsons (Eminue, 2001). According to Parsons, every political system has four basic functions to perform in the society. These functions are; adaptation, goal attainment, integration and pattern maintenance (Eminue, 2001 :89).

Thus, structural – functional approach emphasizes the role of structures and functions in understanding politics and political process. In this investigation, the structures include the INEC, political parties, security agents, the media and civil society organizations. These structures had respective roles they performed during the 2011 general elections in Nigeria.

Therefore, the credibility or abysmal failure of the 2011 general elections in Nigeria could be effectively and accurately determined when one evaluates the extent to which these structures performed their respective functions before, during and after the election. This is succinct because, this theory posits that any lacuna in role performance by a unit, ultimately affects the activities of the entire system.

Consequently, the agitations characterizing the outcome of the 2011 Presidential election in Nigeria; National Assembly election, Governorship and State Assembly elections, could be traceable to abysmal failure of some of these structures to perform their assigned functions as stipulated in the amended 1999 Constitution and 2010 Electoral Act of Nigeria.

## **THE INDEPENDENT NATIONAL ELECTORAL COMMISSION AND ADMINISTRATION OF THE 2011 GENERAL ELECTIONS IN NIGERIA**

Ahead of the 2011 general elections in Nigeria, the INEC was re-shuffled by President Goodluck Jonathan-led administration. This followed the expiration of the tenure of the former INEC boss, Professor Maurice Iwu. The re-organization of the INEC resulted in Professor Attahiru Jega becoming the new INEC chairman.

In line with the determination and promise of President Goodluck Jonathan that all votes would count in the 2011 general elections, the new INEC boss, Prof. Jega also made a vow to Nigerians that the 2011 general elections would be free, fair and credible. According to him, the 2011 general elections would not only be generally accepted by Nigerians, but also the international community. Thus, to elicit the supports and co-operations of various segments of Nigeria, Prof. Jega sought for collaboration of the INEC with other relevant organizations such as the NYSC, ASUU, NLC, the Media houses and the security agencies (Ologun and Oyekunle, 2010).

In preparation of the 2011 general elections, the INEC embarked on voter registration exercise. This exercise was designed to register all eligible voters in Nigeria. To achieve desired goal in this process, INEC resorted to the use of the Direct Data Capture (DDC) machine. Accordingly, the use of the DDC machine was not only meant to prevent multiple registrations, but also to ensure that only eligible voters from 18 years and above were adequately registered. Paradoxically, the 2011 voter registration like others before it was characterized by numerous setbacks and complaints. For instance, the former Governor of Borno State, Alhaji Ali Modu Sheriff was among numerous Nigerians that were pessimistic over the deadline for the voter registration exercise. According to the Governor:

*...I wonder if we will be able to get all Nigerians registered before the end of the stipulated period. I believe that unless something is done urgently, many Nigerians will not be able to register... (Jimoh, 2011).*

The voter registration exercise was also alleged to be marred with irregularities. Thus, there were several allegations of missing of Direct Data Capture Machines in some parts of Nigeria such as Kwara State. According to Bolaje, (an ANPP Chieftain in Kwara State):

*...we heard reliably that 200 DDC machines are missing in the state. These machines are meant for places like my point and other points. These 200 we believe are somewhere known to some INEC officers in the state...(Jimoh, 2011:5).*

Although INEC dismissed the above allegation by the Kwara State ANPP Chieftain, most Nigerians were startled to observe that some unscrupulous politicians in some parts of the country connived with the INEC registration officers to register under-aged voters (children below 18 years). Similarly, some Nigerians equally alleged that the voter registration exercise witnessed multiple registrations through the use of 'palm kernel shell' for thumb-printing. According to some observers of the registration process, the 'shell of palm kernel' was used for thumb-printing thereby enabling some political parties register fictitious names during the exercise. Apart from allegations of corruption leveled against the conduct of voter registration by the INEC, the exercise witnessed technical problems, particularly on the use of the Direct Data Capture (DDC) gap machines. In most rural areas where there is no electricity, the registration officers were confronted with the challenges of charging the DDC machines.

Also, since generator sets were not provided to registration officers by the INEC, the exercise witnessed unprecedented set-backs particularly in the rural areas.

Indeed, some of the DDC machines developed unanticipated faults at various registration centers thereby preventing some eligible voters to register. To arrest this situation, INEC opted for deploying technicians to local government areas across the country. Babalola (2011) observed:

*...the Independent National Electoral Commission (INEC) has concluded arrangements to deploy two technicians to each of the 774 local governments in the country... to fast-track the voter registration which began on a sluggish note... INEC has deployed two information Communication Technology (ICT) technicians per local government to troubleshoot at registration centres that might be running into hitches... (The Nation, p. 4).*

Accordingly, the 2011 voter registration exercise could not satisfy the expectations of Nigerians. According to Prof. Jega, only 35 percent of Nigerians were registered in the 2011 voter registration exercise. What this implies is that many Nigerians were disfranchised even before the conduct of the 2011 general elections by the INEC.

In spite of this ugly trend, INEC informed Nigerians that the 2011 general elections would be transparent and entirely distinct from previous elections conducted. This was followed by the release of election time table by the commission. Accordingly, the National Assembly Polls was slated for January 15, 2011 and presidential polls, January 22, 2011, (Awowole – Browne, 2010).

Thus, political parties were mandated to start campaign from October 17, 2010 while voter registration was to commence on November 1, and ends on November 14, 2010. Also, party primaries was slated for September 11, 2010 and ends on October 30, 2010 (Awowole – Browne, 2010:7, Ejembi, 2010).

Unfortunately, the INEC could not stick to the above election time-table. The commission later amended the time table with flimsy excuses which attracted the rage of some Nigerians against the body. However, the National Assembly election slated for January 15, 2011 was rescheduled for April 2, 2011, presidential election to April 9, instead of January 22, 2011 and Governorship and State Assembly elections to April 14, 2011.

In its characteristic manner, this amended election time table was not respected by the INEC. Hence, the commission after several 'cook and bull stories', amended the election time table the third time. Hence, the National Assembly election was changed from April 2 to April 9, 2011, Presidential Election to April 14 instead of April 9, 2011, while Governorship and State Assembly Election were changed from April 14 to April 26, 2011. The reason for changing the election time-table this time particularly when Nigerians were determined to vote candidates of their choice, was largely due to late arrival of election materials.

To be sure, the National Assembly election held on April 9, 2011 was relatively free, fair and credible, although there were reported packets of violence in some parts of the country like Abia, Imo, Anambra, Borno, Benue and Akwa Ibom States. However, the conduct of the

National Assembly election was comparatively more transparent than similar elections conducted in 1999, 2003 and 2007 in Nigeria.

Similarly, the April 16, 2011 Presidential Election was adjudged credible. Thus, in spite of the absolute control of the Congress for Progressive Change (CPC), in the North-West geo-political zone, and some other parts of the North, the People’s Democratic Party (PDP) candidate – Dr. Goodluck Jonathan appeared to be the most acceptable at the polls by Nigerians. Thus, despite the fact that most Nigerians cherish his ‘political credentials’, Dr. Goodluck Jonathan toured the 36 states of the federation and FCT Abuja for his campaign. Also, his wife – Dame Patience Jonathan was reportedly busy touring all parts of Nigeria, begging women to vote for her husband during the presidential election. Thus, table 1.1 below shows Dr Jonathan acceptability by voters before April 16, 2011 presidential election in Nigeria:

**Table 1.1: State By State Analysis Of The Acceptability Of Major Presidential Aspirants By Voters Across The Six Geo-Political Zones Prior To April 16, 2011 Presidential Election In Nigeria.**

S/N	Presidential Aspirant	North-Central	North-East	North-West	South-East	South-South	South-West
1	Muhammadu Buhari	5.7%	62.3%	38.3%	0.2%	0.9%	0.2%
2	Goodluck Jonathan	28.4	26.6	47.4	75.1	82.7	50.8
3	Nuhu Ribadu	5.7	2.1	4.5	0.9	1.6	15.6
4	Ibrahim Shekarau	1.7	2.9	0.8	2.4	0.4	0.2
5	Others	15.0	5.9	0.2	1.3	0.2	1.6
6	No Response	41.7	5.9	8.7	20.1	13.2	31.6

Source: Okoro, C. P. (2011).

From table 1:1 above, we observed that Goodluck Jonathan and Muhammadu Buhari were the two major contestants in the 2011 general election in Nigeria. Accordingly, the above table shows that Goodluck Jonathan was not only accepted in the South-South geo-political zone, where he come from, but also accepted in the other five geo-political zones of the country. This was followed by Buhari, Ribadu, Shekarau and other contestants.

However, the April 26, 2011 governorship and State Assembly elections in Nigeria witnessed tremendous rigging than the situation in 1999, 2003 and 2007 elections. In 1999, 2003 and 2007 governorship elections in Nigeria, the electorates were allowed to vote at their respective polling centres. Thus, it was after voting that political parties connived with the INEC officials and security agents to manipulate and doctor the results. In 1999, 2003 and 2007 governorship elections, the remaining ballot papers after the registered and eligible voters had casted their votes were shared by party agents representing the major political parties to thumb print in favour of their respective parties (Akiri, 2010).

Contrary to this subtle method of rigging by political parties in Nigeria, the April 26, 2011 governorship elections witnessed another radical, fraudulent and aggressive strategy of election rigging. Thus, the electorates were not only disfranchised but voting took place at the personal residence of some party stalwarts notably those belonging to PDP. Consequently, this unlawful electoral practice resulted in violence in some states in Nigeria as presented in table 2.2 below:

**Table 2.2: States With Reported Cases Of Electoral Violence Occasioned By Rigging/Malpractice During The 2011 Governorship And State Assembly Polls In Nigeria.**

S/N	STATES	PARTY SUPPORTERS INVOLVED
1	Benue	PDP vs CPC
2	Akwalbom	PDPvsACN
3	Bauchi	PDP vs ANPP
4	Yobe	PDP vs CPC
5	Abia	PDP vs APGA
6	Borno	ANPP vs PDP
7	Kano	ANPP vs PDP
8	Oyo	ACNvs PDP
9	Kebbi	ANPP vs PDP
10	Ogun	ACN vsPDP
11	Jigawa	PDP vsCPC
12	Nasarawa	CPC vs PDP
13	Kaduna	PDP vs CPC

Source: ThisDay Newspaper, May 17 2011,p.17

From table 2:2 above, it is observed that electorate violence mostly occurred in the northern part of Nigeria than the southern part of the country. Clearly, out thirteen states computed in the above table, nine states are located in the northern part of Nigeria, while five are located in the southern part of the country. It is not arguable that the reason for such violence was purely to rig the election

Thus, to achieve the objectives of this new methodology of election rigging by political parties in Nigeria, the PDP allegedly made tactical and financial arrangements for security agents. The party even lured the police, Army, Navy and Civil Defence corps deployed by the INEC to various states, to enable her perfect this unlawful strategy. These security agents were allegedly paid colossal sum of money by the PDP at the ward, local and state levels to assist her rig the election. According to critics, this strategy explains why the budget for the conduct of governorship elections by the party at the ward, local and state levels gulped huge sum of money than other logistics during the April 26, 2011 governorship and State Assembly elections (The Nation, May 22, 2011 :3).

Generally speaking, the conduct of the 2011 general elections by the INEC though better than the 1999, 2003 and 2007 general elections, appeared not entirely free, fair and credible as the commission promised Nigerians. This view is supported by Somorin (2011:15). According to him, "a chieftain of the PDP in Abia State, Sir Marc Wabara has called on President Goodluck Jonathan to start the healing process of the country".

In his opinion, somorin noted that Wabara called on:

*...President Goodluck Jonathan to start the healing process of the country as a result of the violence that erupted in some parts of the country after the presidential election... the president should begin the process of healing all the wounds that may have been created by "our" actions and inactions as a people...*

In spite of the position of some Nigerians concerning the credibility to the 2011 general elections, the European Union Election Observation Mission to Nigeria asserted that there



were no reports of rigging during the 2011 general elections. Thus, Adesina (2011) shades more lights on the position of the EU election observers:

*...the European Union Election Observation Mission to Nigeria reacted to the allegation by the presidential candidate of the Congress for Progressive Change (CPC), Major General Muhammadu Buhari, that the last presidential election in the country was rigged and that "sophisticated rigging system was deployed to perpetrate electoral malpractices during the polls... Mr. Peterle while presenting a preliminary report, stated that there was considerable improvement in Nigeria's quest for democracy...the overall desire of Nigerians in 2015 should be to achieve zero violence before, during and after elections... (EM News online, April 19, 2011).*

Thus, notwithstanding the argument on the conduct and credibility the 2011 general elections, the critical fact is that stakeholders in the said election should be blamed for its poor outcomes in some States. This is largely because, as Akiri (2010:21) incisively observed:

*...Whereas the success or failure of any election anywhere in the world, depends on all the stakeholders comprising the electorates, security agencies, but more particularly on the electoral umpire which in the case of Nigeria is INEC... the success or failure of any electoral process, anywhere in the world, is contingent upon the integrity of the electorates, the security agencies, the judiciary, the press... (National Daily Newspaper, p. 8).*

Consequently, the increasing spate of agitations, hostilities and post-election violence in some parts of the country such as Benue, Akwa Ibom, Abia, Imo, Bauchi, Borno, Kaduna, Abuja, among others, are no doubt, clear indication that some stakeholders in the 2011 general elections compromised in the discharging of their civic responsibilities.

### **THE ROLES OF POLITICAL PARTIES, SECURITY AGENCIES AND THE MEDIA DURING THE 2011 GENERAL ELECTIONS IN NIGERIA**

Political party is a formal organization whose primary objective is to nominate candidates for election to public offices, with the ultimate intention of gaining absolute control of personnel, policies and decision-making processes of government (Nwosu and Ofuegbu, 1986:187). In order to realize the above lofty goal, political parties pursue programmes of action ultimately aimed at achieving politically significant values (Ekwueme and Fidelis, 1990:68). Thus, the measure of a party's success in realizing the dream of controlling the decision-making apparatus of the state is in the main, a product of its organization's capability and popular appeal of its policies and programmes to the electorates (Duru and Nwagbosos, 2005: 112).

However political parties, irrespective of their types, have certain features in common. First, they are hierarchically organized; second, they are programmatic (i.e. they always have action plans for promoting the general welfare and ushering in good life for all), and third, they recruit personnel for the government (Eminue, 2001:329). Thus, political parties anywhere in the world perform multifarious functions in democratic political systems. This include; political recruitment function, political education, integrative function; aggregative function; mobilization function; goal formation function; enforcement of responsibility function, among others (Ikpe, 2010: 409).

Consequently, few months to the 2011 general elections in Nigeria, political parties were engulfed in several crises. Rather than strategizing to capture state's power, political parties

particularly the major ones, such as the People's Democratic Party (PDP), Congress for Progressive Change (CPC), Action Congress of Nigeria (ACN), All Nigeria People's Party (ANPP), Progressive People's Alliance (PPA), were faced with severe internal problems in their parties (Alli, 2010: 1). This problem ranges from the struggle among the party stalwarts to control the leadership or structures of their parties, politically-motivated assassination of party members with intentions for elective positions, court injunctions/litigations, to allegations of corrupt charges against some party helmsmen.

This ugly trend which heated up the Nigeria's political environment, no doubt put these political parties in disarray ahead of the April 2011 general elections. Thus, the political parties dissipated more energy fighting among their members rather than marshalling out action plans to win the supports of the electorates in Nigeria (Alli, 2011:1).

Specifically, the removal of the former PDP National Chairman, Chief Vincent Ogbulafor from office on allegation of corruption, and Dr. Okwesilieze Nwodo on the grounds that it was not up to two years he returned to the PDP before assuming the office of the National Chairman of the party, were clear testimonies of "in-house" crises that rocked most political parties in Nigeria shortly before the 2011 general elections (Fabiya, 2010: 10). The same ugly scenario resulted in the resignation of Chief Clement Ebiri as the National Chairman of the PPA in Nigeria.

Consequently, these pathetic situations resulted in some members of the above political parties defecting to other political parties particularly the newly formed parties.

However, the internal crises in some political parties ahead of the April 2011 general elections in Nigeria further manifested during party primaries. Thus, the disagreement among some party helmsmen resulted in the imposition of candidates on party members. Precisely, the democratic ethos requires that political parties must conduct primaries in a manner generally acceptable by their members (Okocha, 2010:15).

Unfortunately, this rule was not strictly followed in the emergence of party flag-bearers in most political parties that contested the 2011 general elections in Nigeria. Worse still, this situation coerced aggrieved members of the affected parties to seek redress in the court. This step by the aggrieved members exacerbated internal cohesion and solidity in the affected parties such as the PDP, PPA, ANPP, CPC among others. Indeed, the failure to conduct credible primaries by political parties before the commencement of the 2011 general elections did not only affect adversely the growth of internal democracy, but also raises critical questions on the credibility, free and fair outcome of the 2011 general elections.

However, the internal crises that 'rocked' major political parties in Nigeria and their implications on democracy are carefully articulated by Akinola (2011):

*Political parties are best described as 'rivals' for power rather than being opposing parties in the context of adversarial politics... the role of the political party as an agent of integration, rather than that of sharing loots, would be more appreciated when we have had competitive political parties that traverse regional divides...(The Punch, p. 16).*

The consequence of this ugly scenario during the April 2011 general elections resulted to the adoption of different strategies by political parties to rig the election. To some observers, all

the political parties that participated in the 2011 general elections involved election in rigging and other forms of malpractices. This assertion is corroborated in table .33 below:

**Table 3.3: A Sample Of States And Geo-Political Zones With Reported Cases Of Rigging During The April 26, 2011 Governorship And Stateassembly Elections In Nigeria.**

S/N	STATE	GEO-POLITICAL ZONE	POLITICAL PARTY INVOLVED
1	Abia	South- East	PDP
2	Akwa Ibom	South-south	PDP
3	Kwara	North –Central	PDP
4	Borno	North –East	ANPP
5	Jigawa	North – West	PDP
6	Oyo	South – West	ACN

Source: [www.electionsituationroom.worldpress.com./category/election- malpractices](http://www.electionsituationroom.worldpress.com./category/election-malpractices)

From table 3.3 above, it is observed that election rigging during the 2011 governorship election mostly occurred in Abia, Akwa Ibom, Kwara, Borno, Jigawa and Oyo States. Also, this ugly political activity was mostly reported against the PDP, followed by ANPP and CAN respectively.

It is, imperative to note that every contest, where election is genuinely or fraudulently conducted, winners and losers must emerge. Thus, the political parties challenging the outcome of the 2011 general elections at federal and state levels in Nigeria, are clearly those who failed in their strategies and bids to rig election. This is succinct because, “no political party in the annals of the electoral history of Nigeria has ever challenged its victory secured by rigging and fraud in court”.

On the other hand, security agencies are indispensable apparatus to ensure violent-free polls in all democratic states in the world. In Nigeria, several security agents participated in the 2011 general elections. The roles of these security agents in the 2011 general elections have continued to attract mix reactions among the electorates in Nigeria. This is partly because, a cursory survey of the activities of some members of the Nigerian Police, State Security Services (SSS), the Army, the Navy, Civil Defence Corps, among others, reveals a high level of complacency (Ogunmadu, 2011:16).

In Abia State for instance, the PDP connived with some of these security agents to intimidate political opponents and electorates during the Governorship and State Assembly Polls. Thus, these security agents were paid colossal sum of money for this undemocratic engagement. As a result of this, most electorates remained in their homes rather than coming out to exercise their constitutional rights. Worse still, election in places like Ehi-Na-Uguru/Osokwa Ward 5, was conducted at the personal residence of Chief Chinagorom Nwankpa – the former Executive Chairman of IsialaNgwa South Local Government Area of Abia State. Thus, the security agents – the Police, Army, Navy and Civil Defence Corps were all over Chief Nwankpa’s residence, ensuring that the election that was bid by the INEC to take place at the twenty polling centres in the said political ward was effectively conducted in Chief Nwankpa’s house. The same situation was reported to have occurred in some states in Nigeria like Benue, Jigawa, Kwara, Akwa Ibom, Bauchi, Borno and Yobe (Aladelokun, 2011:3).

Similarly, there were reported cases of fraudulent election malpractices in Imo State. According to Okwuofu and Oladele (2011:1), the CPC alleged that the PDP, INEC and security agents connived to rig the April 16 presidential elections at Ohaji/Egbema and Oguta Local

Government Areas. The same thing was applicable to Owerri Municipal Council and Orlu Local Government Areas of Imo State. In these places, the CPC also alleged that amidst tight security, the INEC officials were seen thumb-printing ballot papers in favour of the PDP candidates during the April 9 and 16, 2011 General Elections.

Contrarily, the role of the media in the April 2011 general elections in Nigeria has been commended by most Nigerians and international observers. Thus, the Federal Radio Corporation of Nigeria (FRCN), the Nigerian Television Authority (NTA), the African Independent Television (AIT), the Channel Television, the Print Media, among others, discharged their statutory roles during the April 2011 elections with fair degree of objectivity.

Thus, the media is charged with the responsibility of informing, educating and entertaining the members of the public on plethora of events that take place in the society. However, this responsibility spans all facets of activities and human endeavours in the global. Therefore, the coverage of elections and consequent reportage of the events to the public are integral part of the critical roles of the media in democratic political environment. Thus, the NTA, FRCN, AIT, the Channels Television and Newspaper houses, kept Nigerians and the international community abreast of the events that took place during the 2011 general elections. Before the commencement of the 2011 general elections, the NTA, FRCN and print media promised to give equal opportunities to all political parties wishing to show-case their manifestoes to the electorates. They further promised for effective coverage of their campaigns, rallies, press conferences, among others. The media fulfilled this promise as evidenced in table 4.4 below:

**Table 4.4: Total Time Allocated To The Political Actors (Without Paid Advertisement) By The Media, During The 2011 General Elections In Nigeria.**

S/N	PARTIES	ASO FM	KAPITAL FM	RAY POWER	FRCN KADUNA	RADIO UNITY	RADIO KANO	FREEDOM RADIO
1	PDP	79.71%	64.05%	61.94%	53.52%	61.66%	34.34%	33.20%
2	ANPP	3.44%	1.27%	6.84%	17.97%	1.53%	56.02%	21.46%
3	CPC	5.34%	4.81%	7.21%	13.05%	7.08%	4.98%	35.21%
4	ACN	8.17%	4.98%	14.07%	6.86%	7.10%	3.79%	9.10%
5	NTP	0.27%	7.41%	0.37%	0.00%	7.15%	0.00%	0.07%
6	UNPD	0.09%	7.02%	0.00%	0.00%	7.05%	0.00%	0.00%
7	SDMP	0.38%	5.36%	0.88%	0.53%	5.21%	0.48%	0.11%
8	LP	1.55%	2.56%	1.24%	2.20%	0.84%	0.27%	0.15%
9	APGA	0.29%	1.31%	1.34%	0.00%	1.69%	0.00%	0.28%
10	Others	0.28%	1.28%	6.12%	5.88%	0.69%	0.12%	0.42%
Base:		9h 20min	10h 57min	10h 45min	4h 58min	11h 52 min	10h 56min	14h, 49min

Source: Adesina, J.N. (2011).

From table 4.4 above, we observed that the media made frantic effort to keep Nigerians abreast of the activities characterizing the 2011 general elections. This commitment resulted to the efforts of the media to advertise political activities of major political parties during the election. Unfortunately, many observers have argued that the free media advertisement granted to political parties favoured the PDP than other political parties as evidenced in the computed percentages above.

Similarly, the total time allocated to presidential aspirants by the media during the 2011 general elections is shown in table 5.5 below:

**Table 5.5: A Sample Of Total Time Allocated To Presidential Aspirants In The News During The 2011 General Elections In Nigeria.**

S/N	CANDIDATES	AIT	CHANNELS TV	NTA
1	Goodkuck Jonathan	82.69%	34.90%	81.87%
2	RibaduNuhu	3.03%	18.58%	4.75%
3	Shekarau Ibrahim	1.23%	19.77%	3.57%
4	BuhariMuhammadu	9.21%	7.73%	5.18%
5	Momodu Dele	0.14%	16.18%	0.57%
6	Chris. Okotie	8.74%	8.43%	1.85%
7	Others	3.71%	2.85%	0.2%
	Base:	5h 2min	13h 48min	15h 49min

Source: Adesina, J.N. (2011).

From table 5.5 above, it is observed that media coverage was also extended to presidential aspirants during the 2011 presidential election. The major media houses were the AIT, Channel TV and NTA. From the statistics above, the activities of the candidate of PDP was mostly covered than those of other political parties.

Notwithstanding, the NTA and FRCN performed excellently in the area of broadcasting and announcement of election results by Returning Officers across Nigeria. Thus, Nigerians were availed the opportunity of watching the live coverage of the announcement of election results, while those with radios listened to the events on air.

In spite of these galant efforts by the media during the April 2011 general elections, some Nigerians have criticized its activities. To some Nigerians, there was no wide coverage of the events that took place during the 2011 general elections in Nigeria (Egbu, 2011:67). To them, however, only events that took place in the urban centres were reported to Nigerians.

### **THE 2011 GENERAL ELECTIONS, DEMOCRACY AND GOOD GOVERNANCE IN NIGERIA**

There is a correlation between credible election and achievement of good governance in liberal democratic political environment. This is largely because, free, fair and credible elections have the propensity of ushering in policies and programmes capable of promoting the general well-being of the citizens in the state (Babab' Umma, 2009:89). Thus, free, fair and credible election ultimately enhances security and efficient service delivery to the people such as water, education, health, employment, road, wealth creation, among others. It also promotes the adherence and application of the rule of law by the government in power. Consequently a critical look at table 6:6 below helps in painting the picture of the expectations of the electorates from those they elected during elections such as the April 16, 2011 Presidential elections in Nigeria:

Table 6.6 shows that the PDP candidate (Goodluck Jonathan), scored the highest number of valid votes during the 2011 presidential election in Nigeria. This was followed by the candidates of CPC, CAN, PDC, PMP, among others.

The above performance notwithstanding, it is pertinent to note that any, election characterized by imposition of candidates on the party members/electorates, intimidation of opponents and electorates with thugs/fiercely looking security agents, rigging, agitations and other fraudulent practices, adversely effect not only the growth of democracy but also the efficacy of service delivery to the citizens by elected political office-holders.

**Table 6.6: Summary Of April 16, 2011 Presidential Election Result In Nigeria**

S/N	CANDIDATES	PARTIES	VOTES	%
1	Goodluck Jonathan	People's Democratic Party (PDP)	22,495,187	58.89
2	MuhammaduBuhari	Congress for Progressive Change (CPC)	12,214,853	31.98
3	NuhuRibadu	Action Congress of Nigeria (ACN)	2,079,151	5.41
4	Ibrahim Shekarau	All Nigeria people's Party (ANPP)	917,012	2.40
5	MahamudWaziri	People for Democratic Change (PDC)	82,243	0.21
6	NwadikeChikezie	Peoples Mandate Party (PMP)	56,248	0.15
7	Lawson IgboanugoAroh	Peoples Progressive Party (PPP)	54,203	0.14
8	Peter Nwangwu	African Democratic Congress (ADC)	51,682	0.14
9	IheanyichukwuNnaji	BetterNigeria Progressive Party (BNPP)	47,272	0.12
10	Chris. Okotie	Fresh Democratic Party (FRESH)	34,331	0.09
11	Dele Momodu	National Conscience Party (NCP)	26,376	0.07
12	Akpona Solomon	National Majority Democratic Party (NMDP)	25,938	0.07
13	LawrenceMakindeAdedoyi	African Political System (APS)	23,740	0.06
14	EbitiNdok	United National Party for Development (UNPD)	21,203	0.06
15	John Dara	National Transformation Party (NTP)	19,744	0.05
16	Rasheed, Shitta-Bey	Mega Progressive Peoples Party (MPPP)	16,492	0.04
17	YahayaNdu	African Renaissance Party (ARP)	12,264	0.03
18	Ambrose Awuru	Hope Democratic Party (HDP)	12,023	0.03
19	PatUtomi	Social Democratic Mega Party (SDMP)	11,544	0.03
20	Chris. Nwaokobia	Liberal Democratic Party of Nigeria (LDPN)	8,472	0.02
	Invalid votes		1,259,506	3.19
	Valid votes (turnout 53.7%)		39,469,484	96.81

Source: [www.inec.ng.org](http://www.inec.ng.org).

This is succinct because, available evidence has shown that irregularities such as imposition of candidates and consequent litigation by aggrieved party members characterized party primaries by most political parties that participated in the 2011 general elections in Nigeria (Edike, 2010:13; Dayo, 2010:1; Otabor, 2011:8, Nation, April 2011, p. 1).

Thus, since there was no harmony and internal cohesion among some party members such as the PDP, CPC, ANPP and PPA, these parties could not 'speak with one voice'. However, these political parties that were already weakened by internal wrangling and crises obviously found it difficult to strategize and even carry out serious campaigns to all nooks and crannies of the Nigerian state to win the supports of the people (Idris, 2011:20).

However, as candidates of political parties that were successful in rigging the 2011 governorship and States Assembly elections have assumed offices, Nigerians are most likely to be denied better service delivery in the affect states. This is partly because, in liberal democratic states, the citizens are constitutionally given "free hands" to choose those to represent them. The citizens are, therefore, obliged to elect only those capable of providing efficient and people-oriented services to them (Dinneya, 2006:52). Thus, the import of efficient service delivery to the citizens by elected public officials particularly in Nigeria is properly articulated by Olowu (2002: 123) that:

*...the ability of a government to legitimately tax and govern people is premised on its capacity to deliver a range of services required by its population which no other player will provide...*

However, we argue from the above premise that why development has remained elusive in Nigeria is that the citizens are always denied their constitutional rights of electing those to govern them. The political office-holders who assumed their positions by fraud, do not own allegiance to the people (Duru, 2002:46). Hence, such public functionaries abysmally fail in the area of providing to the people, portable water, health, services, access road, electricity, security, employment, education, among others. Consequently, failure of the leaders to provide these essential and indispensable services to the people do not only result to severe poverty in the state, but also triggers off youth restiveness, poor health status, cyber crimes, prostitution, armed robbery, kidnapping and other forms of social vices, particularly among the youths in Nigeria.

It is imperative to note that the principle of accountability expected to be adhered to by public office-holders is usually compromised, if the occupants were not duly elected to public offices by the people. This is because, public accountability is not only an indispensable feature of democracy but also a critical platform through which the people view the actions and inactions of their elected leaders. Also, the adherence of the elected officials to the tenets of public accountability, offers both the government and the people the opportunity of identifying critical developmental challenges confronting the state as well as appropriate people-oriented strategies to address them.

In Nigeria, the widely reported cases of corruption and abuse of public offices could be traceable to the conduct of fraudulent elections, lack of participation in decision making by the people, lack of public accountability by public office-holders, among others (Dinneya, 2006:24). As Late President Yar'Adua once noted "a corrupt person" cannot provide credible leadership (Shaibu, 2008:6). Hence, these unethical practices, no doubt, will certainly result to poor conduct of governmental affairs in Nigeria from 2011 to 2015, particularly in some states where elections were rigged. This is succinct because, the results of the 2011 general elections particularly the Governorship and State Assembly elections witnessed the emergence of candidates who were out-rightly rejected before the election by both their party members and large number of eligible voters in their constituencies.

Thus, as these 'political hawks' have assumed power across the country, the fact that the people would be eliminated in policy making process of the government in the affected areas cannot be underestimated (Ogbodo and Njoku, 2009:1). Therefore, the ugly and criminal activities of some stakeholders in the 2011 general elections such as the INEC officials/adhoc staff, the political parties and security agencies, would not only affect adversely the participation of the people in governance process, but also results in apathy among them during the 2015 general elections in Nigeria.

This ugly trend which would be attributed at the long run as bad leadership captured the views of Yusuf (2011: 18).

Over the years, corruption has weakened the three levels of government in Nigeria and their ability to promote development and social justice... corruption undermines development by distorting the rules of law and weakening the institutional foundation on which economic growth depends... what should be paramount in the minds of many... is whether things are getting worse off or better at the moment... there is the need for paradigm shift towards addressing the critical challenges of governance rather than engaging in wanton profligacy...

Thus, unless stringent steps are taken by anti-graft agencies – the EFCC and ICPC, to checkmate the activities of some public official that rigged themselves in office during the 2011 general elections in Nigeria and further remind them of facing prosecution on the grounds of enriching themselves while in office, the delivery of dividend of democracy to Nigerians in the next four years (2011-2015), would be elusive.

### **CONCLUSION**

The challenges of administering credible elections have continued to cascade the growth of democracy and achievement of good governance in Nigeria. The 1979, 1993, 1999, 2003, 2007, and 2011 general elections in Nigeria were replete with agitations, consternations and general disenchantment among political parties. Thus, the 2011 general elections though comparatively better than previous elections in Nigeria, was not completely devoid of rigging, fraud and post election violence (The Nation, 2011:22).

Consequently, the influx of election petitions at tribunals sitting across the federation is a pointer to the fact that the 2011 general elections in Nigeria were flawed in some states. Indeed, the most perturbing phenomenon was the deliberate disenfranchisement of eligible and registered voters in some states during the said elections, largely due to the penchant to rig the election by the stakeholders – the INEC, political parties and security agents, The political parties that were favoured by this fraudulent electoral process have continued to justify their victory and further adopted various undemocratic approach to clamp-down any possible opposition in some states of the federation.

The implication of the ugly behaviours of the stakeholders in the 2011 general elections in Nigeria is that the growth of democracy is jeopardized. Also, these 'helicopter candidates' nominated and rigged into elective positions by political parties may not visit their constituencies, let alone addressing challenges confronting their people in the next four years. This is largely because; such candidates were not elected by those they claim to be representing.

Therefore, the mistakes made by some stakeholder during the 2011 general elections will ultimately have harsh and far-reaching implications not only on democratic consolidation but also on good governance in some states in Nigeria. It will hinder efficient service delivery to the citizens and also result in apathy among the people during the 2015 general elections in Nigeria. The spill-over effects of these anomalies would be high spate of poverty among Nigerians, increase in the rate of unemployment, security problems, youth restiveness, agitation by different interest groups, and total breakdown of law and order in Nigeria.

### **RECOMMENDATIONS**

In view of the plethora of adverse implications of the 2011 general elections on democracy and good governance in Nigeria, the following recommendations are proffered to avert impending danger in Nigeria ahead of the 2015 general elections:

1. There is the need for credible voter registration exercise before the conduct of the 2015 general elections in Nigeria. This will reduce drastically the unwanted and ugly practices of registering underage voters by politician as was the case in 2011 voter registration.
2. The INEC should implement its policy on the use of Electronic Voting System (EVS) to check election frauds by political parties during the 2015 general elections in Nigeria.



This could be achieved through commitment and concerted efforts of government in poverty eradication and development of rural areas in Nigeria.

3. The INEC should be more proactive in implementing its earlier plan to check election violence through the use of Electoral Violence Tracking Website (EVTW). This will not only assist in curbing the menace of election violence but also help to check the activities of unscrupulous politicians in many parts of Nigeria.
4. The involvement of foreign election observers such as the European Union Election Observation Mission during elections should be avoided not only in the 2015 general elections but also in all future general elections in Nigeria. This will assist Nigerians to judge their actions and inactions during elections rather than relying on foreign observers that falsely declared that there were no reports of rigging in the 2011 general elections in Nigeria.
5. There is the need to return Nigeria to a two party state. This will not only enable the political class to fall into two ideological camps but also reduce the disaster and crises of ideological orientation among politician in Nigeria. It will further reduce confusion among electorates who frequently find it difficult to try an alternative political party whenever they are disappointed by the party in power.
6. The civil society organizations in Nigeria such as the NLC, TUC, ASUU, NBA, NMA, etc., should mount pressure on the members of the National Assembly to reverse to the status quo which stipulated that political parties must conduct credible party primaries before elections. This will enable that section of the Electoral Act they amended for their selfish and parochial interests to be restored in order to assist Nigeria administer credible elections in 2015, starting with the conduct of credible party primaries.
7. The INEC should work assiduously to ensure that Nigerians in the diaspora vote in the 2015 general elections. This will not only enable these Nigerians make their inputs in the governance of their country, but also offer them the opportunity of influencing or changing the voting behaviours of Nigerians at home, who believe tenaciously that money politics, godfatherism, prebendalism, kleptocracy, clientelism, among others are the bane of Nigerian politics.
8. The INEC should as a matter of urgency, map out strategies to ensure adequate security in the South-East and South-South geo-political zones of Nigeria during the 2015 general elections. This will enable the people of these zones to freely elect those to represent them at various levels in 2015.
9. The election tribunals handling cases arising from the 2011 general elections should reverse any election that was not conducted in accordance with the 2010 amended Electoral Act, so as to restore sanity in Nigeria's electoral process.
10. The anti-graft agencies such as the EFCC and ICPC should beam their searchlights on the activities of members of the election tribunal handling cases arising from the 2011 general elections especially in the south-East and south-south geo-political zones to ensure that they do not compromise their duties as were alleged in 2007.

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