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Negotiated Order in Tax Audit of Corporate Tax

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Abstract

This study investigated the negotiations in taxation from the theoretical perspective of Anselm Strauss' Negotiated Order, especially in the tax audit between Tax Auditors and Authorized Agents of Taxpayers in Surabaya, Gresik and Sidoarjo. Taxation in Indonesia applies a self-assessment system, so that taxpayers should play an active role to meet their tax compliance. However, since the system was adopted in 1984, and due to the outbreak of the issues of tax resistance, the awareness of taxpayers to meet their tax compliance has still been very low. Regarding this, the government adopts law enforcement by means of three main pillars: tax examination, investigation and collection. The study resulted in the following findings. First, implementation of joint responsibility and counter data of transaction counterparties in the tax reporting could prevent negotiations between the Taxpayer and Tax Auditor. Second, Tax Auditor applies deterrent effect in the tax audit, which resulted in degrading the taxpayer' position, and benefitting the Tax Auditor personally. This means that there has been a "win-lose" negotiation. Third, inter-institution negotiations took place, aimed at easing the tax burden of entrepreneurs. In general, the results of this study strengthen as well as expand the negotiated order theory of Anselm Strauss, in that the structural context using a crisscrossing surveillance as an obligation between the parties that have the potential to negotiate can prevent negotiation. The negotiated order modes used in this study, namely avoidance, arrogance, influence of power, and compromise, can be added to a series of properties of Strauss' negotiation context.

Key words: negotiated order, taxation, joint responsibility, deterrent effect, self assessment.

INTRODUCTION

Tax reform in Indonesia began in 1983, characterized by the renewal of tax laws and the implementation of self assessment system. Reform II, a total reform of the Directorate General of Taxes of Ministry of Finance, consists in two phases: the first phase of 2002 to 2005 was a reform of administration, and the second phase of 2006 to 2009 as a reform of policy (Ministry of Finance of the Republic of Indonesia, Directorate General of Taxes, 2010). Although the results showed an increase, the tax ratio (ratio of tax revenue to gross domestic product) only reached 12.1%, lower than the tax ratio in Thailand with 17%, South Korea with 24%, and in general was far below the OECD countries which reached 34% (Kompas, July 30, 2012). This indicates that the law and taxation system in Indonesia has not been fully implemented.

Self assessment system is a taxation system in which a taxpayer may calculate, pay, and report the amount of tax payable. Taxpayers are expected to be able to actively participate in fulfilling their tax compliance. However, since its first implementation, the awareness of taxpayers to meet their tax compliance has still been low. According to Gunadi (1997: 24), the self-assessment system which has been implemented since 1984 in fact has resulted in unexpected effects beyond expectation, in which a complete trust to taxpayers to meet their tax compliance has often been misused. The ratio of Income Tax compliance until November 30, 2009 only reached 50.94%. Compared to the expected result at 45%, the ratio was 5.94% higher. This

increase was primarily triggered by the Sunset Policy. In the previous years, the Income Tax compliance only reached 35% to 40% (Address of the President of the Republic of Indonesia, 2010). In addition, the issues of tax resistance such as transfer pricing, fictitious tax invoices, and tax evasion were common. In 2009, the Directorate General of Taxes completed 17 cases which caused the state to suffer a loss of 921 billion rupiah (Address of the President of the Republic of Indonesia, 2010).

In the self-assessment system, law enforcement is essential as a counterweight, as well as a monitor of the implementation of the system (Tax Glossary, 2008). The main pillars of the implementation of law enforcement in taxation are the tax audit, investigation and collection. These are meant to keep the tax regulations implemented consistently and consequently both by taxpayers and by the Directorate General of Taxes officials themselves. According to the Decree of the Minister of Finance No. 625/KMK.04/1994 as last amended by the Regulation of the Minister of Finance No.82/PMK.03/2011, dated May 3, 2011, tax audit has two aims: to assess the compliance with taxation in order to provide legal certainty, fairness, and guidance to taxpayers and to implement the provisions of the tax regulations.

Could the tax resistance be solved with tax audit as law enforcement? The issues abounding in the public about tax resistance were partly due to the negotiation between tax officers and taxpayers which inflicted a financial loss to the government, such as tax overpayment, transfer pricing, fictitious tax invoices, and bribery. This article does not aim to describe the tax resistance but to describe negotiated order occurring in the tax audit of Corporate Tax (Taxable Employer) between the Authorized Agent of Taxpayer and Tax Auditor.

METHOD

The study used qualitative research method with phenomenological approach. Data were obtained by conducting in-depth interviews with 20 informants who were determined purposively, consisting of taxpayers, tax consultants, authorities of tax payer and tax auditors, as well as related agencies. The data were supported with the reports of tax audits and letters, as well as laws and tax regulations.

LITERATURE REVIEW

The study used interactionist perspective, particularly Anselm Strauss' Negotiated Order. Various studies on negotiation, including the negotiation that occurs in an organization, have been widely conducted, but the theories of negotiation were considered very limited as they were based on a single field of study such as labor bargaining or diplomacy, and did not consider a larger context.

Anselm Strauss' Negotiated Order views negotiation far more comprehensive, relating negotiation to the mode of action of the actors to negotiate. Strauss also views negotiation in relation to the structural context surrounding the negotiation.

Traditional bargaining theory has characteristics which are also the weakness of the theory (Strauss.1978: 10). First, the theory offers a relatively unstructured, rationalistic and impersonal analysis, as in the theory of game. Traditional bargaining theory assumes that participants are rational, and that each participant is aware of the value system of the other participants. Assumptions about the type of social order being examined that underlies the analysis as in bargaining theory must relate to the imbalance visible in their work whose interest is not centered in the negotiation itself, but the participants are still aware of the negotiation in their own data. Second, sometimes general analysis of negotiation is not closely

related to something more "macroscopic" or consideration of social settings, except for their purposes (for example, market conditions or international relations) to be given or to use them as general background. Third, some negotiation analysts focus on the prediction or result; they relate it to efficiency, effectiveness, or any other measure under what conditions the negotiation can be said as more or less successful, or unsuccessful.

Strauss (1978: 11) improved those three points by adding some features. First, the negotiation theorists need to view negotiation much more completely and thoroughly. Second, they need to relate negotiation to other modes of action available to the actors who are considering whether they will and need to negotiate. Third, they need to view negotiation in relation to larger structural contexts surrounding the negotiation. Fourth, they need to consider the views of the actors or theories on negotiation as the actors and the theories affect the negotiation itself.

Strauss used three central concepts in Negotiated Order. The first is the negotiation which refers to the actual type of interaction involving participants and strategies. The description of the interaction includes types of actor, strategy and tactics, consequences, and embedded sub processes; for example, making an exchange, having a bribery, paying debts, and negotiating agreement. The second is the structural context which refers to a situation "in which" the context of the negotiation lies. Strauss (1978: 101) emphasized that the effect path could lead to two directions, where consequences of the negotiation can ultimately be measured in changes in the structural context, and how people will act in a structural context "in which" negotiation takes place in the largest sense. Each negotiation case is required to bring out some important structural properties surrounding the negotiation. Strauss identified which one was bigger between the structural context and negotiation context. Structural context is directly related to negotiation context, but negotiation context more specifically refers to the structural feature, directly to the process of the negotiation itself. In a two-way process, negotiation context is viewed as mediating structural context as well as negotiation processes. Negotiation context is made only when certain elements of the phenomenon are relevant to be negotiated, but negotiation works through negotiation context to structural context. The third is the negotiation context which refers to the setting features which are directly relevant to negotiation and affect their programs.

The concept of negotiation context is analogous to the use of awareness context. The awareness context in question is "Everyone who interacts knows the status defined by each, along with the recognition of another awareness of total definition, as a sociologist can build it. This is the context in which people take responsibility when interact" (Glaser and Strauss, 1965: 10). In addition, technically Glaser and Strauss (1964: 670) explained, "the concept of awareness context is a structural unit, not belonging to one standard structural unit such as a group, organization, society, role, position, etc." 'Context' is defined as a command structural unit that includes more than other units in the focus of interaction. Thus, awareness context surrounds and affects interaction. For example, environment or hospital is concrete, a conventional social unit, whereas awareness context is analytical social unit, built to calculate similarities in interaction in diverse conventional units.

There are many types of specific negotiation context related to the interaction between the negotiating parties. The types are related to the permutation of the properties of negotiation context, among others, (1) the number of negotiators, their relative experience in negotiation, and who they represent; (2) whether the negotiation is the only, repetitive, sequential, serial, multiple, or correlated; (3) the relative balance of power shown by each party in the

negotiation; (4) the nature of the stakes in the negotiation; (5) transaction with others; whether they are open or not; (6) the number and complexity of the issues negotiated; (7) clarity of legitimacy boundary of issues being negotiated; (8) choice to avoid or end the negotiation; namely alternative mode in action. Strauss attempted to emphasize that the choice to avoid or end the negotiation is a choice which becomes particular relevant in understanding the decision to negotiate and the process of the negotiation. If the potential or actual party perceives that they could persuade, appeal, manipulate political or social events, among others, their choice is a good alternative mode that will prevent them from negotiation, or if they choose to negotiate, their choice will affect what happens during negotiations.

In this study, structural context refers to the laws, tax regulations, the Directorate General of Taxes, the Tax Office, as well as its staff including Tax Auditor who is in charge of enforcing and implementing the laws. Taxpayer as the owner or the chairman of the company who authorizes the tax affairs to the company's tax officer or tax consulting firm as the authority of Taxpayer is obliged to comply with the laws in force. However, the implementation may not be as expected in the laws. Negotiations take place in tax audit, which Strauss refers to as negotiation context. The mode or manner of negotiation is called the property of negotiation context.

RESULTS AND DISCUSSION

The results of the study indicated that the self-assessment system in taxation was not well understood by taxpayers; they perceived the tax regulations as complex and frequently amended. Taxpayers who did not fully understand their tax compliance chose to avoid paying the tax. In order to prevent this, simpler tax regulations and more accessible media of socialization are required so that taxpayers can easily understand the tax regulations.

In the self-assessment system, the Directorate General of Taxes (DGT) serves to ensure that the system runs well by providing tax dissemination, tax service, and law enforcement. If these three functions can be implemented optimally, voluntary compliance can be achieved.

The authority of the Directorate of Taxation to conduct tax audit is stipulated in article 29 of Act No. 6 of 1983 as last amended by (a.l.m.b.) Act No. 16 of 2009 on the Act of General Requirements and Procedures of Taxation (GRPT). According to the act, tax audit is a series of activities to collect and process data, information, and/or evidence carried out objectively and professionally based on a standard audit in order to examine the compliance of tax obligation and/or for other purposes in order to implement the provisions of tax regulations.

In relation to the self-assessment system, the mechanism of Value Added Tax (VAT) enforces joint responsibility, which was first stated in article 33 of the Act of (GRPT) of 2000 effective in 2001 to 2008. Furthermore, the joint responsibility was reaffirmed in article 16F of the Act No. 42 of 2009 on Value Added Tax (VAT) on Goods and Services and Sales Tax on Luxury Goods, effective since April 2010, and was amended by the current regulations namely the Indonesian Government Regulation No. 1 of 2012 on the implementation of the Act No. 8 of 1983 on Value Added Tax on Goods and Services and Sales Tax on Luxury Goods a.l.m.b. Act No. 42 of 2009 on the third amendment to Act No. 8 of 1983 on Value Added Tax on Goods and Services and Sales Tax on Luxury Goods. Article 4 of this regulation states that: (1) the buyer of taxable goods or the recipient of taxable services bears a joint responsibility for the payment of Value Added Tax or Value Added Tax and Sales Tax on Luxury Goods; (2) The joint responsibility in question is collected through the issuance of the decree of Underpayment Tax in accordance with the provisions of the legislation in taxation.

VAT is a multi stage tax, meaning that the VAT is collected at each of the chain of production and distribution lines. Each delivery of taxable goods or services is the object of VAT, from the manufacturer, the level of whole seller to the level of retailer. As the proof of VAT collection, any delivery of taxable goods or services is required to include tax invoice. Credit method mechanism is used to calculate the VAT. VAT is calculated and reported in each tax year using tax return. Levied tax is called Output Tax. At the time of purchase, taxable employer buys taxable goods or receives taxable services from another taxable employer called Input Tax.

At the end of the tax year, the Input Tax is credited with the Output Tax in accordance with the regulations. The tax is reported using tax return along with tax invoices and tax payment slip as supporting proofs of the report. If the Output Tax is greater than the Input Tax, the underpayment is made to the state treasury not later than the 15th of the following month. Conversely, if the Input Tax is greater than the Output Tax, the overpayment can be compensated with tax debts in the next tax year or refunded. At the end of the tax year, each taxable employer is required to report the collection and payment of taxes to the Tax Office not later than the 20th after the end of the tax year, and the end of the following month after the end of the tax year.

In order to support the implementation of this joint responsibility, in 2010, the Director General of Taxes issued Circulars regulating Raising Potential Taxpayers and Monitoring of Tax Collection. These are respectively the Circular of the Director General of Taxes No. SE-60/PJ/2010, dated May 5, 2010 on Taxpayer Profile-Based Potential Taxpayer Raising and Benchmark, the Circular of the Director General of Taxes number SE-69/PJ/2010 on the Target of the Ratio of the Correction of Tax Return of Taxpayer Profile-Based Income Tax, Number: SE-39/PJ/2011 on the Ratio of the Correction of Tax Return of Taxpayer Profile-Based Income Tax. The Circulars of Director General of Taxes on the Monitoring Tax Collection consecutively are the Circular of the Director General of Taxes Number: SE - 88/PJ/2010, dated August 16, 2010, the Circular of the Director General of Taxes Number: SE - 27/PJ/2011, dated March 31, 2011, and the Circular of the Director General of Taxes Number: SE 27/PJ/2012. In general, these circulars were issued in order to reassure tax revenue as mandated by the State Budget (APBN) each fiscal year as the Directorate General of Taxes (DGT) needed to improve taxpayer compliance.

The aims of these regulations were to obtain taxpayers data base, to create a reliable taxation information system, and mainly to improve the monitoring mechanism using an information system media such as DGT Portal. This mechanism was reinforced with the regulation on electronic Tax Invoice numbering (e-Invoice) namely the Decree of Minister of Finance No. 151/PMK.03/2013 on Procedures of Issuing and Correcting or Replacing Tax Invoice, and its implementation was regulated in the DGT Regulation No. PER -16/PJ /2014 on the Procedures of Issuing and Reporting Electronic Tax Invoice.

The implementation of the regulations and acts in this study is the structural context of taxation. According to Strauss' theory, the occurrence of negotiation depends much on the surrounding structural context. This study of the tax audit for the Taxable Employers in the perspective of negotiated order found several results. First, the Authorized Agent of Taxpayer and Tax Auditor did not dare to bargain the tax regulations in the tax audit due to the mechanism of joint responsibility with the third party. This mechanism relates to the counter data of counterparties that can be accessed by tax officials on the portal of Directorate General of Taxes (DGT). This mechanism is a knowledge that internalizes and establishes awareness of

Taxpayer and Tax Auditor that there are other parties that can automatically monitor taxpayers' taxation in a crisscrossing mechanism, and therefore the reporting should be conducted correctly.

Regarding the joint responsibility, the writer compares the findings of this study to the findings of the study of Jim Thomas (1983), and of Pujileksono (2012), on negotiated order in prison. The writer suggests that there are significant differences between the monitoring mechanism in prison and the one in Taxation. In prison, the relations among the participants or organization actors (inmates, guards and employees) are a direct one, meaning that there is no effective monitoring system to prevent negotiation between them. If both parties mutually agree, negotiation takes place secretly, which no other parties can prevent, and no other parties will protest despite being harmed.

In a tax audit, the meeting between the Authorized Agent of the Taxpayer and Tax Auditor is very intense and they may argue if necessary, meaning that they are physically close to each other, in which negotiation is possible. However, the study hardly found negotiation between the Authorized Agent of the Taxpayer and Tax Auditor. According to them, their reluctance to negotiate was due to a strict monitoring mechanism in the taxation system.

Based on the above description, the writer suggests that applying a crisscrossing monitoring by a third party that implements joint responsibility, negotiation hardly occurs. Theoretically, it can be said that in tax audit of compliance investigation the DGT is an organization that Thomas (1983) referred to as "tightly coupled", in contrast to his finding in the prison as "loosely coupled" organization.

The second finding is that the mechanism of tax audit produced a deterrent effect for taxpayers. This deterrent effect was caused by the mechanism of tax audit, including limited time given to prepare the files requested in tax audit, the arrogance of the Tax Audit, a discrepancy method (techniques and procedures) used in the audit, and solution offered by Tax Auditor which was interpreted as a "threat" by taxpayers. Deterrent effect is explicitly stated in section A of the Circular of the Director General of Taxes Number: SE - 15/ PJ/2014 on the Planning and Strategy of Audit. The circular states that: "the effectiveness of the audit is measured by how much the audit activities capable of creating, among taxpayers, improved compliance of fulfillment of tax responsibility and increased contribution to state revenues from the taxation sector."

Another regulation that supports the deterrent effect is the Decree of Minister of Finance No. 17/PMK.03/2013, which includes the deadline to respond to the notice. Taxpayer is expected to respond to the notice of audit no later than seven days after the issuance of the notice. Otherwise, a first warning letter giving another seven days will be issued. If the taxpayer does not meet the order, a second warning letter will be issued. If the taxpayer still does not meet the order in the second warning letter, the taxpayer is considered as refusing the audit and will be subject to sanctions, including the assessment of occupation tax. The refusal may be due to the fact that taxpayers find it hard to prepare the required documents during the last for years in a short period.

The regulation of Director General of Taxes No.PER-04/PJ/2012 regulates the guidelines for the use of method and technique of audit to examine the fulfillment of tax compliance. The method is strict and detailed. In addition, the Circular of the Director General of Taxes No. SE-

15/PJ/2014 on the Planning and Strategy of Audit states that Tax Auditor's performance must be measured in order to achieve certain targets.

On the Tax Auditor side, these regulations are a burden as in reality not all Tax Auditors could perform well. However, realizing their superior position, Tax Auditors were found to be arrogant and misuse their power. When an Authorized Agent of Taxpayer did not accept the findings of the audit, the Auditor offered the Authorized Agent of Taxpayer to file an appeal or to state to refuse the audit. Both offers were interpreted as a "threat" by the Authorized Agent of Taxpayer. If the Authorized Agent of Taxpayer refused the tax audit, the penalty would be a tax imposition on the basis of occupation, meaning that all expenses of the Taxable Employer would be examined, so that the imposition of the tax would be high. If the Authorized Agent of Taxpayer filed an appeal, they had to pay in advance the underpayment of tax imposed by the Auditor prior to the appeal. If they lost, the Taxpayer should pay 200% of the amount of the underpayment of tax as stipulated in Decree on Underpayment of Tax.

The deterrent effect resulted in the shifting position of Taxpayer, from being equal to the Auditor to being subordinated. Moreover, Taxpayer was financially disadvantaged. In this finding, Tax Auditor bargained the tax regulations by using the negotiation context properties in the form of arrogance and power influence, indicating an imbalance in the negotiation. It can be said that the Tax Auditor "win" and the Authorized Agent of Taxpayer "lose", referred to as a "win-lose" negotiation by the writer .

The third finding indicated that the Directorate General of Taxes through Circular number SE - 15/PJ/2014, dated March 21, 2014, on Planning and Strategy of Audit, explicitly declared the enactment of tax audit for Real Estate/Property. Due to the Circular, all Real Estate companies would be audited. Actually, the audit of real estate companies was already started on a regional basis in the mid-2013 as a form of the examination of tax compliance of Real Estate Taxpayer. In SE - 15/PJ/2014, point E Materials, number 2 Audit Plan, letter b. Focus of Audit stated that the focus of national audit in 2014 for Corporate Taxpayer was property and financial services industry. Further, fiscal year being audited as stated in the Circular was based on the provision of Article 13 paragraph (1) and Article 15 paragraph (1) of Act of General Requirements and Procedures of Taxation (GRPT), in which the audit was from fiscal year 2009 to 2012.

Taxes related to real estate companies are state tax and local tax. The former includes Income Tax, Income Tax Article 21, 22, 23, Income Tax article 4, paragraph (2), VAT and luxury sales tax, and the latter includes Tax on Acquisition of Land and Building, and Land and Building Tax.

Knowing the audit plan, real estate business people were worried. The worry was communicated to the real estate business people association called REI. The board of REI East Java strove to conduct advocacy for its members whose tax were going to be audited. The advocacy was an effort to ease the burden of the members regarding the tax audit.

The study found that negotiations occurred at the level of institution in the implementation of tax audit, which resulted in an agreement between REI East Java, Surabaya City Government, and DGT East Java to ease the burden of the real estate business people in tax audit. The agreement said that the Tax Base for real estate proposed by real estate business people amounting equal to the price listed in the brochure is reduced to 35% of its, was accepted by the Department of Revenue and Cash Management Area of Surabaya, whereas the tax base should have been assessed through certain calculation. Furthermore, the demand of the real

estate business people regarding the fiscal years to be only 2011 and 2012 was granted by the local Tax Office, whereas the fiscal years to be audited should have been from 2009 to 2012. The grant eased the business people very much.

Viewed from Strauss' theory, the property of negotiation context in the negotiation was a compromise. The negotiation between REI East Java which carried the aspirations of real estate business people, with the DGT East Java and Provincial Government, resulted in an agreement that eased the burden of the business people as taxpayers. Theoretically it was a loosely coupled negotiation since the parties involved were structural; they weakened the regulations agreed by the taxation organization.

CONCLUSIONS AND RECOMMENDATIONS

Based on the results of the study and the discussion, several conclusions were drawn. First, the application of the joint responsibility mechanism, related to the counter data from the counterparty, negotiation did not take place in the Tax Audit of Taxable Employer. Even if negotiation took place, it was conducted very carefully. It was due to the tax regulations which established a systematic, layered, and crisscrossing monitoring mechanism. With such strict mechanism, taxpayers did not dare to bargain or negotiate because they were "being monitored" through the counter data of counterparties. Taxpayers, in this case Taxable Employer, had the courage not to collect and report the VAT if it was certain that their counterparties were not Taxable Employer. It could happen due to the fact that a taxpayer who is not a Taxable Employer cannot credit input tax and does not report the VAT in the tax return, making it not legible in the DGT Portal as counter data of counterparties.

This monitoring mechanism has never been found in other institutions and is highly probable to be applied at other institutions. The mechanism indicates that the DGT has performed detail anticipation to tax-related cases which were common within the last ten years. The cases include fictitious tax invoices, transfer pricing, and restitution through engineering of the Decree on Overpayment of Tax.

Second, the tax audit produced deterrent effect to taxpayers. The deterrent effect resulted in the shifting of the position of Taxpayer from being equal to being subordinated to the Auditor, which financially disadvantaged taxpayer. It suggests that in fact a negotiation occurs in a tax audit. Strauss offers many types of context-specific negotiation related to the interaction between the negotiating parties, regarding the permutations of negotiation context properties, which include, among others, the relative balance of power shown by each party in the negotiation itself. In this finding, Tax Auditor bargained the tax regulations by using the property of negotiation context in the form of arrogance and power influence, meaning that there was an imbalance in the negotiation. The negotiation could even be said to be a "win-lose" one.

The unequal position does not comply with the vision of good governance in a government organization, in this case the DGT. Therefore, the overall deterrent effect created by the DGT should be immediately anticipated as it was a deviation and contradictory to the ideas of Good Governance, in which a tax audit should be an equal treatment.

Third, the fact that the real estate business people who were also Taxable Employers made a complaint to REI was reasonable because REI was the organization that served to channel its members' aspirations. The compromises made as a form of negotiation between REI East Java with DGT and Provincial Government resulting in an agreement which eased the burden of the

real estate businessmen as a taxpayer was a form of advocacy by the organization. Whatever the reason, the negotiation among structural organizations was an act of bargaining regulations. Such pattern of negotiation would be a reference for subsequent negotiations.

In the future, more rigorous studies are required to address the aspirations of real estate business people. A regulation is made to be complied with. Therefore in creating a regulation, it should consider conditions or aspirations of the people at the grassroots, so that its application will be easier because the regulation is grounded and accepted by the community. Essential compliance is a compliance performed with full awareness, not with compulsion. Therefore, moral approach is necessary.

These findings support Mead's theory in which individual in a state of distress is still a source of innovation that can internalize society. In previous findings, Tax Audit individuals could still find an opportunity to benefit themselves by bargaining the method of audit and pushed the taxpayers. In this case, taxpayers as real estate business people, with their ideas and reasons, tried to influence and internalize the REI to fight for tax relief. These findings reinforce Anselm Strauss' negotiated order and expand the theory to society level. Negotiations at the micro-level can affect policy at the macro-level (structures), not only in the internal organization, but also inter-institutional policy. It also reinforces the theory proposed by Strauss that no social order is without negotiated order, meaning that negotiation is inseparable from every social order.

In general, it can be stated that the results of this study theoretically strengthens and extends Strauss' negotiated order theory. First, in relation to the implementation of joint responsibility and counter data of the counterparty, it can be concluded that "the occurrence of a negotiation greatly depends on the structural conditions surrounding it and tax regulations applied with joint responsibility mechanism, and crisscrossing monitoring is proven to prevent negotiation." The findings on the joint responsibility mechanism and crisscrossing monitoring are a novelty of the findings of previous research in the perspective of Strauss' negotiated order. Previous studies did not reveal involvement of third parties in the application of control mechanism of a regulation.

Second, in relation to deterrent effect in a tax audit, it can be concluded that "a strong structural scope can strengthen the role of individual as a representation of the structure, which results in an imbalance relationship and can open the possibility of a win-lose negotiation." Third, related to the finding on the negotiation between structures, it can be concluded that "collective actions of individuals can be a force to affect the surrounding structures, resulting in inter-institutional negotiation and weakening the structure."

Finally, the study also found modes used in negotiated order, which Strauss theoretically called the properties of negotiation context. These modes can be added to a series of properties of negotiation context, i.e. avoidance, arrogance, power influence, and compromise.

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Antonio Rosmini on Law and Its Implications for Fundamental Rights

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Abstract

According to Rosmini, the simple interpretation of law and implication of fundamental rights is necessary in civil society in order to establish justice. The individual serves as a starting point for the perception of fundamental rights. The law is an objective entity outside man. Man can only understand law via acts of volition of the intellect. Rosmini alleges that law serves as transition for man to reach perfection. In order for man to achieve perfection, he must comply with the laws in the civil society. Law is therefore a creation by God for the maintenance of justice and order in civil society. The upholding of the law connotes that man must have honest characteristics and know how to pursue good. The human instinct for perfection serves as motive for man to do good. According to this idea, the principle of law can thus be inferred from God. Man will always be obliged by law to act morally good in civil society.

Keywords: South African Constitution, Act 108 of 1996, 8th and 14th Amendment of the United States Constitution, *State v Makwanyane*, *Meredith v The State*, *Rochin v Callifornia*, *Felix v Mc Carthy*, *Schy v State of Vermont*, offensive to human dignity, Antonio Rosmini, fundamental rights, morally reprehensible.

PURPOSE OF THE PAPER

This paper actuates the rationale for the establishment of fundamental rights of the individual in civil society. In order to forge this rationale, Rosmini focuses on his rendition of the law and fuses it with deontological concepts whereby fundamental rights is now couched in divine dynamics. The research forthwith engages with Rosmini's interpretation of the law in civil society and the American and South African judicature on fundamental rights.

INTRODUCTION

Rosmini assumes law (natural law and positive law) to be the normative systems in civil society. Law therefore needs to provide a foundation for the reception of fundamental rights in the society.

The moral prescriptions of natural law, for example, obliges man to perform an action or abstain from doing it. Positive law, on the other hand, provides a framework within which human nature can develop. In this respect, human nature seems to be the norm for law and justice. Man is always encouraged by these two norms to act in accordance with justice. The nature and implication of the law is thus construed on the basis of divine knowledge in which man takes part. Justice for human action is thus grounded on ethical foundation of the law. Such ethical remnants find its offshoot in morality, through which the right and duty of man is expressed in society.

Due to some critics' opinion that natural law offers vague guidelines for the practice of law. One is as a result of such contention, be forced to explain the nature and implications of

positive law. These two fields may, however, not be dealt with in isolation so that a comprehensive view of the nature and implication of the law in civil society can be understood. Rosmini defines positive law as a right of moral governance or authority to act. He says right is a faculty to do what we please, protected by the moral law, which obliges others to respect that faculty.

DISCUSSION

The Positive and Legal Relation between Right and Duty

Rosmini states that duty precedes right. If man through his moral judgement does things which are not prohibited by law, duty will not only precedes right, but it (duty) will also operate separately from right. According to Rosmini, if duty does not precedes right, it will be impossible to form an idea or concept of right. He alleges that the notion of right is necessarily included in that of duty.[1]

Rosmini asserts that every right has a duty as antipode. If I have a right to something, others have a duty not to encroach upon my right. If I as owner have a right to my car, all other people have at the same time a legal duty to respect my right by not damaging or stealing my car. I have a right to my life and others have a legal duty not to take my life or to kill me.[1] The relationship between right and duty is the basis for a study of fundamental rights.

The notion of right and duty has essentially a bearing on each other – one presupposes the other so that the distinction between right and duty is unthinkable. In terms of the philosophy of law, the notion of right and duty belongs to human nature and it is inextricably part of anthropology, in particular the nature of man. On the basis of this contention, man is considered a bearer of fundamental rights.[1]

The notion of “duty” is simpler than that of right (which also includes duty). Duty(ies) cannot exist without corresponding right(s). Man is by nature bound to duty. As intelligent being man’s rights and duties must be respected by others and these rights and duties form part of man’s fundamental human rights. Man also has a duty towards himself and he must thus respect his own dignity.[1] However, man cannot have rights towards himself. No right can exist, unless the duty to respect it also exist in others.[1]

Duty generates rights and is derived from right in two ways: one relative to the person who acquires rights; the other relative to the person who must respect those rights. Duties that are relative to others bind man to respect other people’s personal actions. Duty is raised to a level on which man’s dignity is considered holy and inviolable. Rights relative to the owner thereof are incorruptible and are relatively inviolable by others.[1]

The perception of a negative duty action which precedes right give rise to a perception to do what is wrong. If duty does not precedes rights, a right to do what is wrong, could exist.

The Role of Jural Duty vis-à-vis Fundamental Rights

Jural duty can be described in the following maxim – do not diminish the good of another, or do no harm.[1]

Rights and duties, according to Rosmini, must act together. Duty cannot be split in two, one part moral and the other jural. The jural element of duty is grafted into the moral root where it attaches itself indivisibly. A person’s actions for an effective exercise of fundamental rights is introduced under the rule – do not diminish the good of another. Both right and duty regulate this right. On the basis of this, there exists a duty not to harm others.[1]

Rosmini believes that we must not only envisage rights in the individual, but, it be also expressed in civil society.[1] Fundamental rights express man's existence relative to his own interests and the way in which such interests are promoted. Everyone acts for himself, but social rights and duties must also be maintained. Rosmini asserts that fundamental rights of the individual may change in civil society, but it may never be abolished. The fundamental right of the individual serves eventually as basis and structure for social rights. Social rights cannot be understood if fundamental rights that precede them are not first explained. Fundamental rights are inherent in human nature and arise as soon as human nature exists.[1]

The Limitation of Fundamental Rights

The question must be asked whether our fundamental rights are violated when other persons impede upon the practice of our rights. According to Rosmini fundamental rights do not have unrestricted or absolute control over a matter.[2]

Rosmini, however avers that restricting a fundamental right connotes to a violation of such a right. The following principle holds for the restriction of the fundamental rights of others: "Do not harm another's activity in so far as it is personal... or do not diminish another's ownership." [2] To harm other people means by implication to violate their personal freedom and their property right. This means that we may act lawfully as long as we do not violate other people's natural rights. On the basis of this perception, we must continuously do what is not harmful or in other words, we must do what is lawful.[2]

The Violation of Fundamental Rights

Rosmini believes that fundamental rights are not violated in the case of the exercise of lawful actions, for example, another person's jural freedom is not violated if an object that does not belong to anyone is acquired as property.

Rosmini explains also that fundamental rights are not violated where the victim himself consented to harm. Consenting to harm by an individual is included under the principle, *volenti non fit iniuria* ("That to which a man consents cannot be considered an injury"). Violation of fundamental rights occurs when man withdraws his consent to harm and the violator still continues with his action(s).[2]

The Protection of Fundamental Rights

Rosmini asserts that courts of law must protect fundamental rights in civil society. The use of power by courts of law in the form of sanctions, where fundamental rights are violated, requires special consideration by courts, which delivers sentence. The injured person must not himself redress the injustice suffered. The courts of law and other relevant legal authorities must do this on his behalf.[2]

Rosmini believes also that every person is to use power in protecting his or her fundamental rights. With reference to this sentiment, Rosmini explains that a virgin may kill a person who wants to rape her and in whose power she is already, if she fears that her spiritual life will be harmed by the violation of her fundamental rights. The use of power can, in some cases, prevent the violation of a person's fundamental rights.[2]

According to Rosmini, a person may only protect the violation of his or her fundamental rights provided that this occurs in fairness. A person who unknowingly and in good faith possesses another person's property should not immediately be deprived of his possession by means of

power. The other person should first prove his entitlement to that property before it is transferred to him. The owner must be able to prove that the claimant is not the owner of the property.[2]

Rosmini alleges that a bona fide owner of another person's property ceases being in good faith if he/she finds out that another person has a legal title to this property and he/she still persists in owning the property, after being requested to cede it. The true owner of the property may therefore with violence or legal means deprives the mala fide owner of his/her unlawful property.[2]

Rosmini believes a government ensures the protection of an individual's fundamental rights if it prevents a transgressor by means of deterrents to violate these fundamental rights. The government may only do so if the fundamental rights of the person concerned are threatened or violated. The protection of the individual's natural rights must be honest and the sanction must be fair to the transgressor. Laws and other available methods must also be used to protect the individual's fundamental rights.[2]

Proprietary Rights as Offshoot of Fundamental Rights

Rosmini asserts that the general characteristic of property right consists of the binding of a property to the person. The property is to be used by the person for his/her own purpose or benefit. Property right forms the subject of acquired actions whereby a person acquires an object and uses it for his/her own advantage. Such action occurs if I wish to rest under an oak tree and the place is already taken by another person. My action (to also sit under the tree) is morally prohibited. I cannot take up the room without harming the other person, by for instance, sending him off. However, if the place is vacant, I will be able to use it and my action will be morally fair and thus permissible.[2]

Rosmini proceeds to explain the analogy of proprietary rights further by stating that if someone wants to build a house on an unoccupied piece of land, it will be morally right or fair for him/her to do so. The action for building the house together with the intention to permanently stay there extends into the future. This action will not totally cease. The person acquires a moral-physical relationship with the house. His/her occupation of the open piece of land morally prohibits other persons from occupying this piece of land which was open to all previously. This prohibition against other people may remain until I (and the other persons) have left both the house and the land.[2]

Rosmini exerts that the person's decision to live in the house he/she built morally prohibits other people from using this place. However, the scope of the owner's property right is restricted by the right of use by other people deriving from restricted relevant rights they have on the property, or rights of claim which they have against the owner. Before the owner decided to occupy the house or the land, anyone could have used it earlier, without inconveniencing me. The action whereby the owner acquired the land and the house he built on the land forms the subject of property rights.[2]

Rosmini states that everything in nature is vacant and free. Anyone can lawfully take possession of a property that is free and vacant, or on which there is no property right claim. In the above case scenario, the right to possession is not a problem, but where possession is already established, other people may not establish property rights thereto. The right to possession, however, is relative and not absolute. This right is determined and exists only as long as there is no property rights claim on the property. Other people assign the

establishment of external property rights to civil laws because the penalty clause concerning property rights can only be found in civil society.[2]

Rosmini, in approvingly refers to Cicero, avers that property rights must be respected:

"[...] the consent of the people must be in everything be considered a law of nature. If all peoples agree that the first occupier has the right to the thing occupied, they recognise in occupancy a just title to that right."[2]

The first person who occupies property enjoys a just claim to this property and others must acknowledge and respect his/her property right.[2]

The Transfer of Proprietary Right

Occupatio

Rosmini upholds that there are two ways of transferring proprietary rights, namely occupatio and contract.[2] These ways of transferring culminate under the following examples: with regard to occupation, I free something of my own free will to another and the latter occupies it and making that property his own; with regard to contracts, I free something of my own free will in favour of someone else who, under certain conditions or without conditions, accepts and takes it immediately as his own – that is called in legal parlance a contract.

Rosmini maintains that occupatio is the waiver of possession by the owner of a property and the ensuing ownership of property right by another person. The owner simply waives the property which is later acquired by another person.[2]

Rosmini asserts that the waiving of property right must be proven though. This can be by means of words, facts and other circumstances of the owner which reflects the owner's intention to waive his/her property right to another person.[2] Indicia of waiving are words, facts, and non-facts of the owner, which must clearly indicates his intention, and circumstances, when these are such that human beings must reasonably give up their intention to keep the thing as its own or his persuasion that the property is his.

Rosmini states that in terms of positive prescription, three conditions are stipulated for the transfer of property right. First, the property must be obtained by long use; secondly, the possession of the property must not be disturbed, and thirdly, the current owner of the property must be in good faith. These three prescriptions must be present for a lawful or reasonable transfer of property right from the previous to the present owner.[2]

Rosmini says that the delivery (of movable property) and the registration of (immovable property) must be made with the intention of the owner to transfer the property right and with the intention of the receiver to receive the property right. This approach is analogous to the Roman animus transferendi domini doctrine of the transferor and the animus accipiendi dominie of the receiver, which points to the subjective aspect of the transfer of property. Both parties must consent to the transfer and receipt of property right at the time of the transfer. This agreement must meet all the common law requirements for a valid contract, for example the contractual capacity of the parties, consensus concerning the property, absence of error, and so on. If the transfer of property right is unfair, the common law prescriptions for valid transfer in terms of natural law and positive law have not been met.[2]

Contract

Rosmini assumes that contracts are morally and juridically essential because their purpose implies the achievement of the moral good and avoidance of the moral bad. In terms of a contract between the parties involved, a contract takes the form of rights and duties or obligations. The provisions therefore in a contract must be subject to the prescriptions of natural and positive law.[2]

Rosmini defines a contract as follows:

"[...] the concurrence and jural effect of corresponding acts of two persons, of whom one, an owner of a simple or complete right willingly dissolves the jural bond of the right with or without certain conditions, so that the other may become the owner if he wishes. The second owner brings into effect the act of acceptance and, after meeting any attached conditions, appropriates the right."[2]

A bilateral legal action must take place in terms of which property right is transferred by the owner to the receiver as an act of disappropriation and accepted by the latter as an act of appropriation. The owner must intend to transfer property right in terms of the contract and the receiver must intend to receive the property right. The nature of the contract shows similarities with the nature of the animus transferendi domini of the transferor and the animus accipiendi domini of the receiver. If an owner abandons his/her property right without someone else taking on that right and if the other person simply takes possession of it because the former left it open, without any understanding between them, the rights of the first person will be transferred to the second person by means of two separate and independent actions which will not form a contract.[2]

Rosmini asserts that there must be a subjective intention between the parties that transfer of property rights takes place. A contract is a moral-juridical action with a complete present will. If the conditions of the contract are not accepted, there is no contract. As soon as the conditions of the contract are accepted, there will be a valid contract. There must be some common rights and duties between the parties to the contract so that the rights of one person can be transferred to another contracting party. In terms of the application of the nemo plus iuris ad alium transferre potest quam ipse haberet rule, no person can transfer a greater right than he himself had on a property and all restrictions are transferred to the new owner of the property. The transfer of rights between the parties to the contract must be known.[2]

The person who calls off the property right according to the prescriptions of the contract must understand that the other party is free to take over possession of the property.[2]

Rosmini alleges that it is evident that the obeisance to contractual provisions stipulations would protect basic fundamental rights of the parties indirectly. The contract figure also has fundamental relevance in the private and public sphere.

The Integrity of Fundamental Rights

Rosmini alleges that every right is inviolable due to the prescriptions of natural and positive law. The prescriptions of these two forms of laws confirm the integrity of the individual's right by the enforcement of the maintenance of fundamental rights in civil society. According to these prescriptions, we are prohibited from harming another person. A wrongful action implies a juridical infraction or infringement of an individual's personal and property rights and will be morally reprehensible.[2] If the circumstances exist according to which there is an

infraction of a person's property and personal rights, such infringing action will be morally unjust and such circumstances must cease to exist. Resonant to the foregoing, Rosmini states:

"[...] if a law were found to be unjust, it would no longer be law."[2]

Like Rosmini, Thomas Aquinas already stated that the validity of a right depends on justice. Thomas Aquinas orientated the validity of a right according to the prescriptions of natural law and the latter was of the opinion that any right that contradicts natural law is no longer a law, but rather a distortion thereof. Rosmini joined up with Thomas Aquinas and air his view that the law requires that civil society acts in accordance with the prescriptions of the law. Like its citizens are obliged to do, the government must also obey the prescriptions of the positive and natural law. This is or forms the basis for fundamental rights in civil society.[2]

The individual and the government are both equally subject of rights and subjected to rights. In spite of the aforesaid, problems arise if the integrity of rights are applied to both the individual and the government. These problems are a result of the usurpation of rights by the state or government over the individual. In other words, state's rights are deemed to triumph over that of the individual. Rosmini believes that this should not be the case. He suggests that if an individual becomes part of the state of civil society, the individual only forms part of an additional relationship without his/her individual existence being lost. The individual thus lives an independent existence separate from the civil society or state. Rosmini therefore quashes the notion that the rights of the civil society or state are more important than those of the individual person.[2]

Rosmini asserts that a government must protect the vulnerable person against the powerful person and the individual against the civil society or state. If this mandate is not to be adhered to by governments, then we might have the situation where in certain societies women are considered an instrument for men's pleasure so that her human dignity is to a large extent impaired or even destroyed. For example, in the forests of America women were burdened with heavier tasks for which men did not see their way clear and the women were also subjected to their male children. She is excluded from their table, forced to depend for food upon the scraps, left without assistance in need, even at the moment of childbirth when brute animals take loving care of their females, men in such societies are callous.[3]

Rosmini stresses that governments will benefit from the maintenance of fundamental rights of the citizens. He concedes that private interests need to be subjected to public interests, but then such subjectivity must be used in the correct context. Rosmini explains:

"[...] in this way, it is true that private good has to give way to public good if by private good is meant the good of all the individual members of the society; it is not true if private good is understood as that of a single member of the society."[2]

Rosmini is of the opinion that collective entities and even governments are juridical persons which must be dealt with equally to any other individual. It means that governments must not absorb its members' rights, but must afford its members' the opportunity to live an independent life. This is the guarantee for the recognition of fundamental rights in civil society or the state.[2]

Rosmini states that the civil society or its organs that act on its behalf may not operate unfairly or unlawfully, not even for the sake of the preservation of the state. He reiterates once again that the individual or citizen must exist independently of the state. The individual is not a person because he/she is a member of the state. Rosmini explains the integrity of the individual's rights as follow:

"[...] let civil society [state] perish, therefore, if need be, so that individuals may be saved; individuals must not perish so that civil society may be saved."[2]

Rosmini believes that civil society or the state can be dissolved, but not at the expense of the individual. He avers that the civil society is the middle goal and the individual is the end goal, an approach which finds affinity with Thomas Aquinas. Thomas Aquinas considered the perfection of the state or civil society in the reasonable nature of man and the promotion of man's general well-being.[4]

Rosmini asserts that it would be unfair if the state or civil society is to restrict the freedom of its citizens. The state, however is to restrict the exercise of the rights of its citizens in the same way as is the case with the individual towards others. Rosmini means such relationships establish juridical rights and duties among the citizens towards the state.[2] This approach points to an effective enforcement of individual rights in the state.

Rosmini mentions that the state violates the citizens' rights under the following circumstances: If it hinders the citizen's action to possess certain property, without the state having a lawful claim of property right on the property concerned; if the state or its organ(s) under the pretence of public interest is/are of the opinion that it can do anything and misuses that pretence to disguise its own justice; under the pretence of promoting the general well-being of its citizens, the state can prejudice the freedom and property right of its citizens.[2] The state also violates the rights of its citizens if it does not in the exercise of its rights prevent its citizens' rights from being violated. The state violates its citizens' rights if it allows an individual or social organ or entity to wrong others in the name of the state. Rosmini alleges that the state has a special responsibility to ensure that justice triumphs. The state must ensure that the citizens' rights are not to be violated by ignorance. The state also violates its citizens' rights if it impedes their access to public information. The citizens are prejudiced under the following circumstances: When they are not afforded the opportunity to pass moral sentence on questionable issues by the state; when the state does not divulges to the citizens about what their mutual rights and duties are; and ignorance (which is the result of the state's negligence to provide information to the citizens) plunges the citizens into misery and dejection.[2]

Rosmini asserts that the government acts unfairly if it tries to enforce its own interests on the citizens under the pretence of public welfare. The state must protect itself by complying with its own laws and prescriptions.[2] Where civil authority deprives its citizens of property, full compensation must be provided to the prejudiced persons. Negligence to provide full compensation will cause that the citizens suffer injustice and such action by the civil authority will violate the citizens' rights. Nobody may be deprived of his/her property without the compliance of this condition. Expropriation may only be authorised in terms of a law, if it is to the public benefit and if just and fair compensation is paid without delay. Rosmini provides the following formula with which the citizen and the civil authority must comply with:

"[...] each one must use his own rights in such a way that the minimum disturbance and restriction of advantage is inflicted on others [...]"[2]

Civil authority may not on behalf of the state have the right to take innocent lives, or to physically injure someone. Rosmini alleges that fundamental rights must not be prejudiced at the expense of the state:

“It is expedient [...] that one man should die for the people. This is an impious, deplorable maxim [...]”[2]

This maxim is analogous with the rule “*Salus Reipublicae suprema lex*” (The safety of the state is the highest law) and the rule “*Expedit [...] uti nus moriatur homo pro populo, et non tota gens pereat*” (It is in your interest that one should die and not the whole people). Both these expressions underly the same immoral principles. The application of these principles by the state will undoubtedly violate the fundamental rights of citizens.[5]

Rosmini stresses that the fundamental rights of the individual is very important. He states:

“Not a single right of individual citizens [...] can be sacrificed for the sake of the public good [...]”[5]

According to Rosmini, the individual’s fundamental rights cannot survive if the society in which he exercises that right is doomed. Conversely, society cannot do some good to the individual unless this good come about without any damage or diminution of the public good.[5]

The government also violates the fundamental rights of its citizens when it imposes excessive punishment on transgressors. Rosmini asserts that the extent of punishment must be in accordance with the demands of the time and circumstances. He alleges that the state commits an injustice insofar as it adhered unreasonably to punishments which in the course of time have not changed and are out-dated, despite changes in the tradition (mores) of these communities. Public disapproval and the fear for public unrest have elicited the government’s awareness.[2]

The state or government also violates the fundamental rights of its citizens not only by its own actions, but by those of its officials. Government commits a wrong if it remains quiet when it should speak, or if it condones the injustice of government officials. The ignorance, wrong or negligence of government officials presupposes that the state violates the fundamental rights of its citizens. This happens when the state or government acts unfairly on moral and political grounds.[2]

Rosmini exerts that our actions also violate the rights of others. For example, if we prevent our property from overflowing by making a furrow to another person’s property and that person’s property overflows, we would have therefore violate that person’s property right. The prejudiced person does not have to prove guilt on the part of the transgressor, but he must only prove that an action by the transgressor changed the flow of the water and prejudiced him. This will also be the case if we allow our cattle to graze on another person’s property. Rosmini alleges that our wrong consists of the fact that we did not prevent the situation that caused damage.[2]

Rosmini maintains that other people’s rights are also violated by our negligence to act. In the case of lands or property along a river, which tends to overflow, the common owners or

property along a river must unite in order to protect, subject to proportional expenses. To leave the river without proper precaution means that both the owners of land and the property will be prejudiced. Neighbouring owners have a duty to unite and agree with what will be in the best interest of both. Anyone who neglects to be part of such an agreement will violate the rights of others.[2]

The Right to Protection of Fundamental Rights

Rosmini believes that an innocent person who protects his/her rights and therefore prejudices the transgressor shall be deemed to have acted justly. The individual or transgressor who causes harm deserves to be punished. Self-defence or protection of one's rights, gives the individual the status of maintainer of justice.[2] Rosmini means that an individual is not exceeds the boundaries of justice when he/she protects his/her rights in self-defence. Modern writers have rejected the lex talionis as an excessive and disproportional measure for the protection of rights. It would appear that Rosmini later approved of the lex talionis. He is of the opinion, however, that the prejudice of the transgressor by the protection of the innocent person's rights may not exceed that which is absolutely essential for the protection of the innocent person's rights. The lex talionis rule presupposes that a person who causes damage to his fellow man must suffer the same disadvantage or damage. This rule is in keeping with the prescription of natural law which dictates that one must do to others what one would want done to oneself and the reciprocal to this rule.[2] Rosmini alleges that we do not have a right beyond this prescription of natural law.

The right to the protection of fundamental rights can be aimed against the following actions of the transgressor, namely self-defence and a state of emergency. In self-defence the doer aims at an unjust (human) attack.

Rosmini believes that corporal punishment is unacceptable as punishment for violating the rights of others. The reason for this is that corporal punishment is considered a violation of man's fundamental rights vis-à-vis human dignity. The individual's right to human dignity prohibits the application of corporal punishment and all other forms of degrading punishment.[2]

The right to protection of fundamental rights includes the juridical power for self-protection against prejudice and the compensation for harm done. Rosmini believes that pure material damage suffered does not comprise the violation of rights, for example in the case of disasters for which nobody is to be blamed. Legislators do not prescribe any compensation for damage as a result of natural disasters. The following rule in law holds: si res perit, domino perit (the matter is lost to the owner). These transgressions differ from formal transgressions where man is the cause of harming someone else and on account of which compensation for damage suffered can be claimed by the prejudiced person.[2]

Restrictions on the Right to Protection

Rosmini upholds that the right to protection of rights may not extend further than what is necessary to protect our rights. We must protect our rights ourselves by the minimum possible prejudice to the transgressor, otherwise the right to protection will extend ad infinitum. The right to protection comprises only that which is necessary to prevent the threatening action. This does not include vengeance.[2]

Rosmini asserts that man may protect himself against unlawful attacks (when there are no other ways of protection) by causing harm to the attacker, equal to the value of the right being threatened. He maintains that this warding off does not contradict the rules of natural law. In

terms of natural law, it would be forbidden to kill a person who steals fruit in a garden. Natural law prohibits us from maintaining inferior rights with punishments that are too strict. The exercise of a right to protection which causes harm to others is restricted as far as natural law is concerned:

"[...] which forbids our inflicting supreme harm on another in order to avoid insignificant harm, or no harm at all, to ourselves."[2]

The Right to Meeting Needs and the Different Ways of Meeting Needs

According to Rosmini, the right to meet needs exists in the case of unlawful action and debt to the prejudiced person. Prejudice exists in the case of violation of the rights of others. When a person consents that another person must injure him/her, such prejudice or harm will not be classified as disgraceful due the legal maxim: "[...] no harm is done to the person who knowingly consents." (*volenti non fit iniuria*). This maxim implies that where a person legally capable of expressing his will gives consent to injury or harm, the causing of such harm will be lawful. Consent is a ground of justification: the person suffering harm waives his right to the extent that he permits the defendant to violate his interests. In other words a person is not liable where the injured person has consented to injury or the risk thereof. A willing person is not wronged; he who consents cannot be injured. This maxim was already known in Roman and Roman-Dutch law.[6]

Rosmini mentions that not all forms of prejudice can be met in the same way. If the damage is due to theft of other people's property, and that property is neither damaged nor destroyed, then the damage or prejudice will be redressed by the mere return of the identical property to the owner. This is the first form of meeting the right to needs, namely the return of property.[2]

In the case where a profitable property, for example a cow, is stolen, then the value of the calves and the manure of the cow for the time that the owner was deprived thereof, together with the value of the cow must be paid to the prejudiced person. The only payment that may be excluded is the value of the maintenance of the cow which is borne by the thief during the period of forced keeping. Rosmini means the return of the property (cow) together with compensation of the profit thereof, is the second form of the right to meeting needs.[2]

In the case where the owner is prejudiced as the result of the loss of the usage of his property (cow), the non-usage of the owner's property must be evaluated and redressed. Rosmini explains the matter in the following context. Suppose the cow belongs to a poor farmer who does not have the funds to buy another cow. The farmer will be unable to fertilise his lands and will therefore suffer considerable loss in returns (of his agricultural products), together with the unavoidable loss suffered by his family. Rosmini believes that the thief must compensate this serious damage or prejudice of the farmer. Where the property is destroyed and not returned in its original condition, but its value can still be determined, the prejudiced person must be compensated. Such compensation must be equal to the value of the property before it was stolen.[2]

The Application of Rosmini's Fundamental Rights

Rosmini is of the opinion that law cannot do without justice. With respect to justice, the moral and juridical principles are etched in the heart of man by the Divine Providence. The principle of justice serves as the forerunner of the law of nature and positive law.[1]

The non-maintenance of justice resulted in the decline of moral principles in the 17th century. Man's attention was focused on entities other than justice. Man thus fell into immorality. Anarchy arose resulting in the destruction of the public order. By the end of the 18th century man attempted to redress the principle of justice. During the 19th century, people realised the importance of the principle of justice. Rosmini avers that justice presupposes a return to the simple principles of knowledge, virtue and happiness in human society. These principles indicate human nature, in which all take part on account of the Divine order of creation.[1]

Justice as an outcome of natural law is not of human origin; it has a Divine origin. On account of the application of the law of nature, justice enjoys universal and eternal validity. In light of the characteristics of universality and eternity the endeavour towards justice requires that the law of nature enjoys simple and fair application which can be understood by all. Legal positivists who are ignorant of this, endanger the maintenance of public order. For purposes of maintaining justice in civil society, knowledge of the law of nature and positive law must be taken into consideration. Notwithstanding this exertion, Rosmini expresses his appreciation for some jurists who turn to the law of nature in cases where positive law does not provide clear guidelines.

Rosmini's doctrine of fundamental rights is the result of the Scriptural principle of love for God and one's neighbour. This can be explained with reference to his points of view on human dignity. On the basis of Rosmini's evangelist perspectives every person has a fundamental dignity that may not be violated:

"The State, for example, cannot absorb the inalienable rights proper to persons, nor can it be considered as more than its individual members in such a way that persons can be sacrificed for the sake of society. 'Let civil society perish [...] or be dissolved if this is needed for the salvation of individuals. [...] not a single right of individual citizens [...] can be sacrificed for the sake of the public good.'"[5]

Fundamental rights can be Christian based in the sense that every person is the image of God. Insofar as man is in the image of God, the Christian principle of love applies. Fundamental rights are valid on account of the second part of the central commandment of love: Love your neighbour as you love yourself.[7] This means that you do not do to others what you do not want others to do to you. On the basis of these claims to fundamental rights, a doctrine of human rights can be based on the fact that Christian love "is not rude,"[7] "is not self-seeking"[7] and "keeps no record of wrongs." [7] These Scriptural prescriptions can be summarised in one thought: Do not harm your neighbour.[8]

Basic human rights and fundamental freedoms are thus unalienable. The law of nature played an important role as philosophical basis of Rosmini's doctrine on human rights. He took the law of nature from Scholastics and Thomism and developed it, thus providing an evangelical foundation for the notion of human rights. On the basis of this contention Rosmini can be described as a neo-Thomist.

Rosmini also finds affinity with Cicero who used the term "dignitas" for dignity. According to Cicero, dignitas alludes to the manifestation of dignified behaviour.[9] This term also points to the merits or dignity worthy of reverence of people with good behaviour. Augustine considers dignitas to be an important value in the promotion of virtue and to act rationally and morally. Thomas Aquinas explains dignitas from his Scriptural perspectives as follows:

"[...] it appears that whatever is contained in the notion of dignitas must be attributed to God because creation is universally subject to God, and God has the governance of the whole universe in His hands. Therefore all virtue must finally be attributed to divine intervention."[10]

The Practical Implications of Rosmini's Christian Views of Fundamental Rights (Human Dignity) with regard to American and South African judicature

Rosmini's Christian views of human dignity can be explained with reference to the American courts' interpretation thereof in the 8th and 14th Amendments to the American Constitution.

Sexual integrity is one aspect where values are protected by moral right. In the American court case, *Boxer v Harris* [11], a female prison warden forced a male prisoner to commit acts of masturbation. If the prisoner (Boxer) refused, the warden (Harris) lodged disciplinary complaints against him. On appeal, the majority decision maintained that the abuse suffered by Boxer was not a violation of the 8th Amendment as far as forced masturbation only implies a "de minimus harm." The panel decided that Boxer suffered only minimal sexual abuse "[...] not constituting 'the unnecessary and wanton infliction of pain' as demanded for constituting 'cruel and unusual punishment forbidden by the Eight Amendment.'"[12]

The panel is convinced that the forced masturbation does not presuppose a constitutional violation "objectively 'harmful enough.'" In a minority judgment Chief Judge Barkett alleges that the Appeal Court's decision denied the "broad and idealistic concepts of dignity, civilised standards, humanity, and mercy" entrenched into the 8th Amendment of the American Constitution. Barkett explains that in terms of the 8th Amendment, Boxer's alleged harm will be seated in the violation of his human dignity and in the standards for decency. Barkett is of the opinion that the main cause of Boxer's complaint is the violation of his human dignity. Barkett further alleges that the Supreme Court maintained that sexuality is key to human dignity. Barkett concludes that forced masturbation is sexual abuse and therefore violated a most basic aspect of human dignity.

Barkett's minority judgment tends to be more sensitive on the nature, value and status of sexual integrity. Boxer's moral status as a person and his treatment as moral object (means) for the self-satisfaction of Harris was, according to Barkett, not sufficiently considered by the Supreme Court. Barkett is therefore of the opinion that Harris' breach of Boxer's duty to avoid moral wrong contributed to the seriousness of Harris' denial of Boxer's dignity as a moral person. Because man is a moral being, his inherent dignity is a fundamental inalienable right which should be acknowledged everywhere. In the USA constitutional judicature the moral value of man's physical integrity elicited great interest within the context of the 8th Amendment:

"[...] the right not to be subject to cruel and unusual punishment and the corollary measure in the Fourteenth Amendment due process clause, regarding the right to liberty, containing the right to be secure in one's person."

This thought shows similarities with some prescriptions of the South African Constitution, Act 108 of 1996. Section 1 emphasises the seriousness of the right to human dignity, namely that the Republic of South Africa is modelled on the values of "human dignity, the achievement of equality and the advancement of human rights and freedoms." In terms of section 7(1) of the Constitution, the Charter of Rights is described as an instrument which enshrines the rights of all the people in our country and affirms the democratic values of human dignity, equality and

freedom. With regard to section 10 of the Constitution of South Africa, the right to human dignity is one of the fundamental constitutional rights. On the basis of this contention, Judge Chaskalson maintains in *S v Makwanyane* [13] that the right to human dignity comprises that a person is not to be tortured, or be treated in a cruel, inhumane or degrading manner. In terms of this judgment, Harris' inhumane or degrading actions would have violated Boxer's dignity. It is apparent that the South African case law of *Makwanyane* is more in line with Rosmini's Christian point of view than the American judgment of *Boxer v Harris*.

In the American court case, *Meredith v State of Arizona* [14], a prisoner with a medical history of emphysema was beaten by a prison warden on his belly, resulting in him becoming totally handicapped. Oxygen was administered to the prisoner Meredith for four hours to counteract the damage that had been done. The facts of this case bring Meredith within the scope of the Civil Rights Act [15], which guarantees the rights to dignity to every person:

"[...] under color of any statute, ordinance, regulation, custom or usage, of any State or territory, subjects, or causes to be subjected, any citizen of the United States or other person within the jurisdiction thereof to the deprivation of any rights, privileges, or immunities secured by the Constitution and laws, shall be liable to the party injured in any action of law, suit in equity, or other proper proceeding for redress."

The court decides that a right violated on the basis of an attack and assault presupposes a right to be secure in one's person and is grounded in the due process clause of the Fourteenth Amendment, which is an aspect of the right to freedom. With reference to *Rochin v California* [16] the court maintains that the attack and assault in the Meredith case "shocks the conscience" and leads to behaviour which may include power, which is "brutal" and "offensive to human dignity." The court decides that the prison warden's behaviour towards Meredith is conscious, unfair, brutal and abhorrent with a view to human dignity. The requirement that physical power must be brutal and shocking to the conscience sets the requirement for violation of a person's dignity too high. In this respect, Rosmini's approach appears more acceptable.

In the court case of *Schy v State of Vermont* [17], the court finds that a claimant who was attached to a wall with a chain for more than two hours with his hands behind his back did not provide sufficient facts that handcuffs are brutal and degrading for human dignity. As remarked earlier, such action would, according to Rosmini, be a violation of the victim's human dignity.

Treating persons as moral objects points to the violation of their moral freedom. The case of *Felix v McCarthy* [18] emphasises that the moral context of human dignity must not be undermined. In this case, Felix, a prisoner at San Quentin, brought a citizen's right action against prison wardens who used excessive power against him and thus violated his constitutional rights, for example, the right not to be subjected to cruel and degrading punishment as entrenched in the 8th Amendment of the American Constitution. Prison wardens handcuffed Felix and threw him against a wall, resulting in Felix suffering bruises, injuries and emotional torment. Judge Canby, who relied on the Meredith case declared:

"[...] it is not the degree of injury which makes out a violation of the 8th Amendment, but rather it is the use of official force or authority, that is 'intentional, unjustified, brutal and offensive to human dignity.'" [18]

This point of view appears to correspond with Rosmini's comprehensive approach.

The moral context of fundamental rights calls for an evaluation of justice. Justice is the highest truth in human society and forms the essence of all moral actions. Man's duty to act justly and fairly guarantees him the right to act within the boundaries of justice. His duty to act in accordance with justice imposes on others the duty to respect such action. The right-duty correlation implies that there is no right in a person without a corresponding duty in another person to respect such right. For example, my duty to worship God gives rise to my right to worship God, a right which others have a duty to respect. On the other hand, the concept of duty is anterior to that of right and as such does not necessarily give rise to rights in others. For example, my duty to worship God does not necessarily imply that others' rights are violated if I do not worship God as I should.

The application of fundamental rights on human dignity requires a serious discourse and understanding concerning morally bad actions. The natural individual right to a moral person is that which is entrenched in terms of moral right. Violation of such rights will be morally reprehensible.

CONCLUSION

The dignity of the person in civil society forms two categories: personality and the right to act honestly. With respect to the first category of rights, the person must be treated as a moral subject and not as an object. With reference to the second category, the person must attempt to reach the highest good. He must consequently enjoy a right to social goodwill on the basis of which moral virtue is promoted in civil society. These values provide the basis for justice in civil society.

Dignity as value for moral virtue serves as moral basis for fundamental human rights. Fundamental rights, which neglect the fundamental moral context within which it figures leave the door open for a relativist and positivist application of natural rights. The unwillingness to treat human dignity in conjunction with the 8th and 14th Amendments of the United States of America Constitution is a typical a-normative contextual handling of human dignity, which tends to relativise the fundamental right to dignity into a cliché in constitutional administration of justice.

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What is the Value of Social Prescribing?

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Abstract

General practice is in crisis. Across the UK different models of social prescribing have evolved to meet the growth in patient attendance. Although there is growing evidence of their efficacy there is little evidence of their value. Analysing one holistic social prescribing intervention this research adopts a social return on investment approach. Using an impact questionnaire, including validated items impact of the programme was assessed on 128 new patients over 12 months. This was followed up with semi-structured interviews with 40 patients; analysis of GP attendance data and the recording of other social outcomes. Data collected show statistically significant improvement in: Public Health Questionnaire 9 ($p < 0.001$), Generalized Anxiety Disorder 7 ($p < 0.001$), the Friendship Scale scores for social isolation ($p < 0.001$); the Office National Statistics' Wellbeing measures (item range $p < 0.05$ to $p < 0.001$) and the International Physical Activity Questionnaire item for moderate exercise. There was a social return on investment of £2.90 for every £1 invested. Getting a broader perspective on value is vital to developing the business case to encourage commissioners to invest in social prescribing. Understanding and monetising broader social impact is vital to describing the full value of social prescribing.

Key Words: Social Prescribing, General Practice, Community Health, Social Value, Health Economics

BACKGROUND

There is a growing crisis in primary care in the UK. Former chair of the Royal College of General Practitioners, argues that general practice needs extra investment to provide at least 10,000 more GPs by 2022 to meet ever growing and increasingly complex health needs [1]. Adult patient attendance at surgeries has increased from 3.9x/person/year in 1995 to 5.5x/person/year [2]. With increasing strain on GPs there are calls for the development of alternative approaches to meet local health needs and this includes more investment in preventative interventions to address health needs according to recent Kings Fund research [3].

Until the arrival of social prescribing GPs had limited tools to address social issues presented in surgeries [4]; this is despite calls for GPs to make patient engagements more of a social encounter than a brief encounter [5]. At a general level social prescribing has emerged as a mechanism for linking patients using primary care with support in their local community [6]. They are frequently innovative and are seen by local practitioners to be a catalyst for enabling health providers to think holistically about addressing wide-ranging health and social care needs often within a non-stigmatising and more empowering approach [7].

Nationally social prescribing interventions vary in their aims, referral routes, partnerships and methodology. For example GPs may refer to the voluntary and community sector who then triage patients to a plethora of third sector organizations [8], GPs may directly refer to a local arts on prescription programme [9] or again, GPs may target a particular need like isolation in

older people [10]. But what is clear from a review of the literature is that there is no single, agreed, understanding of what constitutes social prescribing. Nevertheless a recent review has outlined four different models of social prescribing dependent on the degree of engagement with the patient [11].

There is already mounting evidence to suggest that social prescribing interventions have a positive impact on patients. They address psychological problems and low levels of wellbeing among frequent attenders in general practice which helps to reduce GP attendance [12]. The Rotherham social prescribing intervention is helping to reduce in-patient referral and attendance at A and E [8]. Others have shown improvement in patient wellbeing [10] [13], a reduction in presentation of social problems in primary care [14], improved self-motivation and reduced social isolation [9] etc. But, very few evaluations have actually looked at the value of social prescribing. There is only one randomised control trial undertaken to assess its cost effectiveness. Its conclusion was that beneficiaries of social prescribing were less depressed and less anxious, but their care was more costly compared with routine care and their contact with primary care was not reduced [15]. However this study failed to account for long term savings made beyond a year and did not compare the costs of what would have happened if patients had been referred to a specialist or even secondary care [16].

In this paper we look at the value of one holistic social prescribing project: the Wellbeing Programme at the Wellspring Healthy Living Centre, Bristol, UK. It has delivered for four years at an annual cost of £83,144. The initiative has been funded by various sources but predominantly via charitable trusts. The programme aimed to support adults who live in the Barton Hill area of Bristol, UK. One of the most deprived in Bristol and ranked 336th (out of 32,486) most deprived ward in England. It is in the lowest 1% on income and employment indices and in the lowest 7% on health indices. The social prescribing project has two elements: Branching Out; where a male and a female worker work on a 1 to 1 co-production basis with referred patients from five local GP surgeries. They use a key-worker model and aim to develop a strong, trusting and functioning relationship. Patient and key worker identify and set realistic goals to deal with (eg): anxiety, smoking, improved diet, addiction or anger management issues. The 128 beneficiaries who participated in the programme and were part of this evaluation attended 945 times making the average attendance 7.32. After support patients can also access local community activities that include things like kitchen on prescription, a Somali Health and Wellbeing group, a men's group etc.

METHODS

The social value of this project was measured through a Social Return On Investment (SROI) approach. This an effective way of recording value for third sector organizations [17]. Impact data was collected using a pre and post questionnaire which was developed to include validated items that would be recognised by commissioners as suitable evidence of impact. A pragmatic approach was taken to develop a questionnaire that would not be too burdensome on the vulnerable beneficiaries referred to the programme. Impact was then assessed on 128 new patients over 12 months. This included completion of questionnaire at baseline and three months later. Additionally 1 to 1, in-depth, semi-structured interviews with either a male or female researcher were conducted with 40 patients (31% of the cohort). GP attendance data and other outcomes were recorded at twelve months. Ethical approval was given by the University of the West of England's Health and Life Sciences Faculty Research Ethics Sub-Committee in October 2011 (P36E356R).

From the project's database anonymised information on the demographic profile of patients referred were obtained. The median age of beneficiaries was between 36-40 years of age. 12.5% (n=16) patients were aged over 55 and most were of working age. 51.2% (n=66) were male. 83% (n=103) defined themselves as white. 11.3% (n=14) were black or black British. 3.2% (n=4) were Asian or Asian British and 2.4% (n=3) mixed. 33.6% (n=43) were in receipt of some disability benefit. 91% (n=115) said their first language was English. Other first languages included: French, Polish, Somali, Arabic and Mandinka. In terms of their accommodation 37.7% (n=43) lived in either council owned or housing association property; 32.5% (n=37) private rented accommodation and 23.7% (n=27) owned their own home. 6.1% (n=7) described themselves as either homeless or living with friends. The majority lived alone (37.9%, n=44). Very few lived in traditional familial households which would include a partner and children (22.4%, n=26). 12.9%, (n=15) lived as a single parent and 14.7% (n=17) lived solely with a partner. 41.6% (n=47) said they were in full time work. 40% (n=45) were looking for work. The rest were either long-term sick, retired or in full time-education or training.

RESULTS

Impact data has been drawn from 128 patients who participated on the Wellbeing Programme from May 2012 to April 2013. 128 completed the pre and post questionnaire at baseline and 70 at follow-up; at least three months later. It was impossible to capture all at follow-up because the programme was rolling and fieldwork was curtailed to meet funding restrictions around reporting. Table 1 below shows that there were significant reductions in: depression, anxiety and social isolation; improvements on the four Office for National Statistics' wellbeing indicators and there was evidence for improvement on the International Physical Activity Questionnaire item for moderate exercise (significant $p = <0.004$).

Table 1: Base-line and three month follow-up on wellbeing indicators

Item	Base Mean (Standard Deviation)	Follow-up Mean (Standard Deviation)	t value (n value)	p value and eta value
PHQ 9	M=18.38 (6.42)	M=8.43 (6.33)	t (69) = 11.39	p= < 0.001 eta = 0.65 (large effect)
GAD 7	M=15.39 (4.67)	M=7.21 (5.34)	t (69) = 12.83	p= < 0.001. eta = 0.7 (large effect)
Friendship Scale	M=8.63 (6.01)	M=13.17 (4.28)	t (69) = 5.62	p= < 0.001 eta = 0.4 (large effect)
ONS Wellbeing (Life satisfied)	M=2.63	M=5.58	t (69) = -7.880	p= <0.001 eta = 0.6 (large effect)
ONS Wellbeing (Happy)	M=3.26	M=6.06	t (69) = -8.630	p= <0.001 eta = 0.65 (large effect)
ONS Wellbeing (Anxiety)	M=6.0	M=3.56	t (69) = 6.757	p= <0.001 eta = 0.58 (large effect)
ONS Wellbeing (Life worthwhile)	M=3.8	M=6.02	t (69) = -4.822	p= <0.05 eta = 0.38 (large effect)

Analysis of GP contact times also suggest that for 60% of beneficiaries there was a reduction in their GP attendance rates in the 12 months post intervention compared to the 12 months

period prior to referral. For 26% of beneficiaries it stayed the same and for 14% it actually increased.

Validation of impact was supported by evidence from the follow-up interviews at three months. Patients vary but an extreme case was a male in his thirties, with a criminal record who refused to leave his bedroom in his mother's house for three months, who was prescribed anti-depressants, had a history of violence towards his girlfriend; was an unemployed, absent father who had no friends and was reliant on alcohol. (Beneficiary, N18)

I don't want to remember the past...it's not that I don't want to remember it....it's like I got rid of it.... I was in my house.... I was on a tag everyday.... My Mum was an alcoholic, she was suicidal, my sister was in and out of psychiatric wards....but that's all gone now.

But what is the value of social prescribing? Current policy guidance and recommendations suggests that it is important to assess future cost savings [18]. In doing this it is important to take into account the long-term benefits to the community and the reduced burden on all support services [19]. Social prescribing practitioners argue that outcomes are often slow to materialise when working with isolated and often poorly motivated clients [20]. This is because those referred frequently require a considerable amount of time to enable the worker to address their multi-faceted needs. If patients' needs are not addressed and a person reaches a crisis point, it then becomes much more difficult and costly to restore their health, employment and social status [21]. Thus, these long term benefits need to be considered when assessing cost-effectiveness.

Using SROI methodology third sector providers and commissioners are given an opportunity to see the broader value that third sector organizations can bring to society. In essence SROI approaches compare the monetary benefits of a program or intervention with the program costs [22]. In this sense SROI represents a development from traditional cost-benefit analysis as practiced by Grant et al (2000) when they first assessed the cost-effectiveness of social prescribing using a Randomised Control Trial methodology. Arguably this cost-effectiveness technique actually varies little from traditional cost-benefit analysis; in that the difference between the two approaches are largely in style, rather than the true substance [23]. Like cost-benefit analysis there will always be an issue with finding suitable proxies, however social prescribing research can benefit from the pioneering work undertaken by [24] in developing robust costings in the area of mental health.

SROI developed in the late 1990's. It fully valorises all social impacts [25]; including the social, environmental and economic impacts generated by all the activities of an organisation or intervention [26]. Using monetary values to represent impacts it enables researchers to establish a ratio of benefits to costs [27]. This is important because recent advice from NIHC [28] suggest that the biggest benefits and savings resulting from the implementation of interventions like psychological therapies are likely to accrue outside the health service. Evidence for this emerged in a NHS review of the economic costs involved in mental health prevention [29]. Thus improving access to services and providing choice and continuity of service, (such as in holistic social prescribing) is likely to result in people successfully completing treatment and allowing them to retain or regain employment; the effect of which is to deliver savings in the form of additional tax receipts and reduced welfare benefits payments [30]. Such an approach is important to social prescribing practitioners because they often perceive their intervention is not simply about achieving positive outcomes like: improved well-being, a return to work or training etc; but instead it is about addressing embedded and

unaddressed/undiagnosed issues like: agoraphobia brought on by abusive neighbours, relationship breakdown, addiction etc. which (if left unaddressed) could see patients spiral down to worse scenarios causing greater costs to different sectors in society [31].

So what were the impacts identified and valued in this social prescribing intervention? They included: harnessing volunteers, patients returning to employment and training and resuming child care responsibilities, suicide attempts averted and community capacity enhanced. Savings were also made through beneficiaries being guided into appropriate services and supported to address a variety of problems which were not always manifest to the GP. These include addiction problems, debt management issues, anger management etc.

A key impact was getting people back into work. At the time of fieldwork the government's Work Programme's showed that 19% of their participants had spent 26 continuous weeks off benefit [32]. Some of the Wellbeing Programme's added value came from actually getting people back into work. 17% (n=9) of beneficiaries who at baseline described themselves as looking for work, long term sick, in education or training or on bail, actually found employment while on the intervention suggesting that the adoption of holistic social prescribing approaches are performing a return to work service as effective as the Work Programme. Looking at non-fatal suicide events it is estimated that costs can be averted to £66,797 per year/person of working age [33]. On the project we were aware of three patients of those interviewed 1 to 1 (n=40) who said they were suicidal or had attempted suicide prior to referral. We costed one non-fatal suicide event into the analysis.

Having established the social impact of the Wellbeing Programme and valued impacts the SROI was calculated to be £2.90:£1. This means that for every pound of investment in the intervention, £2.90 of social value is created. This is a very parsimonious reflection of the actual value created because as health economists like Knapp et al (2011) argue these impacts should be calculated across all life years, whereas this was the return represented in just one year of value. These costings were informed from official valuations from the NHS and other official sources e.g. DWP. A full list of all impacts and their valuations and other financial proxies used; together with calculations for attribution, drop-off, displacement and deadweight can be found in the full report [34].

CONCLUSIONS

The crisis in primary care grows while the demands of patients, families and carers grow. The Nuffield Trust has recommended that NHS England should work with Clinical Commissioning Groups, GPs, patient groups and professional bodies to create a national framework for primary care. This framework should include outcomes and an overall vision for primary care, both in relation to service provision and the wider role of primary care in the health and social care system. They recommend that this needs to be worked out locally with extensive public and patient engagement [35]. In reality there is now a patchwork of social prescribing initiatives emerging at grassroots. The recently formed UK and Ireland Social Prescribing Network seeks to assess their efficacy and develop quality standards. They represent strong, local, partnership developments often involving patients and third sector organizations in their delivery. These projects are tapping into the harsh challenges faced by hard pushed front line staff and the rising demand stemming from patients presenting with complex needs in GP surgeries. Research cited by the British Academy suggests that as little as 20% of the influence on health are attributable to clinical care and quality of care. Instead health behaviours account for 30% of influences and the physical environment 10%. But by far the most

important influence on wellbeing comes from socioeconomic factors: 40% [36]. This is important. Social prescribing projects, many working in our most deprived communities are facing the toughest challenges posed by deprivation, unemployment, inequality and the co-existence of diverse cultures and in themselves are demonstrating evidence of efficacy and delivering value which needs to be seen as broadly social and of value for many sectors across society.

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The Research on the Legal Process about Freedom Right of the Press in United States

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Abstract

Throughout the development history of communication, the state power always takes a variety of methods to impede the free spread of information, so as to vindicate their rule and authority. Promulgating laws is the most effective and most used method to ban the right of publish freedom and the right of inform. Face to so rigorous restriction of state power, the public made long term and hard fight for free spread of information. The paper focus on the regulations which concerned about journalism in colonial period and democratic period of American and want to interpret the struggle public made in order to strive for the free spread of information. Under the pressure public made, the government has to change policies and laws and guarantee the freedom right to public. But at the same time, the power factor still strong enough to influence the free spread of information and still is able to control the press if it want. There is a long way to go to the freedom world.

Key words: free spread of information; journalism regulation; power factor

"Freedom of the press belongs to the people",[1] which includes freedom of the publish, freedom of the news gathering, freedom of the spread and freedom of supervision. Freedom of the press belongs to every citizen.

Media must meet the public demand for information in order to survival and development,so the freedom right of the press has vital significance to them. These makes the news media express positive attitude in the fight for the freedom right of the press of the positive. From this point, "the news media make efforts to get the freedom right of the press on behalf of the people's wishes and demands",[2] in the appeal to the freedom right of the press, the citizens and the news media is consistent. The legal incidents mentioned in this article include the efforts made by citizens and the media in the fight for freedom of the press.

The United States is a country with separation of power system, and also a country with a high degree of freedom of the press. Freedom of the press is expressly written into the constitution.According to the spirit of the first amendment, news agencies and individuals have the right to express opinion freely, spread news without being restricted.people's freedom of speech and publication can not be deprived by any form.[3] It can be said that the treaty which protection freedom of the press was written in the constitution have landmark significance.But the legal process about freedom right of press in American have never lack of participation and promotion of citizens and news media.

The North America Colonial Period --- the People's Demurrer and Resistance Break through the News Blackout

British as the suzerain of North America colonies is inevitable affect the social, political and economic of the colonies at that time, press and news field is no exception. Before the war of independence, the British implement the strict control to the journalism and use a variety of means to suppress the news institutions, such as the censorship and libel abuse. there is no freedom right of press in North America colonies. With the development of society and the formation and awakening of the national consciousness, the people of the colony can not stand the oppress of the British government, and the demand on freedom of the press was more and more intensity. the most representative of the case was "The Zenger Trial" . At that time, the colony only have one newspaper---New York Gazette, it was founded by William Bradford in November 8, 1725 and the newspaper supported the British colonial government on all issues. So the colonial people lack the news platform for public discourse, the public expression of social affairs can not be carried out.

By 1733, a moderate revolution took place in New York, and some wealthy bourgeoisie hoped that Zenger would be able to run a newspaper as a tool to express their opinions and news releases. In November 5, 1733, the New York Weekly which Zenger set up officially published. At the beginning of the publication, there was confliction with the colonial government. New York Weekly not only reported the news, but also often published messages attacks on the governor and the British colonial government. The publish of the New York Weekly broke the restriction of British colonial government in the field of Journalism and communication in a certain extent. Although the New York Weekly is founded under the support of some wealthy bourgeois, but under the high oppress of the British colonial rulers, the requirements of American colonies emerging bourgeoisie and people's was consistent. This paper maintain the free flow of information principle in a certain extent, welcomed by readers. However, the New York Weekly led to the dissatisfaction of the colonial government, so the British colonial governor arrested and sue Zenger by a charge of "stir up the trouble". At that time, the famous lawyer Andrew Hamilton defend for Zenger. Under the debate, he illustrates the two famous principle of defamation: (1) the authenticity of the report is an important basis for judging slander, "only a lie is false, malicious and provocative", [4] and a true statement itself is does not constitute defamation. (2) Follow the principles of justice, to judge the libel and slander, the jury should play a more important role.

Under Hamilton's plea, the judge finally decided that the Zenger was not guilty. The significance of the case is that it inspired the consciousness of the freedom of the colony people, and made the public see the possible to get freedom right of press, and laid the foundation for the awakening of national consciousness.

Since then, the British authorities promulgated the Stamp Act. The Act defined the newspaper, certificates, bills, notes, bonds, proclamations and all presswork need to pay half pence to twenty shillings for tax, which was actually in the economic blow to the colonies newspaper industry, violated the freedom rights of the press of colonial people. In this case, some newspaper closed; some newspapers hidden to the registration or header avoiding stamp duty to express their dissatisfaction; some newspapers published notice that could not buy a stamp. In a series of actions of anti Stamp Act, the Stamp Act successfully abolished. [5]

THE WAR OF INDEPENDENCE PERIOD -- CONSTITUTIONAL PROTECTION THE FREEDOM OF PRESS

In 1776, the War of Independence was outbreak. the war was under the leadership of the bourgeoisie in the North American colonies in order to get rid of the control of the British, to

fight for national independence. During the war, the thirteen states of the United States unanimously adopted The Declaration of Independence, declared that "all men are created equal, that they are endowed by their Creator with certain unalienable rights, that among these are life, liberty and the pursuit of happiness."

In 1787, after the victory of the war, the Federal Constitutional Convention held in Philadelphia, enact the constitution of the United States and established the Republic. But Constitution did not talk about safeguard citizen freedom right of speech and other related terms at the beginning which led to fierce debate between Federalists and anti Federalists in this aspect. After effort of the anti Federalists and public opinion pressure, Bill of Right had been established. It stipulated "Congress shall make no law respecting an establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech, or of the press; or the right of the people peaceably to assemble, and to petition the government for a redress of grievances." [6] This had become the cornerstone of the freedom of speech and the press, reflecting the restriction of government power and the maintenance of civil spirit freedom, so that the freedom of the press and information flow from the legal point of view can be fundamentally guaranteed. [7]

THE INITIAL STAGE OF THE NEW STATE - THE ESTABLISHMENT AND ABOLITION OF THE SEDITION ACT

The early period after the founding of the United State, the party newspaper is one of the major characteristics of the press, the Anti- Federalists and the Federalists express their political opinions by their own newspapers, even at the expense of mutual slander and abuse. This period is called the political party newspapers. "Journalism has actually become the tool of bourgeoisie contend for power and coordination the idea". [8] In order to safeguard the interests of the party, the ruling party would not hesitate to enact the law to attack political opponents, even if the freedom of press would be restricted by the law. In 1798, President John Adams asking Congress to pass a "Sedition Act" by the excuse of defended the country's regime which was mainly to limit the indocile editors. The Sedition Act attempts to constrain the Anti-Federalists express their idea and break the principle of freedom of press. The law announced that all the Fabricated, slander and malicious words which attack to government, Parliament, President or incite the people to against the government will be fined and imprisoned. In this way, the right of supervising the government is imprisoned in the form of legislation, and this kind of power is one of the foundation stone of the freedom of the press.

In addition, Congress had also enact the "Nationality Law" and other laws. The establishment of a series of legal provisions in the name of the protection of the national social order, but in reality is to fight against the political opposition and limit the freedom of information communication. Just like Fred Seibert said that the Federalists use the law to achieve the purpose of political, freedom right of speech and the free flow of information become the victim of the political struggle and contradiction with the democratic principles in the minds of the American public. [9]

In the face of the situation, it is bound to arouse the public's strong opposition and dissatisfaction. The representative example is the "Leon incident", Leon wrote a letter to the editor of the attacks on President Adams's remarks, was convicted and sentenced to a fine. In the subsequent event development process, Leon got the support of the public and the press, they take the petition and publish a notice in the newspaper to express strong dissatisfaction to the government authority. Leon was released in February 1799 finally and returned to the capital city of philadelphia in victory.

The struggle of the Federalists and the Anti-Federalists was permeated with the understanding of the national policy and the freedom of the press. Once the party took power, the ruling party would consider the interests of the self-party and make the freedom of the press was in accordance with the practical requirements of the ruling party.

Through the above analysis, the real meaning of the spirit of freedom of press had been restricted from the level of legislation is self-evident. Under pressure from the public and news media, these laws were abolished by then president T Jefferson in March 3, 1801.

NATIONAL WAR -- NEWS BLACKOUT BEYOND NATIONAL SECURITY

After the War of Independence, the country appeared several times war in the history. War is a special period of a country, a lot of policy will be a major change, the news is no exception. The ruling authorities are often develop a series of legal provisions to restrict the freedom of the press and information flow in order to protect the social interests and national security. Actually, it is understandable and should be carried out to control the news spread during the war for the security of the country. However, sometimes the restrictions beyond the needs of national security, which aroused strong dissatisfaction and opposition of the public and the news media. There will be a conflict of restrictions and anti-restrictions.

From the Civil War in 1861、the World War I、the World War II to the Iraq War , the government enact the relevant laws to limit the content of the news agency and the news media in order to ensure that the news dissemination will not have a negative impact on the society and the country. In 1914, World War I broke out , a week after the United States declared, the President Wilson set up a public advisory committee, which is nominally coordinating the wartime propaganda work, and is responsible for the communication between the government and the news agency. But it is censorship institution, they have power to provide information or conceal information to meet the propaganda needs of the government in wartime. The censorship mechanism is easy to be abused, The extent of cover up the information in public advisory committee had exceeded the requirements of national security .[10]

the World War II broke out in 1939, the United States join in the war in December 1941. January 15 1942, the U. S. government establish the "American newspaper wartime behavior criterion". The standards require that all the press items shall not publish the news which relevant forces、aircraft、ships、wartime production. More than ten thousand employees of Press Inspection Bureau made mandatory inspection to the mail, Telegraph and radio communications between the United States and other overseas countries. At the same time, the military's censorship of the press has come back and was very strict. This power had been considered too powerful and it is easy to abuse. The censorship of the press had exceeded the needs of the national security in wartime.

The "Kennedy Incident" displayed the strong contradiction between the freedom of the press and news censorship. Edward Kennedy in charge of AP news in the western front. he revealed the surrender date of Germany without any approved. Kennedy was sued, Kennedy defend himself in court and said that "my behavior is necessary to resist a unnecessary political censorship" . [11]The significance of the "Kennedy Incident" is that the press media say no with courage when they face the news censorship system beyond the need of the national war. The event challenged the authority of the government and the military and led to the government take a relatively cautious attitude to enact the censorship system in wartime.

THE PROCESS OF MODERN DEMOCRACY -- THE GOVERNMENT INFORMATION UNDER THE SUNSHINE

The cornerstone of freedom of the press is the right to supervise the government and its officials, the principle has been initially established from "The Zenger Trial". the right to know the government information and the right to publish the information was the two important condition which respect the freedom flow of information .

At the end of the 40s of the 20th century, the Radio Television News Directors Association, the Professional Journalists Association, American Newspaper Editor Association and American Editorial Director Association launched a movement of public records and freedom of information. Through the efforts of all parties, in 1970, 45 states enacted laws and regulations on public government affairs. In 1955, the House of Representatives established Government Information Commission which led by John E Moss. The Commission get the right to amend the "internal regulation" in 1789 and broken through the restrictions on the right to know. At the same time, the Commission has also made some progress in limiting administrative privileges.

Under the influence and pressure of the Commission and the public, the government of the United States had issued a series of laws aimed at disclosure government information according to the change of the society. On July 4, 1966, President Lyndon Johnson signed the "Freedom of Information Act", the law provides that: if federal officials to withhold public affairs information which does not belong to the law explicitly exempted special field, citizens had the right to sue him a year later. In 1974, the "Freedom of Information Act amendment" enacted, the amendment requiring the federal government to publish detailed rules about the procedures of access to information, copy costs, the response time, the manner of collect information, judicial review, the punitive measure to officials who refuse to provide information arbitrarily and so on. In 1995, all 50 states enacted the law of public government record and official meetings .[12]

These laws are called the legal system of the right to know in the process of modern democracy. With the promulgation of these laws and regulations, the public's right to know in the United States in the gradual expansion. [13]The disclosure of government information has provided a great amount of information to the news agency, which has satisfied the public and the news agency's right to know. From the point of view of law, it is the guarantee of freedom of the press and the free flow of information, which has promoted the development of modern democratic society.

CONCLUSION

In this paper, the typical cases of the public to strive for the freedom of the press in five representative period in United States are selected and explained. The struggle between public demand and government power, democratic consciousness has been deeply rooted in the hearts of the people and the public society and to promote the improvement of the degree of freedom of the United states.

But at the same time, the power to restrain the freedom of press still powerful. In the period of national war, power of the government and the military can still affect the freedom of the press, the government and military can confine freedom of the press beyond the needs of national security. Sometimes, news even become part of the U.S. military machine .[14]

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The 2015 Kogi State Gubernatorial Election and the Crisis of Political Mandate: The Failure of Party Politics?

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Abstract

This paper discusses the crisis of political mandate in the 2015 kogi state gubernatorial election with specific focus on the All Progressive Congress (APC). The paper using Almond and Verba's conception of political culture as a framework of analysis, unfolds the poor aggregative capability of the Nigeria party system as well as the restrictive participatory political culture in the process of elite recruitment. The argument of the paper is that the current crisis of political mandate in kogi state which is associated with 2015 gubernatorial election is a function of the failure of the Nigerian party system to provide through an encompassing participatory process, shared aspiration and party ideals of political representation as a tool of crisis management at the intra-party level. The result has been party indiscipline, disloyalty and the externalization of conflicts through the over-independence on judicial interpretations and pronouncements by the courts at the expense of the electoral process. In conclusion, the paper accentuate that if the present democratic experiment of the Nigerian fourth republic is to stand the test time, the process must be built on a functional aggregative capability of political parties that is anchored on a participant political culture.

Keywords: Electoral process, Interest aggregation, Party Politics, Political Culture, Political Mandate, Political Parties

INTRODUCTION

The November 21, 2015 kogi state gubernatorial election could be viewed as a process that was quite indispensable to the future of democratic stability in Nigeria. This is based on the conception that it was the first to be conducted by the newly elected Buhari Administration at the center and coupled with the fact that it was the very first to be conducted by the Prof Yakubu Mahmoud led Independence National Electoral Commission (INEC). Thus, the process was viewed as an electoral process that could aid in defining the electoral focus of the Nigerian state either positively or negatively.

Positively in the sense that it could provide an interpretation of what to expect of the Buhari led administration in terms of consolidating on electoral successes recorded by the immediate past administration of Goodluck Jonathan. Negatively on the other hand, in determining the democratic credentials of a retired military general turned politician in order to observe if the electoral gains achieved in the past would be eroded by the militarization and dictatorial attributes associated with military officers

However, crucial to the electoral process are political parties who are expected to provide candidates for election, as a matter of fact, political parties does not only provide avenue for political contestation, but also serve as the institution for synthesizing interests for the purpose of a unified party position which members are not only expected to support but also

protect, this is coupled with the function of providing political education, mobilizing and enhanced political participation by members (Almond et al, 2000; Bello,2008; Omodia,2010; Omodia, 2012)

Conversely, the crisis associated with the emergence of a new party candidate for the All Progressive Congress (APC) for the conclusion of the governorship election in December 5, 2015 after the demise of Prince Abubakar Audu the governorship candidate for the November 21 election could be said to be an indication of the failure of the Nigerian political parties as political institutions for bringing together people of like minds who possesses shared interest of taking over government for the purpose of the realization of party ideas rather than the pursuance of selfish and factious interest. The scenario could also be indicative that political parties in the Nigerian state in the present democratic experiment are weak and fragile political institutions which need to be strengthened through years of democratic practice.

Although, this paper is specifically focused on the crises of political mandate within a political party (APC), the perspective of this paper is that the failure of political parties or otherwise could be generalized based on the attribute and manifestation of political parties in Nigeria which has witnessed defection of members as a result of dissatisfaction with party primaries-defections to political parties for the purpose of emerging as party candidates without consideration for party ideas, orientation and shared party objectives (Kew and Lewis, 2007; Omodia, 2012)

As a result, the focus of this paper is to unfold the crisis of political mandate in the just concluded 2015 kogi state gubernatorial election in Nigeria by situating it within the context of party politics. To be able to achieve this purpose in addition to the introduction the paper is sectionalized into: frame work of analysis, political mandate in APC before the election, the crisis of political mandate and the 2015 elections, APC and the management of the crisis, as well as, concluding remarks,

THEORETICAL FRAMEWORK

Central to party politics is political culture; an entrenched culture to a great extent influences the process of elite recruitment and political socialization of members by political parties. This is quite indispensable if political culture is viewed as an enduring political practice by a group of people, citizens of a nation, which has come to stay as a way of organizing political life of the people.

This however does not mean that political behavior is static, but changes are shared by the people as necessary and thus accepted as improvement to the political organization of the people. As a result, there are typologies of political culture, and as regard the subject of political culture, the conception and theory of Almond and Verba (1963) comes to mind.

The classification of political culture according to Almond and Verba (1963) are: parochial political culture, subject political culture and participant political culture.

Parochial political culture- this manifestation of political culture relates to a system where governance is exclusive of the greater number of the people as a result of poor political awareness which does not enable them to actively participate in the governmental process. Thus, when this is situated within partyism and political mandate, one could convincingly say

that partyism is largely elitist in nature in that the political elites determined and control the political process of acquiring political mandate is largely restrictive

Subject political culture: the belief system expressed in the subject political culture shows a divide between the masses who are not political actors and the political elites who are political actors. In other words, even though the masses are aware of the existence of government and its machinery, the active participation in the governmental process is seen as exclusive to the political actors. This scenario could be said to be synonymous with the platonial conception of state stratification where the right to governance belongs to the philosophical king (Sabine and Thorson, 1973; Mukherjee and Ramaswamy, 2007; Omodia, 2011a). The implication of the above especially as regard political mandate in Kogi state is that political culture is expressed as the right of a particular ethnic group (The Igalas) to dominate governance and that the success of political parties at the polls is a function of where the candidates of the leading political parties come from.

The above scenario may not be too divorced from the crisis associated with the emergence of Yahaya Bello from an ethnic minority in the state as the candidate of the APC after the demise of Prince Abubakar Audu, from an ethnic majority who has dominated the highest political office in the state in democratic dispensations.

Participant political culture- By participant political culture unlike the parochial and subject culture, the conception is that the citizen/masses are actively involved in the political process. In emerging democracies such as Nigeria active participation in the political process is expected to be a function of political education, mobilization, interest aggregation, elite recruitment among others (Omodia, 2011b)

As regard elite recruitment and emergence of party candidate, it shows that a people centered political party is supposed to provide a built in mechanism within the party structure that enables for the active participation of its members in the process for determining party representatives and candidates. On observational note intra-party democracy as regard the emergence of party candidates is often associated with political crisis that tend to threaten the survival of democracy in the Nigeria fourth republic. Thus, the import of this paper is to look at political parties and the crisis of political mandate in the 2015 Kogi state gubernatorial election in Nigeria with specific focus on the APC.

Political Mandate in APC before the Election

The APC is a political party formed by the merger of the major opposition party to the People Democratic Party (PDP) led administration at the center. It is a merger of the Action Congress of Nigeria (ACN) prominently visible in the South-West of Nigeria, the Congress for Progressive Change (CPC) conspicuously visible in the North-West and North-Central, the All Nigeria Progressive party (ANPP) visible in the North-East and a section of the All Progressive Grand Alliance (APGA) which is prominently visible in the South-East. When the APC was formed and registered in 2013, political actors especially the party in government at the center felt that the demise of the party was just a matter of time based on what could be referred to as ideological incompatibility or divergence in the personal orientation and approach of key political actors of the party to issues of governance (Terwase, Abdul-Talib and Zengeni, 2015)

The APC no doubt was aware of the pessimistic conception of some Nigerians and as matter of fact, the key actors in PDP to the survival of the party. Thus, the strategy of the party was to ensure free and fair process in the emergence of candidates during party primaries. As matter of fact, Before the Presidential party primaries the contesting candidates were made to reach

an agreement of ensuring that the party remains united through non defection of aspirants who did not emerge as the party flag bearer. In the case of Kogi state, 20 aspirants contested for the candidacy of the party with Prince Abubakar Audu emerging as the winner with a delegate vote of 1109, Yahaya Bello came second with a vote of 703, while the remaining 1,119 votes were shared among the other eighteen (18) aspirants (Oyewole, Agbo and Ojotule, 2015)

However, it is important to accentuate that high level interest of aspiration for the candidacy of the APC could be attributed to: (i) the poor level of performance by the party in government, the PDP led Captain Ichalla Idris Wada as well as the crisis associated with his emergence as the party candidate in 2011 which led to the defection of some key members of the party to the then ACN (Omodia, 2012) (ii) the fact the party (APC) just took over the mantle of leadership at the center from the PDP and the expectations of aspirants that they stand a chance of winning the gubernatorial election if they could emerge as candidate as a result of the envisaged support of the party at the center

Conversely, It is important to note that typical of Nigeria and the manifestation of party politics in the Nigerian state, one could say that the high number of aspiration for the candidacy of the APC in Kogi state, just like what was obtainable in the PDP in the past may likely lead to dissatisfaction expressed by some contestants in the emergence of party candidate. This no doubt may either lead to defection to other parties or a situation where the aggrieved persons stay in the party and work for the interest of other parties or remain uncommitted to the success of his party at the polls.

Although the emergence of Prince Abubakar Audu as the party flag bearer of APC, no doubt followed a process that could be classified as free and fair; the inability of the party to however fully integrate the contestants to be committed to the goal of the party through active involvement in political campaigns led to claims of the supporters of Prince Abubakar Audu that some key members of the party especially those that contested against him worked for the party in government (PDP) in the state during the November 21 gubernatorial election (Okene, 2015)

The Crisis of Political Mandate and the 2015 Election.

The November 21 gubernatorial election was seen as a major political contest between Prince Abubakar Audu, the candidate of APC and the incumbent Governor, the candidate of the Peoples Democratic Party who was seeking a second term in office out of 22 number of candidates representing 22 political parties. It is also important to state that as part of the requirement for standing for election of this magnitude is the need for the candidates to choose their running mate who is to serve as Deputy Governor if the party is voted into office. Thus, party tickets are regarded as joint ticket which encompasses the governorship candidate and the candidate for the deputy governor. It is also important to state that, in the process of vote cast, the names of the candidates does not appear on the ballot papers, but what appears is the name of the party and the party logo.

As regard the election which was conducted by the INEC as required by law, on the 22nd of November 2015, the state Returning Office announced that the APC got 240,867 votes while the PDP got 199,514 votes (Ndujihe et al, 2015). However the election was declared inconclusive. The argument for declaring the November 21 election inconclusive by INEC was that the gap between APC who was the leading party the election and the closest party to the APC, the PDP was not more than the cancelled votes and that it was wrong to declare APC the

winner since the PDP still stand a mathematical chance of winning. Considering that elections were cancelled on the ground of irregularities in 91 polling units totaling 49,953. Thus INEC opted for a supplementary election in the affected polling units in order to declare the winner of the election (Azania, 2015).

The decision of INEC was seen as controversial not only by a section APC but also by the PDP (Azania, 2015; Aziken et.al, 2015a). The crisis was heightened by the announcement of the demise of the candidate of the APC, Prince Abubakr Audu. This scenario no doubt threw up the crisis of political mandate of who becomes the candidate of the party for the supplementary election which was later scheduled to hold on December 5, 2015.

With the demise of Prince Abubakar Audu the candidate of the APC for the November 21 2015 gubernatorial election and the declaration of the election as inconclusive, the crisis of political mandate was based on three major political interpretations. two of those interpretations were associated with the APC while one came from the PDP. From the APC, the first interpretation is that INEC decision of declaring the election inconclusive was misleading in that APC should have been declared the winner because franchise in the election was defined by acquisition and possession of the Permanent Voters Card (PVC) by the electorate and not by registered voting population. On the strength of the PVC, only 25,000 out of the 49,953 registered voters were qualified to vote and since the gap between the APC and PDP in the election was more than 25,000, then the APC should have been declared winner (Azania, 2015). The implication of this is that with the demise of Prince Abubakar Audu, his running mate Honorable James Faleke should be declared as Governor-Elect.

The second interpretation also by a section of APC is that with the election declared inconclusive, the vacant position should be filled from among those who contested the party primaries through which Abubakar Audu emerged (Azania, 2015) The third as earlier stated is by the PDP, the party was of the conception that there should be a distinction between the candidate and the party and with the demise of the candidate, then the candidate of the PDP should be declared winner (Aziken et.al 2015b)

However, the APC decided to adopt the second interpretation and the candidate that come second to Abubakar Audu in the party primaries Alh. Yahaya Bello was picked as the candidate of the party for the December 5, supplementary election which he eventually won with 6, 885 votes compared to the PDP votes of 5, 363 and was eventually sworn in as the Governor on January 27, 2016, haven been declared the overall winner by the Returning Officer, with a total vote of 247,752 as against the PDP 204,877 out of 494,723 total vote cast (Ogunwale, 2015)

The implication is that the running mate of Abubakar Audu, Hon James Faleke did not only publicly reject the candidature of Alh. Yahaya Bello and refused to be his running mate but also went to court to seek judicial interpretation, just like the PDP (Aziken et.al, 2015c). This scenario of sharp divide especially in the APC in kogi state brings to the fore the role of the party in the management of the crisis. That is, what should have been done by the party especially in bringing about a functional aggregation of interests for the purpose of having a united front?

APC and the Management of the Crisis

Political parties are political institution consisting of people of shared interest who are functionally organized to take over the machinery of government. This shows that political parties are so central to political representation in a democracy not only because it provide the

shade for political representation, and participation but also because it performs of key functions of aggregating the interest of members for the purpose of keeping a united front. So, it is not uncommon to have divergent interests being pursued by members of the same political party especially as regard aspiration for political power, but political parties must be functionally organized in such a way that interest are aggregated through a well-defined process of intra party conflict management.

In the case of the APC and the crisis associated with political mandate in the 2015 gubernatorial election, with 20 contestants in the party primaries and with the Nigerian experience of likely party defection, disloyalty, indifference that always accompany the outcome of such exercise the party should have put in motion the mechanism for re-integrating the contestants to be actively involved in the process of achieving the goals of the party in kogi state. This functional process of interest's re-integration would have inculcated the needs for the submissiveness of individual interest to the party interest with the belief that personal interest could best be achieved under an encompassing party interest rather than a restrictive one. This no doubt would have snow ball into an enhanced political participation on the part of the political actors within the party and the crisis associated with the demise of Prince Abubakar Audu would have been better handled through a more consultative approach that would have made the key actors in the party to manifest party position in their actions.

Conversely, typical of Nigerian political parties, the APC could not effectively provide functional management of the crisis this led to accusations and counter accusations within the party, one of such accusations is that Alh. Yahaya Bello was not committed to the goal of the party after the party primaries. Some even claimed that he worked for the PDP during the November 21, 2015 gubernatorial election (Aziken et.al, 2015c).

Although the choice of Yahaya Bello as the candidate for the December 5, 2015 supplementary elections by the APC. Seems to have been guided by the River State scenario where Rotimi Amaechi through judicial pronouncement was sworn in as Governor without participating in the gubernatorial election (Isa and Zakari, 2008), however the aggregating mechanism of the party is one that negates participant political culture considering the actions of political actors. It is also important to accentuate that the spate of judicial pronouncement that nullifies the outcome of the electoral process to a great extent contributes to the fragility of the democratic process and the present crisis of political mandate associated with 2015 gubernatorial election in kogi state seem to be heading the way of judicial pronouncement at the expense of aggregative capability of political parties considering the fact that the actor have approached the court for judicial interpretation.

CONCLUSION

It therefore shows that if the present democratic experiment is to survive over time the aggregative function of political parties must be anchored on a participant political culture. The unfolding scenario in the APC associated with 2015 gubernatorial election is indicative of the failure of the Nigerian party system not only in the aspect of aggregative function but also in the aspects of political socialization and elite recruitment.

In other words, participant political culture of the people is one which must be driven by the electoral process through participatory party politics rather than over dependence on electoral tribunal and courts for deciding electoral conflicts. The conception here is that intra-party

conflict could best be managed when political parties are so participatory that party candidates are seen as representing the shared aspirations of the party they represent

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Antonio Rosmini: His Life and Works

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Abstract

Rosmini's two works, *Delle Cinque Piaghe Della Santa Chiesa* and *La Costituzione La Giustizia Sociale* aroused great opposition especially among the Jesuits, and in 1849 these works were placed upon the Index. Rosmini's philosophical writings embroiled him in theological controversies throughout his lifetime. The controversy around his philosophical works required more than one Papal injunction. But, seeing through neutral and an objective prism, Rosmini's philosophy attempted to reconcile Catholic theology with modern political and social thought. In an audience with Pope Pius VII, Rosmini was encouraged by the latter to undertake the reform of philosophy. But Rosmini found himself wedged between the obligation to renew Catholic philosophy and finding his work on the Index. Before his death, Rosmini learned that the works in question were proclaimed free from censure by the Congregation of the Index.

INTRODUCTION

Antonio Rosmini was born in 1797 at Rovereto, an Italian village, which at that time formed part of the Eastern Hungarian Empire. The Rosmini family were well-off due to their involvement in the manufacture of silk. His father was Baron Pier Modesto Rosmini-Serbati, a member of a very old and wealthy noble family. His mother was Countess Giovanna dei Formenti from Riva, on lake Garda. They were cultured, generous and devout people, who zealously promoted the interests of the church. They had four children: Margherita (who became a nun), Antonio, Giuseppe and Felice, the youngest, who passed away at an early age.

Rosmini completed his tertiary training in Theology at the University of Padua and was ordained a priest in 1821. With his exceptional talent for writing, his colleagues encouraged him to write books on theology rather than to meet his duties as priest. His publications made a great impression in both spiritual and philosophical circles. He was so popular in church circles that Pius IX considered promoting him to cardinal.

MATERIALS AND METHODS

Purpose of the Paper

The paper aims to clarify that although Rosmini's happy period of growth and his apostolic successes, he was tempered by opposition to his intellectual and philosophical writings until his death. In his writings and activities, Rosmini participates in a renewal of Italian philosophy, which will cause him troubles in the future. But Rosmini only wants through his works the reconciliation of Catholic theology with modern political and social thought. The centre of his philosophical system is the concept of ideal being, which is a reflection of God in humankind.

Design/Methodology of the Paper

The paper opted for a theoretical study. The data acquired are going to be complemented by documentary analysis. Antiquarian sources of history and Papal Encyclicals will be employed to render a holistic picture of the life and works of Antonio Rosmini. His opponents and

protagonists will also be placed against each other to fetter out whether Rosmini's philosophical system was just and right to the modern man in contemporary society.

Rosmini's Ideas of Church and State

The Piedmont Revolution made it impossible for Rosmini to be promoted to cardinal. At the request of Pius IX, Rosmini accompanied him to Gaeta, where the pope went to live in voluntary exile. Pius IX did not want church property to be under the supervision of the state and he rejected the nominations of priests by the state. In order to effect co-operation between church and state government, the Piedmont government requested Rosmini to initiate an agreement between this government and the pope. The Piedmont government wanted to establish a confederation of Italian towns, with the House of Savoy as the highest authority. This alliance would enjoy preference over the kingdom of Italian towns. When Rosmini failed to initiate such an alliance due both to the Piedmont government's refusal to accept the pope as honorary president and to this government's anti-church attitude, the Piedmont government promulgated legislation to suppress the church. With the independence of Italy from the Austrian domination and the subsequent rise of the Piedmont government, Rosmini feared the unilateral rejection of agreements which the Piedmont government concluded with the church.

The impact of the Austrian victory in Italy and Pius IX's liberal reforms gradually diminished Rosmini's influence.

Due to the Austrian-Hungarian suppression of the church officials in Italy, Rosmini founded two religious orders, the Instituto dei Fratelli della Carita and the Sisters of Divine Providence, to clinch his viewpoints on theology and philosophy.

Under the hegemony of the Austrian-Hungarian government bishops were degraded to state officials; seminars became colleges and priests had to write examinations set by the Austrian government. The censorship exercised by the Austrian government on the church was such:

"[...] [that] the number of candles that could be burned in church was limited, at one time even coffins were forbidden to the dead. Relics were no longer to be venerated, processions and pilgrimage needed special permission. Sermons, were controlled and censored to contain nihil de principe, parum de Dei (nothing about the prince, not much about God)."

DISCUSSION

Rosmini's Influence on his Followers

Rosmini was a controversial figure in Italy during his lifetime and even for years after his death. Despite his reputation in Italy, he was relatively unknown in Europe. On account of the extent of his work and the importance of his publications, Rosmini's works merit comprehensive investigation. His thoughts on theology, philosophy and fundamental rights deserve special attention. As far as his works on theology and philosophy are concerned, Rosmini (as neo-Thomist) concentrates in a typical Thomist fashion on the idea of being. This principle will be elucidated later in the book.

Rosmini seeks affinity with the Thomist notion of being, in particular as far as natural law is concerned. In Rosmini's human society or his perception on the state, the Thomist notion of being is the object of natural and fundamental rights. He has done important development work in this respect.

This chapter examines the various interpretations of Rosmini's points of view. The points of view of his supporters are discussed first, followed by a discussion of his critics. The aim is to determine whether Rosmini can be categorised under post-Thomism. It must first be established whether Rosmini was a Thomist or not.

W.J. (pseudonym) is of the opinion that the extent of Rosmini's work earned him a position among the great thinkers and a partnership in a small group of intellectuals in his reasonably short life. W.J. thus places Rosmini on par with Aristotle, Thomas Aquinas, Leibnitz, Kant and Hegel. He believes that Rosmini's points of view are of special significance and that he was an intellectual wonder. W.J. mentions the following about Rosmini:

"[...] because he is alive, and writes for readers taught by all their Lockian and Protestant education to treat the kind of thing that Rosmini represents [...] thoroughgoing, concatenated, and systematic ontologizing and theologizing by the conceptions of principle and term, substance and essence and act [...]"

Thomas Davidson valued Rosmini's work highly. He regards Rosmini as the most important philosopher of the nineteenth century and compares him to ancient philosophers such as Plato and Aristotle. According to Davidson, Rosmini's work deserves greater exposure and study as it makes a unique contribution to theology, philosophy and fundamental rights.

Davidson is of the opinion that Rosmini's work is also important beyond Thomist circles, not only for theology, philosophy and fundamental rights, but also for other scientific disciplines. According to Davidson, Rosmini's intellectual work presents clear parallels for cultural affinity for both Thomist and non-Thomist traditions of thought.

According to Rosmini, human reason must serve as the bridge between faith and reason. Davidson's remark supports the conclusion that faith and reason do not conflict with each other, but rather complement each other. Rosmini takes this further than Thomas Aquinas, with his opinion that human reason is subjective and subject to errors. The British Empiricists and the German Romantic School, which absolutised reason and ignored the light of faith, serve as examples. Rosmini states:

"[...] but because reason, when enlightened and fortified by divine authority, can contribute to greater understanding of what is revealed and be a support, not an obstacle, to religious faith [...]"

Davidson is of the opinion that Rosmini obviates the dangers of absolutisation of subjective human reason by focusing on the objective "light of the divine reason."

Beales is of the opinion that the distinction between "light of reason" and the use of human reason in Rosmini's *Nuovo Saggio sull'Origine delle Idee* (New Essay on the Origin of Ideas), encompasses an important development of Thomism. Rosmini and Thomism show similar approaches in respect of the idea of being as principle of all knowledge and criteria for certainty, as well as the inherent form of thought. The entire Thomism and Rosminian pedagogy is a result of this.

As far as commentators on the works of Rosmini are concerned, Beales is of the opinion that Leatham's biography of Rosmini surpasses all other studies of Rosmini in English. Like

Davidson, he believes that Rosmini's works are of special significance for a study of theology, philosophy and fundamental rights. Beales also point out that, because Rosmini often wrote contrary to the Thomist tradition, he became unpopular in church circles. Two of his best known works were later censored. One of these censored works, the *Delle Cinque Piaghe Della Santa Chiesa* ("The Five Wounds of the Holy Church"), which deals with the relationship between church and state, serves as an example of Rosmini's criticism against the Thomist church/state doctrines.

The latter work, *La Costituzione Civile Secondo La Giustizia Sociale* ("The Constitution on Social Justice") is of special interest for our current society and has presented solutions to theological and philosophical issues with which the church and state struggle currently.

Rosmini's works which are of great value for theological and philosophical truths, was consequently placed on the *Index Librorum Prohibitorum* (Index of Prohibited Books), by the request of the Jesuits who apparently maintained the classical Thomist doctrine of the Catholic Church.

Aubrey states the following concerning the Jesuits' hostility towards Rosmini:

"[...] his (Rosmini's) works were placed on the Index at the instigation of the Jesuits, then apparently released, and have been a subject of controversy ever since as to their ecclesiastical standing."

Rosmini's Jesuit critics used his deviation from church doctrine in an attempt to discredit his works. Because the Jesuits, as one of the oldest orders of the Catholic Church, according to Pesch, still considered the strict maintenance of traditional Thomism as the official doctrine of the church, they appealed to review Rosmini's works on theology, philosophy and law. The *modus operandi* of Rosmini's critics was the maintenance of classic or traditional Thomism. Their wish was to have Rosmini's works placed on the Index of Prohibited Books again, after they had been removed from the Index. When Pius IX did not heed the Jesuits' demands, Leo XIII, who succeeded the former, did yield to the Jesuits' demands.

Pesch writes:

"[...] but hardly had a new and more pliable Pope ascended the throne, when they applied to him for a remedy against Rosminianism, in the shape of a rehabilitation of Thomism, pure and simple, as the philosophy of the Church [...]"

Leo now made a desperate attempt to revise Rosmini's works in order to appeal to traditional Thomism, as is evident from the encyclical *Aeterni Patris* in 1879.

Boelaars mentions Pius' (and consequently Leo's) love for traditional Thomism as follows:

"Paus Leo XIII verborg van de begin af zijn voorliefde voor de wijsbegeerte van den H. Thomas niet. Reeds enkele malen had hij er blijk van gegeven, toen den 4 Augustus 1879, als derde zijner encyclicken, de wereldbrief Aeterni Patris verscheen: De philosophia christiana ad mentem sancti Thomae Aquinatis Doctoris angelici in scholis catholicis instauranda; over het herstel van de christelijke wijsbegeerte naar den geest van den engelachtigen leeraar, den H. Thomas van Aquino, in de katolieke intichtingen van onderwijs."

According to this, the encyclical *Aeterni Patris* shows a new turn in the Rosminian conflict. Boelaars alleges that in an encyclical *Dum Vitiatae*, dated June 1880, Leo XIII recommends that the doctrine of Thomas Aquinas according to the interpretation by Cajetan, Ferraricus, Liberatore, Sanseverino, Zigliara be followed and that Rosmini's teachings be avoided. Leo XIII's revision of Rosmini's works ended with the censure of fourteen statements from Rosmini's posthumous works. On 6 June 1849 Leo XIII confirmed the decree Sacred Congregation of the Index. The censures by the Sacred Congregation of the Index are usually given in one of the following formulas, namely *prohibeatur, prohibeatur donec corrigatur aut expurgetur* and *dimittantur*.

However, Rosmini's works were exempted from censure by means of Pius IX's *Dimittantur* of 1854, and could not be censured again. The *dimittantur* exempts Rosmini's works of heresy, but explains that this is dangerous or disadvantageous for the interests of the church: "[...] merely by their liability to misinterpretation in consequence of peculiar expressions and the particular temper of the times." On account of the exoneration of Rosmini's works by Pius IX's *dimittantur*, Leo XIII could not only state in his decree *Post Obitum* of 1887 that forty proposals of Rosmini's prohibited works from the *Delle Cinque Piaghe Della Santa Chiesa* and the *Costituzione Secondo La Giustizia Sociale* are not in accordance with Catholic truths "*catholicae veritati haud consonae videbantur.*"

There were several reactions against the encyclical *Aeterni Patris*. The most impressive argument against the *Aeterni Patris* was that the pope wanted to take civilisation back to the Middle Ages. Boelaars argues that Leo XIII's encyclical *Pergratus nobis*, dated 7 March 1880, reflects this line of thought. Accordingly, it was speculated that Leo XIII's predilection for the traditional Thomism caused one to deduce that he did not wish to raise a non-Christian Aristotle above Christian thinkers such as Augustine and Thomas Aquinas. Despite this allegation against Leo XIII, he (Leo) explicitly campaigned for a Thomist philosophical education.

On account of Leo XIII's heated effort for a Thomist tradition in the church (at the request of the Jesuits), Rosmini's forty views did not stand a chance of being accepted by mainstream Catholic thinkers. Rosmini's doctrines were neither capable of penetrating the world. Now that attitudes have changed as a result of the dedicated works of a few men who believed in Rosmini's "system of truth" at the time of his defamation or persecution, it is hoped that through this research Rosmini's works will enjoy the general attention it deserves.

Sheldon avers that Giuseppe Morando assumes that Leo XIII was moved by the pressure exerted on him by the Jesuits to censure Rosmini's works, which he would otherwise not have done. Sheldon also believes that Rosmini's proposals are in harmony with sound theological and philosophical doctrines and in accordance with Catholic standards.

Morando, a follower of Rosmini, extolls Sheldon for supporting or defending Rosmini's philosophical, theological and legal points of view. He is convinced that the rejection of Rosmini's works on theology, philosophy and law are unwarranted. Morando expresses his indignance against the hostile references in manuals in which Rosmini's works are discredited. According to Sheldon, Morando is of the view that Rosmini did not at all disregard the doctrines of the Catholic Church. Sheldon refers to a quotation by Morando in which pope Gregorius XVI shows great respect for Rosmini: "*virum excellenti ac praestanti ingenio praeditum, egregiisque animi dotibus ornatum, rerum divinarum atque humanarum scientia summopere*

illustrutrem.” (Rosmini was an excellent person blessed with an extraordinary intellect. He is imbued and equipped with an extraordinary talent to patiently relate divine issues with human science).

Sheldon maintains that the rejection of Rosmini’s doctrines under Popes Pius and Leo XIII were the result of undue influence on the basis of political considerations by the Jesuits. Some writers even believe that Rosmini’s doctrines can be associated with the points of view of Galileo. Sheldon says:

“[...] over an against an Inquisition, which has committed the two greatest possible errors in the field of physical science and in that of metaphysics, in condemning Galileo and Rosmini, the rebels of today are the truest Catholics of tomorrow.”

Guiseppe mentions that Rosmini’s points of views were not at all contrary to those of the Catholic Church: “[...] each of the forty condemned propositions can be justified as being in harmony with sound philosophical and theological doctrines and agreeable to Catholic standards.” Guiseppe is also of the opinion that Rosmini was therefore not guilty of any serious deviation from church dogma.

Blau considers Rosmini to be possibly the greatest thinker of all time: “[...] (Rosmini) whom I hold to be the greatest thinker of modern time, perhaps the greatest of all times.” Blau alleges that a full study of Rosmini requires a knowledge of the points of view of Davidson who contributed to the development of Rosmini’s philosophy.

Norman St. John-Stevas alleges that Rosmini’s theological and philosophical points of view will one day replace Thomism as the official philosophy of the Catholic Church.

CONCLUSION

Rosmini wants to reconcile Catholic theology with modern political and social thought. The traditional Thomist philosophers and the Jesuits got stuck in their Medieval way of thought and could not find a way to cut the umbilical cord with its doctrinal document, the Aeterni Patris, which is the official philosophy of the Catholic Church. The Jesuits’ thought had rendered them stagnant for a very long period, and when an enlightened thinker like Rosmini emerged to the philosophical and theological arena they felt threatened and as a result discredit the latter’s works. They would have feared a prophetic announcement made in this paper, that Rosmini’s philosophy would have one day replace Thomism and became the new official philosophy of the Catholic Church. As Pope John Paul II stated in his encyclical, *Fides et Ratio*, that Rosmini is one of the greatest Christian thinkers ever.

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The Place of Ontogeny in the Process of Socio-Economic Development

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Abstract

This paper discusses the Euro-American centric concept of development but also, a conceptual view of development which is rarely discussed in Western literature--traditional African view of development--.The paper juxtaposes the frameworks within which both the Euro-American and African concepts of development are usually operationalised and after analysing and contrasting the development operands within the two frameworks, it posits that the major differences existing among the world views, general development operands and specific development operands embedded within the two concepts, favour neither the adoption nor the imposition of the Euro-American model of development on Africa.

Key words: Ontogeny, Concepts of development, Frameworks of development, Europe, Africa.

INTRODUCTION

The view has always been held that all social development is oiled and promoted through the vehicle of education and learning. With the acceptance in the 21st century of the notion that all areas of human endeavour are improved upon and advanced only through access to relevant knowledge, the view that socio-economic development is promoted by education and training has become more entrenched and more widely advertised. However, the nature of development and the form of education that promotes it are two phenomena upon which convergence still lacks.

Whereas the Euro-American centric notion of socio-economic development and the school system have succeeded in imposing themselves globally, the promotion and imposition of these two phenomena have not always been a success in many a developing society. A number of reasons ranging from the mismatch between the world views of developed and developing societies in general and Africa in particular, to differing ontogenic trajectories of human beings within developed and developing societies have been advanced to explain the failure of these two phenomena in developing societies and Africa.

Social ontogeny is a process of human socialisation that is conceived differently by Europe and Africa. Whereas Europe lays emphasis on the interaction between human biological development and the environment to explain learning and socialisation, Africa goes beyond the physical to implicate the spiritual in the process of social ontogeny, thereby suggesting that, although social ontogeny is central to the promotion of socio-economic development, Europe and Africa differ in their conceptions of human ontogeny.

The aim of this paper is dual. First this paper seeks to examine the development frameworks in operation both in Europe and Africa since Adam Smith's *An inquiry into the nature and causes of the wealth of nations* with a view to throwing up and analysing the ontogenic patterns

extant within each of the frameworks. Secondly, the paper aims to explain the failure of successive attempts at implanting the Euro-American model of development in Africa through the existing differences between the European and African ontogenic views.

DEVELOPMENT

The beginning of the discussion of the concept 'development' is rooted in Economics. Whereas Rostow (1959) is famous to have made popular the five stages of economic growth and development, it is to Smith (1776) that the credit for the birth of Economics is to be attributed.

Consequently, since the 18th century, the concept of development has been discussed within economic theoretical frameworks and paradigms. Beyond Rostow's description of the five stages (traditional society, precondition for take-off, take-off, drive to maturity, stage of mass consumption) of economic growth and development, there have been propounded four major theories of development including the classical economic, the neoclassical economic, the Index of Sustainable Economic Welfare (ISEW) and the Human Development Index (HDI) theories.

Classical economists conceive of society as made up of three classes of people (capital holders, landlords and dispensers of labour). Capital holders are persons that hold large amounts of money that they may use to execute projects in society. Landlords are persons who have acquired vast expanses of land, portions of which they usually exploit or sell or lease for some economic gains while providers of labour are workers who usually put their muscle and/or brain power at the service of capital holders and/or landlords (Hollander, 1987). The corner stone of classical economy is the notion that the growth of the wealth of society and subsequently socio-economic development are self-regulating and self-adjusting (Beattie, 2015). Money or capital is a prized means of exchange in classical economy and all three social classes, through their various services, jostle to obtain some amount of it.

Whereas classical economists advertise capital, land and labour as instruments for development, neoclassical economists emphasise the notions of resources, technology and preferences (Hoff and Stiglitz, 2010). Resources include capital, relevant materials and mineral resources. Technology implies availability of different and relevant gadgets and machines and the knowledge for operating them. Preferences connote the deliberate choices that individuals or groups of individuals make in regards to commodity consumption patterns within society. Wherever these three main factors were brought together in a measured manner, neoclassical economists submit that society would develop (Hoff and Stiglitz, 2010). Unlike classical economists, neoclassical economists do accept the notion of interventions as valid economic activity tools for the purpose of regulating market forces. Money or capital remains a prized means of exchange even among neoclassical economists.

The Index of Sustainable Economic Welfare (ISEW) theory registered its greatest success in North America (notably Canada). It is one of the two most popular human centred theories of development. That which set it apart from the classical and neoclassical theories of development is its concern for quality of personal living. Although it advocates capital formation and acquisition of financial resources, it equally pays great attention to the effect of environmental degradation on personal welfare, the consequences of national defense budgets on individual and societal welfare and the degree of national and individual efforts aimed at preserving human being's natural capital in as pure a state as possible (Romanow, 2009; Jackson and Marks 2002).

The Human Development Index (HDI) theory of development is the most popular of the human centred theories as it has been adopted by the United Nations Development Programme (UNDP) and has been used widely throughout the world to measure development since the 1990s. HDI was designed to supply information about life expectancy, literacy, education and standard of living. In accordance with information generated through the application of HDI, nations have been classified as highly developed, developed, medium-income, poor and very poor (UNDP, 2015). Although money or capital is needed to achieve HDI indicators of development, this theory does not make capital formation a sole aim of development but a means for achieving an end (life expectancy, literacy, education and acceptable standard of living) which ultimately is expected to positively impact human quality of life.

As can be deduced from the foregoing, money or capital is a prerequisite for the promotion of the modern concept of development. Yet, capital is a commodity which has been found to be relatively and constantly in short supply in developing countries in general and Africa in particular. Where, through Direct Foreign Investment, huge capitals have been generated in a few developing countries, it has been found that it took only a slight social upheaval for the huge capitals to disappear because those developing societies were not the genuine owners of the capitals and all that glittered around the huge capitals.

THE PLACE OF CAPITAL IN AFRICAN DEVELOPMENT

In order to properly situate the concept of capital within the process of African development, it is important to lay bare the origin, organisation and accumulation process of the modern currency, the group-soul of which is referred to as 'capital'. Admittedly, throughout human history, all societies developed various means of exchange including old forms of currency (e.g. cowry in Africa, pieces of rare stone in other cultures, etc.). However, the story of modern currency must be traced to 1870 when efforts began to be made to establish a 'fixed exchange rate' for all the modern currencies that have been developed in the world (Snexx, 2010). Between 1870 and 2015 these efforts have yielded three major developments designed to manage modern currencies. Between 1870 and 1945, the exchange rate was set against the gold. Between 1945 and 1971, the exchange rate for world currencies was pegged against the United States of America dollar (US\$) and between 1971 and 2015 the concept of 'fiat currency' which promotes flexible exchange rate was employed (Snexx, 2010). Beginning from the 1940s, the International Monetary Fund (IMF) has been established as a powerful institution for the purpose of both monitoring exchange rates and governing modern currency mechanisms (Snexx, 2010).

Between 1870 and 1960 (a period of about a century), all countries of Africa, with the exception of a negligible few, were under colonial rule. When a large number of these countries acceded to political independence in the 1960s, it took about half a century to both train and endow the newly independent nations with modern economics manpower and managers. It took even a longer period of time to teach the philosophical and socio-psychological tenets (democracy, transparency, liberalism, neo-liberalism, etc.) that are supportive of the modern concept of development wherein money or capital plays a pivotal role.

Apart from the fact that, judging from the development level of the developing world and Africa, it can safely be concluded that the lessons in appropriate philosophical and socio-psychological postures are yet to be substantially learnt, the nations of Europe and America that established the concept of modern currency had had at least a century, prior to African political independence, to serve themselves enough reserves of modern currencies that are necessary to continually oil the wheels of modern development and to establish necessary controlling institutions and mechanisms that permanently ensure desired behaviour of both

markets and financial instruments. For example, 1% of the world richest people (all of whom are found in the North) have been predicted to hold almost the totality of the capital wealth of the earth by 2016 (Byanyima, 2015).

The combined wealth of the richest 1 percent will overtake that of the other 99 percent of people next year unless the current trend of rising inequality is checked, Oxfam warned today ahead of the annual World Economic Forum meeting in Davos. (Byanyima, 2015 p.1).

However, guaranteed perpetual domination of the market of modern development by the North is ensured not only by the early entry in the race for capital accumulation but also by means of socialisation. Socialisation is usually carried through a number of social structures including home education, formal education, informal education and social activities such as leisure, trading and other business transactions. In the North, all these forms of education and activities have naturally been designed to promote the acquisition of knowledge, skills and penchants akin to modern development; namely, the understanding of philosophical and socio-psychological tenets of the modern concept of development, the acquisition of the tools for capital formation and mechanisms for the perpetuation of the status quo in regards to the domination of the market of modern development.

Whereas the foregoing is the reality in the North, in the countries of the South and particularly in Africa, the reality is different. For example, while Economists...define wealth as the possession of an asset that generates a stream of income (Ayttey, 2006 p.51), it is contended that

This definition creates problems when applied to indigenous Africa since the use of money was not well advanced..... wealth in indigenous Africa was of the social type; that is, of the non-pecuniary or psychic variety, some of which was valueless to westerners. Wealth could not be 'hidden' in paper currencies, credit and debt instruments such as stocks and bonds. (Ayttey, 2006 pp.51&53).

Yet, even as we begin the second decade of the 21st century, majority of Africans live, in physical and psychological senses, within that which we may continue to refer to as traditional Africa.

Traditional or indigenous Africa has not vanished; it is still the home of the real people of Africa-the peasant majority, who produce Africa's real wealth using ancient institutions and practices. Kings, chiefs and village markets still exist in Africa (Ayttey, 2006 p.56).

Therefore, Africa has lived and continues to live within a physical, psychological and psychic environment that remains different from the physical, psychological and psychic environment of the North; and this, in spite of about one hundred years of colonial history and more than half a century of neo-colonisation.

Without attempting to deny the few benefits of colonisation (rapprochement of massive populations of the world through the common use of colonial languages, the spread of the concept of modernity with its attendant dissipation of superstition) and without trying to negate some of the profits of the practice of globalisation (the collapsing of the world into a global village, the promotion of the competitive spirit with its immense potentials for awakening latent talents within the youths of the world), it should be acknowledged that the

socio-economic development of a people cannot be divorced from the nature of its socialisation or ontogenic experience.

ONTOGENESIS OF THE AFRICAN PERSON

The most popular human ontogenic literature and one in which most African intellectuals were and are still being schooled is Euro-American centric. Piaget's (1892-1980) four stages of cognitive development (sensory-motor, pre-operational, concrete operational and formal operational) constitute popular knowledge. So are the theories of human behaviour propounded by the behaviourists (human behaviour controlled by the principle of stimulus-response relationship), the humanists (tendency towards self-actualisation directed by an innate free will), the psychoanalysts (the pleasure principle-libido- activated by the id and balanced and controlled by the ego), the social learning theorists (human behaviour motivated by judgement and expectations of the individual) and the Trait theorists (behaviour traits-extroversion-optimism-acquired through heredity and childhood experiences).

One main characteristic that runs through and underlies all these behaviour theories is 'individualism'. In other words, the Euro-American theories of human behaviour focus on the individual as though the individual lives in a social context vacuum. A few of the theories that refer to the influence of society on the behaviour of the individual (Adler, 1979), do so lightly and within restricted social groups such as the family or peer group members.

Unlike the world view propounded by the Euro-American theories, the African person exists and lives only through the society. His identity and behaviour are all defined by the main cultural and traditional principles upon which society rests. Nsamenang (2006 p.295) submits that the 'social selfhood' (the personality and behavioural traits) of the African person is usually moulded through nine stages including 'a period of the newborn', 'social priming', 'social apprenticing', 'social entrée', 'social internment', 'adulthood', 'old age' 'death' and 'reincarnation'. Each of these stages is most important and each carries a specific social task with it. Additionally, judging from the manner in which the African handles his dead, it can be concluded that in Africa, the dead is more important than the living.

Apart from the fact that the Euro-American world view has no place for the metaphysical aspect of the African ontogenesis, human development is not conceived as being so rooted in social norms and engineering. Yet, the African person (including the African intellectual) is usually assumed to have been made ready not only to internalise tenets and skills of the Euro-American concept of development, but to make a success of it within the African space which as mentioned earlier, remains predominantly rural and traditional and more importantly is devoid of the same social dynamics (world view) that are operational in both Europe and America. Herein lays the main dysfunction and unreality of attempting to run a Euro-American model of development within the African space. While not denying the reality and veracity of cross-border and cross-cultural learning, it is important to acknowledge the fact that, as long as Traditional or indigenous Africa has not vanished (Ayittey, 2006 p.56), the transfer of the Euro-American development concept and operation to Africa shall remain a half-legged venture, the benefits of which are expected to vamoose as soon as social upheavals set in. It cannot be otherwise since both the understanding and operationalisation of the Euro-American development model are not rooted within the socialisation process of the people.

All development happens within specified conceptual frameworks. Within these frameworks, education is usually the main vehicle employed for the socialisation of society members. In addition to education, development frameworks embody contexts of development, input of the development process and expected output of development.

The frameworks (contexts, education, development input and development output) that regulate the Euro-American and African development models are different. This then is the main challenge in successfully operationalising the Euro-American development model within the African space. An imported development model necessarily needs a framework similar to the one that gave birth to it to function even averagely. Below is a digrammatical layout of the frameworks that regulate both the Euro-American and African development models.

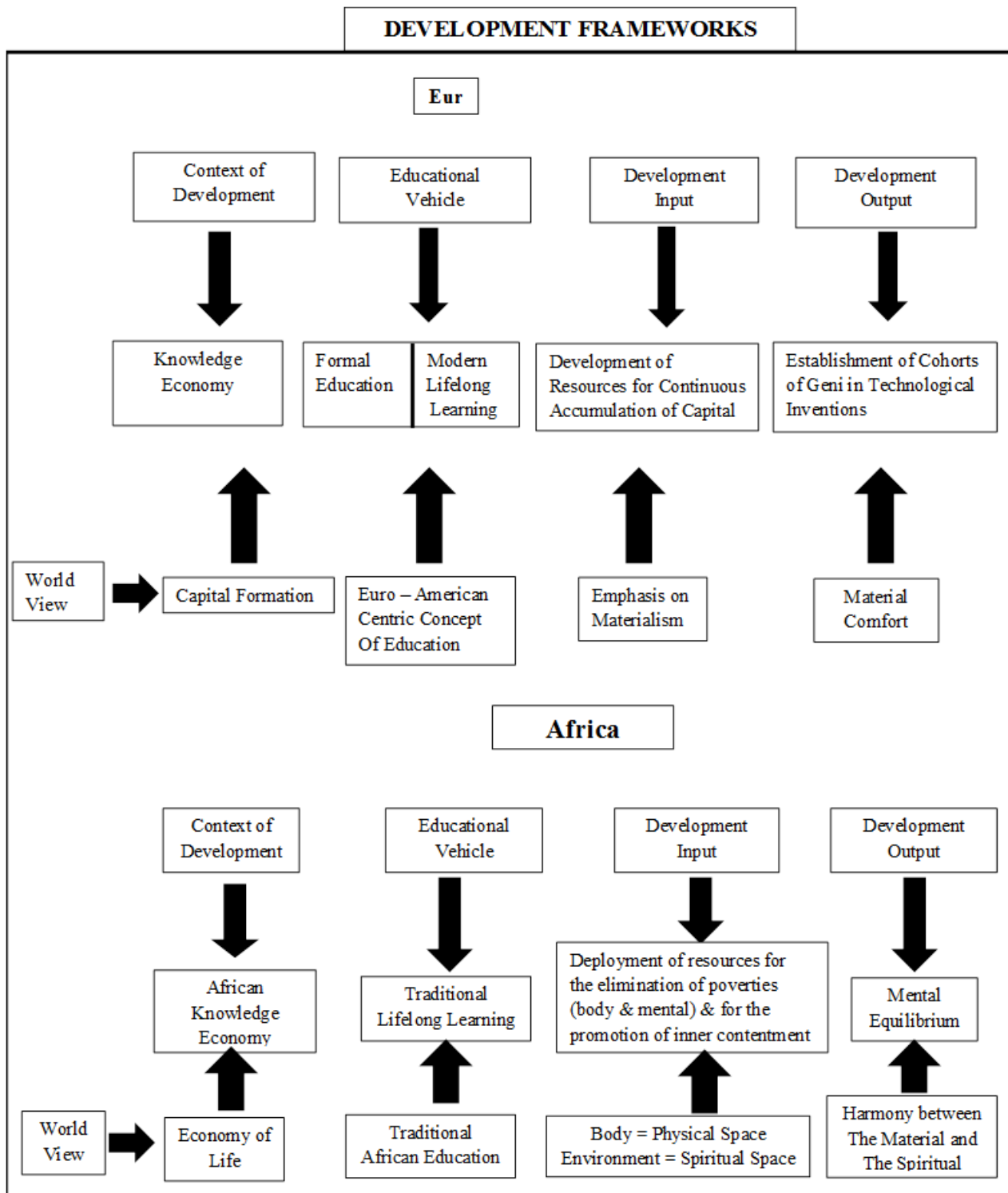


Figure 1: Frameworks for the Euro-American and African Models of development

Figure 1 displays two different types of development framework. The upper framework is the one that regulates the functioning of the Euro-American development model while the lower one regulates the truly natural African development model.

Each of the development models is born out of a philosophy or world view. Each world view provides the foundation upon which the general context of development, operational education system, development input and development output rest and it equally informs the devising of the specific context, education types, development input and development output in use at any point in time.

Figure 1 shows that the world view that regulates the Euro-American development model through the four general development operands (context, educational system, development input and development output) is completely different from that which regulates the African development model. Whereas the Euro-American world view emphasises, capital formation, a Euro-centric concept of education, materialism and material comfort, the African world view promotes Economy of life, Traditional African Education, a duality of human operational space (physical and spiritual) and harmony between the material and the spiritual. Consequently, the four specific development operands regulating the two models of development stand different thus: (Knowledge economy/African knowledge economy; formal education-modern lifelong learning/Traditional lifelong learning; accumulation of capital/poverty elimination-inner contentment and technological inventions/mental equilibrium) from the Euro-American to the African model.

WORLD VIEWS

As stated earlier, the world view of societies gives birth to the development framework they eventually adopt. As discussed here, the Euro-American and African world views are operationalised through four levels of development activation (capital formation/ Economy of life; Euro-centric concept of education/ Traditional African Education; materialism/ duality of human operational space; and material comfort/ harmony between the material and the spiritual).

First Level

The first level of development activation (capital formation in the case of Europe or Economy of life in the case of Africa) usually defines the context of development within each development framework and it equally determines the nature of the specific development operands (Knowledge economy or African knowledge economy) operating within each framework. In the case of Europe and America, the first level of development activation promotes capital formation (accumulation of capital) whereas Africa emphasises 'Economy of Life' at this same level. Whereas the concept of capital formation is widely understood, the concept of 'economy of life' is an ancient concept of living which leads people to spend as little physical or bodily energy as possible in the process of achieving their life projects. The ability to minimise the use of physical energy is made possible by the complementation of the use of physical energy with the activation and use of psychic energy resident within all human beings. The training for the acquisition of the techniques for the activation and use of psychic energy forms a part of the Traditional African Education curriculum.

On the one hand, knowledge economy is a type of economy that derives its structure, strength and growth from information generated and distributed by highly competent professionals in numerous areas of human endeavour. Such an economy usually demands an adequate supply of personnel trained within the area of medium and high technologies in addition to facilitating

access to an appreciable quantity of technological gadgets (Powell and Snell, 2004; OECD, 1996). African knowledge economy, on the other hand, implies an economy whose execution is infused with the knowledge of African humanism. African humanism is both a philosophical penchant and practice of living that emphasises the priceless value of the human person, human solidarity and the brotherhood of the human race (Elejo, 2014; Ssekitooleko, 2005). Under a knowledge such as this, business and interaction among persons are conducted with the understanding that considerations are to be given to unforeseen circumstances, human feelings and failings.

Second Level

The second level of development activation (Euro-centric concept of education or Traditional African Education) defines the educational vehicle that is to drive development within each development framework and it equally determines the nature of the specific development operands (Formal education-Modern lifelong learning or Traditional lifelong learning) operating within each framework.

The school system is the most prominent landmark of the Euro-centric education. However, beginning from 1920s, Bengtsson, (2013) stated that the concept of lifelong education and later lifelong learning was introduced within the Euro-American educational space to fulfil the need for provision of educational opportunities throughout life. The school system is alien to Africa. It was introduced during the colonial era and although it seems to have gained popularity, most Africans are still learning outside the school system. For example, as a result of the millennium development goals project, African primary schools have experienced enrolment increase between 80 to 95%. However, only about 50% of students enrolled stay in school to the last primary class (UNICEF, 2014a). About 50% gross enrolment is registered at the secondary school while only about half those enrol reach the final year of the secondary school (UNICEF, 2014b). At the higher education level, only an average 7% gross enrolment is achieved in Africa, with some countries registering in fact only 1% gross enrolment (Teferra, 2014, INHEA, 2014).

Therefore, while it may be conjectured that about 50% of children aged 6-12 are in school in Africa, it should also be concluded that the vast majority of the African population is out of school in Africa, the secondary and higher education sectors being almost non-existent. This further confirms that traditional Africa continues to exist in a physical and educational sense to our day as majority of Africans continue to learn using not the school system but the traditional African education system. The traditional African education system has always been a lifelong learning system wherein the child gets socialised from birth to beyond the grave through birth and other rites.

Specifically, traditional lifelong learning has its own philosophy, clientele, curriculum, meeting venues, and modes of assessment.

- **Philosophy**
Traditional lifelong learning offers a holistic training. Its aim is to train the whole human being who is cognitively competent, socially responsible and one who grows to exhibit a sense of dignity of labour. Additionally, traditional lifelong learning aims to establish a society in which unemployment has no place for, as Omolewa (2007) submits, unemployment is viewed as a crime within the traditional African society

wherein the execution of social services is assigned to families and societal groups so as to prevent unemployment.

- **Clientele and Curriculum**

The clientele of traditional lifelong learning is made up of all age groups within society. Everybody learns from the same system of education (children, youths, adults, peasants, well-to-do and kings). While there exists learning cohorts fitted to aspects of the curriculum (0-5yrs—home education; 6-12—Learning of chores within the larger community/society; 13-18—Participation in age group activities, etc.), the cohorts themselves are not rigidly set out as according to Achebe (1994 p.58) Any child that knows how to wash his hands clean can dine with adults. This statement implies that irrespective of a person's age or initial cohort of learning, an individual may be allowed to cross over to higher learning groups as long as s/he demonstrates required abilities.

As learning cohorts are fluid, so is the curriculum. Apart from the class of Initiates (secret societies), there exists no rigid curriculum, the whole or substantial part of which must be mastered before learners can move to a higher grade.

How children are taught or teach themselves to become competent members of their communities varies across cultures. In some societies children learn in schools; in others, they learn from active involvement in the life of families and communities. As African cultures recognize different phases of children's emerging minds, they tacitly wed their participatory curricula to sequences of perceived cognitive capacities.....The embedded knowledge, skills, and values children learn from these curricula are not compartmentalized into this or that activity, knowledge, or skill domain, but are massed together as integral to social interaction, cultural life, economic activities, and daily routines (Nsamenang, 2006 p. 296).

- **Venues For Learning**

In a general sense, the whole community or society constitutes the learning space. However, in a number of communities, town halls and public buildings are converted into temporary learning spaces for the purpose of driving home more powerfully a few knowledge areas that may have been found to be critical. In addition, the learning groups of royalty and initiates which are collectively referred to as 'secret societies' have designated locations that are not open to the public.

- **Modes of Assessment**

The modes of assessment of learning are as fluid as the curriculum. Learning within the traditional lifelong learning being mainly participatory, the process of assessment of it, is equally participatory as it involves a variety of persons (parents, community members, even the learners themselves).

.....the onus to understand the social cognition and intelligent behaviour of Africans lies in capturing shared routines and participatory learning, rather than in completing school-based instruments. An evaluative criterion with which African parents determine intelligent behaviour is social responsibility..... To train for responsibility, parents and caregivers allocate chores to children or send them on neighbourhood errands..... Some parents use evidence that a child has ability to give and receive social support, and notice and attend to the needs of others, as markers of mental and general developmental level (Nsamenang, 2006 p. 296).

Third Level

The third level of development activation (Materialism in the case of Europe and physical/spiritual space in the case of Africa) sets out the 'Development input' and it lays out the specific resources deployed for the purpose of actualising either the goal for materialism or for physical/spiritual space.

The specific development operant in the case of Europe at this level is the teaching-learning and deployment of those resources (business skills, technologies, accounting instruments, etc.) that will advance capital accumulation. In the case of Africa, it is the teaching-learning of those pieces of knowledge that in the first instance will inculcate the sense of dignity of labour in all members of society so that they may take care of their body; but it is also the teaching-learning of those pieces of knowledge that are designed to draw away individuals from the various illiteracies that are capable of corrupting minds and souls and consequently deny people of inner contentment.

Fourth Level

At the fourth level of development activation (material comfort in the case of Europe and harmony between the physical and the spiritual in the case of Africa), the expected outcome of the development process is enunciated and the expected specific development operand is named.

In the case of Europe, the expected development outcome is material comfort while Africa seeks to achieve a certain balance or harmony between the physical world and the spiritual world. The specific development operand defined at this level by Europe is the relentless pursuit of technological advancement while in the case of Africa it is the search for mental equilibrium.

SOCIAL ONTOGENY AND DEVELOPMENT

As could be deduced from the discussion of the different levels of development activation, the frameworks of development of Europe and Africa have always been different as they both contain different descriptors. For centuries before colonisation, the African child got socialised within the traditional African development framework. Even after colonisation ceased about half a century ago, the Euro-American model of development is yet to take full root on African soil.

And why have one and a half centuries not succeeded in converting African minds to adopting and owning the Euro-American model of development as it is the wish of many both in the Northern and Southern hemispheres? The answer is to be found in the nature of the ontogeny of the African person. From childhood to adulthood the African person is socialised within a development framework that is different from the Euro-American development framework. Even the few Africans who eventually join the European school system are incapacitated in two ways; first, their foundational social ontogeny is African; secondly, during and after their European training, they continue to live within the African space where, whether they are aware of it or not, they continue to entrench their foundational social ontogeny while attempting to promote modern development concept. Under a condition such as this, the educated African in the Euro-American perception can only do so much in promoting the Euro-American model of development.

After all, since the 18th century, numerous socio-economic development theories (Rostow's, classical, neoclassical, Human Development Index Literacy, ISEW, HDI, etc.) have been enunciated with a view to combating poverty, improving human capital, increasing monetary capital and promoting sustainable development in Africa with little success.

QUO VA DIS?

Judging from the long time and the numerous efforts that have been deployed with a view to endowing Africa with a Euro-American model of development and going by the negligible rate of success so far achieved, the time has come to try another path. The selection of the new path must be based on reasoned propositions that necessarily must be rooted in African realities.

Within the phenomenal world, growth or maturity is a natural condition which no creature or entity can evade. Consequently, the traditional African development framework has grown through time, as imperceptible as that may seem. The imperceptibility of this growth stems from the unrealistic expectation that the North has towards Africa. The question then arises: must African development path necessarily follow the Euro-American model? The answer to my humble opinion is No! Science and modern technology that constitute the bedrock of the Euro-American development model were preceded by other knowledge types that have produced manifestations which today's science and technology are yet to produce. I am thinking of the Pyramid of Gizeh that was built in ancient Egypt more than 5000 years ago and which although still standing till our day, cannot be replicated by the best that science and technology can offer. I am also thinking of the numerous indigenous knowledges that are yet to be discovered by science and the emancipation of which has been repeatedly scuttled by the proponents of the Euro-American model of development.

Would the development framework of Africa not have improved beyond its current level then, had this framework not been frequently distorted through the imposition of an alien and incompatible framework? The answer here is that, maturity or growth being natural to all phenomena, the traditional African development framework would have made greater progress than it has made, had it not been so frequently distorted.

Undoubtedly, African world view and African development framework have all been influenced by the process of globalisation. That which is needed at this moment is to allow these two phenomena to imbibe, digest and transform all acquired experiences into forms of understandable knowledge and useable processes which are needed for the fashioning of a typical and workable African model of development.

In the words of Gordon (2011),

..maturity is fundamental to the human condition, but one cannot achieve maturity without being actional, which, for Fanon, is tantamount to freedom. Much of his subsequent writings explore this thesis. In *Les Damnés de la terre*, this march through concentric layers of hell, echoed in the title's reference to *les damnés*, returns, but now in the context of the wider political question of a geo-constituted realm (Gordon, 2011p.70).

CONCLUDING REMARKS

All human progress usually bears the eco-cultural signature of the people that development is to serve. Additionally, human advancement, like all phenomenal manifestations, is gradual and painstaking. Similar to Fanon's concentric layers of hell (Gordon, 2011p.70), a people that are to develop, work tirelessly and ceaselessly through time to realise their dream. Wars, slavery and colonisation may serve both as obstacle and impetus. However, where any of these obstacles are constantly and continually thrown like spanners within the wheels of progress, major distortions are recorded which instead of fast tracking development, delays and holds it down.

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Radicalizing Consciousness in the Dramas of Derek Walcott and Bate Besong

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Abstract

The postcolonial period in the Caribbean Island and Anglophone Cameroon continues to witness a deliberate and systematic betrayal of the hopes and aspirations of the citizenry, who in no small way fought very hard for the acquisition of political independence. This period was characterised by capitalist exploitation, with colonialist and their neo-colonial counterparts, who as a result of self interest, had transformed the lives of their people into a “perpetual nightmare”. This paper examines the extent to which slavery, oppression, exploitation, misery and corruption amongst other societal ills have eaten into the fabric of the Caribbean and Cameroonian societies and the manner in which the playwrights address and confront such burning societal mishaps. This paper also argues that the failure of independence to provide immediate solutions to the problems of the colonised people acted as a catalyst for the emergence of nationalist sentiments and open revolutions in most once colonised societies. From a Marxist critical paradigm, this paper reveals that Walcott and Besong are playwrights who hold strongly to the thesis that, morality and the doctrine of equal opportunity are treasured commodities that cannot be led loose on the hostile landscape of postcolonial dictatorship, oppression, exploitation and, above all, corruption. Thus, nationalism and social revolutions are considered, by the playwrights, as the panacea towards the complete emancipation of the impoverished masses from political, economic, social and cultural bondage.

Keywords: Independence, Dictatorship, Nationalism, Revolution.

INTRODUCTION

One of the principal tenets of Marxist criticism is, “consciousness is a product of social conditions and human relationship is often subverted by and through economic considerations” (Micheal Meyer, 1184). What this pre-supposes is that, the conditions in which people live will determine the ways in which they will react towards such conditions. This claim is corroborated by Karl Marx when he states that “it is not the consciousness of men that determines their existence, but on the contrary, their social conditions determine their consciousness”. (ibid, 1859). The consciousness of postcolonial writers and postcolonial people are greatly influenced by their social conditions. To Karl Marx, a period of slavery, oppression, exploitation and misery generates revolt among working class. In most postcolonial societies, nationalist sentiments and open revolutions were initiated by the vast inequality that existed between the rulers and the pauperised masses. This is because, these inequalities radicalised the consciousness, not only of the writers but most especially the suffering masses and as a result, they were obliged to fight back.

The Postcolonial Societies and the Spirit of Nationalism

Nationalist sentiments which were, dominantly, a post world war II development inaugurated a new dawn in the re-awakening of the consciousness of the colonised people. As James Tar Tsaaior posits, the politicians and the pioneer writers constituted an array of revolutionary

vanguard under the auspices of the “nationalist ferment pervasive at the time, with freedom from colonial domination, exploitation and oppression as the ideological drive force for the monumental struggle” (Tar,2006, 416). Tar further argues that, nationalist activities concealed with the growth of Marxism in Eastern Europe, and that the unprecedented awareness created and increased commitment of socialist countries especially, the Soviet regime in Moscow to the liberation struggles of the colonised and oppressed peoples of the world.

It is worth mentioning that, the ideological warfare between the West and East had earlier manifested itself in the eruption of the Second World War and the Cold War that subsequently followed it. While the former was bent on ensuring the longevity of imperialism, the latter was preaching the gospel of socialism. At this time, the relentless struggle for independence had been galvanised and many colonised societies were on the verge of political autonomy.

The attainment of political independence by most once colonised nations, initiated a new ideological consciousness in literature. The people of these newly independent countries hoped for a radical departure of the colonial masters. As a result, they invested a lot of hope in the nationalists who were in the vanguard of the struggle for better living conditions, freedom from colonial rule, justice and good governance. Unfortunately, the betrayal, treachery and resultant evaporation of the hopes and dreams nursed by the people generated a sense of utter disillusionment and disenchantment with the emergent profit bourgeoisies who assumed the reins of power and became worst than their departed predecessors. The new leaders aggravated the situation of their populace with their decadent leadership. Their leadership politics created in the masses, the feeling that independence was not a panacea for freedom, justice and economic development.

In Africa for example, there were numerous demonstrations of the inefficiency of independence to resolve the people’s problems throughout the continent. These claims are supported by James Tar Tsaaior in “Ideology and African literature” in which he states emphatically that in Nigeria for example, there was a turbulent political atmosphere which generated instability evidenced in coups and counter-coups with the concomitant war of assassination. To Tar:

This scenario continued unabated with ethnic allegiances, regional affiliations, bribery and corruption, nepotism and other social atrocities and malfeasances... There was also a total neglect of initial public infrastructural base, scientific and technological development and the flagrant flouting of codes of ethical conduct... it was this retrogressive and unwholesome state of affairs that culminated in the fratricidal civil war of 1967-1970. Achebe’s A Man of the People, Girls at War and Anthills of the Savannah, Soyinka’s The Interpreters and Season of Anomy and Clark’s Casualties are both a lamentation and an indictment of this chequered development after independence... (Tar, 2006, 416)

Though made specifically on the state of affairs in Nigeria, the picture painted by Tar above became a general phenomenon in almost all once colonised societies including Cameroon and the Caribbean Island. If there is one thing that independence did, it is that it helped in widening the gap between those who wallowed in affluence and the abject poverty stricken masses.

Similarly, Chidi Amuta, argues that Marxist thinking in literature as an orchestrated and concerted effort gradually building up into an alternative tradition became significant in the

mid-and-late 1970s (Amuta,1989:56). He further contends that, this radicalisation of consciousness can be linked up with the unexpected post war oil boom and its “accompanying social, economic and political dislocation” (56). The wastage of the wealth of the nation and the resultant moral atrophy that permeated the entire societal strata, initiated a literature that was unabashedly revolutionary from an ideological sense. This to Amuta, led to the emergence on the literary scene of a “new generation of young revolutionary writers whose pre-occupation was the indictment of the self-indulgent political elite, and the general re-orientation of society and the sanitation of its psyche” (Ibid, 57).

Like Amuta, Tar considers published works by young writers like Festus Iyayi’s *Violence and Heroes*, Odia Ofeimun’s *The Poet Lied*, Osofisan’s *The Chattering and the Song*, Niyi Osundare’s *Songs of the Market Place* and Kole Omotoso’s *Sunset at Dawn* as works that lent their eloquent voices in decrying and denouncing neo-colonial predicaments. Their literatures to Tar, were progressively and increasingly identified with the masses and were most vociferous in recommending the alternatives of socialist transformation of the society and the rejection of international monopoly capital.

As was the case in Nigeria, Ghana was not remarkably different. Having won independence in 1947 under the initial of the charismatic leadership of Kwame Nkrumah, Ghana was soon in ruin. As Onoge Omatume makes us to understand in “*Toward a Marxist Sociology of African Literature*’, Nkrumah’s identification and flirtation with Socialism were at best effective and hypocritical as he soon constituted himself into a personality cult to be worshipped. A dynasty of “corruption, incompetence, dereliction of duty by public officers and the general sense of moral bankruptcy was erected” (28). The hopes of the people were unmaterialistic, as the national bourgeoisie succeeded their foreign counterparts. The Ghanaian writer, Ayi Kwei Armah delineates the situation in *The Beautiful Ones are Not Yet Born* and *Fragments*, while Kofi Awoonor’s *This Earth, My Brother* also articulates this dominant concern. These novels are ideologically engage and interrogate the social hierarchical paradigm that privileges the dominant class and betrays the people.

In Kenya as was the case in the above mention countries, nationalism and euphoric mood that granted Uhuru under Kenyatta was transient, as the writings of betrayal and lost hopes became very clear on the wall. To the utter disappointment of the Kenya masses that fought for freedom and won it with the help of the Mau Mau, independence worsens their problems. There was growing intimacy between Kenyatta’s government and the imperialist. The masses and peasants suffered alienation from the bourgeoisies who collaborated with the enemy to betray the poor that sacrificed everything, even their lives, for emancipation. Worst of it, the masses were alienated from their lands. The situation in Kenya finds testimony in Ngugi’s *A Grain of Wheat*, *Petal of Blood*, *Devil on the Cross*, *The Trial of Dedan Kimathi* and *I will Marry When I Want*. Another Kenya novelist, Meja Mwangi documents the situation in *Kill Me Quick*, *Carcass for Hands* and *Going Down River Road*. In Uganda, Okot Bitek’s “*Song of Lawino*” and “*Song of Ocol*” and Teban Lo Liyong’s *Eating Chiefs* are a dramatisation of the aftermaths of independence and with anti-imperialist ideological undertones.

Furthermore, in Southern Africa, especially in the front line states of Angola, Mozambique, Zimbabwe and Namibia, Amuta argues that the violent and protracted “liberation struggle was waged on the context of an anti-imperialist ideological stand point which in turn necessitated a mass mobilisation of culture and literature in the service of the struggle for freedom” (Amuta, 1989,56-57). Their harrowing experiences, is what Clive Welis describes in “*Negritude in Portuguese-African Verse: Some Historical perspectives*” in *Comparative African Literature* as

“protracted armed struggle” for independence (Willis, 2001, 80). This situation also informed volumes of writings from the above countries. The resolve of these Lusophone countries to conceive national independence, according to Emmanuel Ngara, justifies their “socialist alternative to development strategies based on the dialecticist, materialist interpretation of history” (Ngara, 1985, 36). E.C Nwezeh in *Colonialism and Lusophone Africa* qualifies this ideological imperative in a dialecticist and revolutionary perspective as “the armed struggle of the Lusophone peoples against colonialism” (Nwezeh, 1986, 1).

Moreover, the Nationalist situation in South Africa deserves to be mentioned here as well. The monolithic theme of apartheid with its cardinal creed of racial discrimination engaged the attention of writers in the former racist country. The non-white population of South Africa suffered disenfranchisement, denial of education, restriction of movement under the pass laws and colour bar, exploitation of non-white labour and the general economic bankruptcy of the blacks and the coloured. The South African blacks were treated as strangers in their own home land. This situation called for an ideologically radical literature that spear-headed the struggle and Marxism emerged as the preferred option. The liberation movements in South Africa notably the African National Congress (ANC), spear-headed the struggle for the eradication of the obnoxious apartheid system. Writers like Peter Abrahams, in *Mine Boy* and *Tell Freedom*, Ezekiel Mphahlele’s *The Wanderers*, Alex La Guma’s novels especially *In the Fog of Seasons End* and *Time of the Butcherbird*, and Dennis Brutus’ *A Simple Lust*, amongst numerous others, all exposed the plight of the South African masses and the need for revolutionary action to strangle the fascist, racist regime.

In Cameroon, the situation was not any different. The Nationalist aspirations of the people were dashed to the walls as embezzlement, corruption, oppression and dictatorship became the order of the day. Plays like Bate Besong’s *Beats of No Nations*, *Requiem for the Last Kaiser*, *Change Waka* and *His Man Sawa Boy*, *The Banquet*, *Once Upon Great Lepers* and *The Most Cruel Death of the Talkative Zombi*, Babila Mutia’s *Before This Time Yesterday*, Nkengasong’s *Black Caps and Red Feathers*, and *A Call for Blood* and amongst many others, portray the farcical nature of Cameroon’s independence and her failure to remedy the situation of the masses from exploitation and oppression. Besong in *Requiem* for example considers Agidigidi’s independence as a farce. The leader of the Market Women emphasises this when she says “They’ll always be at ease so long as our independence is merely a crap of French toilet paper (49). This satire shows that just as toilet paper that can be used in any manner by its owner, France can use Agidigidi the way she likes.

Though with a slight difference, the situation in the Caribbean Island very much resembles that of the already mentioned postcolonial societies. By 1963, most of the former British colonies in Africa were independent, so to were Jamaica, Trinidad and Tobago. But like the case of the former British colonies, independence did not in anyway, emancipate the West Indians from oppression, poverty and exploitation. Commenting on Nationalism in the Caribbean and drawing inspiration from Walcott’s *Ti-Jean*, Julia Udofia had this to say:

Nationalism (in the Caribbean context) involves the re-evolution of the self and of old values. It also embraces certain new yardsticks for examining oneself and abandoning colonial models. For Walcott, the substitute for colonial models should not necessarily be derived from Africa. He believes in the theory of the “amnesia blow” in which he argues that the racial memory of Africa was permanently lost during the middle passage crossing from Africa to the New World. Therefore, to him, these substitutes

should be taken from the West Indian indigenous folklore and natural environment.
(Udofia, 2008, 32)

To Udofia, the play *Ti-Jean* becomes an allegory of the three different stages by which the Afro-Caribbeans attempt to fight their white oppressors. The first response Udofia stresses is violence, as seen through the slave revolt. Next, the ex-slave attempted to overcome the White master by acquiring the trappings of Western culture, mainly through education and this attempt, to Udofia, is counter productions since it focuses on imitation of Western models and reveals a fundamental lack of confidence on the black man's part. The third, Udofia concludes, is a combination of aggression and humility and includes the denigrates and underrated members of society, for example *Ti-Jean*.

So far, I have tried to contextualise the circumstances that initiated nationalist sentiments in some colonised societies. The discussions above have proved that nominal independence was not a guarantee for cultural, socio-political and economic self determination. Consequently, the socio-political, economic and cultural ideological differences that existed between postcolonial leadership and their subjects after their political independence precipitated the need for a new form of nationalism and social order. This new nationalism expressed in Marxist terms, through open revolutions became the only means through which postcolonial writers could once more define and affirm their people's personalities in the face, to continue cultural, economic and political subjugation. The plays of Walcott and Besong fit squarely within the umbrella of nationalist literature and as Elleke Boehmer posit:

Nationalist movements elsewhere in the empire were distinguished by...the invention that went into making of true national characters in literature as in other forms of cultural life...self-representation also exacted its cost. In practice, it did not mean that everyone obtained a voice...as well as invention, the exclusion from self expression of the powerless by those who had established for themselves a public voice, marked (colonial) nationalism world wide.(qtd in Ako,2001,21)

Boehmer sees nationalism as a consequence of the exclusion of the masses from participating in the socio-political life of their societies.

Nationalising and Revolutionizing Drama by Walcott and Besong

The nationalist expressions and activities of Walcott and Besong portray their plays as true instruments of the political and cultural processes for change. Their plays set out to conscientize the masses and as Ambanasom makes us to understand in "Pedagogy of the Deprived", "conscientization implies the education of the masses especially the oppressed, in such a way that they become imbued with a heightened sense of critical consciousness" (242). Ambanasom further argues that, Conscientization does not only help the masses to become familiar with the inner structures of their society and the dynamics of the vicious system that held them captive, but more especially, it produces a behavioural change in such a way that it would make the oppressed want to eradicate all the evil forces that have helped to cripple them. Walcott and Besong preach change through a design that uses the essence of theatre both as an agent of communication and as a means of confrontation for the creation of a new society. Kevin Harrison in *Understanding Political Ideology and Movement*, says nationalism as an ideology involves "creating a world view" a set of coherent ideas and values that give meaning to the past for a social group, explains the present and offers a program for possible future action" (155).

Walcott in *Dream and Ti-Jean*, unlike Besong seem an unlikely candidate for the title of revolutionary. Peter Balakian argues that, Walcott's tendency to delve into all sides of complex issues, his balance handling of sensitive questions, and his opposition to extreme solutions marks him as anything but violent. Nevertheless, Walcott's plays not only chronicle but promote growth and change others for he considers the writer to be a special kind of revolutionist. To him, any West Indian writer is immediately, synonymously a revolutionary even when he puts himself in a defensive position. His only worry is that, "there are certain values, regardless of the violence of the revolution, need to be preserved for the society to work. Unlike Besong who appears to be more stringent in his revolutionary stands. While Walcott seems to be more concerned with the quality of change than mere change itself. *Dream* does not only depict the Negro's righteous rebellion against the white master but goes to the extent of having the protagonist reject the oppressive role imposed by black racists.

Dream opens, as Makak is unjustly arrested and must be tried. Makak is tortured and maltreated in prison. The cell scene is rich in action and with the education that Makak gets from the inmates, he then understands that he is a lion and has the capacity to kill the Corporal and gain freedom. Souris and Tigre become agents of conscientization as they conscientize Makak. Makak stabs the Corporal and escapes to Monkey Mountain:

[The corporal comes to Makak's cell]

Corporal: Old man...Years thirsty? [He goes nearer]

Tigre: For blood, perhaps. Not you who call him?

Corporal: He who? That ape? What you want to drink old man...

Makak: [with a cry] Blood! Blood! Lion...lion I ...am...a lion

[He has grabbed the Corporal, dragging him, then he hurls him to the floor]. (255)

The conscientization of Makak gives him courage to question the socio-political conditions in which he finds himself. The beheading of the apparition that has the image of a white woman is Makak's reaction toward the oppressive conditions in which West Indians find themselves. Makak's killing of the apparition is symbolic of St Lucian's freedom from white colonial role, and the revolution of the Blacks against all forms of oppressions. As Fanon posits in *Black Skin, White Mask*, Makak's act can rightly be considered as an act of "helping black men to free themselves of the arsenal of the complexes that has been developed by the colonial environment" (30). *Dream* therefore, does not only end with the beheading, but most especially, with a man reaching an accommodation with his environment.

Despite the moment of humour and the frame work of the dream, as Lloyd Brown has suggested, the play offers a serious prescription for change. Makak's dream fantasy about revolution involves and confirms a revolution of his self-perception as he returns to the mountain a new man as a result of his increased insight. *Dream*, can thus be read as that historic movement of West Indian nationalism and revolution against colonialism.

Also, the revolution in *Dream* can be perceived psychologically in terms of Makak's vision of the White Woman. At one level there is the opposition between Makak's certainty that she is real and Moustique's opinion that "you had a bad dream, or you sleep outside and the dew seizes you" (241). At another, 'poetic' level, there is Makak's early, instinctive answer to this question, "Tell me please, who are you?", that she will pose repeatedly when she is brought before him at the 'tribunal'. Makak feels she is his saviour who has brought him identity and strength after a lifetime of hiding away from others because of his sense of inferiority:

*Sirs, when I hear that voice,
Singing so sweetly,
I feel my spine straighten,
My hand grows strong...
I began to dance, with the splendour of the lion...(229)*

Makak goes further to tell Moustique that she said something he will never forget “She says I should not live so any more, here in the forest, frighten of people because I think ugly. She says that I come from the family of lions and Kings” (236). While Makak considers the White woman in his dream as a saviour, Lestrade feels she is a diablesse, the wife of a devil, the white witch because in more psychological terms, she claims to be superior and inaccessible:

She is lime, snow, marble, moonlight, lilies, cloud, foam and bleaching cream, the mother of civilisation, and the confounder of blackness. I too have longed for her. She is the colour of the law, religion, paper, art...she is the white light that paralysed your mind, which led you into this confusion. It is you who created her, so kill her! (319)

Makak respects Lestrade’s instructions and kills the white woman, announcing as he does so that “now I am free” (320). From the evidence, one realises that the White Woman is the germ that Makak must devour in order to gain freedom. By killing the white apparition, Makak becomes free of white value systems, an image which has stunted his Black self-awareness. Walcottis by this act insinuating that, freedom is such a precious commodity that can be achieved at some point, only through open violence and revolution as seen in Makak’s beheading of the white apparition. Dream on Monkey Mountain therefore depicts not only the Negroes righteous rebellion against the white master but goes to the extent of having the protagonist reject the oppressive role imposed on the West Indians by the black racist.

Furthermore, the revolutionary vision of Walcott can be perceived in Dream through Makak’s attitude toward ‘Her Majesty’s Government’. Makak, the sixty years old charbonnier, ‘Ugly as sin’, is seen in constant defiance to ‘Her Majesty’s Government’. Besides being drunk and disorderly and breaking up Alcindor’s cafe, Makak is also accused among other things of having:

A dream (in) which he claims to have experienced, a vile, ambitious, and obscene dream...

(The JUDGES mime: see no evil. Hands to their faces in horror)

Elaborating on the aforesaid dream with vile words and with a variety of sexual obscenities both in language and posture! Further, the prisoner, in defiance of Her Majesty’s Government, urged the aforementioned villagers to join him in sedition and the defilement of the flag, and when all this was received with civic laughter and pious horror...

{The JUDGES mime: Speak no evil. Their hands to their mouths}

The prisoner, in desperation and shame, began to wilfully damage the premises of Felicien Alcinder, urging destruction on Church and State, claiming that he was the direct descendant of African kings, a healer of leprosy and the saviour of his race

{Pause. silence}You claimed that with camera of your eye you had taken a photograph of God and all that you could see was blackness.

{The judges rise in horror}

Blackness, my lords. What did the prisoner imply? That God was not white but black, that he had lost his faith? Or...or...what...

Makak: I am an old man. Send me home, Corporal. I suffer from madness. I does see things. Spirits does talk to me. All I have is my dream and they don't trouble your soul. (224-225)

This play, within a play scene, with an excessive use of mime and a stream of consciousness technique, is a vivid expression of Makak's revolutionary potentials. He does not only break down Alcindor cafe, but openly denounces Western religion as he proclaims himself the direct descendant of the king. Again, as in the previous incident, Makak adopts violence as a means of questioning the body politics he finds in his society. Walcott's note to the prospective producer of *Dream on Monkey Mountain* establishes the fact that it is only through a forceful projection of the imagination that the play's derivative, illogical and seemingly contradictory discourse could be fully realised. By describing the play as a dream, "one that exists as much in the given minds of its principal character as in that of its writer", Walcott "delineates the innermost character of a people, the essence of what it means to have been West Indian". (225). He equally, as one can conjecture from the mock trial scene, proposes a revolution as a genuine means toward the emancipation of the Afro-West Indians. This is noticeable, as the judge says, when Makak calls for "a defiance of her majesty's government"

Unlike in *Dream* Walcott's nationalistic and revolutionary vision becomes very overt in *Ti-Jean*. The West Indies has a long tradition of slave rebellion, characterised by bloodshed and mass murder of slaves. This inhuman institution reduced able West Indians to instruments of production. Aimé Césaire in *Contemporary World Writers* emphasises on this point when he states that "No human contact, but relations of dominations and submissions, which turn the colonising man into a classroom monitor, an army sergeant, a prison guard, a slave driver and the indigenous man into an instrument of production" (64).

Ti -Jean becomes Walcott's revolutionary stand against the concept of "Self" and "Other" propagated by the colonialist for their personal benefits. The three *Jean*s all variously try in their different ways to overcome the Planter (Self). The first two attempts at revolution are carried out by *Gros Jean* and *Mi-Jean*. *Gros Jean*, as a result of his self pride, falls prey to the Devil. He is proud of his physical strength and just when he is about to confront the Devil, his mother warns him against reliance on his physical strength, and advises him to be humble, tactful, and careful. His mother's advise is supposedly to serve as the ultimate strategy for *Gros Jean*'s revolution but unfortunately, he does not listen to his mother's advise and as a consequent, is defeated by the Devil. Walcott's revolutionary vision here becomes very glaring. He is in other words saying that any revolution that is not strategic is bound to fail like that of *Gros Jean*.

Very much like *Gros Jean*, *Mi -Jean* symbolises the second stage of the Afro-West Indian attempt at revolution, this time initiated by those West Indians who depended solely on their intellectual pride. Unfortunately, *Mi- Jean*'s intellectualism is not good enough to stand the philosophical argument of the Planter (Devil) concerning the divinity of man:

Mi-Jean: All I say is that man is divine

Planter : A man is no better than an animal... He is a kneeling hypocrite who in four legs, like a penitent capriped, prays to his maker, but is calculating the most vice...

Mi-Jean: Nonsensical verbiage! Betties!

Planter: Descendant of the ape, how eloquent you have become! How marvellous in intention! And yet, poor shaving monkey...124,128,129)

Moved by his intellectual pride, Mi-Jean grows full of precocious rage and consequently forfeits his life. Again, Walcott insinuates that, for any successful West Indian revolution to take place, the oppressor's strategy cannot be used to outwit him as Mi-Jean struggles to do.

The last and final stage of Walcott's revolutionary vision is symbolic of Ti-Jean. Unlike his two brothers, Ti-Jean's mother is afraid of his small size:

*Mother: Oh, Ti-Jean, You are so small,
So small
Ti-Jean: Yes, I small, Maman, I shall,
And I never learn from book,
But, like the small boy David, ...
I go bring down, bring down Goliath,
Bring down below...(134)*

Like the Biblical David, in the book of Samuel, who used his wisdom to challenge and conquer the mighty Goliath, Ti-Jean outwits the Devil. Unlike his two brothers, Ti-Jean seeks advice and cooperation from the Frog, Birds, Cricket and Firefly. It is the combined forces of his mother's advice and his cooperation with the little creatures that enables him to defeat the Devil. Ti-Jean can be considered then, a play of great revolutionary potentials. Walcott is implying in this play that, the true and successful West Indian revolution must (like Ti-Jean) seek co-operation from all elements of the society. Egoistic behaviour (like that of Gros Jean) and emphasis on Western learning (as Mi-Jean) all prove to be of no use in this situation. The play also asserts the themes of rebellion and liberation from white tyranny. It attempts to liberate the West Indians from their self-hate and myopia created by the colour based ethic of slavery. Walcott in this play as Udofia concludes, tries to make the West Indians aware of the different ways in which they can look at themselves and tries to guide them toward a re-evaluation of their worth and also provides them a chance of expanding their awareness of life's possibilities. Walcott's vision in *Dream and Ti-Jean* is akin to that of Bob Marley who argues and with good reason, that "it takes a revolution to make a solution" (qtd in Mombara, 1997, 270).

In a similar perspective as Derek Walcott in *Dream and Ti-Jean* and Bate Besong in *Requiem, Beast, and The Banquet* consider nationalism and revolution as indispensable elements towards genuine freedom for the oppressed and marginalised masses. Besong, in his play, creates characters that question the social conditions in which they find themselves by adopting revolutionary behaviours. In *Requiem and Beast* for example, the atmospheres of the plays are characterised by an unrelieved tension between the galvanised revolutionary will of the masses and the ferocity of the omnipresent neo-colonial dictatorship. The solidarity of the people baffles the neo-colonialist and creates a permanent sense of insecurity and panic among them. In almost all of Besong's plays, he demonstrates the plight of the Cameroonian masses and their determination to overcome neo-colonial dictatorship. *Woman in Requiem* for example assumes the aura of a Nationalist and her activities permeate the consciousness of the people of Agidigidi and provoke them to collective action. In these plays, Besong, to sustain his ideology and inculcate a new value system in society, which perpetuates the revolution, introduces characters like *Woman, the Narrator and Belle* in *Requiem, Beast and The Banquet* respectively. These characters become the consciousness of their fictive societies and the initiators of revolutionary action. They all refuse to succumb to the body politics they find in their societies through out right condemnation and revolutionary action.

In Requiem, a collective revolution is sustained throughout the play as the playwright's ideological standpoint. After trying unsuccessfully to use dialogue to revamp her society, Woman and the paralysed masses resort to revolutionary action. To her, "there can be no way for the people outside the revolutionary action. We fool ourselves if we believe that these parasites care for us" (58). The image of "parasites" as used by Woman emphasises the extent to which the masses of Agidigidi are exploited by their leadership. Woman's proposals are buttressed fairly on in the play by Gambari who states emphatically that:

...We must transform an unpopular army into a revolutionary coup, resolutely committed on the side of the people to fight against under-development in the political, socio-economic and operational fields. A brutal and vicious polemic-by a mad dog-that indirectly assaults the benevolent fighter that fed it. (52)

While Woman and Gambari believe only a revolution can emancipate them from oppression and dictatorship, they equally insist on the need for collective action. One is therefore not surprised when the Crowd shouts "Get rid of the robbers! Power to the people! The people must govern! Amandla Awether! Amandla Awether!" (36). From the preceding evidence, it is clear that for there to be any meaningful change, the people must come together and take real action. "Power to the people" in the lines above can also suggest that the people be given the right to choose their leadership. It is equally for this reason that Woman insists in the following lines that irresponsible leaders should be eliminated and power given to the people. Woman also insists that, there is no need to be afraid of dictators because power to her, belongs to the people who constitute the majority. As she posits:

Far from it! We have no fear, for it is we who are in the majority against you. Natural law and justice demands that those who have contributed to the depression of the national economy, the starvation and mass death of its citizens, should pay for this! Down with the fat thieves of the church! Down with the robbers in paradise! All power to the people! (14)

The pre-occupation of Woman in the above lines very much resembles that of Female Voice (Belle) in The Banquet, where she states:

people of virgin erooncam origin, rise up like one man against prancefraud! death to killeran! damnation to all. prancefraud lackeys in erooncam! up with those who urge us to take hold of our own levers of history! our future lies in our strength, our own capacity, our industry, in our own courage!! up with people-oriental power!! (183)

The fact that, the above declarations appear in the text, in capital letters re-enforces the message that is embedded in it. The message is a clarion call for collective action and for the masses to rely on their own strength. The only way in which a callous leadership can be overthrown as Besong proposes in Requiem and The Banquet is through a popular uprising. That is why, at the end of Requiem, a popular uprising hastens the end of Akhikrikikii's corrupt and dictatorial regime. His army deserts him, his friend Ngongo commits suicide, the French Ambassador faints and apparently never regains consciousness. Akhikrikikii commits suicide by gunshot. The masses become victorious and the Marxist ideal of popular governance is upheld. Poet as Mandela writes the epitaph on the tombstone of Akhikrikikii saying "Your government has always been above the people, you've reached the pinnacle of slaughter and

desolation where you mocked the memory of the slain. The people are above government” (70).

The fate of Akhikrikrii very much resembles that of Traourou in Nkengasong’s *Black Caps and Red Feathers*, who laments on the paradox of power when it slips off his palms:

Oh! Traourou, Traourou! What is this thing called power? What do men really call power? Is it the melting fat of the tyrant when the anger of the clan is aflame? Who could believe that me, Traourou, who had the hammer and the nail, who sued, and unsued, who gave life and took it away at will could lose the grip of power as a child’s play? Those times when Traourou coughed, fears and fever ran through the nerves of the clan. But all that has come to naught. All naught. (39)

The dramatic contrast in Traourou’s utterances between what he used to be and what he has been reduced to by the masses emphasises the eminent end of dictatorial regimes. Nkengasong sees power in the image of “fat” that must melt when the masses unite and the visual images of torture instruments like “hammer and nail” only proves how oppressive Traourou’s regime was. Nkengasong equally proves that the masses are above the government and like in the case of Akhikrikrii, their collective will led to the down fall of Traourou’s dictatorial regime. Abessollo acknowledges the power of collective strength when he tells his friend Akhikrikrii that:

Nyunghu, you cannot go against the will of the people: the voiceless, the mingled, the wretched and the deceived whose strength lies in their unity... There is the only victorious and indispensable party. Enjoying a complete monolithic unity they are the divined majority, the steel of revolution. Where should I begin? It is the battle of the entire nation against the dark forces of tyranny, tribalism, and greed, which we incarnated. (69)

He equally acknowledges their contribution toward the turmoil in Agidigidi. Even though Akhikrikrii dies at the end, he accuses the French and his administrators as the cause of the predicaments in Agidigidi, “under my administration, I was never corrupt, it was the French and the corrupt civil servant I appointed into government who embezzled SONARA money, not me” (71). After the above confession, Akhikrikrii shoots himself and this act symbolically portrays the end of a tyrannical regime and a new and transfigured future for Agidigidi. The use of confessions, like the one above, is one of the dramatic strategies Besong employs in *Requiem* to satirise postcolonial leadership. After the death of Akhikrikrii, National voices offstage prescribe the kind of leadership Agidigidi needs, “An honest and well-meaning nationalist. A leader who will ensure total and genuine independence for his country and above all, a leadership that is responsible. Our country must not be an appendage of Chirac’s mad colonial dreams” (64).

The voices further insist that the kind of leadership that Agidigidi needs, “Should have the courage to punish evil doers! Any society that does not punish evil doers is doomed! Leadership means responsibility! We fool ourselves if we believed that Akhikrikrii’s men will ever care for us!” (64-65). The fact that these declarations are made by Voices (a dramatic device which Besongs exploits elaborately in almost all his plays) and not by an individual is an indication that the prescriptions are the collective wishes of the people. Besong can be considered therefore as a playwright who advocates for responsible leadership and the Abraham Lincoln kind of democracy: “government of the people, by the people and for the

people” (Lincoln,1863). This claim is justified by Besong in an interview with Pierre Fandio in which he states:

I identify myself with those progressive forces in society who are calling for a leadership that is made up of front line nationalist with a steely resilience, honed in democratic zeal, and who will propel the Cameroonian people to redefine their individual as well as their national focus and aspirations.(101)

Thus, Requiem celebrates the death of a dictatorial regime that negated collective happiness and progress. The author equally accuses French colonial policy of being the cause of Agidigidi’s problems and upholds nationalism as the fundamental requirement for Africa’s quest for genuine freedom.

As in Requiem, Besong’s revolutionary ideology is quite overt in The Banquet. Like in Requiem, neo-colonial leadership in partnerships with their French colonial counterparts converted the lives of the masses into a perpetual nightmare. The subjected people had no choice but to seek ways of breaking away with the vicious circle if they must improve their lot. Revolutionary forces, consisting of Wakenmbeng collective, Erooncam Belle from across the Mungo and other democratic elements made up the movement for democracy. Unfortunately, these revolutionary forces were brutalised by the forces of law and order, with torture instruments like ‘Water Cannons, Teargas, Police Dogs and live bullets” (208).

Fairly on in the play, revolutionaries ‘from across the wall’, led by Belle take Nouayed’s leadership, including Prancefraudian and their stooges by storm:

Male Voice: The way of peace is to cultivate Justice
Another: Death to the colons murdering our women and children!
Female Voice: Death to the colonial vulture wrecking our first Reserves!

Voice of Belle: Away with Messiahs of truth from above and tyrant At the helm; away with irredeemable blunderers who feed from the oyster of the national economy; we denounce those force of mammon who derail us from the search of self affirmation. (203-204)

The stage direction that follows the voice of Belle above indicates that the collective will of the people overshadows Prancefraudain leadership. The power of the masses, in their collective action, becomes redemptive and reassures a new and prosperous dispensation. Also, the fact that the leader of the revolutionary forces in The Banquet comes from “across the mungo”, is an indication that true and patriotic democrats who will redeem Nouayed from socio-political and economic oppression, can only come from the Anglophone part of Cameroon since “across the mungo” symbolises Anglophone Cameroon.

The vision of nationalism and revolution in Beasts is not as overt as in Requiem, The Banquet, Dream and Ti- Jean. Besong’s satire in Beasts falls equally on the masses who to him are doing very little to remedy themselves from their precarious conditions. Beasts becomes a direct contrast to Requiem in terms of its revolutionary vision. It is worth noting that, unlike in Requiem, Beasts, the Night –Soil- Men who represent the masses, they are not courageous enough to stand against the forces of oppression. They are not even bold enough to go forward

and present their petitions to the leader. They channel them through a Francophone who is expected to plead on their behalf:

Otshama: ...They are peaceful and penitent, your eminence

Aadingingin: They have as much to do with peace as I have to do With Iman, shah, QQM or Emperor Akihito of Japan.

Osthame: But they are truly sorry, your Eminence.

Aadingingin: What does it matter? If they don't I'll beat the life out of every one of them; I'll swallow each one of them the way a snake slowly swallows a juicy Ewondo frog with money looted from the nation's bottomless hole. (49)

The unsuccessful attempt by the "Anglos" to overthrow the leader only called for our contempt because, they fall back at the single shot of the pistol. The conscientization that the Night- Soil - Men gets from the Narrator stimulates them to stand up and revolt against their ruler:

(Abruptly Night-Soil Men storm in with buckets full of excrement. Comrade Mayor Aadingingin perfectly motionless glowers at Otshama who rushes immediately at one of the intruder. Otshama bends to lift one of the intruders but he plants his feet on the ground and put up resistance, indicating he wants to speak...(142)

The strike presented in this stage direction, shows the cowardice of post-independent leadership in Cameroon. Bate Besong's call is that, the oppressed labourers should not sit quietly and be oppressed and exploited, but should stand up and fight. Though Besong's nationalistic and revolutionary stands are not as glaring in *Beasts* as in *Requiem*, his excessive mockery of post-independent leadership is a genuine step to awaken the consciousness of the down trodden to confront the forces of oppression. It is for this reason that Ambanassom in *Epassa Moto* considers *Beasts* "The battle between political domination and rebellion..." (226), and to Ambe, although the Night-soil-men's failed attempt at redefinition is crushed by the all-too-powerfully Aadingingin, *Beasts*, in its form, language, content and imagery successfully offers an artistic view of the different tableaux of the total picture; "how things are and how they could be" (3). Besong as a writer is therefore looking forward to the time when the Cameroonian Federation will be "back on the road on an all-inclusive reconstruction, to the extent that no dichotomy will exist between the leader and those who are now left in the lurch" (94).

The use of revolution as an emancipation tools can also be noticed in Bole Butake's *Dance of the Vampires*. Psaul Roi, the central character and notorious despot's regime is over powered by a popular uprising, the oppressed masses. Led by Mformi a general in the army, the masses take the revolution to the barracks where they succeed not only in arresting Psaul Roi, but in putting an end to his dictatorial and oppressive regime. The lines below are indicatives of the tragic end of Psual Roi:

Mformi: Arrest him! He has done real damage to our land, Exploiting and exploiting... Albinia and their emissary Albino, are only interested in sucking the wealth of our land while Psaul Roi and song are sucking the blood of the people... Arrest them! These are the vampires who have ruined our land and brought calamity upon our people.(172)

Butake's message in this play is that just as Psaul Roi, the end of any dictatorship begins with the consciousness and collective action of the masses. Like Besong, Butake proves in this play that no dictatorial regime can over shadow the collective will of the masses.

Ngugi Wa Thiong'o is another playwright and novelist whose creative works have continuously sustained nationalism and revolution as an ideological standpoint. In *The Trial of Dedan Kimathi*, this nationalistic and revolutionary optimism is exposed through the protagonist Dedan Kimathi. As a true leader of his people, Kimathi becomes a symbol of patriotism and nationalism. Ngugi and Mugo employ extensive flashback in order to recapture the essence of Kimathi's heroism and revolutionary vision. The Nyandurua guerrilla forest scene is ostensibly a recall of the most significant episode in Kimathi's career as a nationalist guerrilla commander. More importantly, rare insight is provided into the hero's revolutionary vision:

We must learn from our past strength, past weakness; past defeats and past victories. Here in the forest, we must plant seeds for a future society. Here in the forest armed in body, mind and soul, we must kill the lie that the black man never invented anything, lay for ever to rest that inferiority complex implanted on our minds by centuries of oppression Rise! Rise! Workers and peasants of Kenya our victory is the victory of the working people. The victory of all those in the world who today fight and struggle for total liberation. (68)

This is the authorial vision and ideology of Ngugi and Micere. Kimathi's rallying speeches, the consciousness of Woman and the courage of Boy and Girl all lead to the final overthrow of the colonial regime as songs of victory are sung by the masses at the end of the play. *The Trial* can thus be viewed as a portrait of nationalist commitment and revolution, a flatter of ultimate independence as patriots try to destroy all "encrustations" of colonial mentality and map out a new foundation for a modern Kenyan society. Kimathi reiterates their determination to fight the whites when he says:

The Whiteman has converted us into his private property, uncircumcised as he is, he is a clever man and we must prove to him that we were circumcised to get rid of all fear. We will fight the Whiteman until the last man is killed. There will be no rest until we expel all Europeans to their countries of origin. (qtd in Mau Mau 127)

The Above Vision Has Been Thematized And Explored In Almost All Of Ngugi's Works.

The use of female activists in *Requiem* and *The Banquet* equally highlight the ideological inclination of Besong. In terms of ideology, Women become a great positive force for change. Woman in *Requiem*, the Wokenmbeng women, the Female Voices and Belle in *The Banquet* constitute the nucleus of the revolutionary forces. This can be considered as a deliberate act, as Adedeji has suggested, to bring dynamism into the idealised role of women in the African society and to show their righteous concern about the state of affairs in contemporary society.

Even though all committed writers, Walcott and Besong, as exemplified above, share some internal differentiation in terms of regional, national, attitudinal and to some extent, ideological variations. Nevertheless, the unanimity and optimism with which nationalism and revolution, as themes, have been orchestrated by these playwrights, validates the assumption that, they succeed in using drama to take militantly patriotic stands. They can thus be qualified as playwrights who use their art to effect social changes and their plays are quite exemplary in their passionate advocacy of the liberation of human consciousness, as they battle between the dominant ideology and the ideology of resistance.

Though made with reference to African drama, the dominant ideological position of the playwrights under study is better summarised in the following lines by Amuta. The playwrights all demonstrate in their plays an:

... anti-imperialist consciousness... characterised by a revilement refection of political independence vacuously defined in terms of the freedom of African nations, to erect their own flags and sing their own anthems. It also reflects and seeks avenues for repudiating the leadership of African nations by the comprador bourgeoisies. Its main thrust is economic and cultural independence defined in terms of the total transfer of the means of production and distribution of resources and cultural communication into the hands of the masses of Africa. It envisages political economy is socialism... necessarily its ideological slant is leftist, defined in broad democratic socialist terms. (85)

While the dominant ideology legitimises the power of the rulers, ideology of resistance on its part or counter-ideology develops to give purpose and meaning to the social and political struggle to those wishing to reform or overthrow a given social and political structure.

CONCLUSION

From the foregone, one can clearly observe that the way a society is organised, the operation of its machinery of power, how and by whom that power has been achieved, the class configuration and the maintenance of power, and the ends to which the power is put, are all issues in the domain of politics. In other words, there could be two forms of politics: a politics that holds back the advancement of humanity and the one that enhances it for the benefit and improvement of humanity. The latter politics is that of resistance against all forms of pressure and forces which stifle and inhibit the full realisation and development of the potentialities of human beings. This therefore pre-supposes a politics that questions the status quo and the hegemony of the exploitative ruling class and frees the masses in the process. In terms of ideology therefore, in the plays of Walcott and Besong, the interplay between external threat (through foreign invasion, occupation and control) and internal collaborators (through slavery and slave trade, colonialism and neo-colonialism) is considered as the greatest problem plaguing the postcolonial world today. The efforts toward the liberation of postcolonial Caribbean and Cameroon from the claws and shackles of imperialism and capitalism as the discussions above have proven, provoked the revolutionary undertones in Walcott's and Besong's plays as they all advocate that only a revolutionary break from the status quo can guarantee a profound transformation of the private property system, access to power of the exploited masses, and a social revolution that would break dependence and thus allows social change.

In the analyses so far, one can from an ideological standpoint, consider Walcott and Besong to share a similar vision as they all through their writings, represent the conscience of patriotic and progressive forces in the Caribbean and Cameroon. Both artistically and polemically, the playwrights have transformed the anti-imperialist struggle in their societies in particular and the third world in general into a consistent ideological position that is ultimately informed by Marxist dialectics. The plays of Walcott and Besong thus provide two sets of wills that are in conflict: the progressive nationalists will against the combined repressive and exploitative will of colonialism and contemporary capitalist imperialism.

Similarly, the playwrights all manipulate variously the revolutionary potential of theatre to sharpen social awareness as they adopt an alternative approach to the old school they find in

the body politics of their present day societies by presenting nationalism and social revolution as methods for social change. Their ideological commitment is seen in their conception that social change can come by their ability to raise mass awareness toward a revolutionary stance against inequality and social decadence. The manner in which Walcott and Besong writes, confirms the Marxist views that, the class into which an individual is born largely determines that individual's thinking and way of behaving and that it is not the consciousness of men that determines their existence but their existence that determines their consciousness.

Even though written within different historical periods, the playwrights under study share similar ideological and artistic ways and means. They all ideologically advocate a radical transformation of the society and nationalism as the only means towards genuine freedom. As true disciples of Marxism, the playwrights in a classical Marxist ideological scenario all proclaim a revolutionary take over as the only way out for the masses to liberate themselves from the forces of domination. A close reading of the plays of Walcott and Besong show they all emphasise a certain projections of the masses as the real makers of history, a clamouring for a revolutionary transformation of society and the abandonment of the capitalist economic framework.

The twelve texts under study reveal opposition to slavery, slaves trade, imperialism, colonialism and neo-colonialism. While Walcott x-rays and satirises slavery, colonialism and the complexity of his West Indian identity by highlighting his Afro-West Indian culture, Besong, on his part questions the social system dominating postcolonial Cameroon politically and exploiting it economically through resistance and open confrontation. It is worth noting that, as far as their ideological temperaments are concerned, Walcott and Besong differ because Walcott is not as confrontational as Besong. Nevertheless, the two playwrights agitate for socialist, economic and political concerns as they frown at post independent leadership.

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Investment in Secondary School Education: Which Way Forward to Reduce the Cost of Education in Siaya County?

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Abstract

Unit cost of secondary education has continued to rise both direct and indirect jeopardizing access to basic education. The debate has concentrated on whom is carrying the burden of secondary education. However debate on strategies has never been in the focus. This study brings to the fore some specific strategies that can reduce the cost of education. The descriptive and causal comparative designs were used in this study. The study sample comprised 85 headteachers', 765 teachers', 3349 students and one DEO. The findings of the study indicate that on average 86 percent households are low income earners and therefore unable to pay fees and secondary schools are owed millions of shillings by fee defaulters. Among the strategies proposed include reducing charges on non-discretionary items and building day schools.

Key Words: Unit cost, Households, bursary, school fees, grants

INTRODUCTION

Different regions have used different models for investing in secondary schooling. For instance, in the early 1960s, there emerged the thinking that schooling could make office clerks, shopworkers, and farmers more productive in the USA (Goldin, 2001). This thinking constituted a shift in education policy from physical to human capital investment. The shift necessitated more investment in secondary school education which was then characterized by public funding and provision, non-selective with no early specialization or academic segregation, an academic and yet practical curriculum, numerous small- fiscally independent schools and school districts, and secular control of schools and school funds. Though deemed by many as being attractive due to its egalitarian and non-elitist qualities, this system has now been accused by its critics of lacking in standards and accountability. The decentralized nature of the US secondary school system increased investment though it led to funding inequalities (World Bank, 2005).

In OECD countries, investment in secondary education has focused mainly on cost effectiveness. The role of private sector in investment in secondary education has been enhanced and proactively encouraged by governments. This includes the use of distance learning, ICT, and courses adapted for second chance students and adults. Although in OECD

countries, education is not compulsory beyond age 16, more than 80 percent of students continue learning either in formal senior secondary schools or in vocational training institutions, which most often combine applied learning with apprenticeship. Investment in secondary education has focused mainly in renewal of curricular along with various structural and managerial reforms (OECD, 2005).

In contrast to the investment in secondary education in developed and then developing countries, investment in secondary education in Sub-Saharan Africa continues to focus largely on expanding enrollment rather than on higher per student spending, and the pupil teacher ratio, which had been declining, is now up to 40 pupils per teacher (UNESCO, 2002). Falling revenues of secondary schools in many African countries led to the introduction of user fees as an ad hoc response to expenditure cuts-either imposed by falling government revenues. Throughout the 1980s and much of the 1990s the world bank especially pushed user fees on the grounds that low demand for poor quality services, rather than cost, was the principal barrier to expanding access. Poor parents often find it difficult to make a projection of the payoff of their children's education and cannot capture all the benefits of schooling, since these accrue across a child's lifetime and are difficult to access (Herz and Sperling, 2005).

According to World Bank (2005), eliminating user fees requires major front-end capital investment. These investments have highly significant implications for recurrent costs. In the medium term, expanding access in secondary will rise. It thus follows that governments will need to implement a cluster of policies which create an enabling environment for the expansion of secondary and tertiary education. The financing of universal secondary education for low-income countries would not be possible without an immediate steep-change in the volume and quality of donor support. Whatever is done to mobilize internal resources at the country level, better quality, as well as more aid is urgently needed to achieve free secondary education.

According to Manda, Mwabu and Kimanyi (2002), the government should always be the principal investor in education. Such a role cannot be left entirely to the private sectors because human resources development involves long-term planning and substantial financial resources mobilization. On the other hand, education, particularly post-primary education, can be treated as a profitable investment for individual graduates, who earn more than they would otherwise, and for the society, which is enriched not only by the knowledge of the educated people but also by the higher taxes paid by educated individuals. This benefit extends from the students present household, future household and to the economy.

Despite the relatively high expenditure on education in Kenya, the GER in secondary education was 31 percent in 2006 (UNESCO, 2008). Lewin (2007b) suggest that to achieve GERs 100 percent in primary, 100 percent in lower secondary and 50 percent in upper secondary, approximately 8.6 percent of GNP would be required for spending on education without any cost saving reforms; or 6.3 percent of GNP with cost savings reforms. With cost saving reforms, cost per pupils as a percentage of GNP per capita are calculated as 12 percent in primary, 20 percent in lower secondary education and 40 percent in upper secondary education, as compared with without cost saving reforms of 12 percent in primary, 30 percent in lower secondary and 60 percent in upper secondary education.

The study seeks to determine

- a) What is the magnitude of investment in secondary education
- b) Are schools in siaya District viable in respect to debt accrued by individual student

- c) What strategies can be put in place to enhance investment options

METHODOLOGY

This study adopted descriptive (survey) and causal-comparative (ex-post facto) designs. The study was carried out in Siaya district. Study population comprised 85 head teachers, 749 teachers, 3,210 form 4 students, and one DEO. Stratified, systematic and purposive sampling methods were used. Stratified sampling is a variation of simple random sampling and stratified sampling helps to reduce the sampling error that may otherwise be there as a results of simple random sampling. Systematic sampling was used in the selected schools to determine the teachers and students who would be given questionnaires and who would participate in the interview. The researcher developed questionnaires and semi-structured interview schedules for the purpose of collecting data.

RESULTS AND DISCUSSION

Government Expenditure in Secondary Schools, Siaya district

The government expenditure in the period 1997-2007 was mostly in training and remuneration of teachers, provision of bursaries, administration and management of schools.

Remuneration of Teachers

Teachers are an important human resource in the learning process. Teachers' remuneration constitutes one of the main inputs of the cost of secondary education costs. Secondary schools teachers are on average attract higher salaries. Table 1 shows teacher salary for various grades for the period 1997 to 2007.

Table 1: Salary of Teachers Per Annum (in Ksh.)

Year	Graduate 11	Graduate1	Senior Lecturer	Principal Lecturer
1997	98,364	109,680	122,040	136,680
1998	109,680	122,040	136,680	154,440
1999	122,040	136,680	154,440	179,880
2000	136,680	154,440	179,880	204,480
2001	154,440	179,880	204,480	247,200
2002	179,880	204,480	247,200	269,700
2003	212,040	243,240	290,760	316,920
2004	228,384	260,580	313,260	338,136
2005	244,728	277,920	335,760	359,352
2006	261,072	295,260	358,260	380,568
2007	277,416	312,600	380,760	401,784
2008	293,760	329,940	403,260	403,940

Source: Kenya Gazette Supplement No.68 (Republic of Kenya, 2003a).

From the Table 1, teachers of all grades, had their salary doubled by 2003 and tripled by 2008. In 1997, the salary grade II was Ksh.109, 680. It doubled in 2003 at 204,480 tripled to Ksh.329, 940 by 2008. Other grades reflected the same trend. The high salary level was supposed to motivate and encourage teachers to work hard. It was hoped that high salary will translate into good grades for students. Teachers' expressed a concern about the amount of work they do.

With many feeling that they are overloaded with long teaching hours. Table 2 shows periods per week for sampled teachers in secondary schools

Table 2: Teaching Periods Per Week

No. of Teaching Periods	Frequency	Percent
1-10	4	2.6
11-20	50	32.5
21-30	81	52.5
31-40	20	12.9
Total	155	100

Source: Authors' calculation

From Table 2, 52.5 percent of sampled teachers teach between 31-40 periods per week especially those who are alone in one subject. About 33 percent of sampled teachers teach between 11-20 periods per week and most principals, deputies and heads of department teach between 1-10 periods per week. There may be several reasons why teachers' are underutilized: (a) a proportion of these teachers' are teaching in the schools that do not have large student enrollment; (b) these teachers are only teaching one subject, rather than two or three; or (c) only one subject is offered in the area. About 12.9 percent of sampled teachers' teach between 31-40 periods per week. Such teachers' are often overburdened.

LABORATORY AND EQUIPMENT GRANT

Following the government resolve to strengthen mathematics and sciences in secondary schools, there was need to supply secondary schools with grants for laboratory and equipment so that schools without laboratory can construct and repair the existing ones while those that have no equipment were supplied with those equipment that were missing. Table 3 shows laboratory and equipment grants allocated to secondary schools between 2003/4 to 2007/08 in Siaya district.

Table 3: Laboratory and Equipment Grant

Year	Grant (in Ksh. Millions)
2003 - 2004	1, 859, 757
2004 - 2005	1, 286, 148
2005 - 2006	2, 274, 560
2006 - 2007	2, 021, 830
2007 - 2008	1, 114, 860

Source: Authors' calculation

Table 3 shows that in 2003/04 the government grants towards laboratory and equipment was Ksh. 1, 859, 757. The amount dropped to Ksh. 1, 286, 148 in 2004/05 before rising to Ksh. 2, 274, 560 in 2005/06. From table 3 the government contribution has been fluctuating. However, in order to realize the vision 2030, the government should increase allocation for all district day secondary schools.

Bursary to Secondary Schools in Siaya District

Bursary and grants to needy students constitute one of the poverty mitigation measures for secondary education. Table 4 shows the amount of bursary allocated.

Table 4: Bursary Allocation to Secondary Schools (in Ksh. millions)

Year	ALEGO	GEM	UGENYA	TOTAL
2008	6,292,000	2,952,300	3,453,914	9,325,214
2007	4,105,16	3,796,748	4,668,090	12,570,107
2006	3,678,116	3,770,172	4,599,760	12,047,048
2005	5,093,192	3,381,043	4,424,020	12,898,256
2004	3,214,148	1,200,000	4,303,582	8,717,730
2003	1,121,343	986,543	1,165,699	3,272,585
2002	1,108,677	968,780	2,196,128	3,272,585
2001	1,114,233	1,002,500	1,154,632	3,270,365
2000	1,013,741	1,102,343	1,054,181	3,170,265
1999	1,020,676	1,010,200	1,119,473	3,150,343
1998	1,002,506	976,356	922,105	3,010,967
1997	1,110,406	763,540	1,083,730	2,957,676

Source: District Education Office (2007).

Alego constituency received Ksh.1,110,406 in 1997 and it remained fairly constant between 1998 and 2003 averaging at Ksh.1,100,000. In 2004, the constituency received Ksh. 3,214,148 and Ksh.5,093,192 in 2005, this increased to Ksh.6,292,000 in 2008. Gem constituency did not receive much in terms of bursary allocation. In 1997, it received Ksh. 763,540. This increased to Ksh.1,002,500 in 2001 before reducing in 2002 and 2003. In 2004, the constituency received Ksh.1,200,000 which increased to Ksh.3,796,748 in 2007 before dropping to Ksh.2,952,300 in 2008. Ugenya constituency received Ksh.1,083,730 in 1997. Though fluctuating, it has remained fairly constant from 1999 to 2004. In 2005, it increased to Ksh. 3,381,043 and remained constant and in 2008, it dropped to Ksh.3,453,914. The total bursary allocation for the district increased in average from Ksh.2,957,676 in 1997 to Ksh. 3,272,585 in 2003 before increasing to Ksh.8,717,730 and steadied at an average of Ksh.12,100,000 between 2005 and 2007. Therefore one can argue that the government through bursary awards schemes and grants has been in the forefront in ensuring that the needy and most vulnerable children get secondary education.

Figure1 shows the total bursary allocation for the district. It indicates an upward trend from Ksh. 2,957,676 to Ksh. 12,570,102 for the period 1997 to 2007. The period 2004 to 2007 indicate a rise of the government funding for the district to the tune of Ksh. 12,570,102 from a Ksh.8, 717,730.

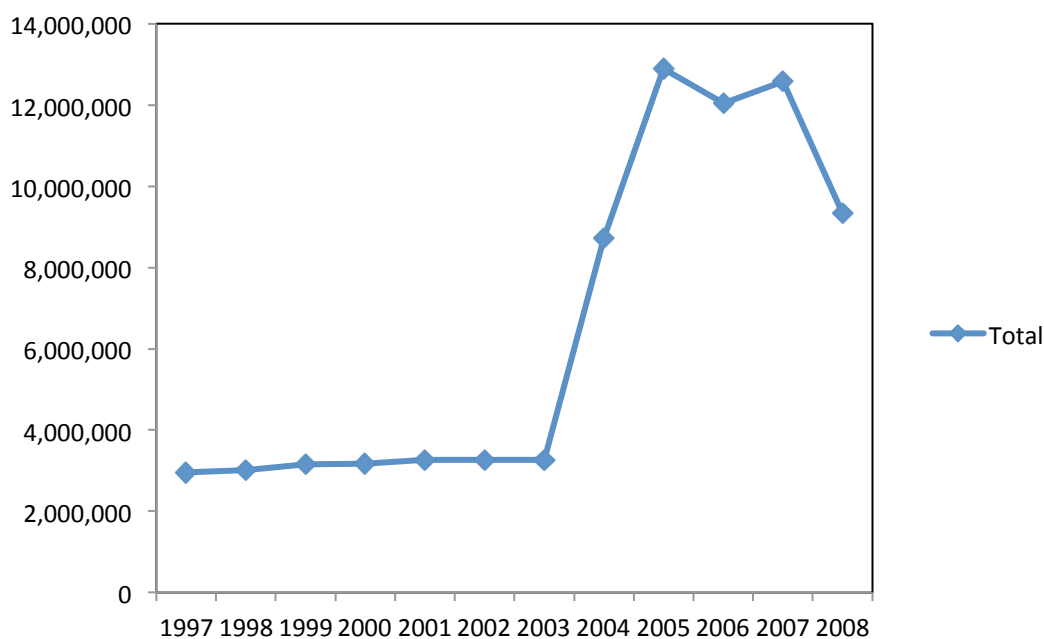


Figure 1: Bursary for secondary schools, Siaya district

Household Expenditure in Secondary Education

Households have to pay fees for their children to gain secondary education. Household income level increases the odds of a household decision to enroll a child in secondary school. This implies that the higher the level of household income, the higher the probability of enrolling children in secondary schools. Low income implies that a household can only squeeze its budget to cater for most basic needs. However, the overall effect of these inadequacies is limiting the capacity of household to take their children to school.

Parental Income

Parental income indicates ability to pay fees and consequently, ability of students to stay and learn in school without being sent home for fees. Table 5 indicates levels of parental income.

Table 5: Level of Parental Income

Income level	Frequency	percent
High income	3	12
Average income	13	52
Low income	16	64
Orphaned children	2	8
Total	25	100

Source: Source: Authors' Calculation

It is evident from Table 5 that 64 percent of parents are from low income regions of Siaya district. 8 percent constitute orphans while 52 percent are average income households. High income family consists of about 12 percent. Low income families are not able to complete the payment of fees. A large percent of student's population comes from such poor households. Average income families who comprise 52 percent of the household. Orphaned children comprise 8 percent of students' population. They rely on grants from the government, churches and CDF. Such students pose challenges to the school heads as they have to learn but

at the same time they have not paid fees. In some cases their certificates are detained pending full payment.

Issues of Fee Payment

Households in Siaya were expected to pay fees according to ministerial guidelines. Table 6 shows the levels of completion of fee payments.

Table 6: Levels of Completion of Fee Payment

Fee payment	Frequency	Percent
Completion of fee in time	3	12
None completion of fee in time	19	76
Do not complete at all	13	52
Total	25	100

Source: Authors' Calculation

From Table 6, it is evident that 76 percent of students do not complete the payment of fee in time. Those who complete the payment comprise only 12 percent of sampled schools and 52 percent of students from sampled schools do not complete at all and have their certificate detained. The following measures have been adopted by Headteachers to recover fees: (a) sending students home; (b) holding certificates pending completion of fee payment; (c) adopting monthly fee payment; (d) seeking bursary from CDF; (e) holding regular discussion with parents; (f) introducing meal cards; (g) retention of term certificates.

Fee Defaulters/Fee Arrears Per Annum

Fee defaulting is phenomenon that affects performance of students and the school. Students who default in payment are frequently sent home to collect fees. Lack of fee payment has had a negative influence on access to secondary schools. Table 7 shows the annual fee arrears in secondary schools in a year.

Table 4.2.7: Fee Defaulters

Fee (in Ksh.)	Frequency	Percent
Arrears		
0-500,000	3	12
500,001-1million	14	56
1million-3million	11	44
3million-10 million	6	24
Total	25	100
Defaulters		
0-200	12	48
201-300	8	32
301-400	4	16
Over 400	4	16
Total	25	100

Source: Authors' Calculation

From Table 7, 56 percent of sampled secondary schools are owed between Ksh. 500,001 to Ksh.1 million, 44 percent between Ksh.1million to Ksh.3 million and about 24 percent between Ksh.3million and Ksh.10million. Twelve (12) percent of sampled secondary schools have fee defaulters in the range of 0 – 500,000. The table also show that fee defaulters in the range of 0-200 comprise 48 percent, 201 -300 comprise 32 percent. In the range of 301-400 comprise 16 percent and over 400 comprise 16 percent. The implication of this situation is that 80 percent of student populations are fee defaulters and therefore it is difficult to manage a one or two streamed secondary school.

Actual Fees Paid by Households in Siaya District

Table 8 shows various vote heads facing each student in secondary school. The vote heads are in fact unit cost facing individual students in secondary school which they must pay in order to gain secondary education.

Table 8: Fees Paid in Siaya District (in Ksh.)

Items	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007
Board	8200	8500	8900	9000	9200	9500	10500	11600	12500	13400	14500
Tuition	2700	2700	2700	2700	3000	3000	3600	3600	3600	3650	3650
P.E	2400	2400	2700	2700	3000	3200	3300	3500	3600	4000	4565
R.M.I	500	500	500	500	500	500	500	500	500	800	800
Activity	500	500	500	500	800	800	800	800	800	900	900
Medical	200	200	200	200	200	200	200	200	400	400	400
L.T&T	600	600	600	675	675	675	800	800	1000	1000	1000
E.W.C	600	600	600	600	600	600	600	800	800	800	800
Conti.	400	450	450	450	450	500	600	600	600	900	900
PTA	2000	2000	2000	2000	2000	2000	2000	2000	2000	2000	2000
Dev.	3000	3000	3000	3000	3000	3000	3000	3000	3000	3000	3000
Lunch	1500	1500	1500	1500	1500	1500	1500	1500	1500	1500	1500
Caution*	500	500	500	500	500	500	500	500	500	500	500
Mock*	1000	1000	1000	1000	1000	1000	1000	1000	1000	1000	1000
Smasse	-	-	-	-	-	-	200	200	200	200	200
KNEC*	3700	3700	3700	3700	3700	3700	3700	3700	3700	3700	3700

Source: Authors' Derivation

*caution money – only form one and new students

*mock – only form 4 students

*KNEC – only form 4 students

From Table 8, the boarding cost has been increasing from Ksh.6,000 in 1997 to Ksh.13,100 in 2007. The tuition fee was Ksh. 2,700 in 1997 and by 2007 it increased to Ksh.3,650. Personal emolument (PE) increased from Ksh.2,400 in 1997 to Ksh.4,565 in 2007. In between it increased with changes being noted in various years. Repair, Maintenance and Improvement was Ksh.500 in 1997 and it remained constant in the period between 1997 to 2005. Between 2006 and 2007 it rose Ksh. 800. Activity fee rose from Ksh. 500 in 1997 to Ksh. Ksh.800 from 2001 to 2005. It remained Ksh. 800 between 2006 and 2007. Medical fee remained fairly constant at Ksh.200 from 1997 to 2004. It rose to Ksh.400 between 2005 and 2007. Local

transport and traveling experienced increases from Ksh.600 in 1997 to Ksh.800 in 2003 before increasing to Ksh.1000 between 2005 and 2007. Electricity, Water and conservancy also remained fairly constant at Ksh.600 between 1997 to 2003 before rising to Ksh.800 between 2004 to 2007. Contingency experienced an upward trend from Ksh.400 in 1997 to various increases reaching Ksh.900 in 2007. PTA fees remained constant at Ksh.2,000 from 1997 to 2007. Mock exam fees remained constant most of the year at Ksh.1000. Most day schools charged lunch program at Ksh. 1,500 per year, development fee at Ksh. 3,000 per student per year. New student were charged caution money amounting to Ksh. 500 per year while form fours were charged examination fees to the tune of Ksh. 3,700 per candidates.

Extra Levy Paid by Students

Secondary schools in the district often organize mandatory holiday tuition in which students are supposed to pay cash money directly to teachers. The amount paid is not factored as part of the school fees but regarded as extra charges to students. Table 9 shows the levels of extra charges.

Table 9: Extra Levy on Students

Charges	Frequency	Percentage
Less than Ksh. 500	59	38
Ksh.501-100	67	43
Over Ksh. 1000	28	18
Total	155	100

Source: Authors' Calculation

Those charging less than Ksh.500 of sampled teachers were 38 percent and 43 percent charge between Ksh.501-1000 and 18 percent of sampled teachers charge over Ksh.1000 and are mostly provincial schools. The main argument advanced for extra levies is that they enable teachers to cover syllabus.

Cost Incurred by Students in the Process of Learning

The process of learning has various associated costs which parents must incur directly. Table 10 shows these associated cost categories.

Table 10: Costs Incurred by Students

Cost (in Ksh.)	Frequency	Percent
Travelling:		
Less than Ksh.50	179	28.79
Ksh.51-100	199	31.99
Total	625	100
Pocket Money:		
Ksh.1-500	318	50.88
Ksh.501-1000	134	21.44
Over Ksh.1000	62	9.92
Total	625	100
Private tuition:		
Ksh.1-100	67	10.72
Ksh.200-499	65	10.4
Ksh.500-1000	325	52
Total	625	100

Source: Authors' Calculation

Transport cost incurred by sampled students varies from Ksh.50 to Ksh.100 depending on the distance covered to school. Pocket money for daily use for purchase of pens, books and stationeries cost students between Ksh.500 and Ksh.1000. About 51 percent of sampled students receive up to Ksh.500 as pocket money. It was observed that students having pocket money from Ksh.500 and above are in boarding schools while those having below Ksh.500 are in day schools. Private tuition costs students about Ksh.100 to Ksh.1000. Day schools charge between Ksh.500 and Ksh. 1000 for tuition per term. Boarding schools charge between Ksh.1000 to Ksh.2000 per term.

Retraining of Teachers

One of the most enduring puzzles for educationist in Kenya is the continued under achievement in Mathematics and sciences by students. In Siaya district every year all science and mathematics teachers have to attend a two weeks residential workshop dubbed SMASSE workshops for skill upgrading and to change teaching methodology. The cost implication of the program is normally borne by students who pay Ksh. 200 per year. This cost has to be factored into the school fees.

Reducing costs of secondary Education to Households

The findings indicate that 86 percent of parents are either low income earners or average income earners. The study shows that 93 percent have difficulties in completion of fee payment. Further to this, secondary schools are owed millions of shillings by fee defaulters. The implication is that secondary schools in Siaya district were inefficient in the provision of quality education.

One of the strategies of reducing cost related to secondary school education was to build day schools in Siaya district. Currently 85 percent of secondary schools in Siaya district are mixed day or single day secondary schools. The construction of new day schools is on the rise and it's expected that this will go a long way in reducing distance travelled by students to gain secondary education. It was also expected that this would eliminate the boarding aspect of secondary education fee. The current positioning of the schools creates a serious disadvantage to day scholars although this is subject policy and ministerial approval. For instance, many students avoid afternoon lessons due to distance between their areas of residence and the schools.

However according to Ohba (2009), although school fees facing household was reduced after the FDSE, there was no change in non-discretionary items that parents in secondary schooling in Kenya are paying. For instance, school uniforms are compulsory and the average cost would be a approximately Ksh.1,920 (US\$39) if purchased at a local market. Books and stationary are other expensive items parents have to purchase. Bibles, dictionaries, games skits and other items are a compulsory for all students. Although the cost of items vary, it can be estimated that direct costs for non-discretionary items for a day scholar could be Ksh.6,743 (US\$108) and Ksh.8443(US\$135) for a boarding scholar.

It's important to mention that bursary scheme and grants existed prior to the introduction of FDSE. According to Njeru and Orodho (2003) bursaries acts as safety- net in cushioning the poor and the vulnerable against poor access to secondary education. However, the bursary scheme has not been effective and efficient in meeting its objective as expected. According to Oyugi (2009) schools should develop their own initiatives to support needy students. In her study 87 percent of schools had come up with self initiative to help poor students. The main

problem with bursaries is that 92 percent of recipients are not guaranteed continuous funding and hence those seeking funding are required to reapply.

Retraining of teachers need to be enhanced in the district, to sharpen teaching skills. A KESSP strategy for raising quality in secondary education is the pre-service and in-service training. Specifically cited is the enhancement of quality teaching, learning and performance, especially in KCSE science and mathematics with the teaching and learning being monitored and emerging issues addressed to ascertain cost-effectiveness and to produce desired results.

Students are subjected to unethical practices by the teachers' in contradiction with a Ministerial Circular No. INS/CON/53/36, of 2005 (MoE, 2005). The circular outlawed various unethical practices such as collecting tuition money, repetition and extra coaching. By forcing students to pay extra tuition fee between Ksh. 500 and Ksh. 2000, teachers' are subjecting student who are not able to pay the said amount to psychological torture. There is laxity in the DEO's office to ensure that such discriminating behavior is eradicated.

Secondary school education attracts government financing. The financing is mostly inform of teachers' remuneration, bursary and grants which is used for construction or buying of laboratory and equipment as well as catering for tuition fee for the needy students. The study findings show that the remuneration of teachers' salaries tripled from 1997 to 2007. The finding also shows that bursary and grants have been on upward trend. The government could reduce the cost of remuneration of teachers' by for example improving teacher utilization through increasing PTR in Siaya district. There was room to increase PTR in secondary school from the current 16:1 in 2007 to 45:1 without any requirement on extra teachers' and with the recommended class size of between 40 and 45 students (Republic of Kenya, 2005c).

The government could reduce the cost further by ensuring that underutilized teachers' are put to effective use. Currently in Siaya district 33 percent of teachers are underutilized. They teach between 1-20 lessons per week against the recommended range of between 25-27 lessons per week (Republic of Kenya, 2009). The findings are consistent with the findings of Ngware et al (2006a) who noted that teaching loads vary widely between schools, partly due to specialization and mastery in particular subjects. For instance, optional subjects are characterized by teacher under-utilization due to small class size. Under-utilization of teachers' can also be attributed due to under-enrolment in most district day schools with the existing gap averages at 75 percent and GER was averaging at 25 percent. It was expected that the introduction of FDSE would ensure that enrolment gap is reduced. However due to hidden cost of secondary education enrolment is likely to remain low.

The availability of bursary and grants could easily be enhanced through joint effort and partnership with donor support program. The bursary award scheme should specifically target students from poor families and those living under difficult conditions for example orphans, those living in arid and semi-arid lands parts of the district. Education partners in Siaya district include the Millennium Village Projects, World Vision, Africa Now, Academy for Educational development, Community Development Trust Fund, Simba Friends Foundation and Baje Community Projects. Ngware et al (2006a) emphasizes strong partnership between community and secondary schools to maximize on the benefit accrued from donors and stakeholders. According to Oyugi (2009), the government should provide clear guidelines on bursary allocation and determine who benefits from bursary fund as the children of the wealthy also benefit from the fund.

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Families and Education In Portugal: Summary' Characterization

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Abstract

The family, in Portugal, is experienced as a core value, which holds almost exclusive responsibility for the education of young children. This paper presents some indicators that help to understand the situation of families in Portugal, with particular focus on their educational conditions. Alongside this, I mean the state's role in supporting educational family obligations, analyzing how this, along with civil society, promotes support parental actions. In this sense they are described some specific programs, especially developed with families at risk, and that allow us to know what is being done on the ground. The text ends with the raising of a set of comments and considerations to attend to promote the improvement of parental support programs.

Keywords: parental support; education; educational programs; family

The family, in Portugal, is experienced as a core value, which holds almost exclusive responsibility for the education of young children. The main elements of family education focus on the care of children in terms of health, security and other basic conditions of life, as well as on the transmission of social and moral values. Parenting, in constitutional terms, is the mutual responsibility of fathers and mothers, although, in practical terms, the latter are those who, in a much greater proportion, deal with the monitoring of children. Recent studies (Torres e Silva, 1998; Guerreiro, Torres e Lobo, 2009; Wall, Aboim e Leitão, 2010) show that there have been some changes in the distribution of roles within the family, highlighting an increased involvement of fathers, in particular when taking their children to school and monitoring their schoolwork are concerned; however, actual differences of involvement of fathers and mothers in children's rearing, when compared to those of the past are still few, which explains that, in this study, the living conditions of women, related with the care and monitoring of children, are highlighted. Parenting today is confronted with different conditions of life from those prevailing a few decades ago which, among other aspects, justifies some insecurity revealed by many parents in the exercise of their parental duties; this 'social task' of educating the children was, in past times, founded on common standards, which were reproduced, with minor adjustments, from one generation to the next. However, currently, internal and/or external conditions to families are obliged to constantly rethink this social commitment. In a very synthetic way, one relevant issue is the growing number of women entering the labor market, particularly since the 1960s. This situation, on the one hand, brings economic benefits and, above all, personal fulfilment, which is reflected in the family interactions, but, on the other hand, introduces different conditions for the monitoring of children, especially because, as Wall et al. state "the progressive 'conquest' of female the public sphere by women has not been reflected neither in equal opportunities and rewards, nor in an identical entry of men into the private domain" (2010: 34).

This situation, on the one hand, brings economic benefits and, above all, personal fulfilment with reflexes in family interactions, on the other hand, introduces different conditions for the monitoring of children, especially because, as says Wall et al. "the progressive 'conquest' of female public sphere has not reflected neither in equal opportunities and rewards, not in an identical entry of men in the private domain" (Wall, 2010: 34). The economic changes of the Portuguese society, the growth of female work associated with a situation of precarious employment and with the career strategies of parents, are relevant factors for the decrease in fertility, according to Sarmento (2009: 71), as well as people's readiness to exercise a truly responsible parenting. The report produced by the OECD, in 2004, about harmonization between family life and working life, shows us how, in comparative terms, Portuguese women, primarily responsible for the monitoring of children, work more hours per week than women of the countries used for comparison (Pt- 37,3 hrs; S: 28,6hrs; NZ: 31,9hrs); Portuguese women, as well, dedicate weekly more time to their working activities than their counterparts of all those countries; In addition, the tradition of part-time work is very weak in Portugal, especially when compared to these other countries (Pt - 10,6%; S - 73,5%; NZ - 45,8%). Another relevant issue is that the number of working hours of Portuguese women is not dependent on the age of their children, situation which differs from what occurs in other. Although this study has been conducted some years ago, the truth is that, in recent years, there have been no significant changes in the measures designed to support families. This assertion can be confirmed by analysis of the figure and tables which are annexed, withdrawn from *Society at a Glance 2011: OECD Social Indicators*, which show that Portugal is the European country of OECD where the number of weekly working hours is higher (see annex I), both in paid work as in unpaid work. One can also verify that the proportion of adults who work part-time is pretty low, when compared the one of most adults of other European countries, which is most evident in the case of Portuguese women, in comparison with most of the women of these other countries (see annex II). These numbers are a demonstration of the little relevance attributed by the Government to the support of families and of the difficulties in the way of finding alternatives to ensure such support. I.e., as an example, the Act of parenting increases the leave period to six months; however, in this case (option for a six months of parenting leave), the allowance is 83 percent of the value the parent's wage; if the parent chooses a leave of five months, the allowance is of 100 per cent, provided that it is shared between the mother and the father. However, in a society where the monitoring of the child by the father is not really instituted and, on the other hand, because of the economic constraints with which young couples are being faced, the risk of wages decrease leads them to give up the opportunity to extend the leave period. In addition, legislation was not created to support those who choose to work part-time in order to accompany their minor children.

In addition to the issues relating to the harmonization between work and family life, other factors can be identified as new scenarios for the exercise of parenting. Among others, there is the wide differentiation among families, which has significantly increased — single-parent families, separated parents, reconstructed families —, keeping some of the fundamental traditional characteristics of families, but with less standardized internal settings and dynamics. Another significant fact, which makes more difficult the good exercise of parenting, is the lack of experience of young parents in dealing with children, since they grew up in small families, and spent all their early years with people their own age (in kindergartens, in schools), and have no experiences of intergenerational interaction, which makes more difficult for them to have a correct perception of what a child is, of her/his educability and of how her/his education should be processed. The learning experiences that previously took place naturally in communities to which children belonged (in extended families, in public spaces of community interaction) are rare today, which causes that many adults establish their first responsive contact with a child exactly at the time when they become parents; at that

time their 'romantic idealization' of a child is confronted with the reality of a being who has her/his own wills, ways of thinking and of acting, which often contradict the previous expectations of her/his parents, making it more difficult for them to deal with their children in an educative way. Another new component in the functioning of families is the clear division between conjugality and parenting, i.e. being parent of a child does not translate immediately to being husband/wife of her/his mother/father. This is a recent social and emotional reality, which introduces new and multiple nuances in the educational dynamics, for several reasons: even though children are, mostly, under the custody and guardianship of their mothers, there remains a contact with their fathers, though less frequent, being expected of the male progenitors the exercise of an appropriate parenting. This situation becomes more evident in the case of a shared custody, encouraged by the Law of Parenting, by which children should spend a week with each of their parents. Thus, on behalf of the welfare of children, parents are expected to keep some form of educational balance, although there are no assurances that they shall receive a training that allows them to cope with this situation.

Current times, characterized by quick and constant changes, by uncertainties about the future, by a greater investment on children, by a concern for their well-being, by the difficulties parents feel about getting time enough to think about the education of their children and to spend time with them, by the economic difficulties they face to ensure the conditions whom they deem appropriate for their children, by the strengthening of conceptions about social participation and success, and by the pressures this exerts on families, among other factors, make the exercise of parenting to need to be well addressed by any type of family, and parents to feel supported, in order for them to be able to develop this central function.

In terms of numbers, it is known that there are many Portuguese families that live below the poverty threshold. Indicators from two reports on childhood and on the economic crisis that has befallen Europe, and, particularly, on Portugal, since 2008, the report of the Portuguese Committee of UNICEF and the report of the Observatory of Families and of Family Policies highlight, according to Sarmiento, Fernandes e Trevisan (2015), that "children are, since 2008, the generational group under greater risk of material poverty; one in four children lives in material deprivation and one in ten children in a situation of severe material deprivation (ibid: 87). Furthermore, the risk of poverty is higher in large families (41%), in monoparental families (31%), and in unemployed people (38%); monoparental families, in which the progenitor is unemployed, present an almost absolute risk of poverty (90%)" (ibid: 97). Even though there is no direct relationship between being poor and being a father or mother unprepared for parenting, we are aware that, as stated in the book we quoted, hard living conditions generate greater difficulties for the exercise of a good parenting, as well as there is a strong relation between poverty, unfortunableness and bad treating on the most vulnerable people, that is, in the case of families, on the children.

Definitions of Parenting Support

In this study, concerning parental support in Portugal, we use the definition of positive parenting indicated in the recommendation of the EC (2006), i.e. "all functions that belong to parents with a view to educating and caring for their children". As stated in the Study about the role of parents and the support of Governments in the EU, this definition focuses on the relationship between parents and their children, promoting an approach that involves rights and duties, in order to foster the development and self-fulfilment of the child. At the same time, this definition considers positive parenting as the parental behaviour that ensures the satisfaction of the best interests of the child, i.e. "development, empowerment, non-

violence, providing recognition and guidance which involves setting limits, to enable the full development of the child". The recommendation of the EC indicates, as ideal conditions for the exercise of positive parenting, those which ensure access to adequate material, psychological, social and cultural resources, policy measures to promote better reconciliation between professional and family life and, in particular, the awareness of the value of positive parenting by the parents, by the children and by the State. Among these measures, in this study, we're going to focus on parental support, understanding it as concerted ways to help "families in the development of patterns of healthy relationships with their children, and which focus on the exercise of authority, dialogue, respect and education through affection, through the acquisition of skills in this field" (Abreu-Lima et al., 2010)10.

Following the definition of Brock, Oertein & Coufal (1993, in Abreu-Lima et al., 2010), parenting support is the process that aims to provide the specific expertise and the strategies that help promote the development of the child. In general terms, the main specific objectives of parental training programs, according to Abreu-Lima et al., are: i) to inform and to guide parents in the development and in the socialization of their child; ii) to prevent child development problems and to promote the family relationship; iii) to empower parents with strategies related to the control of the behavior of their child; iv) to encourage parental involvement in children's learning and in their school experience; v) to provide specific support to families of children with development problems; vi) to provide social support from the community (id, 2010: 18). Parental training can be offered in several different formats, be organized into structured programs or as direct advice to parents and other more flexible and circumstantial arrangements. As the ChildONEurope report on the Survey of the Role of Parents (2007), parenting education and counselling were among the most common forms of parenting support. Abreu-Lima et al (2010) presents us with the following distinction of parenting support: "There are manual programs and tailored interventions. Manualized programs refer to those where the manual exists which sets out explicitly what needs to be delivered in the program and that can be replicated. Tailored interventions follow a more flexible format, accounting for the specific desires and needs of the targeted group" (2010: 7).

Parental support, in Portugal, has been mobilizing a growing interest, as recognition that it can foster better conditions of life, of well-being and an overall success for children and society. The research produced, particularly in the field of education, of special education, of psychology and of sociology, has done major contributions to the recognition of the importance of the involvement of parents in the educational process, as a form of global social change. Initially assumed by religious organizations, today there is a significant number of local development associations, of private social solidarity institutions, of associations of parents, of schools and other entities, which integrate in their projects the area of parental support, as we show below. The State has supported, occasionally, some of these projects, though, as we shall see, it shows difficulties in defining and implementing policy measures to promote the effective support in this sector.

The State And The Civil Society Faced With The Worries With Parental Support

The Portuguese State, throughout the ages, and in different ways, has shown to be aware of its role of supporting families in their exercise of parenting. If, in the past, the legislation established a direct link between mothers and the monitoring of children, from 1984 onwards, with the Law No. 4/84 of 5 April, the Portuguese Government clearly assumes that "fathers and mothers have the right to the protection of the society and of the State in the exercise of their irreplaceable action relatively to their children, in particular with respect to their education.". Accordingly, in the article 2 of this law, some conditions that promote equal professional achievement and participation in civic life of the country for fathers and for mothers are laid

down, considering both equal in rights and obligations regarding the maintenance and the education of their children. In order to support parents in their parenting, the State undertakes to inform and to disseminate useful knowledge for the exercise thereof.

As shown throughout this paper, and in the sequence of that which has been stated, the parenting support for people to be able to exercise an adequate parenting, in Portugal, has been assumed by some public sectors as it is the case of public schools, as too private sectors working in the solidarity field, whether private, such as ONGs. The State, through its Government offices, such as the Comissão Nacional de Protecção de Crianças e Jovens em Risco (CNPCJR), has been supporting some parental support projects, even though this doesn't appear as a priority in Government's policies. The attention of the State towards children focuses mostly on the defence of the implementation of their rights. As Sarmento says (2009: 74), "In Portugal, the last few decades marked a very favourable development, as regards the legislation which safeguards the promotion and protection of children". In an analysis of that legislation, it is easy to find a connection between the implementation of children's rights and the parental support. Parents are progressively involved in organs which define aspects of the lives of children, such as, for example, in the Basic Law of the Education System, in the Framework Law of Pre-school Education; other references to the role and duties of parents in the promotion and protection of their children in the use of their rights, are found, for example, in the Program for the Eradication of Child Labour and in the legal separation of children who are victims of ill-treatment or negligence from children who commit criminal acts qualified as crimes. The articulation between parental support and use of children's rights is, however, blurred in all of the legislation, being referenced in the legislation establishing Commissions for the Protection of Minors, constituting a participated system, characterized as an inter-institutional and community-based protection of children; the Law of Adoption also provides for training of parents, so as to prepare them to bring up and support their children.

In the last years, it has become more evident the manifestation of State worries with the results of the bad accompanying by parents of their children, which can result in the increase of situations of bullying, and of socio-psychological uneasiness of children and youth; however, there exist no concrete measures to facilitate the intra-family accompanying. Only recently, in 1999, the State, through the Direction of Social Security, regulates one measure of Parenting Education, present in the Law of Protection of Children and Youth at Risk, to be managed by the Comissão Nacional de Protecção de Crianças e Jovens em Risco (CNPCJR), with a view to promote competences to the exercise of a positive parenting. As first step, the CNPCJR set up a committee, made up of a set of government and academic institutions, with the task of collecting and evaluation of the interventions in parenting education being implemented in the country, in order to, afterwards, propose a course of parenting education for families at risk.

According to purport of the Law of Protection of Children and Youth at Risk (LPCJP), we verify that art. 4, paragraph f), the "constitutional rule that bestows on parents the task of educating and having a behaviour adjusted to the needs of their children" is reinforced, as well as, in paragraph g), "it is determined that it ought to be given priority to the support measures that strengthen the ability of the family and the competences of the progenitors to preserve the environment of their families and the sufficient and adequate conditions to keep their children under their own responsibility". The same law defines the support to be given to the programs of parenting education as a psychopedagogical and social support. Participation in these programs can become mandatory, when it results from a court decision by the Court of Protection of Minors. Also, the families that receive the social pension named Rendimento

Social de Inserção, who have children, and it is considered useful for the educational promotion of their children, have to attend these programs too, lest they lose that social right, due to uncompliance with criteria and rules for its allocation. Other measure we ought to mention is the Iniciativa para a Infância e a Adolescência (INIA) , set up by the Portuguese government, which aims at defining a plan of action that respects the universality of the rights of children, having also as its objective the mobilization and the construction of a culture of cooperation and articulation between the institutions with responsibilities and committed to advocacy of the rights of children and the civil society. This project seeks to deepen and qualify the services and the responses, namely at the level of health, training, culture, environment, and safety, guaranteeing all children, adolescents and their families, living in Portugal, the respect for their fundamental rights, without any discrimination of race, religion, nationality, and physical and/or mental handicap. Centred on children, the INIA promotes programs of parenting education, regarding it as one important foundation for the implementation of the rights of children.

Prior to the role of the State, one ought to mention the action of the Church in the training of parents, especially with the courses of preparation to the matrimony realized by catholic brides and grooms. These sessions, even though they are realized to very restricted group, since the number of young people who wish to get married by the Church, have the potentiality of being perceived as important for all progenitors, both fathers and mothers, and not just to the ones who find themselves at social risk.

Besides the institutions already mentioned, one ought not to ignore the action undertaken by the Escola Nacional de Pais (EPN) [National School of Parents], a private association of public interest (IPSS) , working on a voluntary basis, without political or religious filiation, which, using informal methodologies, seeks to help progenitors in their exercise of parenthood. EPN was created in 1969, as a voluntary movement for an ongoing and updated education, with the goal of "helping the Family to recover its own true and fair meaning, leading progenitors to take responsibility for their parenthood. With its headquarters in a town of the North of the country (Porto), its activities extend to the whole of the national territory, integrating the International Federation of the Schools of Parents, which is based in Paris. One ought also to mention the associations of parents, which have as their primary concern to fight for their rights, as progenitors, to participate in the education and school life of their children, often take to themselves the task of parenting training as one of their fields of action. The role played by associations or movements of progenitors, whose members have handicapped children, both in advocating their children's rights and in their own training to help them to improve their children's lives, ought to be highlighted. Each association of parents has as its main connection the educational institution attended by their children. Until 1974 , the right of association was prohibited to all citizens; meanwhile, since that time, from the relative social invisibility of the associative movement of the parents, especially in the level of the education of children under 6 years of age , this movement spread, implementing diverse ways of interaction between the schools and the families. The training provided by the associations of parents seek to give occasional responses to issues occurring in the school context, with some more sequent and structured training courses organized in partnership with other entities, usually with associations of local development.

From 1974 until 2015, the cooperation between the educational institutions and the families has been marked by very diverse dynamics, and by antagonic social representations of the families about the schools and of the schools about families, especially if one pays attention to the different educational levels. The field of education for children under 6 years of age is the one where there is a greater degree of collaboration between parents and educators, with a

greater willingness to different kinds of action, namely with a greater disponibility to participation in courses of parenting training. Reasons such as the greater vulnerability of these children, the lesser experience of the progenitors in the educational relationship, the tradition of the greater ease of the educators to work with the communities, facilitates the creation of a more open hearted empathy between the parents and the professionals, which makes it possible the insertion in training practices in the scope of parenting support, of which we can give some examples in the following sections.

Overview Of The Parenting Training In The Process

As stated previously, the training of parents in Portugal has the character of a casual and informal process, being guided by local development associations, by parents associations, by health centers in the area of maternal and child health, by CPCJ and by schools. Among the parental training programs indicated in the report *Avaliação de Intervenções de Educação Parental: relatório*, most of those cited which correspond to the parental education interventions, and which constitute the most significant and systematic courses in this context, are directed to families with specific issues (neglect, drug addiction, ill-treatment, etc.) and will be treated in the following sections.

At this point, it is interesting to focus on educational institutions which have a very important role in the organization and development of parental training, even though they are mostly promoted on a voluntary basis, striving to organize it in an articulated way, following specific pedagogical projects.

Portuguese children four months old and above spend most of the day in educational institutions: from 0 to 3 years in day nurseries or at nannies' houses, supported, or not, by the Social Security, and from 3 to 6 years in kindergartens. The daily frequency of these institutions is, on average, of 9.5 hrs a day, which corresponds, roughly, to the time their parents are at work and the time they spent in transports, going and coming from the working place to their homes. Parental training is very common within kindergarten, and it is articulated in several modalities, mainly through forms of parental involvement. Parental involvement is well defined by Don Davies (1989), as all forms of collaboration between parents and teachers in education of their children. According to different types of parental involvement (Davies, 1989), this collaboration can range from the identification and response to the children's basic needs in terms of health and safety to parents' effective participation in educational projects. From the interaction occurred between teachers and parents, it is possible to identify specific areas in which it makes sense to organize training processes. Although these processes are not generalized and, in many cases, there is some resistance on the part of the professionals relatively to the collaboration with parents, and, above all, difficulties of acceptance that with this collaboration they can learn with each other, there has been a growing openness to this formative relationship. Except in rare cases of private colleges, especially those linked to the Church, standardized courses that develop parental training, in most kindergartens, the educational investment follow more informal types of support, of direct advice, sporadic and of short duration. In private institutions, where the staff includes a psychologist, this has an important role in individual cases, helping parents of children with a specific need, transitional or of other kind. It is also very common to organize conferences, with the support of invited experts, selected from areas regarded as significant. Summarily, we can say that the educational institutions have a very important role in the organization and development of parenting training, which voluntarily promote, seeking to stimulate it in an articulated fashion with the pedagogical projects in process.

We can tell, as an example, the strategy used by one educator, who resorted to a rag doll that was a gift of a girl's grandmother, which becomes a member of the class. Simon, the name that was attributed to the doll, is perceived as just one more child, who, as such, cannot be abandoned in the kindergarten, during the week-ends. Thus, intentionally, the educator gives it a notebook, in which, along the week, the activities it "develops" are registered, highlighting those from which the educator can use to point out some adequate practices, such as, for example, not forgetting to brush the teeth after meals, or the visit to a museum in the scope of a cultural journey. Each week-end, Simon goes to the home of one of the children, taking with him the book note, so that their parents can get to know it better and its activities, with the task of, jointly with their children, register each period spent with that family. Thus, in a very informal fashion, training messages are being exchanged between educator, children and parents, taking the shape of a creative modality of parenting training.

Parental support for children below 6 years old is generally realized on a voluntary basis and thanks to the goodwill of the professionals, who recognize its importance in helping a balanced development of children and, as such, it is not an activity that creates jobs. In recent years, research and specialized training on, and in, this area have been increasing, and we verify the existence of curricular units focused on it, either in university degree courses or in master's degrees and doctorates, promoted by different scientific specialties, in particular education, psychology and sociology. Although there is not a market for employment in this sector, people with this training are enabled to cross parental training with other areas of action.

Programs Addressing Specific Targets Of Population

A summary analysis to the programs of parenting training that we have contacted allows us to say that they are developed, mostly, by local associations, are financed by the entities themselves, often with the support of state funding, sometimes with the support of European funding, such as Ser Criança and Escolhas, among others, of free attendance, structured on the basis of the psychology and the social psychology, with a duration lasting from six to fifteen weeks, whose trainees, often, have a support to pay their expenses with their transportation and meals, organized for progenitors of children belonging to specific age ranks, sometimes for progenitors who have to deal with complex issues, such as parents of drug addicts, using active methodologies, with exchange of experiences, dynamics of group, movie watching, among others.

Parents of families at social risk, such as those that find themselves in a situation of poverty, those who have (or are) addicted to drugs, as well as those who have one or more children with special educational needs are identified as lacking a more specific parental support. Researchers from early childhood intervention considering that this constitutes a fundamental role on providing support to families, namely by identifying resources that respond to their children's needs, relieving the stress, improving well-being and consequently improving parent-child interaction patterns (Serrano, and Boavida, 2011). Another group of parents with difficulties in their parenting is composed of ethical and/or cultural minorities, such as Roma and immigrants, particularly as regards issues of socialization.

Among the programs examined in more detail we can refer to three: Pais que Cuidam, Construir Famílias and Oficinas de Pais. The programme Pais que Cuidam is promoted by the Associação de Solidariedade Social Ermesinde Cidade Aberta, and its promoters are the professionals who develop it, and it has already had three editions. For its development, it was established a partnership with the Commission for the Protection of Children and Young People of Valongo and a protocol with the Faculty of Psychology and Educational Sciences of the University of Oporto. This project, targeted at parents with children with ages

ranging from 0 to 18 years who are beneficiaries of the Minimum Income (RSI – Rendimento Social de Inserção, in Portuguese) or that are required to attend training as a measure of promotion and protection enacted by the family and young court, indicates as its goals the sharing and the exchange of experiences relating to parenting, encouraging sharing, moments of reflection and change, increasing and strengthening parenting skills. It addresses issues such as domestic violence, nutrition, parents' relationship with their children, violence and sexual abuse against children. The technical staff integrates an expert from the theatre area, on the grounds that art is a means of humanization and of socio-cultural overcoming for the participants. The course, developed in 17 sessions, biweekly, finds its theoretical grounds in systemic theories, in the ecological model of human development of Bronfenbrenner, as well as in social learning theories, with particular emphasis on empowerment. The dynamics of formation is based on active methodologies, with group work, debates, theoretical lectures and interactions with various guest speakers. Although we do not have references on the internal evaluation of the project, the triple re-editing of the program, as well as the news that came to our knowledge through the newspaper Voz de Ermesinde, allow us to conclude that it is a case of success.

The second programme worth mentioning is Construir Famílias , it is promoted by the Associação para a Educação e Solidariedade Mundos de Vida (Association for Education and Solidarity World of Life), and it is targeted to a selective group of parents of children from 0 to 18 years old, who receive the RSI and/or are under the protection and promotion measures enacted by the family and juvenile court. The program follows a model created by a researcher at the University of La Laguna , Spain, and it is overseen by a researcher of the Institute of Education, University of Minho, with whom the association has a partnership agreement. This project, self-financed, has as its main objectives to improve situated cognition, the understanding of family models and their effects on the educational plan, the empowerment and strengthening the sense of parental agency, the strengthening of family support networks. The theoretical rationale of the program lies in the theories of development and in the eco-systemic theories. The parental training course is developed on the basis of an experiential model, with a methodology that encourages the active participation of users, flexibly and in a structured way, which begins with reflection on real accounts of daily life, combining the information with the effective support of professionals. Of free attendance, the course runs for eight months, with weekly meetings of two hours. This long period of time allows the monitoring of the implementation of new practices in families, which is understood as a sign of the innovation of the program and of its validity. The presence of participants is supported through the provision of transport, the babysitting service and the supply of a snack, apart from other possible bonuses.

Aware that parents of children with disabilities face additional demands, the association Parents Network (PER – Pais em Rede , in Portuguese), decided to go ahead with the Workshops of Parents, parental training programs with a view for parents' to learn skills, in order for them to be able to play their role of educators and to manage the process of integration of their children. This program is developed on the basis of a partnership between the PER, the Instituto Superior de Psicologia Aplicada and the Gulbenkian, and sponsored by the High Commissariat for Health (Alto Comissariado para a Saúde) . The program is developed in 36 hrs, its attendance is free of charge, and parents are supported through the payment of transport and lodgings. The methodology of this program derives from presentation, theoretical analysis and proposals for intervention from real experiences. There is a set of tutor parents supporting new parents, as well as specialist trainers and advisers who monitor

situations of everyday life. These workshops, in addition to the relevance of specific disability knowledge with which every family is faced and of the forms of appropriate intervention to promote better well-being and stimulation of children, is valued by parents as fundamental in terms of emotional support.

EVALUATIVE SUMMARY

In an overall assessment about the parental training developed currently in Portugal, we present, firstly, a summary of the evaluation on the effects of parental or other parental figures involvement, performed at the request of the CPCJ, and later, a reflexive summary based on the analysis of the data employed in this study.

So, the *Avaliação de Intervenções de Educação Parental: relatório*, drawn up in accordance with validated scientific procedures, shows that this realization helps parents: i) to become more aware of their educational practices; ii) to realize the need to change some of their behaviors and practices; iii) to perceive themselves as being more empathetic towards the feelings and needs of their children, differentiating them from their own needs; iv) to decrease the importance of physical punishments as a formative strategy; v) to become more respectful of the time and identity of their child; v) to perceive a sense of competence, lessening the stress associated with the exercise of the parental role; vi) to feel less depressed, less socially isolated and more supported by their informal network; vii) to perceive a reduction in the number and in the intensity of behavioral problems and difficulties of their children.

In the continuity of the assessment, it shows that parents who attended expressed great satisfaction for their parental training participation, justifying it by having the feeling of being recognized as persons, validated in their skills and difficulties, because they have learned strategies to deal with the problems of everyday education, showing to understand the importance of organizing their day to day life, and expressing their willingness to change their operating styles.

The literature allows for the following considerations, regarding the effectiveness of parenting support programs, highlighting some specific recommendations:

- parental support is highlighted, in scientific studies and in the observed practices, as very important for the promotion of the welfare of children, families and society; However, without articulation of parental training with policies to support families, such as work schedules that allow the coordination between family life and working life and, among other things, guarantees of economic stability, the change in educational quality is not easy;
- the direct knowledge that we have of good practices of parental training, specifically in the case of the involvement of parents in educational practices in formal contexts (kindergartens and schools), shows us that when parents understand and verify the benefits of reflecting and working together to promote the development of their children, they tend to repeat these experiences and to remain vigilant and participatory throughout their children's school life;
- in addition, parents have expressed that their integration in a network of training ensures them greater self-confidence, in their quality of parents in the exercise of parenting, being also evident that their self-esteem, their enjoyment for being mothers and fathers, increases;
- when it comes to training of parents, we are referring essentially to mothers, since these remain, essentially, the ones who ensure the monitoring of children. Besides awareness-

strategies for the involvement of men-fathers in parental training, some strategies should be used to achieve a reformulation of perspectives and intra-family practices;

- in terms of the quantity of public covered, parental training is manifestly insufficient, involving a small percentage of the population. In addition, structured training, with an average duration of 12 sessions, following scientifically validated training models, is directed almost exclusively to vulnerable families, understanding these as being those who are at social risk or who have a disabled child, so most so-called normal families have no space for the attendance of these programs. However, some of today's social conditions seriously disturb the exercise of parenting to most parents (lack of time, little experience of parents for educational accountability, etc.), with repercussions on the fragility or evident difficulty of this exercise for a high percentage of parents, whatever their socio-economic situation. It is our opinion that parental training has to be extended to new audiences and not be restricted almost exclusively to vulnerable families;
- one cannot submit a parental training model as being the ideal, but it has to be sought, for each situation, each group of parents and each socio-cultural context, the most appropriate way to promote such training. Outreach training, understood as the one which is performed by professionals who are in daily contact with children (teachers, psychologists, youth workers, others), although it can be very short-lived and have great flexibility, is often more effective to help resolve, in a short space of time, some difficulty emerging in the child and in her/his family. In addition, it seems to us very important that parents should become seriously involved in the definition and development of parental training programs, while respecting their agency and the right to make themselves heard, and have their will and knowledge validated, since only with their effective participation change can occur. These arguments also serve to affirm the importance of diversifying the training modalities, adjusting them to each context;
- we believe that it is not up to the State, through its direct action, to promote parental training, except in the case of children who are under its custody, such as, for example, abandoned children. However, it is its responsibility to support the structures of the civil society which, in close proximity to local populations, play this role, seen as very important;
- one of the ways the State can support parental training is by creating a legislative framework in which this training has the same status as other trainings, thus becoming compulsory for employers to create the necessary conditions for their employees to be able to realize it.

Finally, we think that, faced with the social reality in which we live, parental training has to be understood and promoted as a component of a community education project, where there is a good articulation of services in the promotion of shared responsibility by supporting the appropriate development of each child.

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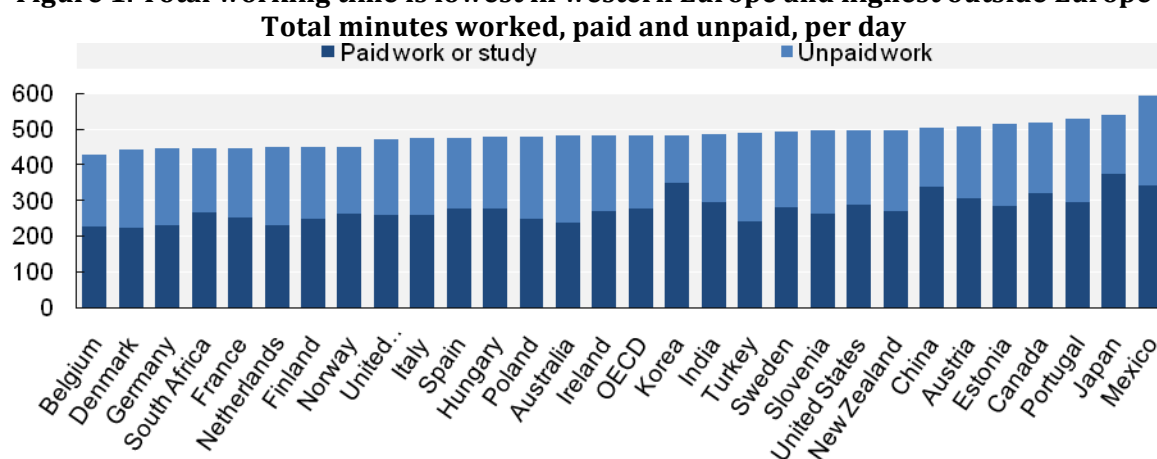
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Law 7/77, of 1 de February – Law of Parental Association

ANNEX 1

Society at a Glance 2011: OECD Social Indicators - © OECD 2011

Figure 1. Total working time is lowest in western Europe and highest outside Europe

	Paid work or study	Unpaid work	Total work
Belgium	227	200	427
Denmark	225	217	441
Germany	232	212	445
France	251	197	448
Netherlands	231	219	450
Finland	250	201	451
Norway	263	188	451
United Kingdom	261	211	473
Italy	259	215	474
Spain	276	198	475
Hungary	277	200	477
Poland	249	230	479
Ireland	271	213	483
OECD	277	207	484
Sweden	281	213	494
Slovenia	265	231	495
United States	289	207	496
Austria	306	203	509
Estonia	284	232	516
Portugal	295	233	528

Source: OECD's Secretariat estimates based on national time-use surveys

Living with children with autistic spectrum condition: parental stress and the impact upon family functioning.

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Summary

Introduction. Parenting a child with Autistic Spectrum Condition (ASC) is both practically and emotionally challenging. The condition brings difficulties in communication and social interaction, as well as abnormal behaviour patterns, all of which have an impact upon parents. **Method.** As part of a larger study, one hundred mothers of children with ASC were asked to complete several scales including the Family Adaptation and Cohesion Evaluation Scale (FACES IV), and The Parenting Stress Index-Short form (PSI-SF). **Results.** The Parenting Stress Index scores showed that the mothers of the primary aged children felt very high levels of parental stress, and distress, while the mothers of secondary age children reported lesser levels. The FACES IV scores indicated that the sense of flexibility was higher in the mothers of adolescents, and that the families of girls were less cohesive than that of boys. **Discussion.** The highest level of parental stress was reported by the mothers of younger children, with the parenting of teenage girls being the most stressful. **Conclusion.** A family pattern which tends to seek smaller changes could reduce the sense of family distress that parents of children with ASC experience. As the children move into adolescence the mothers tend to feel less stressed, but less so for the mothers of teenage girls.

Keywords: autism, family functioning, FACES IV, parenting stress index

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INTRODUCTION

Following Kanner's original case description [1] there emerged a view that significant issues within the functioning of the family, particularly "emotional coldness", could be a major factor in the causation of Autistic Spectrum Condition (ASC) [2, 3]. This supposition has been completely disproven, but the patterns of family functioning observed do emphasize the huge impact which parenting a child with ASC can have upon family life. The condition brings difficulties in communication and social interaction, as well as abnormal behaviour patterns, such as over sensitivity to external stimuli [4, 5], and such difficulties can make parenting a challenging and frustrating experience [6]. The challenge of dealing with these elements of functioning can, both individually and cumulatively, exert a huge influence on family

interaction, and demand carefully judged parenting to be successfully managed. It is therefore not surprising that most studies have highlighted the high degree of stress that parenting a child with ASC can engender [7-10]. It is the mothers who seem to suffer the greater impact from their children's disabilities [11, 12], with the most common explanation being that they focus upon their child's difficulties while putting their own needs aside [13-15].

As part of a wider study, the opportunity arose to explore the views of mothers of children with ASC in some detail, particularly asking about their family's functioning, and the stresses that they were experiencing. The data also permitted the differences between different age groups of children, and gender differences, to be examined.

METHOD

Having obtained ethical approval from academic bodies, educational gatekeepers and parents the families of the children attending three schools that offered specific educational provision for children with ASC in one geographical area were approached to participate in the study. The children all had Statements of Special Educational Need which specified they should be taught in a setting specifically designed for children with ASC. The children ranged in age from 5 to 15 years of age, with IQ's in the moderate to severe range, and no other major physical disorder or illness. Following a process of informed consent, all parents consented for themselves and their children to take part.

The demographic information and details of family makeup revealed that 33 of the children were eleven years or older, and 21 were girls. 75 of the children were living with both parents. 34 were the only children in the family, and in terms of parental employment 16 came from families where both parents were in employment, and 25 of the children lived in families where both parents were unemployed.

The mothers of the children were asked to complete four assessment scales.

The Family Adaptation and Cohesion Evaluation Scale (FACES IV) [16] is a self-report instrument designed to assess family functioning in terms of the Circumplex Model of Marital and Family Systems [17]. There are three key concepts which underpin the model. Cohesion is defined as the emotional bonding that family members have toward one another, and flexibility is the quality and expression of organization, rules and roles, and how negotiation of these elements are undertaken within the family. The third concept is communication, defined as the positive communication skills used by the family system, and is seen as a dimension which assists families to facilitate between different levels of cohesion and flexibility [18]. The Circumplex Model proposes that healthy family functioning requires a balance between these parameters, with extremes being associated with problematic family functioning. The FACES IV is the most recent version of the scale, and in addition to the core measures of Balanced Cohesion and Balanced Flexibility it provides four subscales which reflect the extremes of the core measures. These four subscales are Disengaged and Enmeshed for the Cohesion Dimension, and Rigid and Chaotic for the Flexibility Dimension. The combination of these six scales is said to provide a more comprehensive assessment of family functioning than previous versions [18]. The scores also permit the calculation of balanced/unbalanced ratio scores for the two core scales, with ratio scores above 1 reflecting a more balanced family system. Conversely the lower the ratio score below 1, the more unbalanced the system. These two ratio scores are claimed by the developers to summarise a family's relative strength and problem areas into two scores, reducing some of the complexities of the six scale score description [18].

The principle psychometric properties of the FACES IV show an internal consistency of moderate to high Cronbach's alpha values (Enmeshed = .77, Disengaged = .87, Balanced Cohesion = .89, Chaotic = .86, Balanced Flexibility = .84, Rigid = .82) (Olson, 2011). Two additional scales have been developed to compliment and extend the results provided by the FACES IV.

The Family Communication Scale. Based on the 20 item scale developed by Barnes and Olson [19], this 10 item variation is rooted in the hypothesis that family communication will have a positive relationship to balanced family systems and, conversely, a negative relationship with unbalanced ones. It was produced by using the items which made up the first factor from a factor analysis of the originating 35 items used to develop the scale. The internal consistency of the scale is 0.90, and it has a test re-test of 0.86. In a large U.S. sample of 2,465 individuals the total mean score was found to be 36.2 (std. dev. 9.0) [20].

The Family Satisfaction Scale [21]. This 10 item scale was one of the first satisfaction scales to be developed, and is based on the theoretical assumption that families with high scores on balanced cohesion and balanced flexibility would have higher levels of family satisfaction. The scale has a reported internal consistency reliability of 0.92 and a test re-test of 0.85. In a large U.S. sample of 2,465 individuals the total mean score was found to be 37.9 (std. dev. 8.5) [21].

The Parenting Stress Index-Short form (PSI-SF) [22] is a 36 item questionnaire with responses being recorded on a 5 point likert scale, which gives three sub-scales: Parental Distress (PD), Difficult Child (DC), and Parent-Child Dysfunctional Interaction (P-CDI), as well as a Total Stress score. The PD sub-scale measures parents' perceptions of their own behaviour including perceived competence, marital conflict, views of social support, and life restrictions because of the parenting demands. The PCDI sub-scale measures the parents' view of expectations and interactions with their child, and the DC sub-scale measures the parents' perceptions of their child's temperament, demandingness, and compliance. The scale has been used in studies as diverse as exploring the impact of being child sex abuse survivors [23] to having a child with juvenile idiopathic arthritis [24].

It is frequently used to assess the effectiveness of parenting programmes [25], and in the context of this study, it has been used widely in studies assessing parental stress in families with children with ASC [26]. However, some individual items have been judged to perform less well in this population, and after a re-evaluation of the elements Dardas and Ahmad [27] have recommended a variation to the standard scoring be made to improve its validity. This involves deleting questions 19, 22, and 24 from the Parent-Child Dysfunctional Interaction subscale; deleting questions 31, 32, and 33 from the Difficult Child subscale, and moving the scores from questions 18 and 21 to the Difficult Child subscale. The overall effect of these changes leaves the Parental Distress and the Difficult Child subscales unchanged, but the cut-off for the Parent-Child Dysfunctional Interaction is reduced by 17, and that of the Total Score is reduced by 15. With this re-structuring the Cronbach alphas for the subscales are the same, or better than the original structure, namely 0.91 for parental distress, 0.86 for parent-child dysfunctional interaction, 0.87 for difficult child and 0.92 for the total score [27]. On the subscales, high scores represent higher levels of stress, with scores above the 90th percentile considered high and scores below the 15th percentile deemed low.

To explore if in the present study sample this variation showed a similarly improved pattern of cumulative variance, a principal components analysis with varimax rotation was performed. This compared the 36 items in the original PSI scale and with the modified 30 items, and

revealed that the loading of the 30 items on the three factors accounted for 46.4% of the cumulative variance, with the 36 item version returning a result of 39.6%. It was thus decided to report the results using the Dardas and Ahmad correction.

All statistical analyses were conducted with SPSS version 21.0 (SPSS for Windows Inc., Chicago, IL, USA), with results presented as means and standard deviations, and analysis undertaken using Student's t-test, two tailed. The numerical scores are analysed using chi-square test (χ^2), with correlations reported as Pearson's r score.

RESULTS

The Parenting Stress Index scores (using the Dardas and Ahmad correction) are shown in Table 1. This shows that the number of mothers reporting very high levels of parental stress was highest among the families of primary aged children (63% for boys; 54% for girls), and the gender difference at this age group proved to be significant ($\chi^2 = 6.44$, $p < 0.01$). At the secondary age level the boys mothers reported less parental stress than the girls ($\chi^2 = 6.44$, $p < 0.01$), and less than the mothers of the younger boys ($\chi^2 = 5.01$, $p < 0.02$). This pattern was also evident when considering the Parental Distress score, with 80% of the primary boys mothers reporting significant distress, compared to 36% of the mothers of the secondary boys ($\chi^2 = 14.46$, $p < 0.0001$). The mothers of the girls showed a reversal of this trend, with all of the mothers of the senior girls reporting significant distress, compared to 69% of the primary girls mothers, but the small sample size prevented the difference reaching statistical significance. However the higher level of distress in the mothers of secondary aged girls was statistically significant when the genders were compared ($\chi^2 = 9.94$, $p < 0.002$).

The Parent Child Dysfunctional Interaction subscale again showed a relatively large number of parents in each of the groups reporting dysfunction in their interaction with their children. In the boys families this was markedly less in the older age group ($\chi^2 = 5.92$, $p < 0.014$), with the trend reversed in the reports by the girls mothers. When the scores for the mothers of the secondary aged children were compared this reversal proved noteworthy ($\chi^2 = 5.61$, $p < 0.017$).

Given the nature of children with ASC it would not be surprising to find that the Difficult Child subscale returned high scores. However the number of families in each group who did report marked difficulty was comparatively modest (18% for boys; 38% for girls), with the small number of teenage girls making a significant contribution to this latter result. The reduced frequency in older boys, when compared to the families of younger boys was statistically significant ($\chi^2 = 4.72$, $p < 0.02$).

The results from the dimensions of cohesion and flexibility of the FACES IV questionnaire are shown in table 2. This shows that there was little difference in the average scores between the mothers of primary aged and teenage boys on both the cohesion ($t(77) = 1.07$, NS), and flexibility scales ($t(77) = 0.6$, NS). The mothers of girls were fewer in number, but although the average of the cohesion scale shows no significant difference between the age groups ($t(19) = 0.7$, NS), the flexibility score was higher in the adolescent group ($t(19) = 2.2$, $p < 0.04$). Comparing the average scores by gender reveals no significant difference between the sexes on the cohesion scale at primary level ($t(65) = 0.93$, NS), but higher mean scores for the mothers of boys of secondary age ($t(31) = 2.87$, $p < 0.01$). The average scores on the flexibility scale show no significance between the mothers of the boys and the girls at either of the age points.

The basic hypothesis of the Circumplex Model is that “balanced” families will be more satisfied with their system than “unbalanced” families. The ratio scores were developed by the Minnesota team to measure the level of balance versus unbalance in the family system, with a score over 1 indicating a balanced or healthy system. Given the range of scores that were achieved on the core scales, these ratios also permit actual numbers who are showing difficulty to be identified. Using this ratio calculation (table 2), it is clear that most of the mothers are reporting a balanced (i.e. healthy) pattern to their family life, but a smaller percentage of the mothers of the primary aged boys reported reduced cohesion than the mothers of the primary aged girls, a trend that was not evident in the families of the senior pupils. In addition, there was an increase in the percentage of mothers of boys in the secondary age group reporting difficulties with cohesion over those of primary age. However the percentage of mothers of girls who reported having low family cohesion was not different between the age groups. In terms of flexibility, the unbalanced ratio for the families of the boys, both in primary and secondary, was very similar, and it was the mothers of the senior girls who reported the most difficulties with flexibility.

The results from the analysis of the satisfaction scale indicate that a large number of the families had low levels of satisfaction, with around 10% reporting the level to be very low. The mothers of the adolescent boys reported less concern with satisfaction than the parents of primary age boys, while the eight mothers of adolescent girls all reported dissatisfaction with family life, compared to 69% of the mothers of the primary aged girls. Comparing the reports by gender, the scores from the mothers of the primary aged children showed no significant difference ($t(65) = 1.77$, NS), but in the secondary age group the poorer average score from the mothers of the girls was significant ($t(31) = 2.4$, $p < 0.02$). When these results are compared to the instrument norms offered by Olson and Wilson [21] (table 3), the boys’ mothers scores show no significant variation from those norms ($t(2542) = 1.04$, NS), while the scores from the mothers’ of the girls indicate they were significantly less satisfied ($t(2484) = 4.71$, $p < 0.001$).

In terms of communication, there was a degree of consistency among the mothers with around 25% of them reporting low levels of communication, and about 10% reporting the communication to be very low. Given this relative consistency, it is perhaps not surprising that none of the inter-comparisons reached statistical significance. When the results are compared to the instrument norms offered by Olson and Wilson [21] (table 3) it is clear that the mothers of the primary aged boys reported a greater level of communication than the published norms, and this difference was highly significant ($t(2517) = 4.63$, $p < 0.001$). The scores from the mothers of the primary aged girls show a similar tendency, but the small sample size and wide spread of scores prevented this from reaching statistical significance ($t(2476) = 1.75$, NS).

The subscales generated by the FACES IV questionnaire offer a more in-depth look at family functioning. The results (table 4) show that none of the families had high levels of disengagement, but some of the mothers reported low disengagement, predominantly the mothers of the boys. 39% of the primary aged boys’ mothers reporting they had very low disengagement, and when compared to the scores from the mothers of secondary aged boys this difference proved to be significant ($c2 = 4.14$, $p < 0.04$). Some of the mothers of the primary aged girls also reported very low levels of disengagement, but this was not present in the senior aged sample. However the small numbers involved meant this did not reach statistical significance. The enmeshed sub-scale is not measuring the reverse of the disengaged sub-scale, rather its focus tends to be towards the emotional links (e.g. “Family members are too dependent on each other”). Again none of the mothers reported having very high enmeshment, but the mothers of the primary aged children did tend to report very low levels

(boys = 41%, girls 31%). This level was significantly less than reported by the mothers of the adolescent boys ($\chi^2 = 4.74, p < 0.02$), and the zero from the mothers of the teenage girls, but there were only eight families in this group ($\chi^2 = 3.04, NS$).

The mothers of girls did not report very high levels of rigidity in their functioning, though a small number (8%) in the primary aged group did report very low levels. In the group with primary aged boys 17% reported very high rigidity, but there was none reported by the mothers in the teenage group, and this difference proved to be statistically significant ($\chi^2 = 4.70, p < 0.03$). Finally none of the mothers reported very high chaotic functioning, with nearly half (48%) of the mothers of the primary aged boys reporting very low chaotic functioning (i.e. highly organised, firm and clear family routine and structure), and this was significantly less evident in the scores from the mothers of the adolescent boys ($\chi^2 = 9.61, p < 0.002$). The mothers of the girls reported a similar, though less frequent, pattern (23% of primary and 13% of secondary reported very low chaotic function), but none of the comparisons reached statistical significance.

To explore the relationship between the questionnaire scores, Pearson's correlation calculations were undertaken using the data split by age and gender. No significant associations for the families of the primary aged boys or girls were found. The number of families of secondary aged girls was relatively small and therefore the lack of significant findings in this age group was not surprising. However carrying out a Pearson correlation on the questionnaire data provided by the mothers of the secondary aged boys did produce one statistically significant result, a negative association between the levels of parental distress and scores on the chaotic subscale ($r = -0.68, n = 25, p < 0.01$). When the calculations were repeated controlling for age, the data from the mothers of the girls also showed this significant negative correlation between the levels of parental distress and scores on the chaotic subscale ($r = -0.44, n = 21, p < 0.05$). This negative association indicates that families where there was a clear structured pattern to family life (i.e. markedly non-chaotic family functioning) tended to report higher levels of parental distress.

The results from the PSI had highlighted that in the families of teenage children the mothers of girls tended to report differing patterns from the mothers of boys. To try to gain a more general picture, a Pearson correlation was carried controlling for gender in the secondary-aged pupils (table 5). This showed significant negative associations between total stress on the PSI and the disengaged and chaotic subscales of the FACES IV. The P-CDI subscale also showed a negative association with the Chaotic scale. These findings tend to reinforce the view that families with highly organised, firm and clear family routine and structure (i.e. notably low scores on the chaotic subscale of the FACES IV) report higher levels of parental distress and concerns about interaction with their child.

DISCUSSION

It has long been recognised that mothers of children with ASC experience a high level of stress [28], and that this is probably at a greater level than that experienced by parents of children with other developmental difficulties [29, 30]. The results from this study point to the highest level of parental stress within this group being felt by the mothers of adolescent girls, though the sample size was small. By contrast, it was the mothers of younger boys who reported the greater level of stress when considering the families of the boys. This pattern was also evident in other measures. Parent-Child Dysfunctional Interaction, and viewing the child as difficult, were reported less by the mothers of teenage boys when compared to the scores from the

mothers of younger boys. However higher rates were reported by the mothers of teenage girls. This discrepancy with gender was also echoed in the results obtained from the FACES IV. The mothers of girls viewed their families as less cohesive than did the mothers of boys, and adolescent girls tended to be living in families where the mothers reported poorer flexibility in family functioning.

With such perceptions, it is not surprising that the mothers tended to report relatively low levels of satisfaction with family life, with average scores which were significantly below the published norms, and again the highest scores were from the mothers of the older girls. The numbers in this group was small, but this is a statistically significant finding, and it is tempting to speculate why this should be. Many studies have demonstrated that a child's disabilities have a greater impact upon the mother than the father (e.g. Hastings and Brown [11], Herring and colleagues [12]), and there is a longstanding body of evidence reporting on the positive and influential nature of the mother – daughter relationship [31, 32]. Could the lack of satisfaction in this particular group of mothers be driven by their struggle in coming to terms with not having the relationship with their teenage daughter for which they had perhaps hoped? A more in depth exploration would be necessary to explore this thread more fully, but the possibility is intriguing.

The relatively large number of mothers of the younger boys who reported low chaotic and low disengagement patterns tends to emphasise that these families strived for structure and routine. Meanwhile the pattern of low enmeshment points to these elements of family life being delivered in a muted emotional environment. Overall the trends described seem to mirror somewhat the characteristics of a child with ASC. It has been suggested that young children with developmental disabilities may experience simple tasks and activities, and even typical parental expectations, as aversive [33]. However, children with ASC have also been shown to respond to wider family functioning [34], and it may well be that an iterative pattern of modelling is taking place in these families. Perhaps reflection by the family of a modified pattern of the child's behaviour is then imitated by the child, prompting a small positive shift in functioning. If this were a continuous process this would explain the improvements in adaptability that are evident from the reports of the mothers of the senior aged children in this study, and be consistent with the improving family function that is said to emerge in most families over time [35], although this does to some degree depend upon the child's daily living skill functioning level [36].

To function well within a family good communication is important, and it might well be considered to be even more important if the family is parenting a child with ASC. On average, in this study, the families of the younger boys reported better levels of communication than those indicated by the published norms, though some families were clearly struggling. Overall, these results add to a growing picture of how families of children with ASC tend to cope with the tribulations of parenting their children, a picture which seems relatively independent of culture. For instance in a community sample in the United States, the mothers of children with ASC reported being highly stressed and tended to have relatively poor mental health [9]. In Taiwan the mothers of children with ASC reported experiencing a significantly lower level of family cohesion and adaptation than they expected, as well as reporting a greater dissatisfaction with family life in general than reported by controls [37].

To our knowledge this is the first study in a western population using the variation of the Parenting Stress Index recommended for families of children with ASC [27]. The PSI short form has been seen as having reasonable validity [38], but this has been questioned [39], especially

in families with children with ASC [27, 40], in part because the P-CDI and DC sub-scores are considered to have different qualities in these families [41]. The revision undertaken by Dardas and Ahmad [27] produced a scale with 6 fewer items, and yet in this study sample the three factors of the scale showed better cumulative variance than the original version. This suggests the new scoring format may give a more accurate reflection of the issues faced by parents of children with ASC than the original one.

There are a variety of caveats that need to be highlighted when considering the results from this study. The sample was drawn from a small geographical area, and although the schools were in different local authorities, there could be a heterogeneity to the parental functioning that would not be found elsewhere. It is also important to view with some caution results obtained using a variation of the PSI. This is reported to have a better validity in an ASC population than the original structure, but being established in an Arab population means it may not have the same superiority in a western population. However, although not a full validation study, the results here from a western community population do show similar improvement in cumulative variance when using this scoring correction.

It has been found previously [39] that aggregating results from different age groups can distort findings, and to avoid this the data has been considered separately by age and gender. This has led to a relatively small sample of mothers of girls, and therefore the interesting results that this gender splitting has produced need to be viewed with caution. Finally the information presented was obtained from mothers, and it has been emphasized that differences in family patterns do occur depending upon which member of the family is completing the instrument [42].

CONCLUSION

The results from this study echo the findings from previous work in several countries that parents of children with ASC experience significant stress. The present study suggests that the level of stress may ease somewhat as boys mature, and perhaps increase as girls move into adolescence. Despite these variations with age, the levels of stress remain at higher levels than those seen in parents of typically developing children. Children with ASC crave predictability and routine, but the findings of this study suggest that those families who respond to their child's ASC by being highly organised, with firm and clear family routines and structure, tend to experience the higher levels of parental distress. They also report more concern about their interaction with their child. Such variations are important to understand when trying to support families who are parenting a child with ASC.

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Table 1 - The scores from the Parenting Stress Index using the Dardas & Ahmad correction

	Defensive Responding		Parental Distress (PD)			Parent-Child Dysfunctional Interaction			Difficult Child (DC)			Total Score		
	Mean	Std. Dev.	Mean	Std. Dev.	Percentage above cut-off of 40	Mean	Std. Dev.	Percentage above cut-off of 28	Mean	Std. Dev.	Percentage above cut-off of 40	Mean	Std. Dev.	Percentage above cut-off of 99
Boys (n=54)	20.61	5.39	37.15	9.22	33%	19.98	6.61	78%	27.13	6.77	21%	84.27	20.73	43%

	Seco ndary (n=25)	22. 35	5. 40	39. 92	9. 77	16%	20. 42	5. 99	28%	26. 92	3. 83	4%	87. 28	17. 46	16%
	Total (n=79)	20. 92	5. 40	37. 64	9. 32	28%	20. 06	6. 47	62%	27. 10	6. 33	15%	84. 81	20. 12	34%
Gi rls	Prima ry (n=13)	22. 16	5. 68	40. 00	9. 86	38%	21. 00	6. 31	62%	27. 83	6. 42	23%	88. 83	18. 79	46%
	Seco ndary (n=8)	24. 66	5. 63	44. 11	9. 66	63%	23. 66	6. 89	88%	33. 00	8. 44	50%	100. .77	23. 92	83%
	Total (n=21)	23. 23	5. 66	41. 76	9. 75	48%	22. 14	6. 53	71%	30. 04	7. 61	33%	93. 95	21. 44	57%

Table 2 - The scores of cohesion and flexibility from the FACES IV and the Satisfaction and Communication scales

		Balanced Scales						Satisfaction			Communication		
		Cohesion			Flexibility								
		Me an	Std. Dev.	percen tage with unbala nced ratio < 1	Me an	Std. Dev.	percen tage with unbala nced ratio < 1	Me an	Std. Dev.	No. below cut- off (low/v ery low)	Me an	Std. Dev.	No. belo w cut- off (low/ very low)
Bo ys	Prima ry (n=54)	59. 92	12.3 4	5%	51. 55	11.6 7	27%	36. 00	17.8 7	72%/1 1%	46. 55	17.4 1	24%/ 9%
	Seco ndary (n=25)	63. 45	11.8 4	12%	49. 9	9.52	28%	35. 27	18.4 8	40%/0 %	42. 63	23.7 7	23%/ 12%
	Total (n=79)	60. 41	12.2 5	7%	51. 32	11.3 6	28%	35. 89	17.8 4	62%/8 %	46. 01	18.3	24%/ 10%

Girls	Primary (n=13)	55.75	15.27	15%	52.66	7.61	23%	28.41	13.02	69%/15%	43.08	21.74	30%/15%
	Secondary (n=8)	51.77	9.54	13%	43.77	9.70	50%	24.11	8.35	100%/12%	38.66	13.08	25%/12%
	Total (n=21)	54.04	12.99	14%	48.85	9.48	33%	26.57	11.22	81%/14%	41.19	18.26	28%/14%

Table 3 - Comparison of the Satisfaction and Communication scales scores with the published norms (Olson & Wilson 1989)

	Satisfaction					Communication					
	study population		published norms (N= 2465)		t-test	study population		published norms (N= 2465)		t-test	
	Mean	Std. Dev.	Mean	Std. Dev.		Mean	Std. Dev.	Mean	Std. Dev.		
Boys	Primary (n=54)	36.00	17.87	} 37.9	8.5	} 0.71	46.55	17.41	} 36.2	9.0	} 1.34
	Secondary (n=25)	35.27	18.48				42.63	23.77			
	Total (n=79)	35.89	17.84				46.01	18.3			
Girls	Primary (n=13)	28.41	13.02	} 37.9	8.5	} 4.66***	43.08	21.74	} 36.2	9.0	} 0.53
	Secondary (n=8)	24.11	8.35				38.66	13.08			
	Total (n=21)	26.57	11.22				41.19	18.26			

* = p < 0.05, ** = p < 0.01, *** = p < 0.001

Table 4 - Analysis of the four unbalanced subscales of the FACES IV

		Disengaged			Enmeshed			Rigid			Chaotic		
		Me	Std	percen	Me	Std	percen	Me	Std	percen	Me	Std	percen
		an	De	tage	an	De	tage	an	De	tage	an	De	tage
			v.	over		v.	over		v.	over		v.	over
				cut-			cut-			cut-			cut-
				offs			offs			offs			offs
				(very			(very			(very			(very
				high/			high/			high/			high/
				very			very			very			very
				low)			low)			low)			low)
Boys	Primary (n=54)	37.04	14.98	0%/39%	32.17	13.09	0%/41%	49.27	19.52	17%/6%	33.50	17.09	0%/48%
	Secondary (n=25)	33.00	21.03	0%/16%	28.09	13.54	0%/16%	52.18	16.74	0%/0%	36.18	22.09	0%/12%
	Total (n=79)	36.48	15.85	0%/31%	31.72	13.11	0%/33%	49.68	19.08	11%/4%	33.87	18.50	0%/37%
Girls	Primary (n=13)	41.08	12.85	0%/15%	36.75	16.05	0%/31%	47.91	17.68	0%/8%	38.83	17.07	0%/23%
	Secondary (n=8)	48.33	11.96	0%/0%	38.44	9.18	0%/0%	48.55	14.65	0%/0%	42.44	22.02	0%/13%
	Total (n=21)	44.19	12.71	0%/9%	37.47	13.27	0%/19%	48.19	16.06	0%/5%	40.38	19.03	0%/19%

N.B. - <80% is "very high" and <26% is "very low"

Table 5 - Pearson correlation of the PSI results for the teenage children, controlling for gender

	Balanced Cohesion % Score	Balanced Flexibility % Score	Disengaged % Score	Enmeshed % Score	Rigid % Score	Chaotic % Score	Family Communication % Score	Family Satisfaction % Score
PD	0.33	0.08	-0.55*	-0.48	-0.13	-0.54*	0.14	0.27
P-CDI	0.03	-0.25	-0.48	-0.47	-0.19	-0.59*	-0.04	0.07
DC	0.07	-0.20	-0.37	-0.25	0.22	-0.48	-0.33	-0.16
Total Stress	0.17	-0.12	-0.56*	-0.45	-0.05	-0.59*	-0.06	0.08

Re-masculinization of the teaching profession: Towards a policy of attracting, recruiting and retaining male teachers in the Trinidad and Tobago school system

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Abstract

In response to repeated calls for the re-masculinization of the teaching profession, some governments have implemented policy decisions aimed at attracting, recruiting, and retaining male teachers in the school system. In this qualitative study, a purposive sampling method was used to obtain information from twenty-four participants about the type of men needed in the Trinidad and Tobago school system. Findings of the study revealed that preference was given to men who are father figures and positive role models for young boys. Such individuals should also be good disciplinarians, and physically strong men who exhibit a hegemonic masculinity. While the male role model argument resonated well with many of the respondents in the study, policy brokers were advised not to use gender as the sole basis for recruiting men into the teaching profession. Rather, those persons should demonstrate sound pedagogical skills and competence in teaching all children.

Keywords: re-masculinization, teaching profession, policy, attracting, recruiting and retaining male teachers, school system

INTRODUCTION

Several governments, media practitioners, and scholars worldwide have expressed concern over what appears to be the increasing feminization of the teaching profession (Drudy, 2008; Fischman, 2007; Albisetti, 1993; Trouvé-Finding, 2005). This is not surprising since it is well-known that women make up more than ninety percent (90%) of primary teachers in many countries including Brazil, Russian Federation, Italy, Slovakia, the United States, United Kingdom, and Ireland (Drudy, 2008). A similar trend exists in Trinidad and Tobago where women account for seventy-eight percent (78%) of primary teachers and sixty-nine (69%) of secondary teachers in the school system (Trinidad and Tobago, Ministry of Education (MOE, 2014). Given the small size of the male teaching population, some governments have been persuaded to formulate policies aimed at recruiting and retaining male teachers in the school system. While some feminist/pro-feminist groups have criticized such policies, very little has been done to offer any alternative solution to address the shortage of male teachers in the school system (Skelton, 2009).

LITERATURE REVIEW

Research has shown that men who choose to stay in the teaching profession do so because of what they describe as a passion for teaching as well as a desire to be positive role models for young boys (Joseph, 2015). Kindler and Thompson (1999) provide support for this position in their argument that: "Boys benefit from the presence of male teachers and authority figures as role models of academic scholarship, professional commitment, moral as well as athletic leadership and emotional literacy. The presence of men can have a tremendously calming

effect on boys” (p.50). Cushman (2008) provides further insights into what school principals regard as the specific attributes of the male role model. The study found that school principals generally preferred strong, stoic, athletic, heterosexual men who exhibit a hegemonic masculinity.

Repeated calls have been made for the re-masculinization of the teaching profession through government policy decisions aimed at attracting, recruiting, and retaining male teachers in the school system. One striking example can be found in an Australian education policy document in the state of Queensland (Education Queensland, 2002). This policy document entitled, the Male Teachers’ Strategy (2002-2005), provides a rationale for Queensland’s attempt to increase the number of male teachers in government schools. Mills, Martino, and Lingard (2004), argue against the very premise on which such a policy was developed, that is, male teachers provide boys with much needed role models. Faulstich-Weiland (2013) believes that men should not be employed principally as role models for boys; rather, they should be good teachers for all children.

Those who argue for a greater male presence in schools suggest that boys are generally disadvantaged or harmed by schools and society (Biddulph, 1998; Pollack, 1998; & Sommers, 2013). Condemned as mythopoetic literature, such works like *Manhood: an action plan for changing men’s lives* (Biddulph, 1995) and *Raising boys* (Biddulph, 1997) have been criticized for their anti-feminist politics (Gilbert & Gilbert, 1998; Lingard & Douglas, 1999; Mills, 2000). Notwithstanding the pro-feminist challenge against male teacher recruitment drives, Skelton (2009) believes, that such policy initiatives fail largely because they focus more on gender rather than on broader constructions and understandings of what it means to be a teacher. Haase (2008) also cautions policy-makers that the employment of male teachers may not be in the best interests of gender justice unless such strategies designed to attract more male teachers are informed by sophisticated understandings of gender and social power.

There is a clear gap in the literature on policy initiatives for attracting, recruiting and retaining male teachers in the Caribbean school system. While the debate on male attrition rages in the international arena, very little attempt has been made to address the issue of re-masculinization of the Trinidad and Tobago teaching profession. This study attempts to fill the gap by bringing the discourse into the Caribbean arena.

PURPOSE OF THE STUDY

The purpose of the study was to explore the notion of a re-masculinization of the teaching profession through government policy decisions aimed at attracting, recruiting, and retaining male teachers in the Trinidad and Tobago school system. Three research questions served to focus this investigation:

1. What kind of men does the Trinidad and Tobago school system need?
2. What are the obstacles to successful retention of male teachers into the Trinidad and Tobago school system?
3. What should be the primary focus of any policy aimed at attracting, recruiting, and retaining male teachers into the Trinidad and Tobago school system?

METHODOLOGY

Description of the Participants

A purposive sampling method was used to obtain information from twenty-four (24) participants including teachers, deans, heads of departments, and principals in the Trinidad

and Tobago school system. Based on their teaching experience, these participants were categorized as novice teachers with 0-5 years' experience; developing professionals with 6-20 years' experience; and veteran teachers with over 20 years' experience. Table 1 provides additional demographic information of all participants of the study.

Table 1. Demographic Data of Participants

<i>Gender</i>	<i>Novice Teachers</i>	<i>Developing Professionals</i>	<i>Veteran Teachers</i>
13 Males	3 male teachers with 0-5 years' teaching experience	5 male teachers with 11-20 years' experience. 1 teacher holds the position of dean	5 male teachers with over 30 years' experience holding the following positions: ✓ senior teacher (2) ✓ dean (1) ✓ principal (2)
11 Females	2 female teachers with 0-5 years' teaching experience	2 female teachers with 16-20 years' experience. 1 teacher holds the position of acting principal	7 female teachers with over 30 years' experience holding the following positions: ✓ university lecturer (1) ✓ head of department (1) ✓ principal (4) ✓ teacher (1)

DESIGN

Qualitative interviews were conducted utilizing eight standardized, open-ended questions for all twenty-four participants of the study. These questions were designed to explore the issue of re-masculinization of the teaching profession as well as the idea of developing a policy for attracting, recruiting, and retaining male teachers in the Trinidad and Tobago school system. Some of these questions centred on the role of the male teacher in the school system; the versions of masculinity male teachers need to promote; and the focus of government policy on the recruitment of male teachers in the teaching profession.

Procedures and Data Analysis

Standardized, open-ended interviews were used as the data collection method for this study. Although in this design participants were asked to provide open-ended responses, some of these responses were written to allow respondents the freedom to fully express their viewpoints and experiences in any way they feel most comfortable (Gall, Gall & Borg, 2003). While this approach presents additional difficulty with coding the data, it reduces researcher biases within the study (Creswell, 2007; Gall, Gall & Borg, 2003). All interviews took approximately one hour and were transcribed verbatim.

Data analysis for this study consisted of examining, categorizing, and tabulating the evidence to address the three research questions of the study (Yin, 2003). The following four themes emerged from information provided by participants of the study:

1. Versions of masculinity male teachers need to promote
2. Role of the male teacher in improving boys' educational and social outcomes
3. Obstacles to successful retention of male teachers
4. Focus of policy aimed at attracting, recruiting and retaining male teachers

RESULTS

Versions of Masculinity Male Teachers Need to Promote

When asked to describe the type of men needed in the Trinidad and Tobago school system, novice male teachers suggested "dedicated, strong-willed men with self-worth, self-confidence

and proper morals.” They also wanted those men to be “mentors for boys who would promote healthy versions of manhood – how to be a good husband and father.” Novice male teachers identified not only patient and dedicated men for the profession, but also “physically strong men who will not use their strength for abuse.” Novice female teachers expressed similar sentiments while stressing the need for “men capable and willing to lead by example...men of good character, role models, leaders and father figures who are firm but also caring and never harsh.”

Developing male professionals were able to identify versions of masculinity male teachers should promote. These include the “hard-working, responsible, caring and committed” type of males as well as those who can “balance firm discipline with patience and acceptance of boyish behaviours.” One respondent in this group characterized the type of masculinity needed in schools in this way:

“The teaching profession needs dedicated professionals who can demonstrate values of positive masculinity, strength and discipline ... men who are leaders, strong physically, mentally and emotionally...men who are well-rounded.”

Developing female professionals also favour what they describe as “stern, serious, respectable, honest, decent and hardworking men.” These men should possess fatherly and Godly characteristics. Participants agreed that the teaching profession needs not only men with “high moral and ethical values” but also men who are “qualified and dedicated to the profession.”

Like the other participating groups before, veteran male teachers also envision a type of masculinity that “promotes high moral values that boys can emulate.” This group described the preferred version of masculinity in this way:

“Assertive, confident and manly persons who have the well-being of children at heart...men who love to motivate children to excellence, and show respect for self and women.”

Commenting on the type of men they want to see in the teaching profession, one veteran female teacher had this to say:

“We need men who will definitely be father figures for the children in the school system. Too many children lack the presence and the influence of a father in their lives and the male teacher could play an important role in filling that gap. In addition, the male teacher should demonstrate a sense of responsibility and be committed to teaching and should possess qualities such as caring, compassion and respect for students.”

Another veteran female teacher cautioned:

“Our society, to a certain extent, still associates certain roles/tasks with males and others with females. Thus the school needs to equip male students with skills and values pertinent to being males in our society. However, the school should not only promote one version of masculinity. In preparing male students for an all-round education, they should be made aware that they are being prepared to achieve independence and to become self-sufficient.”

The general consensus among veteran female teachers seems to be that the school system needs men who are “exemplars, assertive and strong; firm but fair; courageous not effeminate; well-groomed and respectable...men who will make a difference in the lives of young boys.”

Role Of The Male Teacher In Improving Boys’ Educational And Social Outcomes

The majority of respondents agreed that male teachers have an important role to play in improving boys’ educational and social outcomes in the school system. One novice male teacher explained:

“There are certain episodes and occurrences that boys will feel comfortable talking to a male teacher about. Boys would always feel they have hope when they have male teachers. They will have hope of becoming someone important and also they will achieve [success] when they have exemplary teachers as role models.”

Another view from a novice male teacher is that “men should come into the teaching system to champion the education of boys with extra-curricular and co-curricular activities...a male teacher should be the man he wants his male students to become.”

Novice female teachers believe that the school system needs “a balance where male to female teacher ratio is concerned. Male teachers need to act as role models and be able to teach life skills to boys who lack a male figure in the family.” But according to one novice respondent, “it depends on whether the male teacher is capable and willing to promote a better society through our students.”

Teachers in the developing male professional group also concur that male teachers have a role to play in in improving boys’ educational and social outcomes. This is what one participant had to say:

“The underlying causes of boys’ achievements are linked somewhat to social issues of male identity. Increasing the number of male teachers in the school system might prevent boys’ [negative] behaviours and improve achievement.”

Another male respondent from this group puts it this way:

“Male teachers tend to command a greater sense of discipline and respect...male teachers can teach boys to be responsible persons. Boys tend to look to adult males for guidance.”

Drawing from his own experience, one developing male professional had this to say:

“I have watched some female teachers and some mothers attempt to regulate boys’ behaviour and I am convinced that if given their own way, some women will raise all boys as girls. They will limit the range of activities boys usually engage in and try to restrict their behaviour and thinking to those more appropriate to girls... It is not that all women have no perspective on maleness; but for some reason, perhaps their upbringing, some have less than others. It is tragic if boys are caught in a system where there are no male models or with teachers that do not understand the needs or psyche of the male.”

Teachers in the developing female professional group seem divided on the issue of the role of men in improving boys' educational and social outcomes. One of them agrees with the position on the condition that "these men possess the qualities to be a positive role model." This respondent believes that once this happens, "younger male students would eventually improve in terms of education and social outcomes."

However, another teacher in this group strongly disagrees with the assertion. She says:

"There is no direct relationship. It has not been proven. I haven't seen any research on that... Most of the problems do not stem from male absence in the school, but the male presence may be an asset."

Like the other two groups before, veteran male teachers also differ in their views regarding the role of male teachers in improving boys' educational and social outcomes. While some agree with the idea of a male role model claiming that "men teachers communicate better with boys," others provided a more cautious response. One such response was:

"Not necessarily. It is the type of men that is important and just increasing the amount of males in schools won't make the difference. We have to attract a certain type of males, not just anyone. The Ministry of Education has to establish some type of system to select. Male teachers should lead by example. They have to be positive role models."

This veteran female teacher was just as cautious as her male counterpart. When asked whether she feels that increasing the number of male teachers in schools will lead to improving boys' educational and social outcomes, this is what she had to say:

"Not really. Increasing the number of male teachers who do not have their heart in teaching or who do not know how to be a caring and compassionate person will have no significant impact on the educational and social outcomes for boys. However, I believe that male students do need to interact with more male teachers than what obtains at present. I must stress that the interactions must be positive."

Another veteran female teacher seemed to have a more optimistic outlook when she stated:

Yes, in cases of single parent households, male teachers may assist in giving our boys a better perspective on life by providing that father figure image and demonstrating the important role played by males in society."

Agreeing with this position, another female respondent concluded:

"I think so, but they [males] must uphold strict moral values and let the boys emulate what they do."

Obstacles to Successful Retention of Male Teachers

Participants from all three groups (novice teachers, developing professionals and veteran teachers) provided insights into what they believe to be the major obstacles to the successful retention of teachers in the Trinidad and Tobago school system. Here is a summary of the perspectives of female participants:

“Labelling of teaching as a female profession; unattractive salaries and the view that males are second best to females in the teaching system; too many female administrators; lack of upward mobility; teaching is seen as a baby-sitting club for women; men are often made to feel subservient to a female principal; men are viewed as not having the patience for the job; there is too much stress in teaching.”

Perspectives from the male respondents can be summarized as follows:

“Teachers are no longer held in high esteem; high stress levels cannot compensate for the remuneration; less males are attending schools and universities, so there are less male teachers to produce; curriculum is not boy-friendly enough; the view that teaching is a feminine profession; the tendency to place male teachers in high-risk school districts; emasculation of males by female leaders of the school.”

Focus Of Policy Aimed At Attracting, Recruiting And Retaining Male Teachers

Novice male and female teachers were asked what they believe should be the primary focus of any policy aimed at attracting, recruiting, and retaining male teachers in the teaching profession. These were their suggestions:

“There must be scope for promotion; provide allowances; have a system where increments would not be based solely on years of experience; salary and benefits must match other private sector jobs; create a forum for male teachers to express themselves.”

When presented with the same question, this is what developing male and female professionals had to say:

“Provide different levels of training; improve teaching conditions; offer salary incentives especially for those who work in high risk schools; engage in curriculum reform which promotes more skills-based subjects that would attract more male teachers; offer subjects that promote life skills opportunities; introduce more subjects that would interest males.”

One teacher in this group concluded that the primary focus of any policy should be “to recruit men with good morals and values. However, there must be stakeholder input from a wide cross section of the country’s teaching service.”

Veteran male and female teachers expressed strong sentiments on the issue of policy decisions needed to correct some of the ills of the school system. One male participant said:

“There is an imbalance in opportunities for men as opposed to women. For example, a woman may be appointed as principal of a boys’ school but never vice-versa. The policy should stipulate a set quota of male teachers for all co-ed and male schools. There should be no female principal and vice-principal in one school except in the case of a girls’ school.”

Another veteran male respondent felt that any policy decision should include improvements in salary for teachers. He says:

"There should be an increase in salary. The salary as a teacher is not sufficient to support a man and his family. How can a man support his wife and children on that salary? The cost of living is very high!"

One veteran female participant agrees that it is important to develop a policy to retain male teachers in the school system. She puts it this way:

"There is need to retain male teachers. It is not good for any society to have the males educated by females only. Already there is a problem of the absent father in the home. Many males are being raised by mothers alone, thus it is the duty of the school to make up for this apparent lack of adult male interaction in the home."

She continues:

"The primary focus of the policy should be to offer incentives for upward mobility in the teaching service. Male teachers need to display a sense of confidence about themselves and their job."

Other veteran female respondents concluded that:

"Any policy to attract and retain men should also be fair to women; it should seek to change the prevailing mindset about the teaching profession; it should focus on developing a balance in emotional, mental, physical and spiritual stability; it should aim to deal with discipline in schools; it should provide some sort of support system for male teachers because men cannot work well under pressure."

DISCUSSION

Three research questions set the parameters for this study. The first question focussed on the type of men needed in the Trinidad and Tobago school system. Results of the study mirror findings of earlier studies where respondents showed a clear preference for men who are father figures and positive role models for young boys. These individuals should also be good disciplinarians, and physically strong men who exhibit a hegemonic masculinity. (Kindler & Thompson, 1999; Cushman, 2008).

The suggestion that men should be positive role models implies that not all male teachers are considered acceptable models for young boys; and that gender alone is not a good enough reason for the recruitment of men into the education system. Participants of the study also want male teachers to exhibit high moral and ethical values as well as strong pedagogical skills. One respondent believes that while the male presence may be as asset, there is no correlation between improvement in boys' academic achievement and the presence of male teachers in the school. This sentiment finds support in Skelton's (2009) writings which point to the failure of policy initiatives regarding the recruitment of male teachers. Skelton (2009) believes that such policy initiatives fail largely because they focus more on gender rather than on broader constructions and understandings of what it means to be a teacher.

The second research question looked at obstacles that prevent the successful recruitment of male teachers into the teaching service. Apart from unattractive salaries and lack of upward mobility, participants of the study identified other push factors that steer men away from the school system. These include the perception that teaching is women's work; the emasculation of males by some female school principals and leaders; the tendency to place men in high risk

schools; and the lack of a boy-friendly curriculum in schools. In their critique of the school system, Biddulph (1998), Pollack (1998) and Sommers (2000) argue that boys are disadvantaged by schools and society and that schools are feminized. The perception that teaching is a highly feminized occupation does little to attract men to the profession.

The final research question asked: What should be the primary focus of any policy aimed at attracting, recruiting, and retaining male teachers into the Trinidad and Tobago school system? Participants provided a range of responses which included the issue of programme reform to facilitate a more boy-friendly curriculum; improved compensation packages and other incentives for male teachers; a quota system which takes into consideration the percentage of female to male teachers employed particularly in boys' schools; and a policy which addresses the problem of school violence and the role of the male teacher in administering discipline.

While most participants of the study focussed on gender as the basis for government policy to attract and recruit men into the school system, others have identified the need for men of integrity with sound pedagogical skills to get the job done. One respondent suggested that any policy to attract and recruit men should not only seek to change public perception about the teaching profession but such a policy must also be fair to women.

CONCLUDING COMMENTS

Like many studies before, this study has identified the need for the re-masculinization of the teaching profession in order to provide young boys with positive male role models. While the role model argument seems to resonate well with many, it should not be used as the sole basis for government policy to recruit men into the teaching profession. Findings of the study suggest that such a policy must take into consideration the competence and general suitability of the particular individual seeking entry into the teaching profession.

RECOMMENDATIONS

1. There is need for further investigation into what constitutes a positive role model for young boys and whether there is a relationship between positive role modeling and improvement in academic achievements among boys in the Caribbean classroom.
2. Further study should be conducted on a larger sample to determine what versions of masculinity male teachers need to promote in the Trinidad and Tobago school system.
3. Government policy brokers should be careful not to use gender as the sole basis for recruiting men into the teaching profession.

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How Bad Is Being Poor For Educational Performance? A Message from PISA 2012

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Abstract

This paper studies how high and low performance depends on the students' family environment, in the OECD countries, using the data on mathematical competencies in PISA 2012. In particular, we compare the results of those students coming from disadvantaged and advantaged families, identified with those in the first and fourth quartiles of the distribution of the index of Economic and Socio-Cultural Status. The results show that the differences in the educational systems between the OECD countries are larger than usually recognised. They also make it clear that socio-economic conditions strongly determine the distribution of high and low performers, with substantial differences between the countries.

Key-words: PISA, OECD, high and low performers, advantaged and disadvantaged families, discrimination from above and from below.

Disclaimer: The judgements contained in this paper express the views of the author and not those of the OECD or any of its state members.

INTRODUCTION

PISA is the acronym of the Programme for International Student Assessment (PISA). This is a triennial worldwide study, coordinated by the OECD, which provides the broadest dataset for the evaluation of the scholastic performance of 15-year-old schoolchildren's and the characteristics of their schools and families. The aim of the PISA is to help improving educational methods and outcomes by means of international comparisons based on empirical evidence. Some half a million students completed the assessment in 2012, representing about 26 million 15-year-olds in the schools of the 65 participating countries and large economies. Students also provide information on their personal background, their learning habits, their attitudes towards studying, and their engagement and motivation.

The PISA establishes six levels of educational proficiency, parameterized in terms of the scores of the tests that students perform for each subject. Each level incorporates new competencies to the former one. The distribution of the students into those levels of proficiency provides rich information on the functioning of educational systems, which is not reflected in the average scores or the associated ranking of countries. A simple inspection of the data regarding the distribution of the students among those levels of competence shows that there is a large diversity, even between countries with similar average scores. Those differences are particularly relevant at the tails (the percentages of high and low performers). The OCDE pays an increasing attention to those outcome distributions (see for instance OCDE (2014, vol. I, Ch. 2)).

Two among those levels of proficiency have a special significance, according to the OECD, as they provide the goalpost identifying high and low performance. Students with level 5 or above are considered as high performers whereas level 2 is associated to the baseline level of proficiency, so that those students below level 2 are regarded as low performers.

PISA also provides rich information on the students' family and school environment, in particular regarding socio-economic conditions that are summarised in an index of Economic and Socio-Cultural Status (ESCS). The ESCS is a composite measure made of the following variables: the International Socio-Economic Index of Occupational Status (ISEI); the highest level of education of the student's parents, converted into years of schooling; the PISA index of family wealth; the PISA index of home educational resources; and the PISA index of possessions related to "classical" culture in the family home. Combining the data on performance with those of socio-economic conditions permits evaluating the degree of equity of educational systems, in the understanding that more equity means less dependence of the results on the family environment.

The OECD offers several measures of the degree of equity of educational systems, linking average scores with family characteristics (e.g. the so-called socio-economic gradient or the share of resilient students). Yet the distribution of the students among the proficiency levels by social groups is not integrated in the institutional analysis of equity.

Our aim here is contributing to the literature on the analysis of how children's educational outcomes depend on the socio-economic characteristics of their families. This is a conventional issue addressed by the PISA reports and by many researchers, as it is well established that the family environment affects students' outcomes, at least since the Coleman's report in the mid Sixties (see for instance Willms (2006), Lefranc, Pistoletti & Trannoy (2009), Chechi & Peragine (2010), Ferreira & Gignoux (2011a, b), Gamboa & Waltenberg (2011, 2012), Carvalho, Gamboa & Waltenberg (2015), or Tansel (2015)). More specifically, we aim at studying how high and low performers are distributed among students coming from disadvantaged and advantaged families, identified with those in the first and fourth quartiles of the distribution of the index of Economic and Socio-Cultural Status (ESCS). Our approach is descriptive and the comparison will be made in terms of a simple measure of discrimination, much in the spirit of the Palma ratio that is common nowadays in the analysis of income distribution. We focus on the results for the OECD countries in the field of mathematics, which is the main subject in the 2012 PISA wave (the last results available). This is a particular way of enriching the evaluation of educational systems by incorporating part of the diversity that countries exhibit regarding the distribution of outcomes by levels of proficiency between social groups.

The paper is organised as follows. Section 2 presents the distribution of high, medium, and low performers in the OECD, illustrating on the between countries variability of the top and bottom levels of proficiency. Section 3 extends this analysis by studying how those distributions vary within countries as a function of socio-economic conditions. We also present for each country a binary measure of discrimination by comparing the ratios of high and low performers for advantaged and disadvantaged families. A few final words in Section 4 close the work.

HIGH AND LOW PERFORMERS

We have already mentioned that PISA considers level 2 as the baseline of proficiency at which students begin to demonstrate the skills that will enable them to participate effectively and productively in life. Those students below level 2 are thus considered as low performers. On the opposite side, students with level 5 or above are regarded as high performers.

Table 1 describes the correspondence between levels of proficiency and scores of the test (see PISA 2014, Ch. 15). We shall adopt the convention of calling medium performers to those students in levels 2, 3 and 4. The table also provides the percentage of students within each cell, for the OECD as a whole.

Table 1: High and Low performers in mathematics (PISA 2012)

Categories	High performers	Medium performers	Low performers
Scores	> 607	607 -420.1	< 420.1
OCDE students (%)	12.6	64.4	23

According to the PISA report, “At Level 2, students can interpret and recognise situations in contexts that require no more than direct inference. They can extract relevant information from a single source and make use of a single representational mode. Students at this level can employ basic algorithms, formulae, procedures or conventions to solve problems involving whole numbers. They are capable of making literal interpretations of the results.” There is evidence, particularly longitudinal studies developed in Australia, Canada, Denmark and Switzerland, showing that students who perform below Level 2 often face severe disadvantages in their transition into higher education and the labour force in subsequent years. Consequently, “the proportion of students who perform below this baseline proficiency level thus indicates the degree of difficulty countries face in providing their populations with a minimum level of competencies.” (cf. OECD (2014, vol. I, p. 68)).

“At Level 5, students can develop and work with models for complex situations, identifying constraints and specifying assumptions. They can select, compare and evaluate appropriate problem-solving strategies for dealing with complex problems related to these models. Students at this level can work strategically using broad, well-developed thinking and reasoning skills, appropriate linked representations, symbolic and formal characterisations, and insights pertaining to these situations. They begin to reflect on their work and can formulate and communicate their interpretations and reasoning.” (OECD (2014), vol. I, p. 63)).

Table 2 provides the information regarding the distribution of high, medium and low performers in the OECD countries. We have also included in the last column the average scores (the mean value of the students’ tests for each country) normalised so that the mean value of the OECD equals 1. The data show that the variability of the percentages of high and low performers among those countries, as measured by the coefficient of variation, is more than four and a half times that of that of medium performers (and more than seven and a half times that of the average scores). That is, the main differences between OECD countries in the distribution of the levels of proficiency appear at the tails. Korea and Mexico represent the largest differences, much higher than those corresponding to their average scores. Denmark and New Zealand are also two interesting cases, as they have the same average scores but rather different distributions.

Table 2: Distribution of High, Medium and Low performers in the OECD countries

Country	High performers	Medium performers	Low performers	Average scores
Australia	14,81%	65,52%	19,67%	1,021
Austria	14,29%	67,06%	18,65%	1,023
Belgium	19,54%	61,49%	18,96%	1,042
Canada	16,40%	69,78%	13,83%	1,049

Chile	1,58%	46,88%	51,54%	0,856
Czech Republic	12,88%	66,16%	20,96%	1,01
Denmark	9,97%	73,19%	16,84%	1,012
Estonia	14,60%	74,86%	10,54%	1,054
Finland	15,25%	72,48%	12,27%	1,05
France	12,89%	64,75%	22,35%	1,002
Germany	17,46%	64,81%	17,74%	1,04
Greece	3,90%	60,41%	35,69%	0,917
Hungary	9,26%	62,67%	28,06%	0,966
Iceland	11,15%	67,37%	21,48%	0,998
Ireland	10,65%	72,45%	16,90%	1,015
Israel	9,37%	57,13%	33,50%	0,944
Italy	9,92%	65,41%	24,67%	0,982
Japan	23,67%	65,27%	11,06%	1,086
Korea	30,90%	59,97%	9,13%	1,121
Luxembourg	11,23%	64,44%	24,33%	0,992
Mexico	0,63%	44,66%	54,71%	0,837
Netherlands	19,25%	65,96%	14,79%	1,059
New Zealand	15,00%	62,36%	22,64%	1,012
Norway	9,40%	68,29%	22,31%	0,991
Poland	16,74%	68,88%	14,39%	1,048
Portugal	10,63%	64,46%	24,91%	0,986
Slovak Republic	10,97%	61,57%	27,46%	0,975
Slovenia	13,71%	66,20%	20,09%	1,014
Spain	8,00%	68,39%	23,61%	0,98
Sweden	8,01%	64,92%	27,07%	0,968
Switzerland	21,37%	66,19%	12,44%	1,075
Turkey	5,87%	52,15%	41,98%	0,907
United Kingdom	11,83%	66,36%	21,81%	1
United States	8,77%	65,38%	25,85%	0,974
Coef. Var.	0,4720	0,0994	0,4497	0.059

The data in Table 2 clearly point out that the average scores do not reflect the existing differences between countries, as we are comparing countries in terms of a variable whose distribution has first been flattened within each county by taking expectations.

THE IMPACT OF SOCIO-ECONOMIC CONDITIONS

Comparing the distribution of high and low performers, as presented in Table 1, informs us about the different performance of the OECD educational systems. The next step in the analysis is finding out the relationship between the distribution of the levels of proficiency and the socio-economic characteristics of the population, within each country. Ideally, the level of proficiency achieved by a student should be independent on her family environment. This ethical principle is associated to the notion of equality of opportunity, developed by Arneson (1989), Cohen (1989), and Roemer (1993, 1998), among others. The idea is that the school should help compensating social differences so that the socio-economic characteristics of the

students should not determine their achievements. Let us remark that the PISA test is realised at the end of compulsory education for most of the participating countries. This is, therefore, an instance in which equality of opportunity is really important.

Equality of opportunity is certainly a lofty ideal, but there is evidence that some societies get closer to achieving it than others. Regarding compulsory education, results from PISA show that socioeconomically disadvantaged students in the OECD have much higher chances of being low performers than their socioeconomically advantaged peers. And, also, that they have much lower chances of being high performers.

We shall focus here on the distribution of high and low performers of schoolchildren coming from disadvantaged families vis a vis those coming from advantaged families. We identify disadvantaged families as those corresponding to the first quartile of the distribution of the index of Economic and Socio-Cultural Status (ESCS) (the bottom 25%). Advantaged families are defined here as those corresponding to the fourth quartile of the ESCS (top 25%).

Table 3 provides a first hint on how important is the family environment in the OECD.

Table 3: High and Low performers in the OECD by family type

	High performance	Low performance
Disadvantaged families	4,63%	37,16%
Advantaged families	24,68%	9,51%
Total	12%	23%

The data show that, on average across the OECD, almost 40% of students coming from disadvantaged families do not reach the baseline level of proficiency and less than 5% achieve the highest levels. The opposite is true for students coming from advantaged families: less than 10% do not reach the baseline level, while 25% do achieve the highest levels of proficiency.

Remark: A complete description of the distribution of the students between high, medium and low performers by quartiles of the ESCS, for each OECD country, is provided in the Appendix.

In other words, disadvantaged students are four times more likely to have competencies that put them at risk for their future participation in the labour market and society more broadly. In contrast, advantaged students are 5 times more likely than their disadvantaged peers to enjoy competencies that give them much better chances for the future.

The ratio of low performers between disadvantaged and advantaged students can be regarded as a rough measure of discrimination “from below” in an educational system. Similarly, the ratio of high performers between advantaged and disadvantaged students can be regarded as a measure of discrimination “from above”.

The degree of discrimination by socioeconomic status varies substantially between the OECD countries. Moreover, the type of discrimination, from below or from above, turns out to be very different within countries. Table 4 provides the data corresponding to the OECD countries. The definition of advantaged and disadvantaged families is country specific, that is, we have taken the first and fourth quartile of the ESCS distribution of each country. In this way we neutralise

the differences in wealth between the countries (even though the differences in the shape of the distributions remain).

Table 4: Discrimination “from below” and “from above” in the OECD countries

	Discrimination “from below”^(*)	Discrimination “from above”^(**)
Australia	4,3	4,5
Austria	5,2	5,7
Belgium	6,2	6,4
Canada	4,2	3,7
Chile	3,0	62,6
Czech Republic	4,6	7,6
Denmark	5,3	9,1
Estonia	4,9	3,6
Finland	4,4	3,4
France	8,7	8,7
Germany	5,2	5,4
Greece	3,2	30,1
Hungary	6,3	14,8
Iceland	2,8	3,3
Ireland	6,2	6,1
Israel	3,9	12,5
Italy	3,1	5,0
Japan	4,2	3,2
Korea	3,1	2,9
Luxembourg	5,3	10,4
Mexico	1,9	14,9
Netherlands	4,2	4,1
New Zealand	5,1	7,5
Norway	2,9	3,4
Poland	7,0	5,9
Portugal	6,0	8,4
Slovak Republic	5,5	10,6
Slovenia	4,9	6,3
Spain	4,8	6,9
Sweden	2,9	6,4
Switzerland	4,9	4,1
Turkey	2,5	10,5
United Kingdom	3,8	6,3
United States	4,3	7,9
OECD	3,9	5,3

(*) Number of times that a disadvantaged student gets a level below 2 with respect to an advantaged one.

(**) Number of times that an advantaged student gets a level 5 or above with respect to a disadvantaged one.

In Iceland, Korea and Norway, the results of advantaged and disadvantaged students are much closer than the OECD average, both for high and low performers. That is, those countries are doing much better than the average OECD country regarding equality of opportunity. The opposite happens in the case of Denmark, France, Hungary and Portugal, where both types of discrimination are much higher than the average OECD.

Discrimination from above turns out to be extreme in the cases of Chile and Greece, with values of 62 and 30 times for those students coming from advantaged families. Mexico, Luxembourg, Israel, Slovak Republic and Turkey also present high values for this type of discrimination. The contrary happens in Canada, Estonia and Finland, where discrimination from above is much smaller than in the OECD.

Chile, Greece, Italy, Mexico, Sweden and Turkey, present very low values of discrimination "from below". The contrary happens for Belgium, Ireland and Poland.

These data show that equality of opportunity in compulsory education is still an issue in the OECD. There are substantial differences between countries, so that the country in which a child is educated matters a lot. Moreover, socioeconomic conditions still play a very relevant role in educational achievements. This role is very different among OECD countries both regarding its intensity and the way in which it affects high and low performers.

FINAL REMARKS

We have presented here a descriptive analysis of the differences in the OECD countries between the distributions of the students by levels of proficiency and by family status. The data show that the distribution of the students by levels of proficiency is very different among the countries and that the average scores do not reflect those differences. In particular, the variability of average scores is much smaller than that of the distributions by levels of proficiency. We have also observed that the larger differences are found in the tails of the distributions, i.e. those corresponding to the shares of high and low performers.

We have provided an elementary measure of the impact of socio-economic conditions on those distributions, by comparing the shares of low performers of disadvantaged and advantaged families (discrimination "from below") and the shares of high performers between advantaged and disadvantaged families (discrimination "from above"). The degree of dependence between outcomes and socio-economic conditions is rather high, when focussing on high and low performance and varies a lot among countries regarding the degree of discrimination "from above" and "from below".

There are three key messages that derive from this study. First, the differences in the educational systems between the OECD countries are larger than usually recognised. Second, socio-economic conditions strongly determine the distribution of high and low performers, but there are substantial differences between the countries. And third, different countries exhibit different mixes of discrimination "from above" and "from below". There are two main policy implications that can be deduced from these data: (i) There is still a long way to go before reducing the importance of the country of origin and the family background; and (ii) Different

countries need different recipes to improve their educational systems, as the problems they present are diverse.

Let us conclude by pointing out that the data indicate that reducing low performance is the most effective way of improving the overall educational outcomes, due to the high negative correlation between low performance and average scores. In other words, making the educational system more inclusive is the best strategy to get simultaneously higher equity and higher efficiency. The recent report OECD (2016, ch. 5) provides evidence that shows that there are effective ways of reducing educational poverty in countries with very different characteristics.

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APPENDIX
HIGH, MEDIUM AND LOW PERFORMERS BY QUARTILES OF THE ESCS
INDEX IN THE OECD COUNTRIES

		<i>High performers</i>	<i>Medium performers</i>	<i>Low performers</i>
Australia	Q1	5,90%	61,16%	32,93%
	Q2	10,15%	68,38%	21,48%
	Q3	18,03%	68,96%	13,01%
	Q4	26,59%	65,70%	7,71%
	Total	14,81%	65,52%	19,67%
Austria	Q1	4,60%	61,47%	33,93%
	Q2	11,60%	67,63%	20,77%
	Q3	15,03%	72,36%	12,61%
	Q4	26,34%	67,18%	6,48%
	Total	14,29%	67,06%	18,65%
Belgium	Q1	6,02%	59,99%	33,99%
	Q2	12,20%	66,49%	21,31%
	Q3	23,21%	65,14%	11,65%
	Q4	38,34%	56,18%	5,48%
	Total	19,54%	61,49%	18,96%
Canada	Q1	7,75%	70,54%	21,72%
	Q2	12,97%	72,70%	14,33%
	Q3	17,81%	72,03%	10,16%
	Q4	28,72%	66,08%	5,19%
	Total	16,40%	69,78%	13,83%
Chile	Q1	0,08%	24,96%	74,96%
	Q2	0,68%	40,88%	58,43%
	Q3	0,68%	52,54%	46,78%
	Q4	4,98%	70,18%	24,85%
	Total	1,58%	46,88%	51,54%
Czech Republic	Q1	3,71%	58,78%	37,50%
	Q2	7,84%	70,69%	21,47%
	Q3	12,23%	71,77%	16,00%
	Q4	28,25%	63,51%	8,24%
	Total	12,88%	66,16%	20,96%
Denmark	Q1	2,41%	67,53%	30,06%
	Q2	5,08%	77,08%	17,85%
	Q3	11,36%	77,95%	10,68%
	Q4	21,83%	72,48%	5,69%
	Total	9,97%	73,19%	16,84%
Estonia	Q1	7,62%	76,53%	15,85%
	Q2	10,10%	76,93%	12,96%
	Q3	14,24%	76,82%	8,93%

	Q4	27,22%	69,53%	3,26%
	Total	14,60%	74,86%	10,54%
Finland	Q1	8,07%	71,81%	20,11%
	Q2	10,86%	76,02%	13,11%
	Q3	15,83%	75,76%	8,40%
	Q4	27,09%	68,30%	4,62%
	Total	15,25%	72,48%	12,27%
France	Q1	3,34%	56,36%	40,29%
	Q2	7,20%	66,46%	26,34%
	Q3	13,39%	72,68%	13,93%
	Q4	29,04%	66,31%	4,65%
	Total	12,89%	64,75%	22,35%
Germany	Q1	6,61%	62,28%	31,11%
	Q2	12,84%	68,67%	18,49%
	Q3	22,01%	68,56%	9,43%
	Q4	35,97%	58,09%	5,94%
	Total	17,46%	64,81%	17,74%
Greece	Q1	0,35%	46,34%	53,31%
	Q2	1,80%	57,20%	41,00%
	Q3	3,08%	66,20%	30,71%
	Q4	10,54%	72,78%	16,68%
	Total	3,90%	60,41%	35,69%
Hungary	Q1	1,53%	47,92%	50,55%
	Q2	4,76%	65,36%	29,88%
	Q3	8,63%	69,55%	21,83%
	Q4	22,60%	69,32%	8,08%
	Total	9,26%	62,67%	28,06%
Iceland	Q1	5,55%	63,15%	31,30%
	Q2	7,23%	69,44%	23,33%
	Q3	14,70%	68,34%	16,96%
	Q4	18,18%	70,73%	11,09%
	Total	11,15%	67,37%	21,48%
Ireland	Q1	3,43%	66,86%	29,71%
	Q2	7,25%	73,14%	19,61%
	Q3	11,55%	76,37%	12,08%
	Q4	20,91%	74,33%	4,76%
	Total	10,65%	72,45%	16,90%
Israel	Q1	1,60%	42,63%	55,78%
	Q2	5,75%	57,96%	36,29%
	Q3	11,58%	64,85%	23,57%
	Q4	19,91%	65,66%	14,42%
	Total	9,37%	57,13%	33,50%
Italy	Q1	3,46%	58,18%	38,36%

	Q2	7,57%	64,99%	27,44%
	Q3	11,73%	68,86%	19,42%
	Q4	17,18%	70,37%	12,45%
	Total	9,92%	65,41%	24,67%
Japan	Q1	11,81%	69,14%	19,05%
	Q2	18,82%	70,59%	10,59%
	Q3	27,80%	64,69%	7,51%
	Q4	38,12%	57,35%	4,53%
	Total	23,67%	65,27%	11,06%
Korea	Q1	16,34%	69,67%	13,99%
	Q2	24,31%	64,68%	11,02%
	Q3	35,08%	58,10%	6,82%
	Q4	48,15%	47,36%	4,49%
	Total	30,90%	59,97%	9,13%
Luxembourg	Q1	2,29%	55,20%	42,51%
	Q2	6,10%	65,24%	28,66%
	Q3	12,98%	70,87%	16,15%
	Q4	23,81%	68,18%	8,01%
	Total	11,23%	64,44%	24,33%
Mexico	Q1	0,12%	29,16%	70,72%
	Q2	0,20%	41,64%	58,16%
	Q3	0,43%	47,03%	52,54%
	Q4	1,78%	61,60%	36,62%
	Total	0,63%	44,66%	54,71%
Netherlands	Q1	8,42%	66,72%	24,86%
	Q2	13,66%	70,97%	15,37%
	Q3	22,29%	67,07%	10,64%
	Q4	34,25%	59,78%	5,98%
	Total	19,25%	65,96%	14,79%
New Zealand	Q1	4,30%	54,71%	40,98%
	Q2	10,53%	67,79%	21,68%
	Q3	14,75%	70,11%	15,14%
	Q4	32,34%	59,70%	7,97%
	Total	15,00%	62,36%	22,64%
Norway	Q1	4,68%	61,78%	33,54%
	Q2	6,45%	69,28%	24,28%
	Q3	11,70%	71,01%	17,29%
	Q4	15,72%	72,57%	11,71%
	Total	9,40%	68,29%	22,31%
Poland	Q1	5,77%	67,73%	26,49%
	Q2	10,14%	73,47%	16,39%
	Q3	17,50%	71,83%	10,67%
	Q4	33,99%	62,21%	3,80%

	Total	16,74%	68,88%	14,39%
Portugal	Q1	2,91%	54,89%	42,20%
	Q2	6,20%	66,78%	27,02%
	Q3	9,67%	70,84%	19,49%
	Q4	24,55%	68,38%	7,07%
	Total	10,63%	64,46%	24,91%
Slovak Republic	Q1	2,37%	45,91%	51,72%
	Q2	5,98%	67,54%	26,48%
	Q3	11,13%	68,71%	20,16%
	Q4	25,15%	65,41%	9,44%
	Total	10,97%	61,57%	27,46%
Slovenia	Q1	4,36%	62,22%	33,42%
	Q2	9,45%	67,46%	23,09%
	Q3	13,98%	69,98%	16,04%
	Q4	27,64%	65,56%	6,81%
	Total	13,71%	66,20%	20,09%
Spain	Q1	2,50%	57,83%	39,67%
	Q2	4,59%	68,54%	26,87%
	Q3	8,02%	74,38%	17,60%
	Q4	17,28%	74,45%	8,27%
	Total	8,00%	68,39%	23,61%
Sweden	Q1	2,48%	57,44%	40,08%
	Q2	5,21%	66,04%	28,75%
	Q3	9,40%	70,58%	20,02%
	Q4	15,81%	70,41%	13,78%
	Total	8,01%	64,92%	27,07%
Switzerland	Q1	9,18%	67,99%	22,83%
	Q2	15,60%	71,00%	13,40%
	Q3	23,50%	68,30%	8,20%
	Q4	37,95%	57,40%	4,65%
	Total	21,37%	66,19%	12,44%
Turkey	Q1	1,35%	41,76%	56,88%
	Q2	2,81%	51,44%	45,75%
	Q3	5,37%	52,98%	41,65%
	Q4	14,16%	63,12%	22,72%
	Total	5,87%	52,15%	41,98%
United Kingdom	Q1	3,98%	63,99%	32,03%
	Q2	6,97%	67,49%	25,54%
	Q3	12,57%	71,52%	15,91%
	Q4	25,20%	66,38%	8,42%
	Total	11,83%	66,36%	21,81%
United States	Q1	2,50%	56,49%	41,01%
	Q2	3,84%	65,46%	30,70%

	Q3	9,66%	70,17%	20,17%
	Q4	19,66%	70,86%	9,48%
	Total	8,77%	65,38%	25,85%
OECD	Q1	4,63%	58,21%	37,16%
	Q2	8,43%	66,34%	25,23%
	Q3	13,85%	68,44%	17,71%
	Q4	24,68%	65,81%	9,51%
	Total	12.6%	64.4%	23%

Analysis of Mobility Pattern and Challenges of Transportation Needs of the Elderly in a Fast Growing City in Nigeria

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Abstract

Unprecedented growth of ageing population may not be of concern as much as unpreparedness of developing countries to recognized the phenomenon and provides for the mobility needs to sustain them. In Nigerian, about 8% of the population are over 65 years and expected to increase 14% next ten years, arising from increase in longevity and declining birth rates, thus increasing challenges of demands on country's transportation systems. Elderly gradual alienation from use of public transport leads researchers to getting more concern about challenges of their mobility. Understanding the pattern of elderly mobility may assist transport planners in providing for their mobility. This paper focuses on pattern elderly mobility in a developing country, using a fast growing city as case study and identifies most important determinant of satisfaction level of elderly use of existing transport services. The study is part of travel survey of a fast growing city in Nigeria, using structured questionnaire as survey instrument. 556 questionnaires administered on 65 years old and over were completed out of 720 respondents were excised for analysis presented in this paper. The main findings show that the frequent mode are by taxi and commercial motorcycles; the latter not only more expensive but also uncomfortable, very unsafe though ubiquitous, readily available and accessible. The multiple regression analysis employed quantitatively ascertained that inconveniences of use of public transportation is the most important determinant of factors influencing level of satisfaction in use of transport services provided. The study notes urban land use planning must integrate functional public transport system towards addressing mobility crisis of the elderly and social system must support elderly to financially cope with increasing cost of transportation with a view to restoring their long loss social independence and brings them to fore front of the realization of their mobility needs.

Keywords: Elderly, Mobility, Commercial-motorcycles, Public-transportation.

INTRODUCTION

In the recent past, the ageing population group is on the rise and it is one of the most distinctive demographic phenomenon in this century is the increase in the ageing population and which is causing a great concern (UN, 2002). UNFPA (2002) noted that in 1950 there were 2005 million older persons and this increased more than three folds in 2000 and is expected to reach 1.2 billion by 2025. The unprecedented growth of the ageing population may not be of concern as much as unpreparedness of developing countries to recognized their phenomenon and provides for the mobility needs to sustain them. This is more so in the recent past, all sorts of non-conventional public transport mode are being introduced into the city imagine would just surface on the road, as long as it is registered with the local government vehicle registration agency. Indeed this was how commercial motorcycle emerged and later followed by three-wheel auto-rickshaw. There are mini-buses of over fifteen different dimensions and types in several cities across the country and this is the pattern in most cities in Africa. The issue here is that there is no specific standard of which vehicle could used for public transport

in the cities; as long as commuters are willing to jump into, in case of four or three wheel vehicle or on it in case of two wheel motorcycle. In a situation where commuters are desperate to get to work and return home by all means, it is a field day for providers of such services in the cities. Before long the providers form association and become pressure group for recognition by the government. Sooner, they are often more or less legitimised (See Ikya, 1993; Oyesiku, 2000).

The emergence of these modes of public transport and their absorption into the transport system in the cities are not unconnected with the pressure created by rapid population growth of the cities on transport infrastructure and services, which are so great that decline in quality and quantity of the provided services, are inevitable and uncertain. A common observation of this scenario is gradual alienation of the elderly on the public transport system. Some recent studies aptly observed decline in the number of the elderly people making use of the cities' public transport system. This is not because of fewer members of the populace are getting older. Indeed the reverse is the case as the life expectancy of the people increase so does the increase in the proportion of the population getting older. What is responsible for this observation is yet to be subjected to detailed study. Are the elderly in the cities just walking away from the public transport services or are they having alternative mobility? What are the challenges this important segment of the city population is having in respect of their mobility? Despite recent improvement in the cities' transport infrastructure, particularly expansion of road and planned injection of light rail services into the transport system in many countries in Africa, is their systemic progress to specially consider this group of city commuters in transport planning schemes? Understanding the pattern of mobility of the elderly, the extent to which the existing transport services provided meet their needs may assist city transport planning in providing for their daily mobility.

The literature is replete on sustainable transport development, which refers to provision of the means of transport to all categories of people with a view to saving and promoting healthy life style. Transport sustainability highlights the need to ensure limited proportion of income is spent on transport, high level of accessibility and service quality, transport system diversity, high quality of mobility for people with special needs, lower accident rates, transport system performance, good road quality, and availability of transport user information (Kamata and Shino, 2006; Alsnih and Hensher, 2003). Thus, good transport system is expected to be sustainable to support the livelihood of not only the growing population but that of the people with special needs such as the elderly. With the increasing population of the aged both in developed and developing country, the demand for mobility for this special group of people is becoming an excess, this because of the special needs considering the constraints they have in moving around for their daily activities. Hakameies-Blomqvist (2003), Oyesiku (2002), and Metz (2000) independently noted that the elderly are high risk group within all transport mode environment and susceptible to high rate of severe injuries and deaths. However, compared with the industrialized countries where special provisions are made for the mobility of the elderly, in most developing countries this is not so as the basic transportation system are inadequate for everyday travel needs of most people (OECD, 2001; (Oyesiku and Odufuwa, 2002). Alsnih and Hensher (2003) remarked that given the correlation between age and mobility impairment, catering for mobility needs of the elderly becomes an increasing important challenges for all stakeholders and that for the ageing population in particular transport services must be available, accessible, affordable, acceptable and safer for the elderly and other transport users.

What seem missing, based on the brief review of some works on the subject matter, and are the specific challenges of mobility in developing countries, including the study area. Although, Stahl (1984) highlighted general problem associated with elderly to include distance from homes and residence to bus stops, slippery pavement, lack of shelter and seats, difficulties relating to exiting or entry public transport such as high steps and difficulties in relation to public bus drivers not announcing when bus stops and bus departure from stops before persons are safely seated, the situation in sub-Saharan African countries is not very clear. Though, Odufuwa (2006; 2008; 2010), also attempt to capture the general perspective of the transport system in these countries in relation to the mobility of the elderly by stating that the scenes are awful due to the deplorable state of operations of the public transport service and that the road based transport system are beleaguered with high caring units that are old and poorly designed, inadequately maintained, dangerously overcrowded and highly undependable.

In relative developed countries in Europe, North America and Asia attempts have been made to minimized mobility gap between the younger and older population by ensuring that the transport systems are user friendly by everyone and introduction of development initiative like low floor buses to ease getting on an getting off and provision of specialized transport programs for older citizen such as door-to-door services on request, reduce fares to the elderly and the pensioners and more importantly a free travel scheme for those above 70years (Ekpenyong et. al, 1987; Andrew, 2000; Rosenbloom, 2004). In many developing countries, the development trend of mobility needs of elderly is to yet to ensure provided transport system are reliable, safe and affordable that will enhance mobility of the ageing population in the cities.

This paper focuses more on the pattern of mobility of the elderly in a developing country using a fast growing city as case study. The paper highlights specific problems of the elderly in making use of the transportation system and identifies the most important determinant of level of satisfaction or otherwise of elderly use of the existing transport services provided. The paper is in three sections including this introduction. Second section presents the methodology of the study, while section three presents the pattern of elderly mobility and quantitatively analyse the determinant of their mobility.

MATERIALS AND METHODOLOGY

The city of this study Abeokuta which is the capital of Ogun state, is located in the south-western part of Nigeria with a population of about 450, 000 in 2014, which was an increase about 100,000 from the last census conducted in 2006. The state where the city is located is sandwich between two metropolitan cities in the country which are Lagos with an estimated population of about 15million in 2014 and Ibadan with an estimated population of about six million in the same period. The importance of the state and the selected city of the study is that it accommodates the spill over effect of the growing population from the two metropolitan cities, but unlike the two cities it does not share much of the congested and unplanned pattern of developmental infrastructure. The city under consideration also have the ambient environment to accommodate a significant proportion of those who have worked and retired from active and public services from the two metropolitan cities. Thus, it has increasing population of the elderly. It is important to note that for these reasons, it is much quiet and civil service oriented status and doesn't share much transport challenges of the overall populace to the extent that a significant proportion of those working in those two metropolitan cities are living in Abeokuta.

The instrument of data collection is a structured questionnaire that has three distinct sections. The first section enquires about respondents' socio demographic profile such as age, gender, marital, educational status, employment/occupation and yearly income of respondents. The second section of the questionnaire request from the respondents their mobility characteristics such as vehicle ownership, when they stop driving, reasons for stopping to drive owned vehicle, frequency of travelling for week, purpose of travelling and mode of trips frequency. The third section attempted inquires on the respondents mobility challenge such inquire include but not limited to the general problem encountered when making general trips from home, specific problems of using public transport as alternatives to their personal owned vehicle. In addition, they were requested to evaluate overall quality of transport services provided within the city of their residence. The quality of transport services include availability of transport services, accessibility to the transport services, time taken for transport services, the extent of care by the public transport drivers, comfort in terms of the seats in vehicle and the level of cleanliness and security while using transport services, particularly how safe to ride on the available mode of transport. It is important to note that the overall level of satisfaction of transport services indicators are adapted from various sources, including: Rhoades and Waguespack (2005); Oyesiku, et.al (2009); and Sheeba and Kumuthadevi (2013). Thus, usual five dimension of service quality of reliability, assurance, tangibles, responsiveness, and empathy were modified. However, usual five point Likert scale format ranging from strongly unsatisfactory (dissatisfied) to strongly satisfactory (satisfied).

The study adopted purposive sampling method, a non-probability sampling technique. This method is adopted based on the fact that only particular set of respondents, those who are elderly, were able to respond to the issues highlighted on the questionnaire (Babbie, 1998; Okoko, 2006). For the analysis, the data extracted rely on descriptive statistics to describe the pattern of observation using simple percentage.

FINDINGS AND DISCUSSIONS

The summary of the variables extracted from the questionnaire are in three parts, namely: socio-economic and demographic profile of the respondents; their mobility characteristics; and their mobility challenges. The main findings of the data collected in respect of the first part shows that significant proportion of the respondents is above 70years. Others are between 65 and 70 years. Most of them are female and widowed, while only about 22% are still married (see Table 1). This pattern is expected considering the fact that in the study area environment, the female outlive their male counterparts and given that the life expectancy is 52 years by the latest available records. Though the demand for mobility by the elderly has no gender difference, it is expected that more female will face more mobility challenges.

The other aspect of socio demographic profile is related to economic and educational background. Most of the respondents have formal education with about 70% considered to be literate, who can read and write, with as high as 40% having either Bachelors' or Masters' degree and only 12% had no formal education. In support of relatively educated status of the respondents, about 70% of the respondents are in one form of employment or the other, while others are retired and not engaged in any form of employment (See Table 1e). Indeed, about 40% of the respondents those who are even retired are also engaged, indicating that they require mobility in one form or the other in whatever they are engaged in. In furtherance to this, less than a quarter of the respondents are not in any form of employment or occupation, while as high as 60% are engage in business and consulting services, though the nature of the business are many and varied usually small scale business and because majority of the

respondents are female, it is expected that they are into small scale and petty trading (see Table 1f).

In terms of their income status, it is expected that most of the respondents being elderly would be on their pension. About 40% earn as low as about N200,000 (about two hundred thousand Naira local currency or \$1,200 – one thousand two hundred dollars per year). Others, close to 50% earn about \$2,000 per year. In the study area, as in many developing countries, monthly minimum wage per month is about \$100 (one hundred dollars) or less. However, it is also noticeable that almost 60% of monthly income is spent on transportation across all age groups, and in a situation where there are no subsidies from government or public authorities, this portends to be a significant impairment to mobility for this group of population and therefore may likely contribute to their low demand for transportation.

The second aspect of the study data findings is as presented in Table, which illustrates mobility characteristics of the elderly respondents interviewed. The (a) section shows that at least 90% of them at one point in time or the other owned their personal vehicle but by the same margin no longer drive their once owned vehicle (see Table2(b)). Most of them stopped driving as early as when they were about 66years old or even younger. The reasons given for having to stop driving were that of very poor road infrastructure and associated inability to maintain personal vehicle. Obviously, poor quality road infrastructure, including poor maintenance of existing roads and lack of drainages often lead to high cost of maintenance of vehicles.

Table 2 also show telecommunication accessibility, represented by telephone ownership, which is considered is vital as an indicator of alternative means of communication for interaction. With increasing in age and at old age and diminishing income, it is often difficult to maintain personal vehicles and therefore access to telecommunication enhances personal interaction. In this study, at least over 80% of the respondents owned a telephone line which can serve as alternative to physical contacts.

The three other mobility characteristics examined are frequency of travel, mode and purpose. The pattern of these as shown in Table 2 is to the extent that most of the respondents, 74% made between 1-5 trips per week from home to other destinations for one purpose or the other. It is not surprising that most of the trips made were for family visits (34%) and medicals (32%). Next to these were for religious purposes either going to churches or mosques either going for one activity or the other. What is interestingly clear from the study as shown in Table 2(g) is that work trips is the least, indicating that most of the sampled respondents, the majority, are at home being actually retired but engaged and run one form of business or the other doing so from home. By implications, they hardly go out from home other than for tangible medical services and visit members of the family. It is important to note that family visit usually ensured that returned trip back home is guaranteed by a member of the family, who often usually oblige to take the visitor back home. The study also shows that the frequent mode is by taxi and commercial motorcycle. The taxi is not only more expensive but comfortable and safer, in contrast to commercial motorcycle that is very unsafe though ubiquitous, readily available and accessible. However, those who often made their trip by commercial motorcycles, more often, do not have alternative choice as the available taxis do not ply most routes. More importantly, because of nature of the poor road infrastructure and the taxis mode of transport do not also provide door-to-door services.

The third aspect of the findings is as presented in Table 3, showing the general challenges of the mobility of the sampled elderly respondents and specific problems encountered in making trips. The pattern shows the widely known problems of making trips by the elderly, which is waiting for too long for public transport either for the taxi or the commercial motorcycle mode. However, what is more interesting is that a significant proportion of the respondents (28%) indicated recklessness of the public transport drivers, which is not unconnected with observed lack of quality and good roads or road infrastructure. Obviously, with old age, there is great inconvenience in making trips in vehicles that manoeuvre or avoid potholes or stagnant water or avoid broken down vehicles in the middle of the road. The taxis and commercial motorcycles drivers also often move too fast as possible and imagine this on an un-surfaced and uneven earth surfaced roads. Of note are the two other problems identified: long distance to public transport bus stops or locations (18%); and general inconvenience in the use of public transport (12%). This latter identified group of problems are also specifically highlighted as more or less the same affecting elderly daily mobility in the study area.

The study also seeks out from the respondents the overall evaluation of level of contemporary transportation services available to the elderly. Going by the earlier responses to the general challenges the respondents revealed with respect to the use of public transport in the study area, expectedly about 80% indicated that they are either strongly unsatisfied or unsatisfied with transport services in general (see Table 3 section (c.)). Their evaluation is not surprising considering the fact that availability and reliability of transport services is poor, thus not meeting their specific mobility needs. Moreover, the waiting time and long distance to public transport location are highly inconvenience resulting to unhealthy well being of the elderly, which is a reflection of poor supply of both conversional and para-transit public transport services. Odufuwa (2006) aptly noted that poor state of public transport provisions particularly the non-motorized vehicles that often exposed the elderly to different transport externalities are indicators of poor accessibility and significant constraints of the mobility needs of the elderly.

QUANTITATIVE ANALYSIS

In addition to the descriptive pattern of the socio-economic profile of the respondents, their mobility characteristics and mobility challenges, it is important to quantitatively analyse which among the variables selected account for the variation in the level of evaluation of the quality service of transport services provided for the elderly in the study area. To this end, fifteen variables were selected from the array of responses extracted from the questionnaire for the multiple regress analysis. The variables source, label code and operational definition for basic socio-economic and demographic characteristics of respondents and the determinants of quality level of satisfaction of transport services relationship analysis are shown in Table 4. The former group of variables are the independent variables, while the latter is the dependent variable.

For the purpose of reliability and validity estimation of the variables before the multivariate analysis, correlation coefficient analysis was undertaken based on the pilot survey from the study. The results showed very limited multi-collinearity, a violation of which would normally have informed a further reliability and validity test buy computing Cronbach's Alpha coefficient test, and in particular factor analysis. As reflected in the actual results of the eventual correlation analysis based on the questionnaire survey, only few variables were having very high correlation coefficients (See Table 5) implying a confirmation of the validity test. On the basis of this observation, the data extracted were subjected to main statistical analysis of multiple regression to determine the combine and relative importance of the

predictors in explaining the criterion (i.e. evaluation of level of satisfaction of the transport services by the respondents).

The zero order correlation analysis results is as presented in Table 2 in respect of both the dependent and independent variables. The correlation analysis result shows that only very few variables have very high correlation coefficients' between and among them. For instance, the highest correlation coefficient of about 0.60 obtained is between the dependent variable and problems of using public transport. Against this backdrop of the relatively few very high correlation coefficient among the variables as shown in Table 5, it is safe to go ahead with the multiple regression analysis model application.

The results of the major output of multiple regression that include the model summary, the analysis of variance table of test of significant of the model, and more importantly, the unstandardized coefficient as well as the T-values and their significance are all combined as presented in Table 6. The multiple regression coefficient, particularly the R² is 0.62, reflecting that about 66% of the variation in the level of satisfaction in the quality of transport services used by the respondents is explained by the independent variables combined, i.e. the predictors. This level of explanation has an analysis of variance of the model of F ratio value of 17.96, which is statistically significant at 0.001 (see Table 6). In other words the predictors combined explain significantly the level of satisfaction in the quality of transport services used by the respondents. However, in terms of the relative importance of the individual predictors in the model, only two of the variables are statistically significant, namely: income status of the respondents and the inconveniences or the problems encountered in the use of public transport service. Perhaps the most important of the statistically significant predictors is the latter. Those with higher income possibly are those who have access to their owned vehicles or do not make much use of public transport and therefore negatively correlated with high level of satisfaction in the use of transport services. That the problems of the use of public transport service is the most important factor of the determinant of the level of satisfaction in the quality of transport services use may not be too surprising. The explanations have the earlier advanced, ranging from distance to public transport bus or taxi stops to waiting for too long for the available public transport and poor state of the roads and their infrastructure. It is just surprising that the often adduced reason militating mobility among the elderly such as visual or sight impairment and physical disability are so statistically significant in this study.

CONCLUSIONS

The study has shown declining capacity of the elderly in the study area to drive as a result of poor transport infrastructure and the state of the public transport services. Their challenges are further compounded by lack of access to basic transport services arisen from the poor road infrastructure, poor transport road design and inadequate road infrastructure and services. The available road based commercial motorcycles and auto-rickshaw are not only unsafe but also uncomfortable that continuously had to mobility stress of the ageing population (we must not however be mindful of ubiquity of these modes of public transport, mostly used as taxis, which officially take two or three passengers, but often accommodate four to five in an uncomfortable ride. One more benefit, these modes of taxis are available in remote places and villages that even in the smallest villages there is someone familiar with the vehicle's uncomplicated mechanics). The road based transport, which is the only mode of transport in the city under consideration, is also not suitably designed for the elderly as the signage and lighting signals could not match their state of physical and mental health.

Furthermore, public transportation motor parks do not have wheel chair or any other mobility ramp access facilities for physically challenged. The lack of coordination among transportation service providers, even for the younger segment of the population, led to incessant increase in transportation fares and inability of the elderly to pay for the available mode of transportation. Indeed, most sampled elderly are virtual prisoners in their homes and communities and because of their loss of social independence; they are relatively depressed due to increasing realization of their need for mobility.

In the fast growing city that has potentials for effective urban land use physical planning which can integrate functional public transport system addressing mobility crisis of the elderly must include establishing effect public transport system. More so, that majority of the elderly are not driving their own vehicles. It is not out of place to support the elderly financially to cope with the increasing cost of transportation as it is done in industrialized society; this is with a view to restoring their long loss of social independence and brings them to the four front of the realization of their needs for mobility. In addition, developing safer transport infrastructure along with well coordinated transport mode may promote greater mobility and safety for the elderly.

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Table 1. Socio-Economic and Demographic Profile of Respondents

(a) Age Structure		(e) Employment Status	
Age Group	%	Employment category	%
65 -70 years	30.0	Full- Time Work	12.0
71 years and Above	70.0	Part-time Work	18.0
Total	100.0	Retired but engaged	40.0
(b) Gender Structure		Retired not Engaged	30.0
Gender	%	Total	100.0
Male	35.0	(f) Occupational Status	
Female	65.0	Occupational Category	
Total	100.0	%	
(c.) Marital Structure		Not in any Employment	23.0
Current Marital Status	%	Government Contract Worker	6.6
Married	22.0	Business	57.1
Divorce	10.0	Consultant `	3.3
Widow	56.7	Politician	6.6
Single	11.3	Religious leader	3.3
Total	100.0	Total	100.0
(d) Education Status		(g) Yearly Income status	
Educational Structure	%	Income Group	%
No formal Education	12.3	Below 200,000	40.0
Primary School Certificate	15.2	201,000-250,000	23.3
Quranic Education	3.3	251,000-300,000	16.6
Ordinary Level certificate	30.2	351,000-400,000	13.3
Bachelors Degree	33.8	Above 400,000	6.4
Masters' Degree and above	5.2	Total	100.00
Total	100.0		

Source: Authors' Survey Extract, 2014.

Table 2. Mobility Characteristics of the Respondents

(a) Ever Owned and Driven Personal Vehicle		(e) Telephone Ownership and Networks in Use	
Ownership status	%	No of Phone lines in Use	%
Yes	90.3	1	83.3
No	9.7	2 or more	16.7
Total	100.0	Total	100.0
(b) Currently Driving Owned Vehicle		(f) Frequency of Trips per week	
Driving Status	%	Frequency	%
Yes	9.6	1 – 5	73.5
No	90.4	6-10	23.3
Total	100.0	More than 10	3.2
(c.) Period When Stopped Driving		Total	100.0
Period	%	(g) Purpose of Trips	
Less than 1year	3.8	Purpose	%
1-3years	11.5	Religious (visit to Church/Mosque)	19.5
4-7years	34.7	Recreation	6.6
8 years or more	50.0	Medical	30.7
Total	100.0	Family visit	33.3
(d) Reason for Stopping to Drive Owned Vehicle		Social	6.6
		Work and Others	3.3
		Total	100.0
Reason	%	(h) Mode of Frequent Trips	
Lack of good road or road infrastructure	30.6	Mode	%
Lack of funds to maintain personal vehicle	26.8	Taxi	63.7
Visual or sight disability	20.1	Commercial Motorcycle	24.6
Old age or physical disability	22.5	Mini-Bus	8.7
Total	100.0	Trekking or Walking	3.0
		Total	100.0

Source: Authors' Survey Extract, 2014

Table 3. Challenges of Mobility

(a) General Problems Encountered When Making any Trip	
Problem Category	%
Drivers' Recklessness	20.8
Distance to public transport bus stop/station	18.3
Inconveniences using public transport	12.5
Waiting for too long for public transport	31.7
Total	100.0
(b) Specific Problems of Using Public Transport	
Problem Category	%
Reckless driving by Drivers	17.8
Too many incompetent drivers	5.4
Bad Roads	39.7
Too many road unworthy vehicles	4.5
Waiting for too long at motor packs or bus stops	13.8
General lack of transport facilities	5.4
High transport fares	3.6
Congestion	9.7
Total	100.0

(c.) Evaluation of Overall Quality Level of Satisfaction of Transport Services	
Level	%
Strongly Unsatisfied	62.1
Unsatisfied	15.4
Satisfied	18.0
Strongly Satisfied	4.5
Total	100.0

Source: Authors' Survey Extract, 2014.

Table 4: Variables Source, Label Code and Operational Definition for Basic Socio-Economic and Demographic Characteristics of Respondents Determinants of Quality Level of Satisfaction of Transport Services Relationship Analysis

S/N	VARIABLE (DATA SOURCE) DESCRIPTION	VARIABLE LABEL CODE	VARIABLE DEFINITION	OPERATIONAL
1.	Gender	GDR	Dichotomous (dummy): 0 = Male 1= Female	
2.	Marital Status	MRT	Dichotomous (dummy): 0 = Widowed; 1 = others - Married or living with a partner	
3.	Educational Background	EDB	Continuous (no of years in formal learning)	
4.	Employment status	EMP	Dichotomous (dummy): 0 = Engaged in Fulltime/part time Employment even at retirement; 1 = others	
5.	Occupational Status	OCP	Dichotomous (dummy): 0 = Government or civil or public servant; 1 = others	
6.	Income	INC	Continuous	
7.	Ownership of Vehicle	OWN	Dichotomous (dummy): 0 = Yes; 1 = No	
8.	Driving Status of Owned Vehicle	DWV	Dichotomous (dummy): 0 = Yes; 1 = No	
9.	Period since when stopped driving	PSD	Continuous	
10.	Telecommunication accessibility	TEL	Continuous	
11.	Purpose of Trip	PTP	Dichotomous (dummy): 0 = Work or recreation; 1 = others	
12.	Mode of trip making	MOD	Dichotomous (dummy): 0 = Conventional taxi or mini-buses; 1 = others	
13.	Physical Disability	PDY	Dichotomous (dummy): 0 = Loss of Eye sight and physical immobility; 1 = others	
14.	Inconveniences or Problems of Using Public Transport	PUT	Dichotomous (dummy): 0 = Waiting too long for public transport service, Bad roads and Reckless driving by drivers; 1 =others	
15.	Level of satisfaction	LSF	Dichotomous (dummy): 0 = Strongly or just satisfied; 1 = Strongly not satisfied or just not satisfied	

Table 5: Results of Correlation Analysis of Zero-Order Matrix of Basic Socio-Economic and Demographic Characteristics of Respondents and Determinants of Quality Level of Satisfaction of Transport Services Relationship Analysis

S/N		LSF	GD	MR	ED	EM	OC	INC	OW	D	PS	TE	PT	MO	PD	PU
			R	T	B	P	P		N	WV	D	L	P	D	Y	T
1	LS F	0.0 00	- 0.3 22	- 0.2 13	- 0.2 52	0.4 21	0.3 41	0.5 90	- 0.2 17	- 0.2 36	- 0.1 18	0.5 23	0.3 30	0.1 02	0.2 21	0.5 83
2	GD R		0.0 00	0.5 44	0.3 42	0.4 18	0.3 10	0.5 22	0.1 14	0.3 02	0.3 46	0.1 32	0.4 10	0.3 12	- 0.1 15	- 0.2 21
3	MR T			0.0 00	0.5 34	0.3 30	0.2 26	0.3 17	0.4 21	0.2 45	0.4 15	0.1 57	0.5 54	0.2 20	0.1 43	0.3 01
4	ED B				0.0 00	0.6 74	0.4 31	0.7 43	0.5 41	0.1 11	0.2 07	0.3 35	0.2 14	0.3 08	0.2 32	0.4 12
5	EM P					0.0 00	0.3 29	0.1 21	0.2 91	- 0.3 12	0.4 41	0.4 22	0.3 10	- 0.4 00	0.2 55	0.3 47
6	OC P						0.0 00	0.4 07	- 0.3 31	0.2 22	0.3 97	0.5 11	- 0.2 71	0.3 38	- 0.3 34	0.2 81
7	IN C							0.0 00	0.6 51	0.3 41	0.2 49	0.6 11	0.2 31	0.5 51	- 0.2 21	- 0.4 91
8	O W N								0.0 00	0.2 27	0.3 44	0.3 19	0.2 77	0.3 60	- 0.3 41	- 0.3 82
9	D W V									0.0 00	0.2 18	0.3 14	0.3 37	0.2 88	- 0.2 10	0.1 17
10	PS D										0.0 00	0.4 33	0.0 71	0.2 10	0.2 41	0.0 13
11	TE L											0.0 00	0.3 32	0.2 64	0.3 61	- 0.1 55
12	PT P												0.0 00	0.3 39	0.1 19	0.2 44
13	MO D													0.0 00	- 0.2 17	0.3 10
14	PD Y														0.0 00	0.1 41
15	PU T															0.0 00

Table 6: Regression Analysis Results of Basic Socio-Economic and Demographic Characteristics of Respondents and Determinants of Quality Level of Satisfaction of Transport Services Relationship Analysis

MODEL SUMMARY						
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate		
1	0.784	0.615	0.673	1.908		
Predictors: (Constant), Gender; Marital Status; Educational Background; Employment status; Occupational Status; Income Presently; Ownership of Vehicle; Driving Status of Owned Vehicle; Period since when stopped driving; Telecommunication accessibility; Purpose of Trip; Mode of trip making; Physical disability; Problems of using public transport.						
ANOVA ^b						
Model	Sum of Squares	Df	Mean Square	F	Sig.	
Regression	582.966	14	41.640	17.964	0.000 ^a	
Residual	1254.302	541	2.318			
Total	1261.607	555				
^a . Predictors : (Constant), Gender; Marital Status; Educational Background; Employment status; Occupational Status; Income Presently; Ownership of Vehicle; Driving Status of Owned Vehicle; Period since when stopped driving; Telecommunication accessibility; Purpose of Trip; Mode of trip making; Physical disability; Problems of using public transport.						
^b . Dependent Variable: Level of Satisfaction in the Quality of Transport Services Use						
Coefficients ^a						
S/N	Variables	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
		B	Std. Error	Beta		
	(Constant)	5.434	0.781	-	4.834	0.000
1	Gender	0.122	0.712	0.127	0.666	0.571
2	Marital Status	0.411	0.201	0.562	0.781	0.620
3	Educational Background	1.912	0.431	0.455	0.711	0.443
4	Employment status	1.830	0.780	0.223	0.712	0.000
5	Occupational Status	1.120	0.815	0.481	0.544	0.467
6	Income	3.144	0.745	0.311	5.677	0.000
7	Ownership of Vehicle	0.190	0.121	0.231	0.266	0.172
8	Driving Status of Owned Vehicle	-0.341	0.105	-0.672	-0.819	0.816
9	Period since when stopped driving	-0.213	0.141	-0.452	-0.823	0.655
10	Telecommunication accessibility	0.114	0.151	0.710	0.6446	0.596
11	Purpose of Trip	0.180	0.825	0.717	0.453	0.392

12	Mode of trip making	1.570	0.788	0.426	0.901	0.417
13	Physical Disability	-1.237	0.785	0.341	-0.770	0.800
14	Problems of using public transport.	2.228	0.816	0.429	9.451	0.000

^{a.} Dependent Variable: Level of Satisfaction in the Quality of Transport Services Use

Working Capital Management and Firm Profitability During a Period of Financial Crisis: Empirical Study in Emerging Country of Vietnam

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ABSTRACT

This paper analyzes the relationship between working capital management and profitability from operations of 121 firms listed on the two stock exchanges, i.e. Hanoi Stock Exchange (HNX) and Ho Chi Minh Stock Exchange (HOSE) in the period 2008-2012. The research result has indicated that Receivables Collection Period (RCP), Ratio of debt to total assets (LEV), Current Ratio (CR) has negative correlation; whereas Growth of Sales (GOS) and Size of Companies (SIZE) have positive with the firm's return on equity (ROE). The research findings of researches provide experimental evidence to confirm the important role of working capital management that has direct effect on profitability of firms. Particularly in financial crisis, the managers should accord a particular attention on solutions concerning Receivables Collection Period; by justifying the Leverage and Current Ratio at reasonable level; by enhancing measures for increasing the growth of sale in order to stabilize the firm.

Key words: Working capital management, firm profitability, financial crisis, stock exchange, Vietnam.

INTRODUCTION

In the literature, the working capital management is been accorded little attention by researchers because it has been seen as secondary in financial literature compared to long term financing decisions [1]. As the financial markets have turned into turbulence during the last years of the 2000s, an increasing number of companies resort to their working capital in search of liquidity. A liquid company has more cash in hand to pay its debtors in time and reduce its net financial costs. Furthermore, a more liquid company has the ability to quickly invest in profitable opportunities.

Financial objectives, such as sales and profit, are still a primary purpose for listed companies. In other words, increasing their stock market value is their main goal. Working capital management is a very important component of corporate finance because it directly affects companies' liquidity and profitability. Therefore, efficient management of working capital is a fundamental part of the overall corporate strategy to create shareholder value. In general, companies try to keep an optimal level of working capital that maximizes their value. There has been some research in the field of working capital management and how it can influence corporate profitability. A more liquid company can invest its capital in something more productive than working capital. Also, capital efficiency adds to shareholder value, as the net present value of cash flows increases [2].

In fact, Vietnamese companies did not pay attention to its working capital before 2008. Because, before the 2008 economic crisis, the cash movement was prospects; also the business ran quickly; and the managers did not have time to monitor the company's working capital. But during the economic crisis, the lack of cash made serious problems for the company in paying short-term debt, monthly expenses such as administrative ones and salary. To deal with these problems, the company has used to some mode of financing such as firstly banking credit, then some informal loans; that result a great financial costs during the difficult period of 2009 – 2012.

Also, according to the managers, during this period, they spent a lot of times and synergies for dealing the problem of working capital. At a certain moment, they could not control the short-term expenses of the company; and they thought that the company lost money not only because of the financial costs but also of the monthly incontrollable expenses. In fact, they know the negative consequence of non-working capital management, but they thought this is ignorable. So, after the past experience, they hope to realize a research in order to clarify how and which extent the working capital management influences the company profitability. Based on the results of this research, they will decide to invest or not, if yes, how to the working capital management of the company.

LITERATURE REVIEW

Overview of Working Capital

Working capital constitutes an important part in a firm's total capital. According to [3], "working capital" involves all short-term assets or working assets, including money, venal securities, inventory, and receivables from customers; "net working capital" means working assets less all short-term debts; "net operating working capital" is the difference between working assets and short-term debt without interest payment (payables to suppliers and other payables). This definition assumes that cash and venal securities on the balance sheet are at the target in the long term and the firm does not hold cash in excess. The cash and venal securities held in excess will not be regarded as net working capital. The term of "working capital" (or "net working capital"), according to The Accounting Principles Board of American Institute of Certified Public Accountants, is defined as: the more dominate part of short-term assets than that of short-term debt; and is relatively slacker than the whole asset structure, payment of due and nearly due financial obligations within the firm's normal business cycle.

Working capital should be assessed according to the source of formation so that the firm can make out the financing structure for the need of working capital in its operation. From the point of view of financial management, every financing source has its cost of operation. The firm therefore should consider the optimal financing structure so as to lower its cost of operation. In principle, working capital can be financed from the following sources [3]:

- Charter capital: is the working capital that comes from the supplementary charter capital in the course of operation. In this source there also is the difference between the forms of business of different economic sectors.
- Self-adding capital: the source of capital supplemented by the firm itself from the firm's profit reinvested.
- Partnership capital: the working capital that comes from the capital contributed to the partnership maybe in cash or in materials, goods...
- Borrowed capital: Loans borrowed from commercial banks, from the bonds issued...

In this paper, the working capital financing source which analysis should be focused on is the source mobilized from securities markets (issuing stocks, bonds) and borrowed from credit institutions (per sum, per limit). There are different ways to classify working capital according to certain specific criteria:

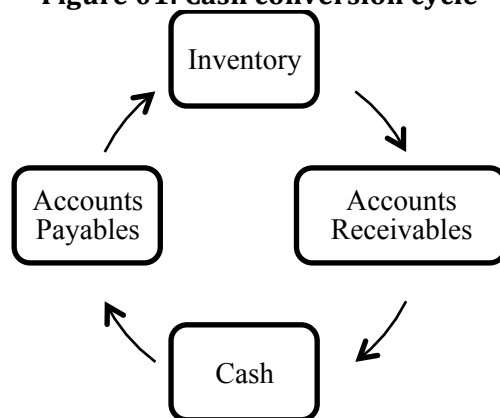
- ✓ According to its role, working capital can be classified into 3 categories: (1) Working capital in reserve includes value of materials, fuel, spare parts, working tools. (2) Working capital in production includes value of products in progress, semi-finished products, cost pending carryover. (3) Working capital in circulation includes value of finished products, pecuniary capital (including gold, silver, gemstones...); short-term investments and short-term security deposits; receivables. This way of classifying shows the role and the distribution of each kind of capital in every step of the operating process, from that the firm can adjust the structure so as to achieve highest efficiency of capital utilization.
- ✓ According to preventive forms, working capital can be classified into 2 categories: (1) Material, goods capital: materials, fuel, working tools, including value of products in progress, semi-finished products, finished products...for capital of this type, reserved capital should be determined reasonably in order to determine the need of working capital so as to guarantee continued process of manufacturing and selling. And (2) pecuniary capital (including gold, silver, gemstones...); short-term investments and short-term security deposits; capital in payment...
- ✓ According to ownership, working capital is classified into owner's capital and borrowed funds. Such classifications indicate that the firm's working capital structure is formed from the firm's capital itself or from the debts, so as to decide to mobilize, manage and utilize capital more reasonably.
- ✓ According to its sources, working capital may come from: charter capital, self-supplementary capital, partnership capital, borrowed funds. This way of classifying displays the financing source structure for the firm's need of working capital. Every financing source has its cost of operation. The firm therefore should consider the optimal financing structure so as to lower its cost of operation.
- ✓ According to the possibility to convert to money, working capital involves: (1) pecuniary capital, (2) receivables, (3) inventory, and (4) other working assets, such as advances, prepaid expenses, short-term security deposits.

There are numerous criteria for assessing efficiency of net working capital utilization. One of the most important criteria which is usually used as a tool for financial analysis is cash conversion cycle (CCC). This criterion refers to the period of time from buying materials to converting, selling the products and collecting accounts receivable. Firms with shorter cycles will have to invest less in working capital, hence lower demand of working capital, accordingly, the financing cost of such firms will usually be lower, and due to that cost reduction, firms will achieve higher profits [3].

$$\begin{aligned} \text{Cash Conversion Cycle} &= \text{Receivables conversion period} \\ &+ \text{Inventory conversion period} \\ &- \text{Payables conversion period} \end{aligned}$$

By using cash conversion cycle, managers may monitor how to use working capital effectively in their business cycle. Cash conversion cycle begins when the firm purchases materials, manufactures, sells products and till it receives proceeds from the products sold [4].

Figure 01: Cash conversion cycle



Working Capital Management And Firm Profitability In Financial Crisis

The different results between science researches have posed a question: is there a real correlation between working capital management and profits of firms? Whether that correlation is constant or variable will depend on the operating environment of each sector, level of development and development orientation of the country. According to a study of 2718 companies, in 20 years between 1974 and 1993 of [5], low cash rotation increases profitability ratio [6] also proved that there is a contra-relationship between cash conversion cycle and profitability of firms. They encouraged firms to reduce cash conversion cycle to increase profitability.

Published his research in Belgium with the data of 1009 non-financial companies during 1992-1996 by pointing out that such components of cash rotation as average cash collection cycle, inventory rotation per day, cycle of accounts payable have a negative relationship with the gross profitability ratio. This result indicates that if firms reduce cash rotation, profitability ratio will grow bigger. [7] explained that due to low profitability ratio, profit is low, then it would take longer time waiting so as to have money to pay invoices, from that it will lead to the correlation between cash rotation and the operating performance.

Studied the influence of working capital demand management on profits of companies in the food industry of Poland and some other European countries during 2005-2009 by using the Linear Regression Model to analyze the relationship between inventory rotation, accounts payable rotation with profits of firms, the author proved that in the food industry, firms with the shortest cash conversion cycle would achieve highest profits, from that to conclude that if working capital demand is assessed by cash conversion cycle, access resolvable, accounts payable, than such elements would have distinctive influence on the profitability of the food firms in Poland, some other European countries and firms in other industries. [8] confirmed that firm's profit has a direct and negative relationship with indexes of short-term inventory, accounts receivable and short-term accounts payable, namely if these cycles are prolonged, all this would cause profits decrease.

Pointed out the negative influence of the components of working capital demand on profit of firms, for example, the larger the cash conversion cycle the more profits of firms would reduce. He believed that business administrators could increase values for shareholders by minimizing the cash conversion cycle. Accounts receivable also have negative influence on firm's profits. In order to increase profits, firms should reduce accounts and lengthen payment time to providers so as to appropriate capital and cut down investment cost.

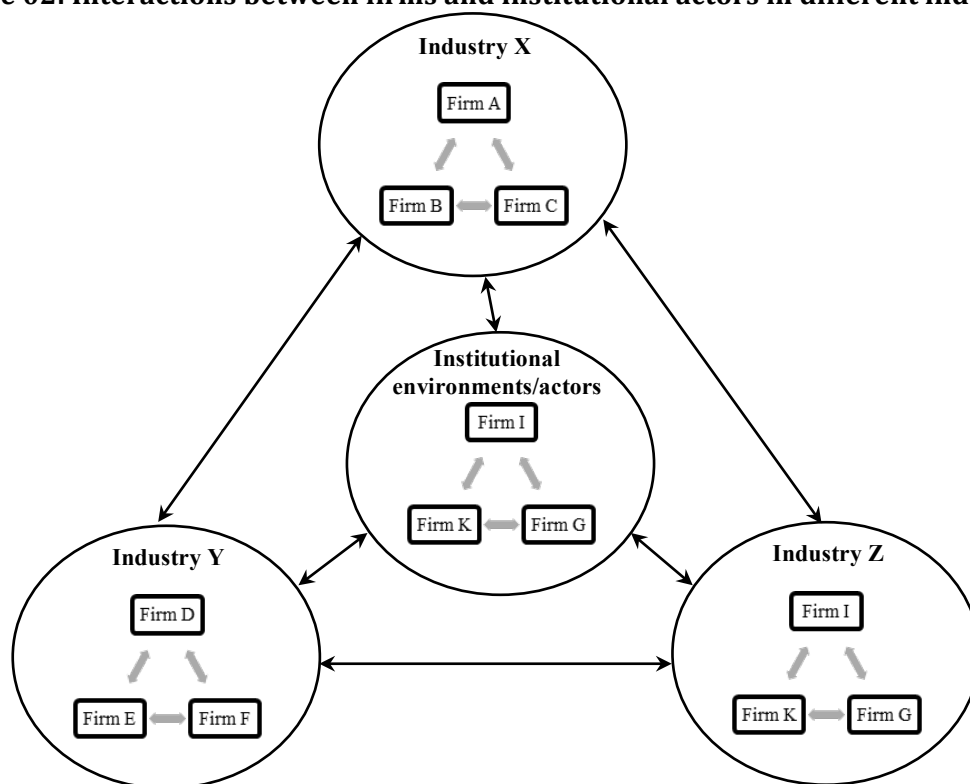
Compared the difference in the financial policies of SMEs during the economic crisis period 1991-1992, small and medium-size enterprises existed and achieved their profit targets by maintaining intact their inventory management policies, without reducing inventory quantity and customer orders, maintaining inventory by shortening the term of the account payable and lengthening the term of payment to suppliers and avoiding mobilizing capital through bank loans.

In Vietnam, [10] studied the 208 companies listed on the stock exchanges in 6 years (2006-2012) and the results showed the contra-relationship between accounts receivable, accounts payable, inventory and operate profits. [11] also suggested a contra-relationship between the components of working capital such as account receivable rotation, inventory rotation and cash conversation cycle against gross profit of firms. On the contrary, there was a reciprocal relationship between accounts payable and profits of firms.

These researches above although showed the important role of working capital in relation to the profitability of the enterprise, but ignored the impact of the environment, especially in the context of the economic crisis. In this perspective, this paper applies chaos theory to re-test the role of working capital during the financial crisis.

According to the chaos theory, the sectorial environment in which firms operate is very complicated, always changing and difficult to predict [12-14]. Firms within a sector will not only interact with each other but also with other subjects like governments, financial institutions and customers.

Figure 02: Interactions between firms and institutional actors in different industries



Therefore, “domino effect” will take place if a firm’s movement exerts influence on other firms, even on that economy and other subjects (governments, financial institutions and customers).

And if that effect takes place in the key economic sectors, this will have serious influence on the economy.

According to [13], [15] and [14], the key elements that make economy change include economic crisis, technology, globalization, competition, lifestyle, energy sources, investors and government policies. The typical example of this was the collapse of such banks as Lehman Brothers, Goldman Sachs and Morgan Stanley in the United States in 2008 which resulted in the crisis of the entire global economy in general and of the financial sector in particular. The crisis in 2008 exerted profound effects on all economic sectors. The firms that operated during that period of crisis had to face a sudden shock when there was a sharp decrease in the stock price and profit margin, short supply and sudden decreased demand [14, 16]. In this context, working capital management is considered as an efficient tool for the firm profitability face to negative impacts from environment. This is the main hypothesis of this paper.

METHODOLOGY

Research Sample

We used the data from the financial statements of 121 firms listed on the two stock exchanges, i.e. HNX and HOSE during 2008-2012; then used linear regression function to determine the correlation between working capital management and profitability of firms (presented by ROE) in economic crisis. Specifically, the data collection will involve:

- Step 1: On the basis of Vietstock database which includes listed companies, we selected randomly listed 172 companies having data between 2008 and 2012.
- Step 2: By collecting the annual financial statements, we calculate the necessary input variables of the model such as: Receivables Collection Period; Inventory Conversion Period; Payables Conversion Period; Cash Conversion Cycle; Cash flow; Leverage; Current Ratio; Growth of sales; Size of Companies; Ratio of tangible fixed assets/total assets.
- Step 3: By processing data, we removed observations with insufficient information. The final sample includes 315 observations (each observation means 1 year of 1 firm) of 121 firms.

Variable Measurement

The dependent variable is determined as the Return on Equity (ROE) that reflects return on equity (or on tangible asset value). ROE is calculated by dividing the net profit according to accounting year, after paying dividend to preferred stock but before paying dividend to common stock, by the total equity at the beginning of the accounting year. This index is the most accurate measure for assessing one coin of capital invested and accumulated to create how many coins of profit. The higher ROE is the more effectively the firm has used equity, that means the firm has balanced harmoniously between equity and loan stock to avail itself of the competitive capacity in the course of mobilizing capital and expanding the scope. Therefore, the higher ROE is the more appealing the stocks will be to investors. ROE is used to assess from certain angles as follows:

- ROE is smaller or equal to bank loan interest, then the firm can have a bank loan similar to or higher than equity, and the profit created is only for paying the bank loan interest.
- ROE is higher than the bank loan interest, then we have to see if the bank has borrowed from the bank and availed itself of all the competitive capacity in the market or not so as to judge that this firm can increase the rate of ROE in the future or not.
- The independent variables are the same with the ones in the literature review, they include:

- Receivables Conversion Period (RCP): This variable is calculated with the annual average accounts receivable divided by the net revenue of that year. The average money collection indicates the average period necessary for a firm to recover its accounts receivable from customers. Considering the tendency of average money collection throughout the periods of a firm is the most effective way. If accounts receivable rotation increases from year to year, this indicates the weakness in the firm's ability to manage liabilities.
- Inventory Conversion Period (ICP): This variable is calculated with the annual average inventory of that year divided by the cost price of goods sold of that year. The number of days of inventory rotation shows the average period inventory is stored. The increase of inventory rotation from year to year shows the lag in business or the firm's storage of inventory. This can also be understood that inventory is being invested beyond the necessary level.
- Payables Conversion Period (PCP): This can be calculated with the annual average accounts payable divided by the cost of goods sold of that year. The average payment period indicates the average period of a firm in paying liabilities to suppliers. The increase in the average money payment period from year to year is a sign of the shortage of long-term investment capital or the weak ability to manage working assets, this is the result of the increase in accounts payable to suppliers, the increase in the term of overdraft at the bank.
- Cash Conversion Cycle (CCC): $\text{Cash cycle} = \text{Time of inventory in stock} + \text{Time for collecting trade receivables} - \text{Time for trade receivables to be collected}$. The higher this figure is the scarcer the volume of cash of the firm will be for operation and other activities like investment. If this figure is small, the ability to manage working capital will be regarded as good. Otherwise, if this figure is big, it can be interpreted that the firm has to borrow more loan while pending payment of trade receivables from customer.
- Cash flow (CAF): Active money flow, calculated basing on the main operating results of a firm. This is also the currency flow that investors are most interested in.
- Leverage (LEV): Used as a controlled variable, this represents a financial leverage, calculated with the total accounts payable by assets.
- Current Ratio (CR): Is the ratio between working assets and value of short-term accounts payable in the same period, indicating the ability to pay current debts of the firm. If the current ratio is smaller than 1, that means the firm does not have enough working assets to pay the undue accounts payable.
- Growth of sales (GOS): Indicates the relative growth rate of sales (by percentage) through periods. If this ratio is smaller, it is not synonymous with negative growth. Firms with high growth rate of sales are usually in the period of robust development; market shares are on the increase or are expanding to new markets or fields. However, high growth rate of sales must not necessarily be accompanied by high growth rate of profit. Depending on the tendency of growth rate of sales, this shall be regarded as sustainable, instable, soaring or plummeting.
- Sizes of firms (SIZE): Natural Logarithm of Sales is used to measure sizes of firms.
- Ratio of tangible fixed assets/total assets (FA) is calculated with the total assets divided by total fixed assets. This variable is intended to evaluate the structure of assets influencing the capital structure and operating performance of firms.

The table below sums up the independent variables employed in the paper according to the formula and symbols:

Table 01: Variable measurement

Variable	Abbreviation	Formula
Receivables Collection Period	RCP	(Accounts receivable/ Sales)*365
Inventory Conversion Period	ICP	(Inventories / Cost of Goods sold)*365
Payables Conversion Period	PCP	(Accounts payable / Cost of Goods sold)*365
Cash Conversion Cycle	CCC	RCP + ICP – PCP
Cash flow	CAF	Operating cash flow/Sales
Leverage (ratio of debt to total assets)	LEV	Total Debt / Total Assets
Current Ratio	CR	Current assets / Current liabilities
Growth of sales	GOS	$\frac{DT_0 - DT_1}{ DT_1 } + \dots + \frac{DT_{n-1} - DT_n}{ DT_n }$ <p style="text-align: center;"><i>n</i></p> With DT ₀ is sale of present period. DT _i is sale of i previous period.
Size of Companies	SIZE	Natural Logarithm of Sales
Ratio of tangible fixed assets/total assets	FA	Total tangible fixed assets/total assets
Return on assets	ROA	Net income/Total assets

The regression model is formulated as follow: $ROE = a_0 + a_1x_1 + \dots + a_8x_8 + \varepsilon$

with: a₀, a₁, ..., a₈: coefficients to estimate;

x₁, ..., x₈: factors influencing ROE such as RCP, ICP, PCP, CCC, CAF, LEV, CR, GOS, SIZE, FA;

ε: error.

As the table 2 of correlation, ICP and CCC variables are highly correlated as their Pearson Correlation is 0.966 and significant at confidence level of 95%; so in regression, these two variables exclude each other and only one of the two will be taken to the model.

Table 02: Variable correlations

	RCP	ICP	PCP	CCC	CAF	LEV	CR	GOS	SIZE	FA
RCP Pearson Correlation	1	.515**	.416**	.672**	-.236**	.172**	.050	-.003	-.238**	-.107*
Sig. (2-tailed)		.000	.000	.000	.000	.001	.352	.956	.000	.046
N	349	349	349	349	349	349	349	349	349	349
ICP Pearson Correlation	.515**	1	.431**	.966**	-.140**	.221**	-.021	.102	-.100	-.110*
Sig. (2-tailed)	.000		.000	.000	.009	.000	.699	.056	.062	.039
N	349	349	349	349	349	349	349	349	349	349
PCP Pearson Correlation	.416**	.431**	1	.324**	.114*	.308**	-.033	.237**	-.307**	.017
Sig. (2-tailed)	.000	.000		.000	.033	.000	.535	.000	.000	.747
N	349	349	349	349	349	349	349	349	349	349
CCC Pearson Correlation	.672**	.966**	.324**	1	-.213**	.191**	.002	.048	-.102	-.133*
Sig. (2-tailed)	.000	.000	.000		.000	.000	.975	.370	.056	.013
N	349	349	349	349	349	349	349	349	349	349
CAF Pearson Correlation	-.236**	-.140**	.114*	-.213**	1	-.004	-.010	-.033	-.155**	.276**
Sig. (2-tailed)	.000	.009	.033	.000		.945	.857	.536	.004	.000
N	349	349	349	349	349	349	349	349	349	349
LEV Pearson Correlation	.172**	.221**	.308**	.191**	-.004	1	-.398**	-.003	.244**	-.171**
Sig. (2-tailed)	.001	.000	.000	.000	.945		.000	.955	.000	.001
N	349	349	349	349	349	349	349	349	349	349
CR Pearson Correlation	.050	-.021	-.033	.002	-.010	-.398**	1	-.006	-.311**	-.052
Sig. (2-tailed)	.352	.699	.535	.975	.857	.000		.904	.000	.333
N	349	349	349	349	349	349	349	349	349	349
GOS Pearson Correlation	-.003	.102	.237**	.048	-.033	-.003	-.006	1	-.080	-.100
Sig. (2-tailed)	.956	.056	.000	.370	.536	.955	.904		.138	.061
N	349	349	349	349	349	349	349	349	349	349
SIZE Pearson Correlation	-.238**	-.100	-.307**	-.102	-.155**	.244**	-.311**	-.080	1	.004
Sig. (2-tailed)	.000	.062	.000	.056	.004	.000	.000	.138		.946
N	349	349	349	349	349	349	349	349	349	349
FA Pearson Correlation	-.107*	-.110*	.017	-.133*	.276**	-.171**	-.052	-.100	.004	1
Sig. (2-tailed)	.046	.039	.747	.013	.000	.001	.333	.061	.946	
N	349	349	349	349	349	349	349	349	349	349

** . Correlation is significant at the 0.01 level (2-tailed).

* . Correlation is significant at the 0.05 level (2-tailed).

RESEARCH RESULTS

The result of regressions of the model above is presented in the table 3. Due to the correlative analysis between independent variables which indicates that ICP and CCC are highly correlated as their Pearson Correlation is 0.966 and significant at confidence level of 95%, when applying regression, these two variables exclude each other and only CCC variable is taken for the model when running regression.

Table 03: Regression Results

Independent variable	Unstandardized Coefficients		t	Sig.	Collinearity Statistics	
	B	Std. Error			B	Std. Error
(constant)	-3.351	5.146	-0.651	0.515		
RCP	-0.013**	0.004	-3.229	0.001	0.455	2.196
PCP	-0.005	0.006	-0.931	0.352	0.600	1.667
CCC	0.001	0.001	0.854	0.394	0.532	1.880
CAF	0.000	0.005	0.052	0.958	0.791	1.264
LEV	-0.156***	0.021	-7.386	0.000	0.640	1.563
CR	-0.404***	0.111	-3.639	0.000	0.777	1.288
GOS	0.004*	0.002	2.374	0.018	0.899	1.112
SIZE	2.407***	0.602	3.998	0.000	0.694	1.441
FA	-0.011	0.019	-0.550	0.583	0.853	1.173
R = 0,544 Adjusted R ² = 0,277 F = 15,803			R ² = 0,296 Std. Error: 7,267 p = 0,000		* significant at p ≤ 0.05; ** significant at p ≤ 0.01; *** significant at p ≤ 0.001;	

We can see that the Adjusted R Square is low but acceptable. That means the model can interpret 27.7% of changes in ROE of the firms studied. Also, the Sig (P-value) of F value is very small (<5%), then the model is validated.

According to the result of regressions, the model can be rewritten as follows:

$$ROE = -3.351 - 0.013 \cdot RCP - 0.005 \cdot PCP + 0.001 \cdot CCC + 0 \cdot CAF - 0.156 \cdot LEV - 0.404 \cdot CR + 0.004 \cdot GOS + 2.407 \cdot SIZE - 0.011 \cdot FA$$

Sig in the table of Coefficients indicates whether the regression parameters are significant or not (with reliability 95%, then Sig<5% is significant). According to regression, the 5 variables RCP, LEV, CR, GOS and SIZE has considerable effect on ROE of firms, specifically:

According to the result of regressions, the relationship between Receivables Collection Period (RCP) and ROE is negative (B=-0.013; Sig. =0.001). In other words, the number of days for collection is in inverse proportion to the firm's profits. This was also proved by [6], [7], [17] in their researches. In practice, credit sale and giving credit to customers constitute a policy to attract customers, to increase sales in the long term. This policy is especially important to small and medium-size enterprises in developing economies; nevertheless, if credit sale policy is over abused, firms will be more likely to be confronted with bad debts. In addition, that customers appropriate capital will drive firms to the situation with insufficient liquidation. When insolvent, firms will be exposed to loss of opportunity expenditures, reduction of reputation with suppliers, shareholders, employees of the firm and partners. Managers may increase the profitability ratio by trying to cut down the number of days collecting customer accounts receivable. By then, the firm's cash flow will be abundant, sufficient for financing other projects or investing in new production lines, helping increase profits. This policy will also assist the firm in reducing credit risks that firms may be exposed to when their customers go bankrupt.

Like RCP, the relationship between Leverage (ratio of debt to total assets) (LEV) and ROE is also negative (B=-0,156; Sig.= 0.000). The ratio of accounts payable represents current liability status of the firm, has effect on the active capital resources and income flows through payment of loan stock and interest when due. The lower the ratio of accounts payable the lower the

financial leverage effect is, and in reverse, the higher the ratio of accounts payable the higher the financial leverage effect is. The relationship between ratio of accounts payable and ROE is as follows:

Through the formula $ROE = ROA / (1 - \text{ratio of accounts payable})$, one can see basically the reciprocal relationship between the ratio of accounts payable and profitability of firms. If income from profit of a coin of asset (capital resource) remains unchanged, then income from net profit of one coin of equity will be higher, hence the financial leverage and the use of it to magnify the income of a coin of equity.

In fact, the relationship between these two variables has the following meanings. If there is no loan stock, or ROA of the firm equals loan stock interest, then ROE will equal $(1 - \text{tax rate})$ multiplied with ROA. If ROA is higher than interest, ROE will be more than $(1 - \text{tax rate})$ multiplied with ROA; this moreness will even go bigger if the ratio of loan stock on equity is higher. This relationship is reasonable since if ROA is higher than the loan interest, the firm will earn more money than the level of payment to creditors. Surplus income will be for owners of firms, shareholders, to cause the increase in ROE. On the other hand, if ROA is lower than the interest of accounts payable to the loan stock, then ROE will decrease; this decrease is dependent on the ratio of loan stock on equity. Therefore, firms will only do this when their investment capital demand is rather high while owners do not have enough for financing. The loan stock of the firm will become an account payable; the loan interest is calculated basing on this principal debt. A firm will only utilize accounts payable when making sure that the profitability ratio on the assets is higher than the loan stock interest.

The result of regressions for Vietnam firms during 2008-2012 indicated the negative correlation between Leverage (ratio of debt to total assets) (LEV) and ROE. This result can be interpreted as due to ROA of firms during the period above was lower than the loan stock interest. Financial leverage could not help increase ROE but tend to decrease ROE of the firms.

According to the result of regressions, the relationship between Current Ratio (CR) and ROE is negative ($B = -0,404$; $\text{Sig.} = 0.000$). The current liquidation rate indicates a firm's ability to utilize short-term its accounts payable. The higher this rate is the more evident it is that the firm is more likely to repay all liabilities. If the liquidation rate is less than 1, this indicates that the firm is in a negative financial situation, likely to fail to pay the liabilities when due. This, however, doesn't mean that the firm will go bankrupt, since there still are many ways to mobilize more additional capital. On the other hand, if this rate is too high, this will not be a good sign, as it indicates that the firm is using assets in an ineffective manner.

The result of regressions showed the negative effect of the firm's liquidation rate (represented by ROE rate). The CR arithmetic average rate of sample is 2.03 times. This indicated that Vietnamese firms during 2008-2012 were able to pay well with short-term assets were maintained at the rate double short-term accounts payable. Nevertheless, this "redundant liquidation" tends to reduce profitability of firms as the quantity of short-term assets like cash, inventory with low profitability were maintained at a high level.

Unlike the three independent variables above, Growth of Sales (GOS) and ROE are positively correlated ($B = 0,004$; $\text{Sig.} = 0.018$). This relation consists with the general theory, i.e. firms with high sales will likely to have higher profitability. This, however, is only correct if the increase in sales corresponds with the increase in net profit. Only in this way can the profitability on

equity actually be improved. If sales increase but net profit decreases (due to expenses increase higher than sales), then return on equity will be under negative effect. Research on the model of regressions has shown that in the period 2008-2012 Vietnamese firms kept good control of expenses so that the increase in sales was synonymous with the increase in net profit and had positive effect on the ratio of return to equity.

According to the result of regressions, the relationship between Size of Companies (SIZE) and ROE is positive ($B=2,407$; $Sig.= 0.000$). This relationship consists with the general theory, i.e. firms in large size will have higher profitability, based on economies of scale or/and economies of scope. Economies of scale, also known as gradually increased profit according to size, exposed when average long-term expenses decrease according to the momentum increase in productivity. That cost price decreases due to large-scale production (internal economies of scale) or the establishment lies close to organizations with functions complementing activities of that establishment (external economies of scale). This principle nevertheless will not last long forever, and to some certain extent, it will become non-economical due to size, or gradually decreased profit according to size, exposed when average long-term expenses decrease according to the momentum increase in productivity or will not increase. Economies of scope is that cost price decreases due to the basic production foundation is available or product has been standardized from that to create a series of other differential products. Research on the model of regression has shown that in the period 2008-2012, Vietnamese firms could still avail themselves of economies of scale or/and economies of scope to expand the size and increase their own profit.

The variables having effect on profit include PCP (Payables Conversion Period), ICP (Inventory Conversion Period), CCC (Cash Conversion Cycle), CAF (Cash flow), FA (Ratio of tangible fixed assets/total assets). The result of regression has shown that these variables are insignificant in the model. This can be accounted for as due to the effect of these elements on the firm's profitability is inconsistent, unprincipled. Most the targets above bear all the hallmarks of the firm in operation. The input data of the model includes the targets of the firms listed selected at random operating in different fields. Hence, the level of change of a target has different significances in each sector, thereby having different effects on profitability. The running out model has indicated that this independent variable was not significant, so doesn't have relationship with the firm's profitability.

With the data from the financial statements of 121 firms listed on the two stock exchanges, i.e. HNX and HOSE during 2008-2012 (315 observations, (each observation means 1 year of 1 firm), 9 independent variables (Receivables Collection Period; Payables Conversion Period; Cash Conversion Cycle; Cash flow; Leverage; Current Ratio; Growth of Sales; Size of Companies; Ratio of Tangible Fixed Assets/Total Assets) were run regressions with dependent variables being the firm's profitability (ROE) with the 5 variables RCP, LEV, CR, GOS and SIZE will have considerable effect on the firm's ROE; the remaining variables do not have statistic significance. In which, Receivables Collection Period (RCP), Ratio of debt to total assets (LEV), Current Ratio (CR) have negative correlations; whereas Growth of Sales (GOS) and Size of Companies (SIZE) have positive correlations with the firm's return on equity (ROE). Through the analysis, one can see the relationship of the above independent variables with the profitability of Vietnamese firms in the period 2008-2012 consists with the previous theoretical deduction and researches. The effect of working capital management is represented by Inventory Conversion Period; Receivables Collection Period; Payables Conversion Period; Cash Conversion Cycle. The results of regression, however, indicated the negative relation

between Receivables Collection Period and ROE; while the remaining independent variables do not have significant impacts.

CONCLUSION

This paper analyzes the relationship between working capital management and profitability from operations of 121 firms listed on the two stock exchanges, i.e. HOSE and HNX in the period 2008-2012. The research result has indicated that Receivables Collection Period (RCP), Ratio of debt to total assets (LEV), Current Ratio (CR) has negative correlation; whereas Growth of Sales (GOS) and Size of Companies (SIZE) have positive with the firm's return on equity (ROE). Through the analysis, one can see the relationship of the above independent variables with the profitability of Vietnamese firms in the period 2008-2012 consists with the previous theoretical deduction and science researches. The effect of working capital management is represented by the indexes: Inventory Conversion Period; Receivables Collection Period; Payables Conversion Period; Cash Conversion Cycle. The results of regression, however, have indicated the negative correlation between Receivables Collection Period and ROE; while the remaining independent variables do not have significant impacts.

The research findings of researches provide experimental evidence to confirm the important role of working capital management that has direct effect on profitability of firms. Particularly in financial crisis, the managers should accord a particular attention on solutions concerning Receivables Collection Period; by justifying the Leverage and Current Ratio at reasonable level; by enhancing measures for increasing the growth of sale in order to stabilize the firm.

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Evangelization in Cyberspace for the Promotion moral Development of the Nigerian Youths

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Abstract

Concerned for the moral decrepitude of the Nigerian society, especially among the youths, this paper takes a look at how evangelizing activities in cyberspace can be used to improve the moral life of the youths. To accomplish this objective, the work defines and explicates the concept of morality, makes a historical incursion into the act of moral living among Nigerians, discusses some immoral practices among the youths and establishes the need for their moral development. For the morals of the youths to appreciate, the paper postulates evangelization of the youths in the realm of the social media that make up the cyberspace – the technological space which the paper adequately describes. Concluding, the paper explains the various areas in which the cyberspace is strong in evangelizing. The evangelical practices which can help instill morals in the youths are thus pointed out.

Key words: Evangelization, Cyberspace, Moral development, Nigerian youths, Social media

INTRODUCTION

The totality of people's thinking patterns, attitude and behaviour in society, is a reflection of their moral and religious principles, folkways, norms and customs - all of which one can call the building blocks of a cultural heritage. It was upon these moral stands that the virtues of accountability, dignity of labour and respect for law and order among Nigerians, stood before the overthrow of socially acceptable values by corruption and indiscipline, bred by greed. A sense of morality plays out in everything that one does, including obtaining or sharing information online. Thus, the lack of moral responsibility in anybody's behaviour in cyberspace is not the fault of the Internet technology; it simply betrays the deficiency in the person's general moral status.

Morality: Definition and Explication

Morality, when simply defined as good behaviour, is synonymous with goodness, integrity, virtuousness. Its other name is moral character, or a set of culturally defined virtues such as honesty, integrity, probity and fair-mindedness. The converse side of morality is, of course, immorality, often used in reference to sexual perversion or promiscuity. "A person is equally immoral if he or she is treacherous, is a liar, tyrannical, cruel, greedy, avaricious and corrupt. Immorality, unlike morality, is evil and wicked" (Ejiogu, 2000,p.1). Immorality is synonymous with turpitude, decadence and depravity. Immorality is indeed horrible, which is why we are all warned in the Bible that "there is no peace, saith the Lord, unto the wicked" (Isaiah, 48:22), a warning that firmly vindicates Euripedes' affirmation that evil men by their own nature cannot ever prosper.

Morality which is often equated with moral code is sometimes taken for those rules of behaviour which are admitted at large in society. In this sense, it is equivalent to mores and mostly coincides with customs, conventions, fashions, etiquettes and folkways. In sociology, there is a distinction between moral rules or code and other kinds of social rules.

Moral principles, ideas and notions are crystallised in the form of an institution called 'morality'. Morality has been a vital factor in all the societies of the world. Moral rules which prescribe the wrong, are the very basis of our collective life. Hence the evolution of the group life of man is connected with the evolution of his notions. Moral notions are at the back of the give-and-take policy without which group life is difficult. Because of moral force, an individual tries to suppress his impulsive behaviour and individualistic tendencies. Moral principles get the sanction of society and strongly support the general system of values.

Since moral ideas are inculcated in the personalities of the children from the very beginning of their coming to this life, they become habituated (accustomed) to honour them and obey them. Most of the moral norms are internalised by the individuals during the period of socialisation and hence they obey because of some internal pressure. The pressure is sometimes so strong that some individuals, even in critical situations, may not be prepared to go against it. They are more powerful than laws and legislations. Sometimes the people who are prepared to break the laws on some grounds are not ready to go against the dominant moral values.

Morality is one of the fundamental social institutions. Religion and morality are usually considered to be among the most effective guides of human behaviour. Both formulate rules of conduct of society. Each has its own code of conduct as such. Religious ideas are embodied in the religious code and the moral ideas are embodied in moral code. Both act as powerful means of social control.

Strictly speaking, morality deals with the rules of conduct. It prescribes good behaviour and prohibits undesirable ones. Moral values are an important element in our normative pattern. Moral values are the most dynamic, creative and important driving force behind human actions and endeavours. Such concepts as justice, honesty, fairness, righteousness, conscientiousness, disinterestedness, prudence, incorruptibility, freedom and mercy, are purely moral concepts because they represent moral values. They are capable of deeply influencing and also changing the course of society. Political and social movements are normally hinged upon the values of this kind.

Moral development therefore involves the formation of a system of values on which to base decisions concerning "right" and "wrong", or "good" and "bad". Moral development is concerned with changes that occur over time in behaviour, emotions, and cognitions relative to the realm of morals (Ratcliff et al 1991). Moral development occurs when the child imitates the actions of responsible of adults and is commended for engaging in socially acceptable behaviour and punished for socially unacceptable behaviour (Bandura, 1965).

A Historical Glance at Moral Living in Nigeria

Although the contemporary Nigerian society is morally decadent, nay, rotten, moral living is not alien to Nigeria. Ejiogu (2000) cites examples of cases in Nigeria which demonstrated the enthronement of moral living. During the rule of Uthman Dan Fodio, there was a strong condemnation of bribe taking, nepotism, oppression of the weak by the strong, and ostentatious display of wealth.

The National Policy on Education generally emphasizes a great need for citizenship education as a basis for effective participation in, and contribution to the life of the society as well as character and moral training and the development of sound attitude. Then in particular terms, the National Policy on Education, in articulating the aims and objectives of secondary education in Nigeria, seeks the development of “a generation of people who can think for themselves, respect the dignity of labour, and appreciate... values such as respect for the worth and dignity of man, moral and spiritual values, interpersonal and human relations and a shared responsibility for the common good of society” (quoted in Ejiogu, 2000, pp.2-3).

Ejiogu recalls with nostalgia the good old days when the village teacher, though poorly paid, was happy, proud and enthusiastic as he tirelessly and selflessly performed the chores of teacher, baby minder, catechist/imam, local justice of the peace and marriage counsellor simultaneously. It was in the same spirit of patriotism that Nigeria's nationalists fought to secure independence for the country, freeing it from the claws of oppression and uniting it that it might be prosperous. They counted no cost, nor did they enrich themselves unlawfully or immorally. Some of them like Dr. Michael Okpara, Sir Ahmadu Bello and Tafawa Balewa even died without bequeathing even a decent house, property or monetary wealth to their offspring.

It is on record that the undergraduates of the pre-1970s while at home on their long vacations, would go to nearby schools to coach the younger ones free of charge. In those days, newspaper vendors were said to drop heaps of their newspapers and magazines at designated points on campus and depart for other parts of the city. On their return in the evening, they would meet accurate amounts of money for papers taken away in their absence by students. No papers were stolen nor was any money missing.

IMMORAL PRACTICES AMONG THE NIGERIAN YOUTHS

The Nigerian society seems to be slipping out of moral reach but into the pit of anomie. The moral plane is littered with the debris of indiscipline and corruption, bred by greed. The evils of sex perversion and abuse, godlessness, lawlessness, seem to be prevailing in the land. The social landscape is stained by the triplets of hatred, malice and unforgiveness - all of which consume energies and cripple friendships. The political atmosphere smells foul of acrimony, disharmony and electoral fraud, seasoned by greed and the inordinate desire for cheap fame and base honour.

Although we are aware that our much sought-after peace, stability, democratic growth and development and general economic and political prosperity are the rewards of free and fair elections, the youths have allowed our electoral system and process to be plagued by greed, fraud and violence, with violence rating highest on the scale of the vices. Shedding off their skin of decency and plunging into a moral abyss, so-called politicians engage decadent youths other than their own children in all forms of electoral malpractice and thuggery for just a shekel of silver.

To many youths, hard work is no longer fashionable. Today, people steal public funds, use them to build castles and buy chieftaincy titles and honorary degree awards from dubious foreign (and even Nigerian) institutions. It is no longer necessary to study hard for examinations since it is easier to buy fake certificates. “The moral principles that prevail in our society today are those of utility, quest for material achievements and denial of God. All

other ideals, whether of justice, honesty or truth are subordinated to these norms”(Gurin, cited in Ejiogu, 2000, pp.6 – 7).

Corruption among the youths stinks! In theological thinking, corruption is what one Bruce sees it to be: “the transience of the present world order... the liability of the material universe to change and decay”. In modern usage, corruption connotes immorality, impurity, perversion and deprivation. Its verb form, corrupt means to destroy or subvert the honesty or integrity of somebody or to contaminate something. It also means to be a bad influence on somebody. As an adjective, corrupt means to be fraudulent, immoral, dubious, untrustworthy, mischievous, obtaining something by unclean means and to be deceitful.

Greed as mother of indiscipline and corruption is the nucleus around which every other problem in this country revolves. This is for two cardinal reasons. Every Nigerian is hungry and thirsty, sometimes crazy for success.

CYBERSPACE AS ZONE OF OPPORTUNITIES

“Cyberspace is a domain characterized by the use of electronics and the electromagnetic spectrum to store, modify, and exchange data via networked systems and associated physical infrastructures (sic). The term originates in science fiction, where it also includes various kinds of virtual reality experienced by deeply immersed computer users or by entities that exist inside computer systems” (Hasan,2010,p.768).

According to Watson (2003), “the word 'cyberspace' seems to have been first used by William Gibson in his (sci-fi) novel, *Neuromancers*, published in America ... in 1984... to locate the origin of cybernetics the study of feedback systems”(p.231). Gibson describes cyberspace as “a consensual hallucination.” With cyberspace, people are creating a world. It's not really a place, it's not really space, it's notional space” (Gibson, 2004).

In this notional space, we can all be cybernauts (Remember astronauts?) - “potentially free agents who by pressing computer keys and by the grace of a modem and telephone line, can take off into the stratosphere of seemingly infinite knowledge that is instantly accessed” (Watson, 2003, p.231).

The parent term of cyberspace is cybernetics, which is derived from an Ancient Greek word that means, steersman, governor, pilot, or rudder. The word, cybernetics was first introduced by Wiener (1949)for his pioneering work in electronic communication and control science (<http://en.wikipedia.org/wiki/Cyberspace>). Norbert Wiener, father of cybernetics, lived between 1894 and 1964. The term cyberspace has become a conventional means to describe anything associated with the Internet and the diverse Internet culture.

During the 1990s when the term became quickly and widely adopted by computer professionals as well as hobbyists, making it a household term, the uses of the Internet, networking, and digital communication were all growing dramatically and the term cyberspace was able to represent the many new ideas and phenomena that were emerging (Lance , 1999, pp.382- 383).

Cyberspace is a metaphor for describing the non-physical terrain created by computer systems. That is, it is used to describe the "sense of a social setting that exists purely within a space of representation and communication . . . it exists entirely within a computer space,

distributed across increasingly complex and fluid networks"(Slatter,2002, p.546). The term became a synonym for the Internet, and later the World Wide Web, during the 1990s.

Online systems, for example, create a cyberspace within which people can communicate with one another, do research, or simply window shop. Like physical space, cyberspace contains objects (files, mail messages and graphics, for example) and different modes of transportation and delivery. Unlike real space, though, exploring cyberspace does not require any physical movement other than pressing keys on a keyboard or moving a mouse.

While cyberspace should not be confused with the Internet, the term is often used to refer to objects and identities that exist largely within the communication network itself, so that a Website, for example, might be metaphorically said to "exist in cyberspace" (Flew, cited on <http://en.wikipedia.org/wiki/Cyberspace>). According to this interpretation, events taking place on the Internet are not happening in the locations where participants or servers are physically located, but in cyberspace.

"Nowhere, except in dreams, have reality and fantasy contended for our attention more than on the Internet" (Watson, 2003, p.230). The Internet had its roots in the need during the mid-1960s for linking military computer researchers in the United States. Commercialization of the networks began when the Internet was opened up to the private service providers like Prodigy, Delphi, Genie, America Online (AOL) and CompuServe. The World Wide Web was developed at the European Centre for Particle Research in 1989, but took off only in 1993 when software developed at the University of Illinois and subsequently elsewhere, created browsers and graphical interfaces, making the search and interrogation of pages on the www possible. Hundreds of sites were placed on the Web.

A popular collective name for the Internet and other related large-scale computer networks, is Information Superhighway. Nam June Paik, a 20th century South Korean-born American video artist, claims to have coined the term in 1974. Hear him yourself:

I used the term (Information Superhighway) in a study I wrote for the Rockefeller Foundation in 1974. I thought: if you create a highway, then people are going to invent cars. That's dialectics. If you create electronic highways, something has to happen (quoted in Hassan, 2010, p.768).

The Information Superhighway can be defined as an information and communication technology network, which delivers all kinds of electronic services-audio, video, text, and data, to households and businesses. It is usually assumed that the network will allow for a two-way communication, which can deliver narrow-band services like telephone calls as well as broadband capabilities such as video-on-demand, teleshopping, and other interactive TV multi-media applications. Services on the superhighway can be one-to-one (e.g. telephone, electronic mail and fax), one to-many (e.g. broadcasting, interactive TV and videoconferencing), or many-to-many (bulletin-boards and forums on the Internet).

The term was popularized by former Vice President of the United States, Al Gore in the early 1990s in a speech outlining plans to build a high-speed national data communications network.

Most users and commentators agree that the prime virtue of network technology is the opportunity it provides for interactivity. For students and journalists of today and tomorrow,

the Net is a partner to the university library or the newspapers' clippings files. Although the Net is arguably less reliable and more transitory, it is unarguably swifter in supplying information.

Some programmes, particularly computer games, are designed to create a special cyberspace, one that resembles physical reality in some ways but defies it in others. In its extreme form, called virtual reality, users are presented with visual, auditory, and even tactile feedback that makes cyberspace feel real.

Cyberspace for the student researcher is simply entered and left for purposes of gathering or exchanging information, as a means of contracting and interacting with fellow researchers in the field. For others, cyberspace, described as alternative reality, is where things happen. It is the psycho-socio-cultural context of the future where interactivity is, at all times, key; and the real world seems to be the "virtual" environment. Irony of ironies!

From a sitting position, people can talk to, and interact with, the world. We can e-mail the First Lady of the Federal Republic of Nigeria; we can drop 'an e-line to Dangote, the richest man in Nigeria; we can summon up music and movies; we can access chat rooms, Skype, twitter and make cyber friends.

The Internet, with its associates and rivals, offer to the computer explorer a new future. Ordinarily, one may have to wait for half an hour for a bus to get one to work but via the modem, one can be exchanging data with friends in distant parts of Nigeria within seconds, checking the strength of the market in Onitsha or booking for a holiday for two at Obudu Cattle Ranch Resort in Cross Rivers State. One can create one's own website to which the world can be invited. Boundaries of time and space now mean nothing. You can 'visit' any country on earth via the Net.

Students of media communication, concerned as they are, for most of their work, with developments and issues that are recent and increasingly global in significance, can use the Internet to find the very latest information. With the assistance of the Net, feedback becomes possible; and enrichment through interactivity becomes a likely bonus.

While it encourages interactivity, it provides specificity. You wish to look up an exact item within the field of development communication. The dictionaries and other reference books have given you a modest start but to acquire the amount of information you need, you would have to search many volumes, some of them either difficult or impossible to obtain. And always, there is the critical time lag for you must hand in your research project in good time, that is, you must beat the deadline.

Your challenge might not be that of scarcity of the information but too much of it. Where do you start and how do you reduce the vast amount of information available to you in the particular field of development communication in order to fulfil the specific requirement of your research task? Specificity is the key. You may not require, for example, access to the whole gamut of research findings on traditional communication in sensitizing the rural population of your area. Rather, your interest may tilt towards particular types of folk media to interact with the target audience. By being fed with key words, the computer does the selection of data for you and at a speed unmatched by any other research method.

Information can be summoned via the Net but the Net generates its own problems. Researchers and other well educated users of the technology should know this. There is plenty of information online but how reliable is it? Where does the information come from? Who actually compiles it? Is it not garbage in, garbage out? Who keeps the information up to date? Often, one is irritated by the volumes of errors partly intellectual but chiefly linguistic or grammatical, transmitted online.

It is in cyberspace that the various social media platforms are located for us to chat with, inform, persuade, sensitize, lecture, teach, hold conferences with, counsel, and entertain our myriads of cyber members, acquaintances and friends. What we are waiting for is the day we - our friends and us - shall take our meals in cyberspace and no more on some hard dining sets. While we so wait, let us review the various social media that will make this lofty dream of wining and dining in cyberspace, come true.

Nsereka (2013), standing on other authorities, supplies information on Facebook, Twitter, YouTube, Flickr, Tumblr, LinkedIn, Badoo and Instagram.

Facebook: This is a social network service which was launched in February 2004 (Carison, cited in Sheedy, 2011). As at January 2011, there were more than 600 million active users of the medium.

As stated by Mashable.com (cited in Sheedy, 2011), Facebook is a social utility that helps people communicate more efficiently with their friends, family and co-workers. The company develops technologies that facilitate the sharing of information through the social graph, the digital mapping of people's real-world social connections. Anyone can sign up for Facebook and interact with the people they know in a trusted environment.

Twitter: Twitter is a real-time information network that connects users to the latest information about what they find interesting. It is a micro-blogging site, which allows users to send out messages in short spurts of up to 140 characters per "tweet." Based in San Francisco, Twitter is used by people in nearly every country in the world, and is available in English, French, German, Italian, Japanese, and Spanish. According to Sheedy (2011), as of September 2010, there were "175 million registered users and an average of 95 million tweets written each day (retrieved February 25, 2011)."

Twitter is an extremely personal method of communication. Users must choose whom they follow, and thus create a unique experience that is specific to them. Like email or the telephone, twitter is a non-prescriptive communication platform. Users experience twitter differently depending on the time of day and frequency they check their feed, the other people they follow, and the interface(s) they use to access the network. As Driscoll (2010) posits, because of the flexibility of Twitter usage, norms emerge, mutate, collide, and fade among twitter users.

YouTube: As Mashable.com records, YouTube was founded in February 2005. It is seen as the leader in online video, and the premier destination to watch and share original videos worldwide through a Web experience. YouTube allows people to easily upload and share video clips on www.YouTube.com and across the Internet through websites, mobile devices, blogs, and email.

YouTube changed the way people shared videos because it created a simple way to share otherwise cumbersome and large video files. Before YouTube, it was difficult to share video with a large number of people.

Flickr: Flickr is a photo-sharing site that allows users to share photos on [WWW.flickr.com](http://www.flickr.com) or through embedded applications on other websites. Flickr allows users to tag photos with keywords, which create communities around common interests or events.

Tumblr: Tumblr, is a micro-blogging platform and social networking website founded in New York by David Karp in 2007 and owned by Yahoo! Incorporated. The service allows users to post multimedia and other content to a short-form blog (Wikipedia).

LinkedIn: "LinkedIn is a social networking website for people in professional occupations. Founded in December 2002 and launched on May 5, 2003, it is mainly used for professional networking" (<http://en.wikipedia.org/wiki/LinkedIn>). LinkedIn has no fewer than 225 million people as members from no fewer than 200 countries and territories. With this membership composition, LinkedIn is considered the world's largest professional network in cyberspace.

Badoo: Badoo is a social network where one can meet new people. With over 194 million users, Badoo is great for chatting, making friends, sharing interests, and even dating! Founded by the Russian entrepreneur, Andrey Andreev, and launched in London in November 2006, it is free and easy to use.

Instagram: Created by Kevin Systrom and Mike Krieger and launched in October 2010, Instagram is an online photo-sharing, video-sharing and social networking service that enables its users to take pictures and videos, apply digital filters to them, and share them on a variety of social networking services, such as Facebook, Twitter, Tumblr and Flickr (Frommer, 2010, November 1). A distinctive feature is that it confines photos to a square shape, similar to Kodak Instamatic and Polaroid images, in contrast to the 16:9 aspect ratio now typically used by mobile device cameras (<http://en.wikipedia.org/wiki/Instagram>).

Users are also able to record and share short videos lasting for up to 15 seconds (Blog.instagram.com.)

With over 100 million active users as at April 2012, the service has gained popularity (DesMarais, 2013, January 20).

As we end this section of the paper on cyberspace as a zone of opportunities, let us describe the flow of digital data through the network of interconnected computers: it is at once not real, since one could not spatially locate it as a tangible object, and clearly real in its effects. Secondly, cyberspace is the site of computer-mediated communication (CMC), in which online relationships and alternative forms of online identity are enacted, raising important questions about the social psychology of Internet use, the relationship between online and offline forms of life and interaction, and the relationship between the real and the virtual. Cyberspace draws attention to remediation of culture through new media technologies. The technology is not just a communication tool but a social destination, and is culturally significant in its own right. Finally, cyberspace can be seen as providing new opportunities to reshape society and culture through hidden identities, or it can be seen as borderless communication and culture (Terry, cited in <http://en.wikipedia.org/wiki/Cyberspace>).

RELIGION AND MORALITY: PRINCIPLES AND PRECEPTS

Closely associated with morality is religion which has elaborate rules of conduct. Although religion is a universal phenomenon, it is understood differently by different people. Hence the existence of different religious faiths. There is no consensus about the nature of religion. Scholars and writers like Durkheim, James G. Frazer, Edward Sapir, Maclver and Page, Ogburn and Max Muller (all cited in Rao, 2012, p.413) have offered various definitions for religion. In their different views, religion is:

- a) a unified system of beliefs and practices relative to sacred things, that is to say, things set apart and forbidden.
- b) powers superior to man which are believed to direct and control the course of nature and of human life.
- c) the essence of religion consists in a man's never-ceasing attempt to discover a road to spiritual serenity across the perplexities and dangers of daily life.
- d) a relationship not merely between man and man but also between man and some higher power.
- e) an attitude towards super-human powers.
- f) a mental faculty or disposition which enables man to apprehend the infinite.

Yet no faithful to any of the religions of the world - Christianity, Islam, Judaism, Hinduism, Buddhism or Confucianism - can claim not to have any obligation to observe certain codes that are inherent in the religion.

Classic Cases of uncompromising Adherence to religious Principles and Education by morally upright Youths

Moses

Moses was nurtured and educated in all the wisdom of the Egyptians (Acts 7:22). Yet what was superstitious he rejected so as to be susceptible to God's teaching throughout the 80 years of his life.

Today, in schools and colleges, young believers may be taught many things contrary to the scriptures, but they should not accept them as inviolable. They should take the attitude of Psalm 119:99: "I have more understanding than all my teachers."

Daniel

In Babylon, Ashpenaz was the master of the King's "eunuchs." Amongst these eunuchs in Babylon were some Israelite children from a royal family. They were to be educated to enhance the court of the king of Babylon. Far more than four were selected, among whom was Daniel as can be seen from verse 6.

The selection of these children was based upon physical appearance plus a good education that had already been profitably received in Jerusalem. The Israelite children's qualities of being wise, cunning in knowledge, and understanding science had been acquired prior to their captivity. This constituted a proof of their ability to learn further, just as entry into college today is based on similar considerations.

These new students around the age of 16 were to be taught "the learning and the tongue of the Chaldeans," who made up the ruling caste of priests in the Babylonian temple. Subjects taught included astronomy, philosophy, mathematics, natural history, agriculture, architecture,

ancient languages and writing. To be added to them would be astrology, magic and divination as well as the special language of the priestly caste.

Thus Daniel and his fellows would acquire a good knowledge of the proper science and technology of Babylonian culture of that period, but they would not imbibe the superstitions surrounding these subjects. The ordinary Jew, on the other hand, practising idolatry in Jerusalem, would imbibe these superstitions without question.

This class of Jewish young men was to have three years of special education in Babylon, after which they would appear before the King for an oral examination, with a subsequent selection to be made amongst his advisers. The court budget would provide these students with food and drink for these three years, to make them appear to depend heavily upon the King.

As it is contained in verse 8, moral issues were at stake. The food may previously have been offered to Babylonian idols. Daniel would insist upon practical sanctification. He would not depend on the king, and he would take no risks about the purity of the food. "That ye be not partakers of her sins" (Rev. 18:4) was his motto. By constant pressure of the environment, the king sought to wean these Jewish scholars from their past lives in Jerusalem (in matters relating to their knowledge and food) to change their lives in order that they might absorb completely the Babylonian culture and idolatry.

To achieve further this objective, Ashpenaz changed the names of Daniel and his three friends, to obliterate the memory of the spiritual origins of their Jewish names. The new names were meant to attach the Hebrew children closely to Babylonian religion.

All the four names that were changed originally contained the name of the true God, and all the four new names contained the names of false Babylonian idols or deities. Thus Daniel (God is judge) was changed to Belteshazzar (Bel's treasure, or Bel protects the king); Hananiah (God is gracious, or the gracious gift of God) was changed to Shadrach (Enlightened by the sun-goddess or by the moon-god). Mishael (Who is what God is?) was changed to Meshach (Devotee of Venus, or Who is what the moon-god is?). Azariah (God has helped, or is keeper) was changed to Abed-nego (Servant of Nego, a Babylonian idol). Their original names are used in 1:19 and 2:17, but their new names are used in 2:49; 3:13, 14, 16, 19, 20, 22, 23, 26, 28, 29, 30 in relation to king Nebuchadnezzar.

But their new idolatrous names did not adversely affect their faith; they remained steadfast. They would not "worship the golden image," (3:14). They said, "we will not serve thy gods, nor worship the golden image" (v. 18).

Apostle Paul

Ochiama (2006), in his book, *The Life and Teaching of Apostle Paul*, accounts for the early education of Paul the Apostle. Paul the Apostle first received his initial education in Tarsus, and probably became familiar with the pagan culture, since his acquaintance with gentile writers is clearly shown in his speeches and writings (Acts 17:28; 1 Cor. 15:33; Titus 1:12). One of the most natural careers for the youths to follow as at that time was that of a merchant but it was decided that he should go to college and become a rabbi, that is, a minister, a teacher, and lawyer all in one.

However, according to Jewish customs and traditions, he learned a trade before preparing for the sacred profession. The trade he acquired was the making of tents from goats' haircloth, a

trade that was one of the commonest in Tarsus. This trade later provided him with the means of living from his own labour (Acts 18:3; 2 Cor. 11:8; 2 Thess. 3:8). His preliminary education having been completed, Saul was sent, when he was about thirteen years old, to the great Jewish school of sacred learning at Jerusalem as a student of the law.

Here, he became a pupil of the celebrated rabbi Gamaliel. The Gamaliel referred to in the scriptures, was the first of the famous rabbis of that name. He was a descendant of Hillel and was considered an expert in the law. Despite belonging to the party of the Pharisees, Gamaliel was a freethinking person (Acts 5:34) and an admirer of Greek wisdom. Apostle Luke wrote that Saul studied under Gamaliel, in Jerusalem. "I am verily a man which am a Jew, born in Tarsus, a city in Cilicia, yet brought up in this city at the feet of Gamaliel..." (Acts 22:3).

Here, Saul spent many years in an elaborate study of the scriptures and of the many questions concerning them with which the rabbis exercised themselves. During these years of diligent study, he lived "in all good conscience," unstained by the vices of that great city. Evidently, young Saul was preparing for a rabbinical career, for on completing his education and training, he emerged as a strong zealot of pharisaic traditions and persecutor of the Christian faith.

THE NEED FOR EVANGELIZATION

In every religion, there is an emphasis on the need to win converts to that religious faith. Shu'aib, a prophet of Allah warned Moslems against unbridled materialism and other forms of corruption: "... O my people, give just measure and weight. (Don't) withhold from the people the things that are their due. Commit not evil...with intent to do mischief" (Qur 'an 11:84-107).

Jesus Christ, in Matthew 16:26, asks: "For what is a man profited, if he shall gain the whole world, and lose his own soul".

EVANGELIZATION IN CYBERSPACE

With the advent of the Internet, Christian evangelizing took a new turn. A lot of old-time worshippers who did not believe in modernism like the television and the Internet as they saw it as a channel of polluting or corrupting the human soul. They have, however, now embraced it wholeheartedly and use it to spread the gospel to the whole world.

Online evangelism is now very popular. For instance, when one opens a website, one sees various advertisements about Christianity and Jesus Christ. A lot of pastors preach online and have online streaming of their services while others send tracts to various e-mail accounts and websites. Thus it is not rare to see so many unsubscribed evangelical tracts in one's email. The large churches all have satellite branches while other members can worship online at the church's website. Apart from these online services and websites, there are telephone services for calls on the Internet. There are also video tracts in which preachers use animation and music to win the hearts of Internet surfers. Also, there are free downloads of CDs that enable Internet users to listen to sermons. The popular pastors have their sermons on people's phones, all downloaded from the Internet. Christian literature or books are also available for free or paid download online. A lot of popular topics are discussed online like topics about sending Christian kids to public schools where they will not be exposed to atheists and indecent behaviour.

Apart from these, there are online churches, some of which only operate online. There are also mailing lists where church members can put the e-mail addresses of their friends and loved ones for them to be sent gospel tracts, videos and CDs. The biggest of these feats is the fact that aspiring pastors can go to online bible schools. There is also online evangelism training to help educate people on effective online evangelism. Some pastors have their live video streaming time where members from all over the world can interact with them.

Between February 7 and 9, 2014, the General Overseer of the Deeper Life Bible Church visited Port Harcourt to minister at the Supernatural Encounter with the God of Miracles crusade. During the publicity for the event, each member of the church was asked to submit names of ten persons to be invited to the programme. Other churches do similar things and more. This is online evangelism! By it, souls are converted; and ideally, the converted should be repositories of high morals.

CONCLUSION AND SUGGESTION

The perennial crisis in this country is the crisis of people's values which are often base and selfishly materialistic, ironically even among the educated and intellectual segment of our society.

A disruptive moral crisis has regrettably overtaken our social system through the importation and wholesale acceptance of alien values, alien tastes and alien life-styles, including brutal nudity among our girls, our ladies. Greed is the parent sin of indiscipline and corruption. Greed is that excessive, uncontrollable, burning passion to have more of anything than one really needs or deserves. It is the rapacious desire to own more and more of just about anything. It is an insatiable appetite for more.

In flagrant defiance of the biblical injunction not to gain the whole world at the expense of one's life (Mark 8:36), many are struggling every moment of their life to gain, to acquire, to possess and to own the whole world and, in most cases, at the expense, not only of their own lives but also of the lives of others.

To combat greed, the mother of corruption and indiscipline is to move towards a moral pathway; and this is where evangelization in cyberspace (visited by a lot of youths), comes to the rescue

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Empowering Women: Uncovering Financial Inclusion Barriers

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Abstract

In recent years, developing countries including India have witnessed significant efforts by civil society organisations and governments to promote thrift activities among the poor especially women. This has been followed by interventions in the area of micro-credit and microfinance. The designation of 2005 as the International Year of Micro credit by the United Nations helped to raise global awareness on the pivotal role that more inclusive finance can play in achieving the Millennium Development Goals. Globally, the focus is now on financial inclusion and on strategies to make available a range of financial products and services that meet the specific needs of the poor. This article is an attempt to ascertain the awareness of Financial Inclusion among rural women in Tirunelveli District.

Key Words: Awareness, financial assets, financial inclusion, financial products, poverty

FINANCIAL INCLUSION

The concept of financial inclusion has a special significance for a growing economy like India as bringing the large segment of the productive sectors of the economy under formal financial network could unleash their creative capacities besides augmenting domestic demand on a sustainable basis driven by income and consumption growth from such sectors. Financial inclusion efforts do have multiplier effect on the economy as a whole through higher savings pooled from the vast segment of the bottom of the pyramid (BoP) population by providing access to formal savings arrangement resulting in expansion in credit and investment by banks. Deeper engagements of the BoP/under-banked population in the economy through the formal financial system could lead to improvement of their financial conditions and living standards, enabling them to create financial assets, generate income and build resilience to meet macro-economic and livelihood shocks. Government also immensely benefits by way of efficient and leakage-proof transfer of vast amounts of welfare benefits to the targeted, disadvantaged groups of population.

The present banking network of the country (as on 31.03.2014) comprises of a bank branch network of 115082 and an ATM network of 160055. Of these, 43962 branches (38.2%) and 23334 ATMs (14.58%) are in rural areas.

Financial Inclusion Plan is furnished below:

Comprehensive Financial inclusion of the excluded sections is therefore proposed to be achieved by 14th August, 2018 in two phases as under:

Phase I (15th August, 2014-14th August, 2015)-

- Universal access to banking facilities
- Providing Basic Banking Accounts with overdraft facility of Rs.5000 and inbuilt accident insurance cover of Rs.1 lakh
- Financial Literacy Programme
- Creation of Credit Guarantee Fund for coverage of defaults in overdraft A/Cs

Phase II (15th August 2015-14th August, 2018)-

- Micro Insurance
- Unorganized sector Pension schemes

Some of the Phase II activities would also be carried out in Phase I. In addition, in this phase, coverage of households in hilly, tribal and difficult areas would be carried out. Moreover, this phase would focus on coverage of remaining adults in the households and students.

SIGNIFICANCE OF THE STUDY

Women are less included in the formal financial sector than men, especially in developing economies, even after controlling for individual characteristics like income, education, and age. Data from the World Bank's Global Financial Inclusion database highlights the existence of significant gender gaps in ownership of accounts and usage of savings and credit products. Globally, 47 percent of women own an account compared to 55 percent of men, and the gender gap is more pronounced in developing countries. Women are 15 percent less likely than men to have a bank account, and lag behind men in saving and borrowing through formal financial institutions. The gender gap is largest in South Asia, where 41 percent of men report having an account compared to only 25 percent of women, followed by the region of Middle East and North Africa (MENA), where 23 percent of men report having an account compared to 13 percent of women. The gender gap is largest among those living in extreme poverty: of adults living on less than US \$2 per day, women are 28 percent less likely than men to have an account.

OBJECTIVES OF THE STUDY

The Present Study Aims -

To measure the extent of awareness among rural women towards banks

To analyze the level of awareness towards banks among rural women of different socio economic conditions such as age, marital status, religion, social group, family system, number of members in the family, status in the family, educational qualification, occupation, pattern of remuneration, monthly income, monthly savings, assets and liabilities.

SAMPLE DESIGN

The sample respondents for the study are drawn from the women living in rural area especially village panchayats in Tirunelveli district. Village panchayats truly represent the rural setting in the country. The list of village panchayats in Tirunelveli districts are collected from the District Rural Development Agency in Tirunelveli district. Out of 425 village panchayats in the study area, 110 village panchayats are selected for the study. From the list of village panchayats, 25 per cent of the total village panchayats are chosen as sample for the survey. In the selection of village panchayats, those villages with less population in total but more female in number was employed as the criterion. Small village panchayats with more women in number alone represent the real rural India. In the second stage, from each of the identified village panchayats, 5 women are selected at random. Judgement sampling method is

used in selecting the appropriate respondents for the study. Thus, the study has a sample of 550 respondents from 110 village panchayats in Tirunelveli district.

METHODOLOGY

Primary data are collected through interview schedule. Secondary data are from the various publications of the Reserve Bank of India and various reports of the Government of India.

The Chi-square test is used for ascertaining the relationship between the socio economic conditions of rural women such as age, marital status, religion, social group, family system, number of members in the family, status in the family, educational qualification, occupation, pattern of remuneration, monthly income, monthly savings, assets and liabilities and their level of awareness towards banks in Tirunelveli District.

LEVEL OF AWARENESS OF RURAL WOMEN TOWARDS BANKS

For an in depth analysis on the basis of the level of awareness towards banks, the rural women are categorized into three categories as

- i. Rural women with high level of awareness
- ii. Rural women with moderate level of awareness
- iii. Rural women with low level of awareness

In order to categorize the rural women into three categories, the mean and standard deviation are used. The mean and standard deviation of the scores of awareness of rural women are calculated. The boundary levels for categorization are worked out accordingly by using the mean and standard deviation. The boundaries for three groups are fixed as below $\pm\sigma$. Thus, the upper boundary for lower level of awareness is worked out as $-\sigma$ and the lower boundary for higher awareness is worked out as $+\sigma$. Those rural women with scores in between these two boundaries are regarded as rural women with moderate level of awareness.

Age and Level of Awareness towards Banks

The level of awareness towards banks differs among different age group of the rural women. The young aged rural women have high level of awareness towards banks and the old aged rural women have low level of awareness towards banks. In order to find out the level of awareness towards banks among different age group of the rural women, the two way table between age and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 1.

Table 1: Level of Awareness towards banks among different Age group of rural women

Age	Level of Awareness towards banks			Total
	Low	Moderate	High	
Below 30 years	-	1(0.2)	1(0.2)	2(0.4)
30-40 years	109(19.8)	55(10)	27(4.9)	191(34.7)
40-50 years	118(21.5)	44(8)	24(4.3)	186(33.8)
50-60 years	63(11.4)	30(5.5)	21(3.8)	114(20.7)
Above 60 years	34(6.2)	17(3.1)	6(1.1)	57(10.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 1 reveals that 21.5 per cent of the respondents in the age group of 40 to 50 years have low level of awareness towards banks, 19.8 per cent of the respondents in the age group of 30

to 40 years have low level of awareness towards banks and 11.4 per cent of the respondents in the age group of 50 to 60 years have low level of awareness towards banks and 10 per cent of the respondents in the age group of 30 to 40 have moderate level of awareness towards banks and only 4.9 per cent of the respondents in the age group of 30 to 40 years have high level of awareness towards banks. It is evident from the table that majority of the respondents in the age group of 40 to 50 have low level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and age group of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as - "there is no significant relationship between level of awareness towards banks and age group of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and age is presented in Table 2.

Table 2: Age and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	7.721	8	0.461
Likelihood Ratio	8.081	8	0.426
Linear-by-Linear Association	0.038	1	0.846
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different age group of rural women is 7.721. The chi square value at 5% level of significance and the 8 of degree of freedom is 15.500. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. Thus there is no significant relationship between the age of the rural women and level of awareness towards banks.

Marital status and Level of Awareness towards banks

The level of awareness towards banks differs among different marital status of the rural women. The rural women who are married have high level of awareness towards banks and the rural women who are unmarried have low level of awareness towards banks. In order to find out the level of awareness towards banks among different marital status of the rural women, two way table between marital status and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 3

Table 3 shows that 46.2 per cent of the respondents who are married have low level of awareness towards banks, 22 per cent of the respondents who are married have moderate level of awareness towards banks, 12.4 per cent of the respondents who are married have high level of awareness towards banks and 8.4 per cent of the respondents who are widows have low level of awareness towards banks.

Table 3: Level of Awareness towards banks among different marital status of rural women

Marital status	Level of Awareness towards banks			Total
	Low	Moderate	High	
Married	254(46.2)	121(22)	68(12.4)	443(80.5)
Unmarried	21(3.8)	9(1.6)	8(1.5)	38(6.9)
Widow	46(8.4)	17(3.1)	3(0.5)	66(12)
Divorce	3(0.5)	-	-	3(0.5)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table further shows that 3.8 per cent of the respondents who are unmarried have low level of awareness towards banks and only 1.5 per cent of the respondents who are unmarried have high level of awareness towards banks. It is evident from the table that majority of the respondents who are married have high level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and marital status of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, Ho as- “there is no significant relationship between level of awareness towards banks and marital status of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and marital status is presented in Table 4.

Table 4: Marital status and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	9.793	6	0.134
Likelihood Ratio	12.282	6	0.056
Linear-by-Linear Association	5.512	1	0.019
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different marital status of rural women is 9.793. The chi square value at 5% level of significance and the 6 of degree of freedom is 12.600. The calculated value of chi square is less than the value in chi square table; hence the null hypothesis is accepted. It is concluded that there is no significant relationship between the marital status of the rural women and the level of awareness towards banks.

Religion and Level of Awareness towards banks

Rural women of different religions such as Hindu, Christian and Muslim have different level of awareness towards banks. The rural women who are Hindus have high level of awareness towards banks, while the rural women who are Muslims have low level of awareness towards banks. The two way table between religion and the level of awareness towards banks among rural women in Tirunelveli district is shown in Table 5.

Table 5: Level of Awareness towards banks among different religion of rural women

Religion	Level of Awareness towards banks			Total
	Low	Moderate	High	
Hindu	259(47.1)	127(23.1)	70(12.7)	456(82.9)
Christian	59(10.7)	17(3.1)	9(1.7)	85(15.5)
Muslim	6(1.1)	3(0.5)	-	9(1.6)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 5 that 47.1 per cent of the respondents are Hindus and their level of awareness is low, 23.1 per cent of the respondents of Hindus have moderate level of awareness towards banks, 12.7 per cent of the respondents of Hindus have high level of awareness towards banks and 10.7 per cent of the respondents who are Christians have low level of awareness towards banks.

Table further shows that 3.1 per cent of the respondents are Hindus and their awareness towards banks is at moderate level. Only 1.7 per cent of the respondents who are Christians have high level of awareness towards banks. It is pretty to mention here that majority of the respondents are Hindus and their level of awareness towards banks is high.

In order to find out the relationship between level of awareness towards banks and religion of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, Ho as- "there is no significant relationship between level of awareness towards banks and religion of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and religion is presented in Table 6.

Table 6: Religion and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	6.276	4	0.179
Likelihood Ratio	7.685	4	0.104
Linear-by-Linear Association	4.772	1	0.029
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different religion of rural women is 6.276. The chi square value at 5% level of significance and the 4 of degree of freedom is 9.490. The calculated value of chi square is less than the value in chi square table; hence the null hypothesis is accepted. It is concluded that there is no significant relationship between the religion of the rural women and level of awareness towards banks.

Social group and Level of Awareness towards banks

Rural women with different social groups such as BC, MBC, SC/ST and OC have different level of awareness towards banks. The rural women belonging to BC have high level of awareness towards banks, while the rural women belonging to SC/ST have low level of awareness towards banks. The two way table between social group and the level of awareness towards banks among rural women in Tirunelveli district is shown in Table 7.

Table 7: Level of Awareness towards banks among different social group of rural women

Social group	Level of Awareness towards banks			Total
	Low	Moderate	High	
FC	15(2.7)	25(4.5)	3(0.5)	43(7.8)
BC	69(12.5)	30(5.5)	18(3.3)	243(44.2)
MBC	90(16.4)	37(6.7)	19(3.5)	117(21.3)
SC	150(27.3)	54(9.8)	39(7.1)	146(26.5)
ST	-	1(0.2)	-	1(0.2)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 7 that 27.3 per cent of the respondents belonging to SC have awareness towards banks at low level, 16.4 per cent of the respondents belonging to MBC have low level of awareness towards banks, 12.5 per cent of the respondents belonging to BC have low level of awareness towards banks and 9.8 per cent of the respondents belonging to SC have moderate level of awareness towards banks. Table further clearly shows that 7.1 per cent of the respondents belonging to SC have high level of awareness towards banks and only 3.5 per cent of the respondents belonging to MBC have high level of awareness towards banks. It is pretty to mention here that majority of the respondents belonging to SC have low level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and social group of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, Ho as- "there is no significant relationship between level of awareness towards banks and social group of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and social group is presented in Table 8.

Table 8: Social group and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	27.729	8	0.001
Likelihood Ratio	24.805	8	0.002
Linear-by-Linear Association	1.048	1	0.306
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different social group of rural women is 27.729. The chi square value at 5% level of significance and the 8 of degree of freedom is 15.500. As the calculated value of chi square is higher than the value in chi square table, the null hypothesis is rejected. It is concluded that there is a significant relationship between the social group of the rural women and level of awareness towards banks.

Family system and Level of Awareness towards banks

Rural women with two different family system namely joint and nuclear family have different level of awareness towards banks. The rural women belonging to nuclear family have high level of awareness towards banks, while the rural women belonging to joint family have low level of awareness towards banks. The two way table between family system and the level of awareness towards banks among rural women in Tirunelveli district is shown in Table 9.

Table 9: Level of Awareness towards banks among different family system of rural women

Family system	Level of Awareness towards banks			Total
	Low	Moderate	High	
Joint Family	88(16)	38(6.9)	26(4.7)	152(27.6)
Nuclear Family	236(42.9)	109(19.8)	53(9.7)	398(72.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 9 that 42.9 per cent of the respondents belonging to nuclear family have low level of awareness towards banks, 19.8 per cent of the respondents belonging to nuclear family have moderate level of awareness towards banks, 16 per cent of the respondents belonging to joint family have low level of awareness towards banks and 9.7 per cent of the respondents belonging to nuclear family have high level of awareness towards banks.

Table further shows that 6.9 per cent of the respondents belonging to joint family have moderate level of awareness towards banks and 4.7 per cent of the respondents belonging to

joint family have high level of awareness towards banks. It is pretty to mention here that majority of the respondents belonging to nuclear family have high level of awareness towards banks.

In order to find out the relationship between level of awareness towards banks and the family system of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, Ho as- “there is no significant relationship between level of awareness towards banks and family system of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and family system is presented in Table 10.

Table 10: Family system and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	1.370	2	0.504
Likelihood Ratio	1.335	2	0.513
Linear-by-Linear Association	0.554	1	0.457
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different family system of rural women is 1.370. The chi square value at 5% level of significance and the 2 of degree of freedom is 5.990. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the family system of the rural women and level of awareness towards banks.

Number of members in the family and Level of Awareness towards banks

Rural women belonging to different number of members in the family have different level of awareness towards banks. The rural women belonging to small family have high level of awareness towards banks, while the rural women belonging to large family have low level of awareness towards banks. The two way table between number of members in the family and their level of awareness towards banks among rural women in Tirunelveli district is shown in Table 11.

Table 11: Level of Awareness towards banks among different number of members in the family of rural women

Number of members in the family	Level of Awareness towards banks			Total
	Low	Moderate	High	
1-3	81(14.7)	40(7.3)	20(3.6)	141(25.6)
3-5	182(33.1)	85(15.4)	45(8.2)	312(56.7)
Above 5	61(11.1)	22(4)	14(2.5)	97(17.6)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 11 that 33.1 per cent of the respondents belonging to 3 to 5 members have low level of awareness towards banks, 15.4 per cent of the respondents belonging to 3 to 5 members have moderate level of awareness towards banks, 14.7 per cent of the respondents belonging to 1 to 3 members have low level of awareness towards banks and 11.1 per cent of the respondents belonging to above 5 members have low level of awareness towards banks.

Table further clearly shows that 8.2 per cent of the respondents belonging to 3 to 5 members have high level of awareness towards banks and 7.3 per cent of the respondents belonging to 1 to 3 members have moderate level of awareness towards banks. It is pretty to mention here that majority of the respondents belonging to 3 to 5 members have high level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and the number of members in the family of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as- "there is no significant relationship between level of awareness towards banks and the number of members in the family of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and number of members in the family is presented in Table 12.

Table 12: Number of members in the family and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	1.101	4	0.894
Likelihood Ratio	1.125	4	0.890
Linear-by-Linear Association	0.250	1	0.617
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of the level of awareness towards banks among different number of members in the family of rural women is 1.101. The chi square value at 5% level of significance and the 4 of degree of freedom is 9.490. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the number of members in the family of the rural women and level of awareness towards banks.

Status in the family and Level of Awareness towards banks

Rural women with different status in the family such as head and dependent have different level of awareness towards banks. The rural women belonging to the status as head of the family have high level of awareness towards banks, while the rural women belonging to the status as dependents have low level of awareness towards banks. The two way table between status in the family and the level of awareness towards banks among rural women in Tirunelveli district is shown in Table 13.

Table 13: Level of Awareness towards banks among different status in the family of rural women

Status in the family	Level of Awareness towards banks			Total
	Low	Moderate	High	
Head	47(8.5)	20(3.6)	7(1.3)	74(13.5)
Dependent	277(50.4)	127(23.1)	72(13.1)	476(86.5)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 13 that 50.4 per cent of the respondents who are dependents have low level of awareness towards banks, 23.1 per cent of the respondents who are dependents have moderate level of awareness towards banks, 13.1 per cent of the respondents who are dependents have high level of awareness towards banks and 8.5 per cent of the respondents who are heads have low level of awareness towards banks.

Table further clearly shows that 3.6 per cent of the respondents who are heads have moderate level of awareness towards banks and only 1.3 per cent of the respondents who are heads have high level of awareness towards banks. It is pretty to mention here that majority of the respondents who are dependents have high level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and status in the family of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as “there is no significant relationship between level of awareness towards banks and status in the family of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and status in the family is presented in Table 14.

Table 14: Status in the family and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	1.742	2	0.418
Likelihood Ratio	1.904	2	0.386
Linear-by-Linear Association	1.444	1	0.229
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different status in the family of rural women is 1.742. The chi square value at 5% level of significance and the 2 of degree of freedom is 5.990. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant

relationship between the status in the family of rural women and level of awareness towards banks.

Educational qualification and Level of Awareness towards banks

The level of awareness towards banks differs among different educational qualification of the rural women. The rural women of high educational qualification have high level of awareness towards banks and the rural women of low educational qualification have low level of awareness towards banks. In order to find out the level of awareness towards banks among different educational qualification of the rural women, two way table between educational qualification and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 15.

Table 15: Level of Awareness towards banks among different educational qualification of rural women

Educational Qualification	Level of Awareness towards banks			Total
	Low	Moderate	High	
Illiterate	44(8)	22(4)	9(1.6)	75(13.6)
Up to 5	119(21.6)	51(9.3)	28(5.1)	198(36)
VI-X	119(21.6)	58(10.5)	35(6.4)	212(38.5)
HSC	31(5.6)	11(2)	7(1.3)	49(8.9)
Graduate	6(1.1)	4(0.7)	-	10(1.8)
Post Graduate	-	1(0.2)	-	1(0.2)
Professional degree	5(0.9)	-	-	5(0.9)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 15 reveals that out of 550 respondents, 21.6 per cent of the respondents have completed up to 5th std educational qualification and they have low level of awareness towards banks, another 21.6 per cent of the respondents who have completed VI to Xth std educational qualification have low level of awareness towards banks and 10.5 per cent of the respondents who have VI to X th std qualification have moderate level of awareness towards banks.

Table further reveals that 9.3 per cent of the respondents who have completed up to 5th std have moderate level of awareness towards banks and 6.4 per cent of the respondents who have completed VI to X th std have high level of awareness towards banks. Majority of the respondents who have completed up to 5th std have low level of awareness towards banks in the study area.

In order to find out the significant relationship between level of awareness towards banks and educational qualification of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as - “there is no significant relationship between level of awareness towards banks and educational qualification of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and educational qualification is presented in Table 16.

Table 16: Educational qualification and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	10.416	12	0.579
Likelihood Ratio	13.467	12	0.336
Linear-by-Linear Association	0.274	1	0.601
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different educational qualification of rural women is 10.416. The chi square value at 5% level of significance and the 12 of degree of freedom is 21.000. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the educational qualification of the rural women and the level of awareness towards banks.

Occupation and Level of Awareness towards banks

The level of awareness towards banks differs among different occupation of the rural women. The rural women who are professionals have high level of awareness towards banks and the rural women of cooli have low level of awareness towards banks. In order to find out the level of awareness towards banks among different occupation of the rural women, two way table between occupation and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 17.

Table 17: Level of Awareness towards banks among different occupation of rural women

Occupation	Level of Awareness towards banks			Total
	Low	Moderate	High	
Employee	6(1.1)	2(0.4)	2(0.4)	10(1.8)
Business	7(1.3)	2(0.4)	-	9(1.6)
Farmer	64(11.6)	27(4.9)	16(2.9)	107(19.5)
Professional	-	1(0.2)	-	1(0.2)
Unemployed	34(6.2)	18(3.3)	6(1.1)	58(10.5)
Cooli	213(38.7)	97(17.6)	55(10)	365(66.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

It is clear from table 17 that 38.7 per cent of the respondents of cooli have low level of awareness towards banks, 17.6 per cent of the respondents of cooli have moderate level of awareness towards banks, 10 per cent of the respondents of cooli have high level of awareness towards banks and 11.6 per cent of the respondents of farmers have low level of awareness towards bank.

Table further clearly shows that 6.2 per cent of the respondents of unemployed have low level of awareness towards banks and 4.9 per cent of the respondents of farmers have moderate level of awareness towards banks. It is pretty to mention here that majority of the respondents of cooli have low level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and occupation of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as- "there is no significant relationship between level of awareness towards banks and occupation of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and occupation is presented in Table 18.

Table 18: Occupation and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	6.373	10	0.783
Likelihood Ratio	7.560	10	0.672
Linear-by-Linear Association	0.262	1	0.609
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different occupation of rural women is 6.373. The chi square value at 5% level of significance and the 10 of degree of freedom is 18.300. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the occupation of the rural women and level of awareness towards banks.

Pattern of remuneration and Level of Awareness towards banks

The level of awareness towards banks differs among different pattern of remuneration of the rural women. The rural women of monthly pattern of remuneration have high level of awareness towards banks and the rural women of daily pattern of remuneration have low level of awareness towards banks. In order to find out the level of awareness towards banks among different pattern of remuneration of the rural women, two way table between pattern of remuneration and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 19.

Table 19: Level of Awareness towards banks among different pattern of remuneration of rural women

Pattern of remuneration	Level of Awareness towards banks			Total
	Low	Moderate	High	
Daily	17(3.1)	7(1.3)	3(0.5)	27(4.9)
Weekly	181(32.9)	83(15.1)	50(9.1)	314(57.1)
Monthly	83(15.1)	33(6)	14(2.5)	130(23.6)
Yearly	43(7.8)	24(4.4)	12(2.2)	79(14.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 19 reveals that out of 550 respondents, 32.9 per cent of the respondents of weekly pattern of remuneration have low level of awareness towards banks, 15.1 per cent of the respondents of monthly pattern of remuneration have low level of awareness towards banks and another 15.1 per cent of the respondents of weekly pattern of remuneration have moderate level of awareness towards banks.

Table further reveals that 9.1 per cent of the respondents of weekly pattern of remuneration have high level of awareness towards banks, 7.8 per cent of the respondents of yearly pattern of remuneration have low level of awareness towards banks and 6 per cent of the respondents of monthly pattern of remuneration have moderate level of awareness towards banks. It is evident from the table that majority of the respondents of weekly pattern of remuneration have low level of awareness towards banks.

In order to find out the significant relationship between level of awareness towards banks and pattern of remuneration of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, H_0 as- "there is no significant relationship between level of awareness towards banks and pattern of remuneration of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and pattern of remuneration is presented in Table 20.

Table 20: Pattern of remuneration and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	3.404	6	0.757
Likelihood Ratio	3.490	6	0.745
Linear-by-Linear Association	0.003	1	0.957
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different pattern of remuneration of rural women is 3.404. The chi square value at 5% level of significance and the 6 of degree of freedom is 12.600. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the pattern of remuneration of the rural women and level of awareness towards banks.

Monthly income and Level of Awareness towards banks

The level of awareness towards banks differs among different monthly income of the rural women. The rural women of high monthly income have high level of awareness towards banks and the rural women of low monthly income have low level of awareness towards banks. In order to find out the level of awareness towards banks among different monthly income of the rural women, two way table between monthly income and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 21.

Table 21: Level of Awareness towards banks among different monthly income of rural women

Monthly income	Level of Awareness towards banks			Total
	Low	Moderate	High	
Below Rs.2000	137(24.9)	64(11.6)	37(6.7)	238(43.3)
Rs.2000-4000	163(29.6)	74(13.5)	37(6.7)	274(49.8)
Rs.4000-6000	15(2.7)	6(1.1)	4(0.8)	25(4.5)
Rs.6000-8000	7(1.3)	-	-	7(1.3)
Rs.8000-10000	1(0.2)	2(0.4)	1(0.2)	4(0.7)
Above Rs.10000	1(0.2)	1(0.2)	-	2(0.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary Data

Table 21 exhibits that 29.6 per cent of the respondents earning monthly income of Rs.2000 to 4000 have low level of awareness towards banks, 24.9 per cent of the respondents earning monthly income of below Rs.2000 have low level of awareness towards banks and 13.5 per cent of the respondents earning monthly income of Rs.2000 to 4000 have moderate level of awareness towards banks.

Table further exhibits that 11.6 per cent of the respondents earning monthly income of below Rs.2000 have moderate level of awareness towards banks, 6.7 per cent of the respondents earning monthly income of below Rs.2000 have high level of awareness towards banks and another 6.7 per cent of the respondents earning monthly income of Rs.2000 to 4000 have high level of awareness towards banks. It is evident from table that majority of the respondents earning monthly income of Rs. 2000 to 4000 have low level of awareness towards banks in the study area.

In order to find out the significant relationship between level of awareness towards banks and monthly income of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis Ho as- “there is no significant relationship between level of awareness towards banks and monthly income of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and monthly income is presented in Table 22.

Table 22: Monthly income and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	8.102	10	0.619
Likelihood Ratio	10.824	10	0.371
Linear-by-Linear Association	.474	1	0.491
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different monthly income of rural women is 8.102. The chi square value at 5% level of significance and the 10 of degree of freedom is 18.300. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the monthly income of the rural women and level of awareness towards banks.

Monthly savings and Level of Awareness towards banks

The level of awareness towards banks differs among different monthly savings of the rural women. The rural women of high monthly savings have high level of awareness towards banks and the rural women of low monthly savings have low level of awareness towards banks. In order to find out the level of awareness towards banks among different monthly savings of the rural women, two way table between monthly savings and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 23.

Table 23: Level of Awareness towards banks among different monthly savings of rural women

Monthly savings	Level of Awareness towards banks			Total
	Low	Moderate	High	
Below Rs.1000	150(27.3)	75(13.6)	39(7.1)	264(48)
Rs.1000-2000	166(30.1)	68(12.4)	38(6.9)	272(49.5)
Rs.2000-4000	5(0.9)	3(0.5)	2(0.4)	10(1.8)
Rs.4000-6000	2(0.4)	-	-	2(0.4)
Above Rs.6000	1(0.2)	1(0.2)	-	2(0.4)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 32 exhibits that 30.1 per cent of the respondents with monthly savings of Rs.1000 to 2000 have low level of awareness towards banks, 27.3 per cent of the respondents with monthly savings of below Rs.1000 have low level of awareness towards banks and 13.6 per cent of the respondents with monthly savings of below Rs.1000 have moderate level of awareness towards banks.

Table further exhibits that 12.4 per cent of the respondents with monthly savings of Rs.1000 to 2000 have moderate level of awareness towards banks and 7.1 per cent of the respondents with monthly savings of below Rs.1000 have high level of awareness towards banks. It is evident from table that majority of the respondents with monthly savings of Rs.1000 to 2000 have low level of awareness towards banks in the study area.

In order to find out the significant relationship between level of awareness towards banks and monthly savings of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis H_0 as- "there is no significant relationship between level of awareness towards banks and monthly savings of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and monthly savings is presented in Table 24.

Table 24: Monthly savings and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	3.557	8	0.895
Likelihood Ratio	4.466	8	0.813
Linear-by-Linear Association	0.576	1	0.448
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different monthly savings of rural women is 3.557. The chi square value at 5% level of significance and the 8 of degree of freedom is 15.500. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the monthly savings of the rural women and level of awareness towards banks.

Assets and Level of Awareness towards banks

The level of awareness towards banks differs among the rural women based on their value of assets. The rural women with more assets have high level of awareness towards banks and the rural women of low assets have low level of awareness towards banks. In order to find out the level of awareness towards banks among different assets of the rural women, two way table between assets and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 25.

Table 25: Level of Awareness towards banks among different assets of rural women

Assets	Level of Awareness towards banks			Total
	Low	Moderate	High	
Below Rs.50000	67(12.2)	35(6.4)	19(3.5)	121(22)
Rs.50000-100000	87(15.8)	39(7.1)	19(3.5)	145(26.4)
Rs.100000-200000	136(24.7)	57(10.4)	33(6)	226(41.1)
Rs.200000-400000	30(5.5)	13(2.4)	8(1.4)	51(9.3)
Above Rs.400000	4(0.8)	3(0.5)	-	7(1.3)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 25 exhibits that 24.7 per cent of the respondents having assets of Rs.100000 to 200000 their awareness towards banks is at low level, 15.8 per cent of the respondents having assets of Rs.50000 to 100000 their awareness towards banks is at low level and 12.2 per cent of the respondents having assets of below Rs.50000 have low level of awareness towards banks.

Table further exhibits that 10.4 per cent of the respondents with assets of Rs.100000 to 200000 have moderate level of awareness towards banks, 7.1 per cent of the respondents with assets of Rs.50000 to 100000, their awareness towards banks is at moderate level and 6 per cent of the respondents with assets of Rs.100000 to 200000, their awareness towards banks is at high level. It is evident from the table that majority of the respondents are having assets of Rs.100000 to 200000, their awareness towards banks is at low level.

In order to find out the relationship between level of awareness towards banks and assets of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis, Ho as - "there is no significant relationship between level of awareness towards banks and assets of rural women in Tirunelveli district". The result of chi-square test for level of awareness towards banks and assets of rural women is presented in Table 26.

Table 26: Assets and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	2.862	8	0.943
Likelihood Ratio	3.763	8	0.878
Linear-by-Linear Association	0.320	1	0.571
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among different assets of rural women is 2.862. The chi square value at 5% level of significance and the 8 of degree of freedom is 15.500. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. It is concluded that there is no significant relationship between the assets of the rural women and their level of awareness towards banks.

Liabilities and Level of Awareness towards banks

The level of awareness towards banks differs among different liabilities of the rural women. The rural women with low assets have high level of awareness towards banks and the rural women with more liabilities have low level of awareness towards banks. In order to find out the level of awareness towards banks among different liabilities of the rural women, two way table between liabilities and the level of awareness towards banks among rural women in Tirunelveli district is depicted in Table 27.

Table 27: Level of Awareness towards banks among different liabilities of rural women

Liabilities	Level of Awareness towards banks			Total
	Low	Moderate	High	
Below Rs.25000	267(48.5)	117(21.3)	69(12.5)	453(82.4)
Rs.25000-50000	44(8)	22(4)	8(1.5)	74(13.5)
Rs.50000-100000	11(2)	6(1.1)	2(0.4)	19(3.5)
Rs.100000-200000	2(0.4)	1(0.2)	-	3(0.5)
Above Rs.200000	-	1(0.2)	-	1(0.2)
Total	324(58.9)	147(26.7)	79(14.4)	550(100)

Source: Primary data

Table 27 exhibits that 48.5 per cent of the respondents have liabilities below Rs.25000 and their awareness towards banks is at low level, 21.3 per cent of the respondents have liabilities of below Rs.25000, their awareness towards banks is at moderate level and 12.5 per cent of the respondents have liabilities of below Rs.25000, their awareness towards banks is at high level.

Table further exhibits that 8 per cent of the respondents have liabilities of Rs.25000 to 50000, their awareness towards banks is at low level, 4 per cent of the respondents have liabilities of Rs.25000 to 50000, their awareness towards banks is at moderate level and 2 per cent of the respondents have liabilities of Rs.50000 to 100000, their awareness towards banks is at low level. It is evident from table that majority of the respondents have liabilities below Rs.25000, their awareness towards banks is at low level.

In order to find out the relationship between level of awareness towards banks and liabilities of rural women in Tirunelveli district, Chi-square test is attempted with the null hypothesis Ho as- "there is no significant relationship between level of awareness towards banks and

liabilities of rural women in Tirunelveli district”. The result of chi-square test for level of awareness towards banks and liabilities is presented in Table 28.

Table 28: Liabilities and level of awareness towards banks-Chi-square test

Particulars	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	4.896	8	0.769
Likelihood Ratio	5.280	8	0.727
Linear-by-Linear Association	0.212	1	0.645
N of Valid Cases	550		

Source: Primary data

The calculated chi square value of level of awareness towards banks among rural women with different liabilities is 4.896. The chi square value at 5% level of significance and the 8 of degree of freedom is 15.500. As the calculated value of chi square is less than the value in chi square table, the null hypothesis is accepted. There is no significant relationship between the rural women of different liabilities and their level of awareness towards banks.

CONSTRAINTS FOR FINANCIAL INCLUSION

Quite clearly, the task of covering a population of 1.2 billion with banking services is gigantic. It is clear that out of 600 thousand villages, centers that could be covered by brick and mortar bank branch network are only around 36,000. It is well recognized that there are supply side and demand side factors driving inclusive growth. Banks and other financial services players are largely expected to mitigate the supply side constraints that prevent poor and disadvantaged groups from gaining access to the financial system. Access to financial products is constrained by several factors which include lack of awareness about the financial products, high transaction costs and products which are inconvenient, inflexible, not customized and of low quality. However, apart from the supply side factors demand side factors such as lower income and /or asset holdings, financial literacy/ awareness issues, etc. also have a significant bearing on inclusive growth. Owing to difficulties in accessing formal sources of credit, poor individuals and small and micro enterprises usually rely on their personal savings and internal sources or take recourse to informal sources of finance to invest in health, education, housing and entrepreneurial activities. The mainstream financial institutions like banks have an important role to play in helping to overcome this constraint, not as a social obligation, but as a business proposition. The major barriers cited to constrain extension of appropriate services to poor by financial service providers are the lack of reach, higher cost of transactions and time taken in providing those services, apart from attitudinal issues. In this regard, major barriers to financial inclusion require to be identified.

- i. Demand side barriers are (a) Low literacy levels, lack of awareness and/or knowledge/understanding of financial products; (b) Irregular income; frequent micro-transactions; (c) Lack of trust in formal banking institutions; cultural obstacles (e.g., gender and cultural values).

- ii. Supply side barriers are (a) Outreach (low density areas and low income populations are not attractive for the provision of financial services and are not financially sustainable under traditional banking business models); (b) Regulation (frameworks are not always adapted to local contexts), (c) Business models (mostly with high fixed costs); Service Providers (limited number and types of financial service providers) (d) Services (non-adapted products and services for low income populations and the informal economy); (e) Age Factor (Financial service providers usually target the middle of the economically active population, often overlooking the design of appropriate products for older or younger potential customers. There are hardly any policies or schemes for the younger lot or the old people who have retired, as the banks do not see any business from them); (f) Bank charges (In most of the countries, transaction is free as long as the account has sufficient funds to cover the cost of transactions made. However, there are a range of other charges that have a disproportionate effect on people with low income).

SUGGESTIONS

Financial literacy and level of awareness continue to remain an issue. It calls for coordination of all the stakeholders like sectoral regulators, banks, governments, civil societies, NGOs, etc. to achieve the objective of financial inclusion. There is a need to change the focus of present information systems of banking business from traditional accounting model to customer centric business model. This would call for expanding the scope of the currently used measures of financial inclusion.

As stakeholders pursue the inclusion agenda and recognize the vital role of women empowerment, the following practices will be crucial for success:

Products and services must be designed to address gender-related challenges.

- Provide products, such as savings accounts, safeguarded for educational use only, affordable health insurance and empower girls to open savings accounts and foster financial capability at early age.
- Include agents that meet with rural women in their own homes, where many of them have businesses, technical assistance for the operation of small businesses, and instruction in a full range of skills and behaviors that foster genuine financial capability.

In enlisting advances in technology, providers will have to carefully weigh the technological progress and cost-saving advantages against the danger of losing the human relationships that are imperative for the imparting of trust and the establishment of true inclusion.

- This is likely to require the maintenance of field staff in close enough proximity to maintain periodic face-to-face contact. Another key step for financial institutions is to hire more women at all levels of their institutions, from agents in the field to top executives

Regulators will need to create the infrastructure that eliminates barriers and creates incentives, authorizes products and ensures the safety of products and services that empower women.

- This ranges from authorizing and regulating the use of mobile banking and graduating KYC/AML regulations so that they do not impede access to financial services for those

without conventional forms of identification, to monitoring interest rates and fees for loans and other products.

Evaluations and assessments that reflect the complexity of the factors determining empowerment will be necessary to keep the financial inclusion agenda on track.

Analytics must be applied to the vast amount of data that has already been accumulated so that best use is made of our decades of experience with microfinance to pave the way forward.

CONCLUSION

Financial inclusion is a win-win opportunity for the poor, for the banks and for the nation. Because of growing incomes, and improving awareness levels, aspirations of the poor are on the rise. We will not be forgiven if we do not rise up to meet these aspirations if only because of poverty of imagination. It is for the banks to convert what they see as a dead-weight obligation into an exciting opportunity and move on aggressively on financial inclusion.

India has, for a long time, recognized the social and economic imperatives for broader financial inclusion and has made an enormous contribution to economic development by finding innovative ways to empower the poor. Starting with the nationalization of banks, priority sector lending requirements for banks, lead bank scheme, establishment of regional rural banks (RRBs), service area approach, self-help group-bank linkage programme, etc., multiple steps have been taken by the Reserve Bank of India (RBI) over the years to increase access to the poorer segments of society.

Financial inclusion is a great step to alleviate poverty in India. But to achieve this, the Government should provide a less perspective environment in which banks are free to pursue the innovations necessary to reach low income consumers and still make a profit. Financial service providers should learn more about the consumers and new business models to reach them.

Financial inclusion is the road that India needs to travel toward becoming a global player. Financial access will attract global market players to our country and that will result in increasing employment and business opportunities. Inclusive growth will act as a source of empowerment and allow people to participate more effectively in the economic and social process.

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Effectiveness of the Mechanisms of Fraud Prevention and Detection in Nigeria

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Abstract

Whereas the problem of fraud is a global one, the rate and extent to which it is perpetrated in Nigeria, particularly in the public sector, is quite high and alarming. Literature reveals that different fraud prevention and detection mechanisms are being adopted to combat the menace of fraud. Forensic accounting techniques appears to be the most effective and are currently used in most developed countries of the world. However, the extent to which forensic accounting techniques are being applied in fraud prevention and detection in Nigeria is not known. This study was therefore aimed at investigating the mechanisms of fraud prevention and detection, and their levels of effectiveness in Nigeria. The study involved the collection of quantitative data from accounting practitioners. The questionnaire served as the survey instrument. The study identified several fraud prevention and detection mechanisms that are currently used in Nigeria, such as systems of internal controls, operational audits and corporate code of conduct. Students' t-test indicates a significant difference between the perceived effectiveness and actual usage of fraud prevention and detection mechanisms in Nigeria. It was further discovered that the most effective mechanisms, like the forensic accounting techniques, are the least used in fraud prevention and detection. This implies that the current mechanisms of fraud prevention and detection are not proactive in dealing with the fraud menace. The study recommended that proactive measures in terms of mechanisms be employed in tackling fraud menace in Nigeria.

Keywords: Fraud, Fraud prevention mechanisms, fraud detection mechanisms, Fraud menace in Nigeria, forensic accounting techniques

INTRODUCTION

The role of auditor in fraud prevention and detection was questioned as a result of the rise in financial scandals at the beginning of the twenty-first century, associated with increased fraud incidence and awareness (Bhasin, 2013). Hogan et al (2008) argued that the rise and rate of occurrence of financial fraud have not shown any decline since the Sarbanes-Oxley Act was passed in 2002. To respond to these modern organised frauds there has been calls for the skills of accountants with non-traditional methods.

According to Ratliff et al (1996), fraud is defined as activities carried out to obtain money, property or services, to avoid payment or services or to secure personal or business

advantages in favour of the fraudster. The International Standards for Professional Practice of Internal Auditing, (2002), opined that these activities may not necessarily dependent on violence or the use of physical force. Adefila, Kasum and Olaniyi (2005), have argued that fraud risk increases as a result of inadequate, ineffective, weak, absent or non-existence of fraud preventive and detective mechanisms. By implication, government agencies are to use the most effective fraud prevention and detection mechanisms (Kasum, 2009).

Fraud in the Nigerian economy has done so much of untold harm to the citizenry. Moreover, Jeremiah, (2006) noted that in Nigeria, fraud in both the public and private sectors are major factors of the dwindling economy. According to Hamilton and Gabriel (2012:112), “fraud and related ills have caused instability in the economy resulting to a high mortality rate of business organisations and the consequent losses of revenue” in Nigeria.

This study investigates the mechanisms of fraud prevention and detection as it is commonly used in Nigeria. Further, perceived levels of effectiveness of fraud prevention and detection methods used in Nigeria were examined. Moreover, it brings to fore significant difference in the actual use of fraud prevention and detection methods and their level of effectiveness.

The sophisticated nature of fraud in Nigeria (Adefila, Kasum, and Olaniyi 2006; Okunbor and Obaretin 2010; Akindele, 2011) calls for an investigation into the methods of fraud prevention and detection that are in common usage in the country. Literature has revealed that the most effective fraud prevention and detection mechanisms are the least used in combating the menace of fraud (Bierstaker, Brody and Pacini, 2006). However, it is not clear if significant difference exist between the perceived effectiveness of the fraud prevention and detection mechanisms and their actual usage in fraud management. The questions then are what are the common fraud prevention and detection mechanisms and their level of effectiveness in Nigeria? Is there any significant difference in the perceived effectiveness of fraud prevention and detection mechanisms and their actual usage in Nigeria?

Traditional Mechanisms of Fraud Prevention and Detection

Traditional mechanisms of fraud prevention and detection in an organization before or after the incidence have been fashioned include internal control systems, operational audits, code of conduct and reference checks on employees (Bierstaker, Burnaby and Hass 2004 and Bierstaker, Brody and Pacini 2006).

Sydney, (1986) describes internal control as checks, whether financial or otherwise, which is established by management of any organisation, to enable work done in an orderly manner and for the safety, security and reliability of records. These can only be obtained as responsibilities of accountants and auditor with reference to fraud. Fraud maybe discovered as internal auditor performs his task, but this maybe hinderd as management has ‘significant influence over an internal auditor’s commitment to detect fraud’ (Ramaswamy, 2007:33). Hamilton and Gabriel (2012:114) argue that, “accountant and auditors have often been exalted to be the leaders in fraud prevention by employing their skills in designing ‘tight’ control systems.”

Hamilton and Gabriel (2012) observe that internal control systems strategy is at best a short-run solution to a large and pervasive problem of fraud. Worse still, effective long-run measures of fraud prevention are not only complex, but also difficult (Robertson, 1976). Nnamdi (1991) claims that, the ineffectiveness of internal control measures are due to weakness in staff policy

and control, operational procedures and management's attitude. Hence, internal controls are not perceived as an effective mechanism for fraud prevention and detection. This Ramaswamy, (2007:33) puts in a more concise way 'fraud is no longer what internal or external auditors can guard against with their periodic audit'.

Forensic Accounting Mechanisms of Fraud Prevention and Detection

Forensic accounting mechanisms such as benford's law, data mining etc have been used in fraud prevention and detection as defined by Mehta and Mather (2007), have discussed the operational workings of these techniques. Generally, forensic accounting approaches include the proactive and the reactive ones. The use of any of these approaches depends very much on the existing circumstances. The proactive approach is asserted to be a universally tactical approach as it aggressively targets types of fraud, searches for indicators, symptoms, or red flags (Levanti, 2001). The Bendford's digital analysis (Nigrini, 1999); the breakpoint technique (Hassibi, 2000); the strategic fraud detection technique (Albrecht and Albrecht, 2004); fraud hypothesis testing technique (Albrecht et al. 2004) and the five-step detection technique (Ernst and Young, 2006) are generally proactive forensic accounting techniques because they comply with the detective philosophy which aims at catching fraud before it occurs. On the other hand, the reactive approach, favours the philosophy of waiting to see the fraud taking place first and then arrest it. This may involve the use of electronic equipment, such as the closed circuit television (CCTV) or digital and mobile cameras (Njanike, Dube and Mashayanye 2009).

Many empirical studies have been carried out on the application of forensic accounting techniques in fraud investigation for instance Njanke, Dube and Mashayanye (2009) in their study on the effectiveness of forensic auditing in detecting, investigating, and preventing bank frauds, sought to find out level to which the forensic auditors are able to fulfil this mandate and investigate problems that hinder forensic auditors to make progress in their operations in developing countries. Their study made use of questionnaires, personal interviews, and document review as the instruments for data collection. Using a sample of thirty forensic auditors from thirteen commercial banks, four building societies and four audit firms in Zimbabwe, it was found that the forensic auditing departments suffer from multiple challenges. Amongst these challenges were lack of material resources, lack of technical know-how, interference from management, and unclear recognition of the profession.

However, Okunbor and Obaretin (2010) conducted a study on effectiveness of the application of forensic accounting services in Nigerian corporate organisations and came up with a different result. The main objectives of their study were to establish whether the application of forensic accounting services by corporate organisations is effective in deterring fraudulent practices and to find out the perception of the users of forensic accounting services, in Nigeria. The research was conducted using the mixed methods approach, involving the combination of structured interviews and questionnaire. Ten companies were selected as the sample for the study from the population of companies quoted on the Nigerian Stock Exchange. Their study revealed that the application of forensic accounting services by corporate organisations in Nigeria is not effective in curbing fraudulent activities.

While their result is consistent with the findings of Okoye and Jugu (2009), who examined the effectiveness of fraud deterrence policies in the banking sector of the Nigerian economy, it is rather inconsistent with the general belief on the importance forensic accounting. They do not also agree with the bulk of the literature from elsewhere that as reviewed in this work. This particularly makes the fraud situation in Nigeria to be complex and calls for further studies.

METHOD OF STUDY

This study was conducted on accounting practitioners in the public service in Nigeria.

Considering the geographical spread of the population of this study (accounting practitioners in public service), the multi-stage sampling technique was adopted. The multi-stage sampling 'is a development of cluster sampling' (Saunders, Lewis and Thornhill, 2009: 231) which can be used with geographically dispersed populations to save time and cost.

Nigeria has 36 states with a Federal Capital Territory (FCT). These states and the FCT are currently stratified into six (6) geo-political zones (Fig. 1 and 2). These formed the first set of clusters (six) for this study.

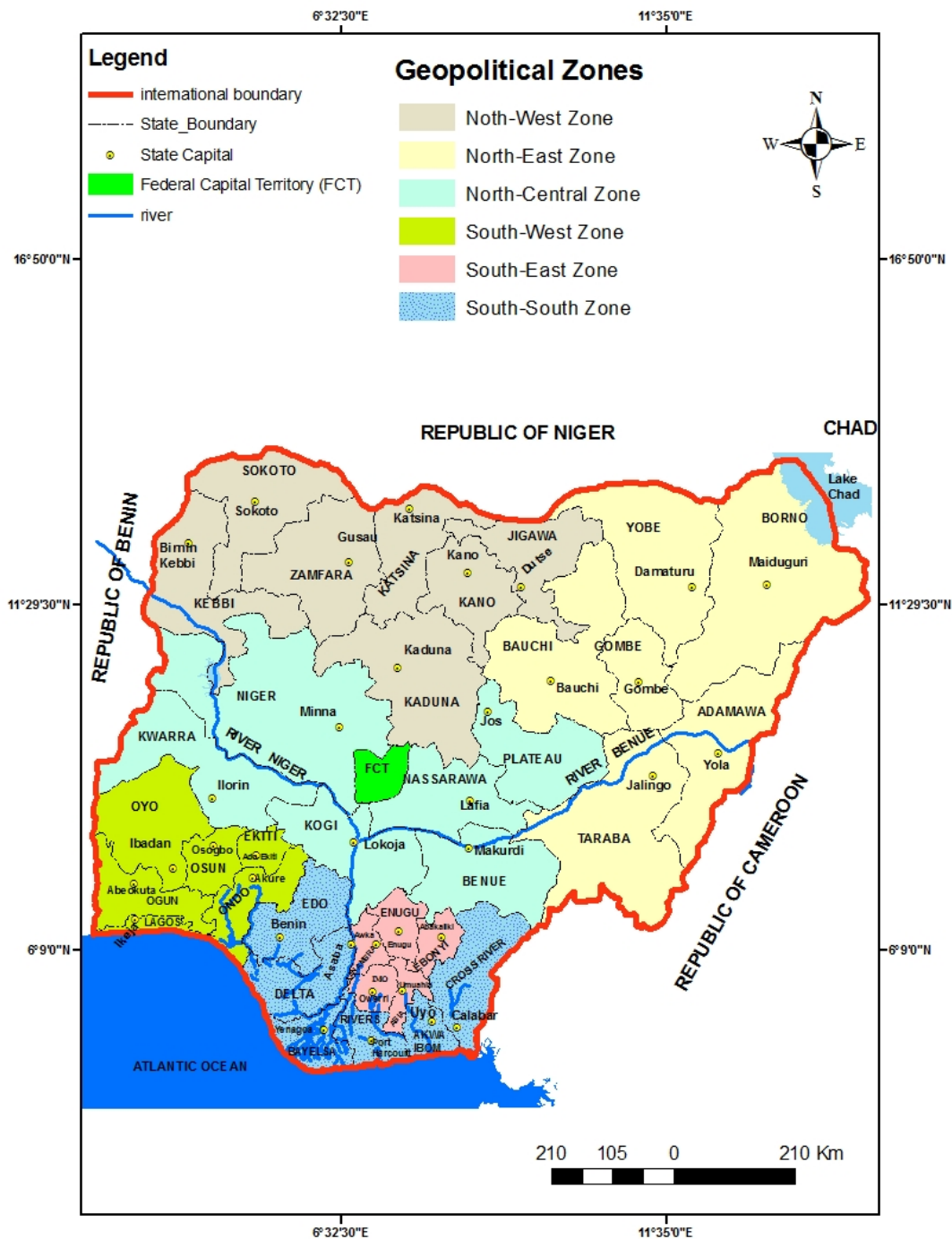


Fig. 1: Map of Nigeria showing the six geo-political zones

South West	<p>Ekiti Oyo Ondo Ogun Osun Lagos</p>
South-South	<p>Akwa Ibom Bayelsa Cross River Delta Edo Rivers</p>
South-East	<p>Abia Anambra Enugu Ebonyi Imo</p>
North-West	<p>Sokoto Kebbi Katsina Kaduna Kano Zamfara Jigawa</p>
North-Central	<p>Niger Kwara Plateau Benue Nasarrawa Kogi FCT</p>
North-East	<p>Yobe Borno Adamawa Taraba Bauchi Gombe</p>

Fig.2 States in each of the six geo-political zones in Nigeria.

Each cluster was numbered uniquely from 1 to 6. This forms the first-stage sampling units from where a sample of the unit was taken using the simple random sampling technique. The sample fraction selected for this was 50 per cent. According to Udofia (2011), a sample fraction of 50 is deemed satisfactory as no serious research can progress with sampling fraction of less than 10 per cent. Fifty per cent of six is three. The geo-political zones or strata selected through this process were: South-West, North-Central and South-South.

In a related study, Efiog (2015) (in preparation) adopted federal universities where Accounting courses are offered in the three geographical zones as the next stage in the sampling process. These universities and the states where they are situated are found in Table 1. Ministries and Agencies of government in these states were now used as the basic unit of sampling.

Table 1 selected zones, States and federal university offering Accounting courses

Zones	State	Federal University offering Accounting Courses
South- West	Lagos	University of lagos
	Osun	Obafemi Awolowo Univeristy
South- South	Akwa Ibom	University of Uyo
	Cross River	University of Calabar
	Edo	University of Benin
	Rivers	University of Port Harcourt
North-Central	Kwara	University of Ilorin
	Plateau	University of Jos
	FCT	University of Abuja

The number of government ministries and agencies in the different States and the Federal Capital Territory (FCT), Abuja are shown in Table 2. This information was obtained from the Ministry of Information of the different State Governments and the FCT.

Table 2: Number of Ministries and Agencies in the Selected States

State	Number of Ministries/Agencies	Number of Samples
Akwa Ibom	54	108
Cross River	48	96
Edo	51	102
Osun	39	78
Kwara	46	92
Lagos	67	134
Plateau	45	90
Rivers	56	112
FCT, Abuja	82	164
Total	488	976

Table 2 shows the number of ministries and agencies of government in the various States and the FCT is 488. The Chief Financial Officer and the Head of the internal Audit in each of the agencies and ministries were considered as key players in the use of forensic accounting techniques in fraud prevention and detection in the organisation, hence, these two officers were selected for sampling. This also serves to provide a check on the responses given from

each establishment to ensure internal consistency in the data. The total number of samples in each unit was therefore multiplied by 2 resulting to 976 for the entire practitioners.

This study adopts the survey strategy using the questionnaire as research instrument. The questionnaire had 3 sections with 60 variables. Section A labelled ‘demographic attributes’ had 6 variables. Section B measures ‘use of fraud detection and prevention mechanisms’ with 27 variables and section C measures ‘perceived effectiveness of fraud detection and prevention mechanisms’ also with 27 variables.

Sections B & C contain rating questions either as frequency (“always”, “often”, “rarely”, “never”, and “indifferent”) or likelihood (“very effective”, “effective”, “ineffective”, “very ineffective”, and “neither effective nor ineffective”) respectively.

A total of 976 copies of questionnaire were administered on practitioners of which 588 usable copies were retrieved. This gives a response rate of 60.25 per cent. The data were analysed using both descriptive and inferential statistics .

RESULTS

Table 3 shows the perceived effectiveness of the fraud prevention and detection mechanism by practitioners. Fraud prevention and detection mechanisms are ranked from the most effective to the least effective. Table 3 reveals that the most effective fraud detection and prevention mechanism as perceived by practitioners were, the use of forensic accountants, data mining, virus protection, fraud prevention and detection training, the use of firewalls, fraud auditing and bank reconciliation. Also, the least effective of the mechanisms as perceived by the practitioners include staff rotation policy, corporate code of conduct and ethics policy, use of ethics officers, fraud vulnerability reviews.

Table 3: Ranking of perceived effectiveness of fraud prevention and detection mechanisms

Fraud prevention and detection mechanism	N	Mean	Rank
Forensic accountants	588	3.8435	1
Data mining	587	3.3356	2
Virus protection	585	3.3299	3
Fraud prevention and detection training	586	3.2918	4
Password protection	587	3.2828	5
Firewalls	587	3.2555	6
Fraud auditing	585	3.1863	7
Bank reconciliations	587	3.0443	8
Digital analysis Benford law	587	2.9693	9
Increase role of audit committee	586	2.9334	10
Ethics training	587	2.9302	11
Inventory observation	586	2.8857	12
Financial ratios	586	2.7560	13
Code of sanctions against suppliers and contractors	587	2.7359	14
Security department	588	2.6769	15
Fraud reporting policy	588	2.5187	16
Whistle blowing	588	2.5136	17
Surveillance equipment	586	2.5051	18

Internal control	588	2.4439	19
Discovery sampling	588	2.4354	20
Reference check on employees	588	2.3844	21
Operational audits	588	2.3844	22
Fraud hotline	588	2.3418	23
Fraud vulnerability reviews	587	2.3288	24
Ethics officer	587	2.2794	25
Corporate code of conduct and ethics policy	587	2.1039	26
Staff rotation policy	587	2.1022	27
Valid N (list wise)	572		

On the other hand, the actual usage of fraud prevention and detection mechanisms by these practitioners (or in their units) is presented in Table 4.

Table 4 reveals that operational audit with rank number 1 is the most frequently used fraud detection and prevention mechanism. This is closely followed by corporate code of conduct, internal control, bank reconciliations, inventory observation and reference check on employees. The least frequently used are forensic accountants, virus protection, data mining and firewall.

Table 4 Ranking of the actual use of fraud prevention and detection mechanisms

Fraud prevention and detection Mechanism	N	Mean	Rank
Operational audit	587	3.7717	1
Corporate code of conduct	587	3.7513	2
Internal control	588	3.7007	3
Bank reconciliations	588	2.7551	4
Inventory observation	588	2.6020	5
Reference check on employees	587	2.5707	6
Security department	588	2.5544	7
Staff rotation policy	588	2.5238	8
Password protection	585	2.4427	9
Increased role of audit committee	588	2.3214	10
Financial ratios	588	2.2959	11
Fraud reporting policy	588	2.2551	12
Ethics officer	588	2.0697	13
Code of sanctions against suppliers contractors	588	2.0527	14
Surveillance equipment	587	2.0153	15
Fraud vulnerability reviews	588	1.7687	16
Whistle blowing policy	588	1.5850	17
Ethics training	588	1.5442	18
Digital analysis Benford Law	588	1.3759	19
Fraud hotlines	588	1.3129	20
Discovery sampling	586	1.2543	21
Fraud auditing	587	1.0443	22
Fraud prevention and detection training	587	1.0256	23

Firewalls	587	.9676	24
Data mining	587	.9608	25
Virus protection	587	.9506	26
Forensic accountants	587	.9404	27
Valid N (list wise)	580		

One hypothesis was tested in this study. It is stated here as follows:

Ho: There is no significant difference between the perceived effectiveness of fraud prevention and detection mechanisms, and their actual usage in Nigeria.

H1: There is a significant difference between the perceived effectiveness of fraud prevention and detection mechanisms, and their actual usage in Nigeria.

In testing hypothesis, $t = (26) = 3.45, p < 0.05$ reveals that significant difference exists in the perceived effectiveness of fraud detection and prevention mechanism and their perceived usage in fraud prevention in Nigeria (Table 5).

Table 5: Difference in use and effectiveness of fraud prevention and detection mechanisms

	Paired Differences					T	df	Sig. (2-tailed)
	Mean	Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference				
				Lower	Upper			
PERCEIVED EFFE - ACTUAL USAGE	.79995	1.20462	.23183	.32342	1.27648	3.451	26	.002*

* $p < 0.05$.

DISCUSSION OF FINDINGS

The objective of this study was to investigate the mechanisms of fraud prevention and detection and their perceived levels of effectiveness in Nigeria. To carry out this investigation in a direct manner, the question, “what are the common fraud prevention and detection mechanisms and their perceived level of effectiveness in Nigeria is there any significant difference?” was posed. Data were collected and analysed using appropriate techniques.

From the data analysis in, various fraud detection mechanisms in actual usage in Nigeria have been identified. The study revealed that operational audit and systems of internal controls are the most frequently use fraud detection and prevention mechanisms. This is closely followed by other fraud mechanisms including corporate code of conduct, bank reconciliations, inventory observation and reference check on employees, in their order of decreasing usage. The least frequently used as identified in the present study are forensic accountants, virus protection, data mining and firewall. These findings are similar to those of Bierstaker, Brody and Pacini, (2006). The fraud prevention and detection mechanism that are commonly used in preventing and detecting financial fraudulent activities as revealed in this study are the traditional accounting and auditing methods. It has been discussed earlier that fraudulent activities have become so sophisticated and it will take a sophisticated mechanism, like the forensic accounting, to tackle. Yet, forensic accounting techniques are far from being familiar in Nigeria and particularly in the public service. Moreover, the findings of this study and available literature reveal that the use of forensic accountants, virus protection, firewalls, passwords and data mining are more effective mechanisms than operational audits, corporate code of conduct, internal control, and the rest that are used more frequently.

There appears to be clear differences in the effectiveness of fraud detection and prevention mechanisms and their actual usage in fraud prevention. For example, the use of forensic accountants' ranks number one in effectiveness, but it is the least used mechanism in fraud prevention and detection in Nigeria. This observation agrees with the findings of Bierstaker, Brody and Pacini, (2006) that the most effective fraud prevention methods were the least used in combating the menace in the United States of America. This was confirmed by the Student's t test, which reveals that significant difference exists in the effectiveness of fraud detection and prevention mechanisms and their actual usage in fraud prevention in Nigeria.

Traditional accounting methods like systems of internal controls have been found to be ineffective in fraud detection and prevention. This findings have support in the work of Muslimat and Hamid (2012) who discovered that internal audit staff lacks the basic knowledge of fraud detection and prevention. The continuous dependence on traditional methods against conventional fraud detection and prevention techniques, like the forensic accounting will not only continue to increase fraud incidence in the public service and even other sectors of the economy, but also affect general development in the country.

The foregone discussion has therefore provided answers to the research question, "what are the common fraud prevention and detection mechanisms and their levels of effectiveness in Nigeria? Is there any significant difference?" But why should the most effective fraud prevention and detection mechanism be the least used in combating the menace of fraud in Nigeria? The next section of the discussion seeks to answer the question.

CONCLUSION

Various mechanisms of fraud prevention and detection in usage were identified. The most common ones included operational audit, corporate code of conduct, internal controls, bank reconciliations, and inventory observations while the least used methods were forensic accountants, virus protection, data mining, fraud prevention and detection training, fraud auditing and digital analysis by Benford's law. It was rather shocking to discover that the perceived most effective mechanisms of forensic accountants, data mining, virus protection, fraud prevention and detection training, etc were the least currently used in Nigeria. The lack of use of these better, effective methods may be connected with the lack of awareness and non-availability of experts.

In view of the findings of this study and to ensure that all hands are on deck to reduce financial frauds in Nigeria and elsewhere, it is recommended that organisations should adopt the most effective mechanisms in their fraud prevention and detection drive. This is because the study has shown that current fraud prevention and detection mechanisms commonly used are perceived as the least effective in combating fraud menace. Forensic accounting mechanisms and the use of forensic accountants which have been perceived most effective methods should be encouraged at all levels of government local, state and federal.

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Preventing Premature Deindustrialization in Sub-Saharan Africa: The Importance of the Road Transportation Sector

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Abstract

Since independence in the early 1960s the countries of sub-Saharan Africa have generally viewed industrialization as an essential ingredient of economic development. Indeed, most of the world's advanced nations are often grouped as the "industrial economies" and the progression from agriculture-based economies to manufacturing and service-based ones has been seen as key to development strategy. However, there is a growing literature that suggest that this path is no longer one that can necessarily be followed. Indeed, there is strong evidence that for many countries deindustrialization is actually the problem.

Infrastructure will need to play an even great role if the region is to successfully industrialize and meet its development targets. Of course roads form only a part of transportation infrastructure in African countries --albeit the most important part, as road transport accounts for 85% of the region's passenger and freight and is the only form of access to most rural communities where 65% of the population live.

For the region to develop it must continue on its path of economic and political reform, but at the same time it must look at improving its basic infrastructure, especially good roads and find new means for increased mobility for the majority. Improved road infrastructure is vital if Africa is to escape the scourge of deindustrialization. This paper examines the phenomenon of deindustrialization and see how improved road transport might roll back that decline.

Key words: sub Saharan Africa deindustrialization; economic development; transportation; industrialization

INTRODUCTION

"Industry is the means by which rapid improvement in Africa's living standards is possible."

-- Kwame Nkrumah, President of Ghana, 1965

"Africa is not only under industrialized, but it has been de-industrializing."

-- Haram Acyl, Commissioner for Trade and Industry, African Union Commission, 2014.

"It is easier to move goods from African countries to Europe and the rest of the world than to trade between one African country and another."

-- Goodluck Jonathan, President of Nigeria, 2014.

Since independence in the early 1960s the countries of sub-Saharan Africa have generally viewed industrialization as an essential ingredient of economic development (For this paper the terms industry and industrialization refers to firms which produce value added activities including light and heavy manufacturing, agro-processing, tradable services and information technology. Also, Africa and sub-Saharan Africa will be used interchangeably). Indeed, most of the world's advanced nations are often grouped as the "industrial economies" and the progression from agriculture-based economies to manufacturing and service-based ones has

been seen as key to development strategy (Rostow 1962, UNECA 2011, UNIDO 2009). However, there is a growing literature that suggest that this path is no longer one that can necessarily be followed. Indeed, there is some evidence that for many countries, deindustrialization is actually the problem (Rodrik 2014, 2013).

Sub-Saharan Africa has had impressive and unprecedented economic growth during the past several years. For example, in 2012 some 80 percent of African countries recorded GDP growth rates that exceeded the world average (ECA/AU 2013, World Bank 2013, Sparks 2014). Additionally, 16 countries in the region were among the top 30 highest growers worldwide. However, this growth is driven in large by a resources commodity boom and the region remains vulnerable to external shocks, nor has the GDP growth translated into significant job creation nor poverty reduction.

Industrialization is certainly one component of a growth strategy. However, Africa faces a number of problems that constrain industrialization, including: access to financing, perceived and actual risks, a technological and education gap, and cross border logjams. Growth also is hampered by poor infrastructure, especially roads (Bryceson et al, 2008, Foster 2010, Naude and Matthee 2007, Teraininthon and Raballand 2008, World Bank 1988). Indeed, the 2010-2015 AU/NEPAD African Action Plan clearly states that, "... transportation infrastructure is among the main bottlenecks to productive growth and development in Africa" (AU 2009).

Infrastructure will need to play an even great role if the region is to successfully industrialize and meet its development targets. Of course roads form only a part of transportation infrastructure in African countries --albeit the most important part, as road transport accounts for 85% of the region's passenger and freight and is the only form of access to most rural communities where 65% of the population live. Other components include ports, rail and airports and other sectors lay outside the scope of this paper.

Roads have been considered as an integral component to economic growth and for reducing poverty for decades (Chambers 1983, 1997, Minot et al 2003). An integrated and well-maintained road system is vital for a country's industries to take root and for economic growth and development. However, over half of the roads in sub-Saharan Africa are in very poor condition and in many countries the road network is woefully inadequate. For example, the Democratic Republic of the Congo, with an area one quarter the size of the United States, has just 1,736 miles of paved roads, slightly more than in the District of Columbia (with 1,500 miles). Even in countries where the road network is good, for example in South Africa, recent budgetary constraints have delayed much-needed maintenance and expansion. Poor transportation touches all facets of African life, from commerce, to health care to schooling. This paper will examine the phenomenon of deindustrialization and see how improved road transport might roll back that decline.

DEINDUSTRIALIZATION

The African Union (and others) have long supported an African industrialization strategy (UNIDO 2006, UNECA/AU 2013). In 2008 the AU Assembly endorsed the Action Plan for Accelerated Industrial Development of Africa (AIDA) and subsequently adopted a strategy for its implementation (AU 2009). That report states clearly that, "No country or region in the world has achieved prosperity and a decent socio-economic life for its citizens without the development of a robust industrial sector." Indeed, as mentioned above, history is full of examples where resource-rich countries (Sweden, the US, Norway) have been successful in

fostering productivity and growth. However, “The problem is that Africa today faces a very different global and regional environment from that faced by earlier developing country entrants into industrial development” (UNECA 2013).

Many sub-Saharan African countries promoted rapid industrialization at their respective dates of independence. To achieve these objective they generally employed the import substitution industrialization (ISI) model, with protecting domestic industry form foreign competition as essential for success. However, the new governments had neither the institutional nor physical infrastructure resources necessary to achieve success. Further, as scarce resources were channeled into infant industries, agriculture was neglected.

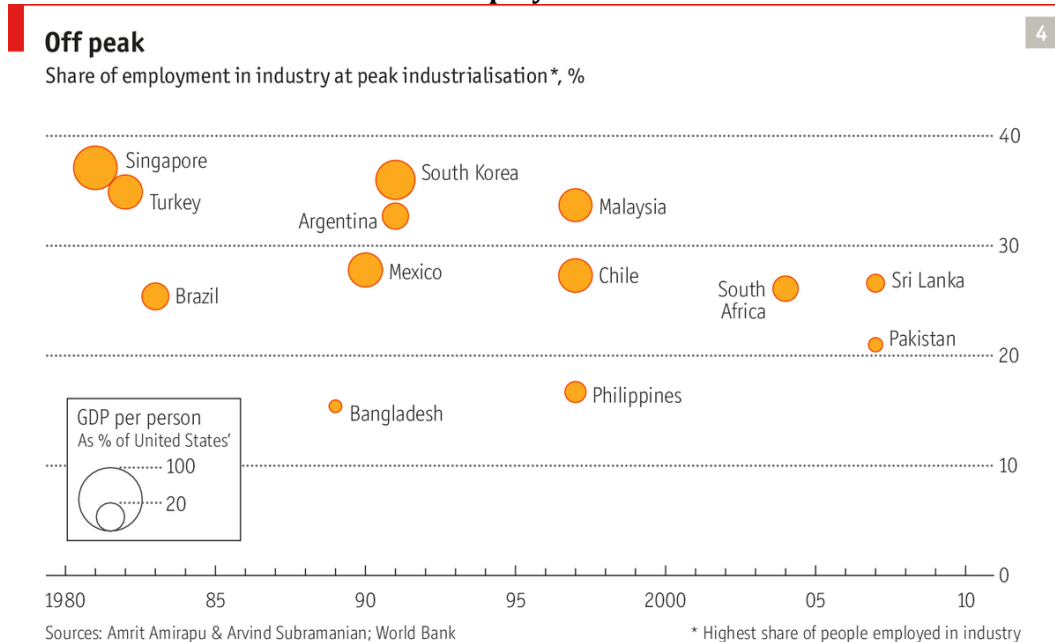
By the 1980s most counties had given up in the ISI strategy and adopted the Washington Consensus of Structural Adjustment stressing export-led growth (Sparks 2014). Since 1980 industry in Africa has declined both as a share of global output and trade (Page 2011, UNIDO 2009). Indeed, from 1980 to 2009 the share of manufacturing’s value-added to GDP declined from 16.6% to 12.7%, and, while other regions have increased their shares of manufactured exports, sub-Saharan Africa still exports raw materials to the industrialized world (including China) where they are processed and sold back at much higher prices (UNECA 2013).

Governments across the emerging world have visions of repeating the industrial West’s and now China’s success. However, the IT transformation now under way may be changing the economics of development. Much of the emerging world is facing a problem now known as “premature deindustrialization” (Rodrik 2014, Bigsten and Soderbom 2011, Amirapu and Subramanian (2014).

The Asian Tigers (and others) gradually moved from low-margin, labor-intensive goods such as clothing and toys to electronics assembly, then on to light manufacturing and, finally (and rapidly) into advanced manufacturing and design. After manufacturing became mature, that sector was overtake by services. For example in Britain manufacturing’s share of employment peaked at 45% prior to WWI and fell to around 30% in the 1970s to less than 10% today. A few developing markets have been able to follow this pattern: Korea’s manufacturing share of employment peaked at 28% in 1989 and has fallen since (Lawrence and Edwards 2013). Importantly, When the US and Germany began to deindustrialize, they had per capita incomes of \$11,000 (in 1990 dollars). In the developing world, however, manufacturing began to decrease while per capita incomes have been at much smaller levels (Brazil at \$5,000, China at \$3,000 and India at \$2,000) (Rodrik 2013). The level of income per person at which reliance on manufacturing peaks has also declined steadily (see table 1, below). When South Korea reached that point in 1988, its workers’ earnings were on average barely over \$10,000) per person. Thus the perceived problem is that manufacturing (and related activities) as a share of employment will peak (“prematurely”) before the country has had a chance to reap the benefits of manufacturing’s contribution to a diversified economy.

Nonetheless, in these examples the export success filtered out into the wider economy. As noted by one observer, “an industrialising export sector is like a speedboat that pulls the rest of the economy out of poverty” (Economist 2014). For much of modern economic history the driving force behind globalization was the falling cost of transport. However, since the 1980s cheap and powerful ICT has played a bigger role, allowing firms to co-ordinate production across great distances and national borders.

Table 1. Share of Industrial Employment at Peak of Industrialization



There has also been a shift in trade patterns due to rising incomes and tastes. As income rise, people spend a larger share of their income on services such as health care, education and telecommunications and this shift is reflected in trade. Manufactured goods accounted for 80% of world exports in 2008 (the most recent figure available), down only slightly from 83% in 1980 (Subramanian and Kessler 2013). Measured in value-added terms, however, the importance of goods trade declined from 71% of world exports in 1980 to only 57% in 2008, because of the increasing weight of services in the production of traded goods. In addition, manufacturing assembly accounts for a declining share of the value of finished goods. The region’s share of world exports have declined from around 3% to around 2% over the past three decades. Other advances are eliminating the need for human: the falling cost of automation makes the use of robots attractive even in India, where cities are swarming with underemployed young workers.

The rapid growth in emerging economies over the past 15 years was good for many very poor African countries, but most still they grew more slowly than richer developing countries in Asia and South America. Given the severe constraints to development, even very low wages may be insufficient to attract much manufacturing. Thus the dilemma: Africa’s population will roughly triple over the next half-century, to about 2.7 billion. A development strategy (like industrialization) that relies extensively on rapidly rising incomes which are limited to a highly skilled few is unlikely to be sustainable. Can Africa escape de-industrialization? An important part of the answer lies in transportation.

THE IMPORTANCE OF ROAD TRANSPORTATION IN COMBATting DE-INDUSTRIALIZATION

As discussed above, for industry to grow it needs infrastructure, especially roads (AU 2009). Road conditions have improved in most African countries in recent years, as governments have strived to increase the density of their road networks and carry out institutional reforms. Tremendous progress has been made in establishing institutions to manage and maintain Africa’s roads, for example, but still only one in three rural Africans has access to an all-season road. Unable to reach urban markets, millions are trapped in subsistence agriculture. In cities,

road construction has not kept pace with urbanization. In many countries, road maintenance remains inadequate. Even the Trans-African Highway, the symbol of modern Africa, has long gaps.

Thus, despite such progress, sub Saharan Africa lags behind the rest of the world's regions in infrastructure coverage, and the differences are particularly wide for paved roads, and this "deficit" is likely to widen. It is important to note that most of sub-Saharan Africa started out with road stocks not dissimilar to those found in South or East Asia in the 1960s (African Development Bank 2003, Foster and Briceno 2010).

The region has approximately 1,052,000 km of classified road network, another 492,000 km of unclassified roads and about 193,000 km of urban roads for a total of 1.75 m km, according to the World Bank making them some of the most valuable state assets. However, in spite of their importance, roads have been badly managed in Africa. Total road network of 4.3 km per 1,000 people, compared to a world average of 7.07 km per 1,000. South Asia has 3.19 km of roads per 1,000 people, and 3,88 for North Africa and the Middle East. Paved roads equal only .79 km per 1,000 people, less than half that of South Asia.

There is a large variation in the quality of national and rural roads. About half of the road in the main network are in good condition while only one quarter of the rural network is in good condition. Part of this is due to the fact that richer countries spend more on maintenance than do poorer ones. Topography and climate also play a role, for example mountainous and wet countries generally have poorer conditions. Good governance is critical for maintaining good quality road systems. Across the region 43% of the main networks are classified in good condition, 31% in fair and 27% are in poor condition (meaning they are in need of rehabilitation). The percentage in good condition ranges from a high of 90% in South Africa to a low of 4% in the DRC.

The African Union and the African Development Bank have identified infrastructure and regional integration as major components of economic growth and poverty reduction (African Development Bank 2003, African Union 2009). This emphasis has been part of the New Partnership for Africa's Development (NEPAD). However, no one has yet to be the political will to make this happen. Regional infrastructure involves a high level of trust between countries, and some countries (landlocked ones for example) have more to gain from regional integration. For example, for year planners in Kinshasa and Brazzaville have discussed a road-rail bridge over the Congo river. This is the only place in the world where two national capital cities are situated on opposite banks of a river, within sight of each other. Nonetheless, because there is not the political trust between the two governments, this project has remained stalled.

Fewer than 40% of rural Africans live within two kilometers of an all-seasoned road, the lowest level of rural accessibility in the developing world (the average is 65%). This isolation prevents large areas of the continent in reaching their agricultural potential (Teravinthorn and Raballand 2008). Because the population density is so low, reaching even 90% of rural accessibility is an unrealistic goal even in the medium term. Further, urban all surface road density lags behind those in other developing regions. Poor roads add to costs of production in a region with the world's highest poverty rates. The costs of transporting goods in Africa are the highest in the world. For example, for three Francophone countries (Cameroon, Cote d'Ivoire and Mali) road transport costs are 40% more expensive than in France (whose labor costs are much higher than in Africa). Poor road conditions can increase fuel consumption and

the need for vehicle maintenance due to damage, reduce the life of tires and of vehicles. Because of lower speeds, vehicles are not as efficient (Naude and Matthee 2007).

Lack of rural road connectivity seriously constrains agricultural production: in the absence of rural feeder roads, the cost of moving produce can be as high as \$2.00 per ton-kilometer (Teravaininthorn and Raballand 2008). As a result, some 85 percent of crop production takes place within six hours' travel time from the largest cities.

In rural areas people and vehicles move across a variety of unclassified and unrecorded paths and tracks, thus the size of the rural network is hard to estimate. The rural density ranges from 0.1 km per 1,000 people in the DRC to 21.6 in Namibia. A low density of rural roads limits access to agricultural production. Agriculture plays a vital role in the region, accounting for one third of GDP, 40 percent of exports and over half of employment (Liamo and Venables 2001, Dawson and Barwell 1993).

In rural areas about a quarter of the population lives in dispersed areas where densities are less than 15 per sq kilometer, thus the costs of providing roads are quite high. Improved road networks help isolated communities move into commercial agriculture and thus increase their incomes. By reducing the time and expense of moving goods, improved roads help competitiveness, creating more jobs and boosting incomes (Liamo and Venables 2001).

Rural roads typically carry low levels of traffic, generally no more than 10 percent of traffic on classified roads, although in a few countries, notably Malawi, Nigeria and Ethiopia, the amount is closer to 20%.

Off road residents are sometimes looked down upon by local professionals and exercise virtually no political power, and "To live off-road is to be invisible" (Porter 2002). Across Africa virtually all services (banks, clinics, extension agents, markets, schools) are located on paved roads (this is changing with banking). For women the time constraints and cultural restraints on mobility can be very restrictive (Kudat 1990). Trips on rural roads generally involve short distances and small loads such as firewood or water. Non-motorized transport (eg a bicycle) is often cost prohibitive. There are cultural issues that play a role, as women are often excluded from non-motorized modes. However, in some countries such as Uganda and Burkina Faso enough women are using bicycles and have gained social acceptance.

Off road inhabitants are often the most in need of medical help since water supplies are often poor and work is dangerous. Visits to clinics for more routine reasons drop off dramatically after 5 kilometers. Vaccination programs tend to miss off road settlements, making these communities more at risk. Off road residents are at special risk as water supplies are often poor and poverty levels are high. During the wet season health conditions are at their worst, while traveling is the most difficult, even for pedestrians. This causes a downward spiral (Porter 2002).

In rural areas generally the local authorities are responsible for the roads. Here are two categories: local government roads and community roads and tracks (Kudat 1990, Gwilliam et al 2006, Benmaamar 2006). The later are often neglected by local authorities. This can be a problem when NGOs build roads without proper coordination with the local agencies, as often the roads were built to good standards, can be allowed to deteriorate over time without maintenance. Local governments have limited budgets and qualified personnel to ensure such maintenance. Indeed, for most of Africa less than 5% of all government revenue is allocated to

the rural governments. Some countries centralize their control over rural roads but is often poorly connected to the local needs.

Community roads pose additional problems. In most remote off road settlements, the roads are maintained by the residents: women carry sand, stones and gravel and men fill potholes using their picks and shevels. During the rainy season roads may need weekly attention, and every able bodied resident is expected to take part. Because of the low population densities, raising this to 100% coverage would be virtually impossible. Access to 80% of the rural population would cost about \$2.5 billion annually, again according to the World Bank (2010). Of that, about half would be for maintenance (Bryceson et al 2008).

Poor rural roads limit access to markets, and transportation costs are extremely high. Population density and purchasing power play a major role in determining where, when and how roads can be placed. For example, if population density and purchasing power are both low, then bus service is unlikely to appear, especially in the absence of a subsidy. On the other hand, sealed roads can facilitate intermediate transport (eg bicycles) for low income people even in sparsely settled areas.

History has profound economic consequences for the transport sector, and for development. Incomplete networks (coast to hinterland for commodity extraction); national fragmentation; state enterprises were inefficient; corruption was widespread. Most continuous transport corridors link the hinterland to seaports, a heritage of colonialism when the European colonial powers were mostly interested in extracting unfinished raw materials, not to promote trade within or between countries.

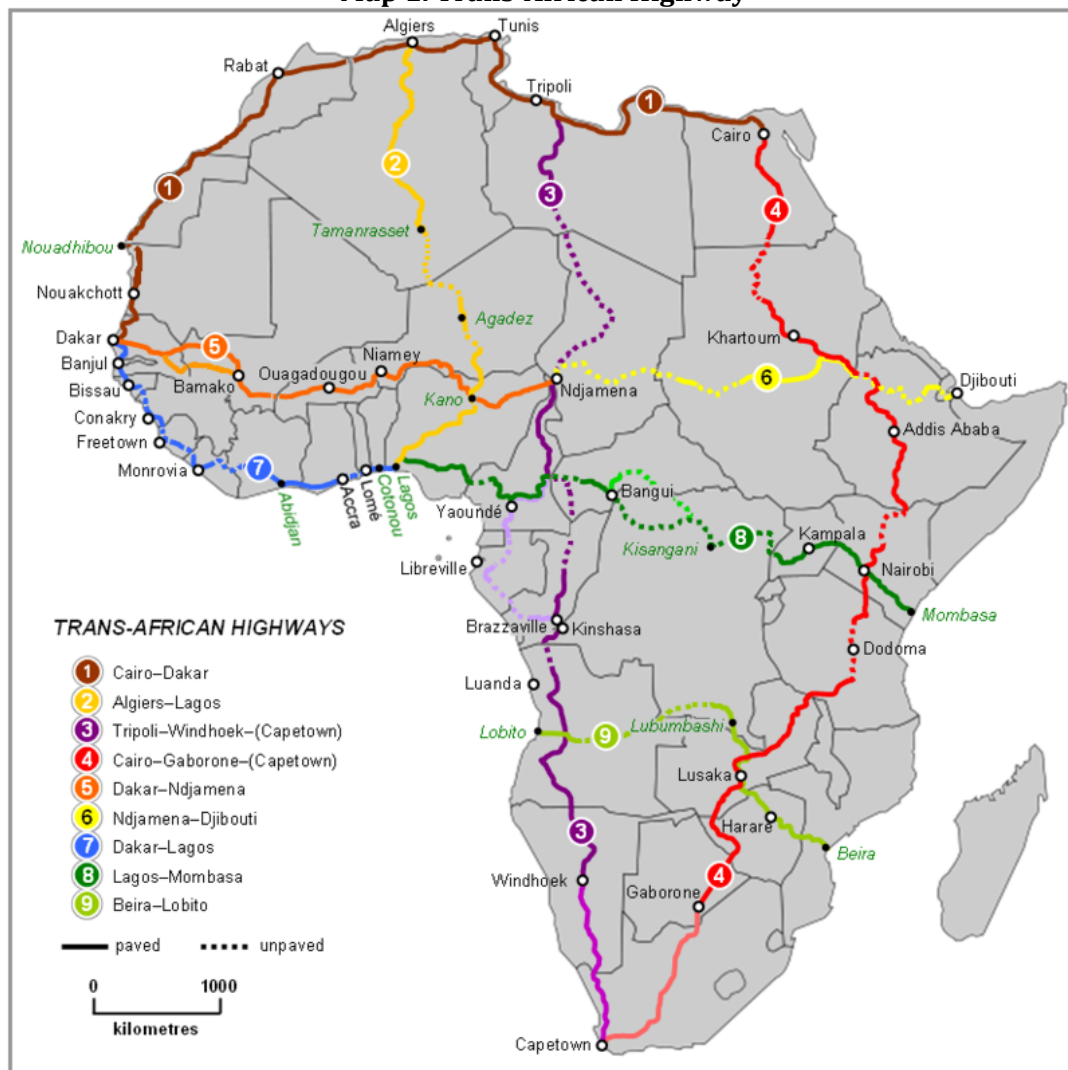
In general most power in Africa resides in the cities, people vote there in larger numbers and in the past it was in the cities where a coup would take place (Lipton 1977). This has led to what has been called "urban bias" in development. This means of course that those in the cities get better (if you can call it that) infrastructure than those living in the countryside. It has been a pattern of neglect, although this has changed in recent years to a degree. As part of that neglect, agriculture and rural areas were not generally thought of as a place where modern "development" would occur: that would be in the cities, with industrialization and manufacturing. We know now that this urban bias led to many disasters across the continent.

The World Bank began lending to African countries soon after their independence and by the 1960s its lending was heavily biased toward infrastructure, predominately roads. Roads were though to "bring" development to remote areas, although it soon became apparent that such investment was a necessary but not sufficient component of development (Riverson et al 1991, World Bank 1988). Much of the early investment were in truck roads but the focus shifted by the 1970s during a push for more rural development and a emphasis on the poorest of the poor initiatives by Western donors. By the 1980s road financing was being cut under various structural adjustment programs that had become popular with the Washington Consensus. During the period of "conditionality", many countries were forced to cut spending, and roads were easier targets (people get animated when schools or health clinics are closed but decaying roads don't generate much political excitement). Many leaders felt that road improvement could be done at some point in the future... kick the can down the road. In the meantime, governments cutting budgets are worried about what people see as more immediate in their lives.

During the 1990s many donors shifted to poverty alleviation and private capital flows weakened in the early 2000s in the aftermath of the Asian financial crisis. In a final irony, the Millennium Development Goals excluded roads from their list of goals, despite the generally held belief that poor roads remain perhaps the major impediment to improving access to rural health and education.

Relative to other developing areas, Africa has a low population density (36 people per sq kilometer), low rates of urbanization (35%), although rapid urban growth rates (3.6% annually). The region also had huge variability in rainfall patterns across areas and topography varies widely (African Development Bank 2003). There are 48 nation states in the region, many of which are very small (most having populations under 20 million and economies less than \$10 billion).

Map 1. Trans-African Highway



Source: African Development Bank (2003).

Although the goal of a Trans-African Highway is not new, it would take around 75,000k to provide a meaningful level of connectivity (see map, African Development Bank 2003). On a Pan-African level a network that would link all capital cities and also cities with more than 1 million people to deep sea ports or international borders would require a two lane network of about 100,000 kilometers, of which perhaps 70% is now in place. However, of that about one

quarter needs to be widened from one to two lanes and about three quarters needs to be improved to good quality. The World Bank estimates that such improvements would cost \$20 billion with maintenance of \$1 billion annually for the foreseeable future. The World Bank suggests that such improvements would triple intra-African trade, from \$10 billion to \$30 billion a year. Roads provide better connectivity in intraregional trade because the rail networks have incompatible gauges (a holdover from colonial times where Germany had different gauges than say Britain or France) and low traffic volumes (African Development Bank 2003, Foster and Briceno 2010, Buys 2006).

During the 1970s the Trans-African Highway system was proposed as a network of all weather roads to provide direct linkages between all capital cities, contribute to the region's political, economic and social integration, and ensure important linkages between areas of production and consumption. National governments have been slow to make the necessary investments to make this a reality. The system comprises nine main corridors with 50,000 kilometers, of which almost half is in poor condition. Also, about 24% of the network is not paved.

Road building peaked in the 1970s in most countries and that created thousands of miles of roadways which have long since passed their design life. Indeed, many countries had better roads in the 1960s and 1970s than they do now. For main road networks, maintenance spending ranges from \$200 per kilometer in Chad to \$6,000 in Zambia. Maintenance spending per kilometer on the main network is about twice that spent on rural roads (Buys 2006, Heggie 1994).

Road spending typically accounts for 5-10% of a government's recurrent budget and 10-20% of its development budget. In many countries a significant portion of the central government's outstanding debt is for road loans. Road funding is very dependent on foreign assistance, which is volatile. ODA funding ranges from 50% of total road funding in Senegal to 90% in Rwanda.

African countries have spent too little on maintenance during the past 20 years and as a result nearly one third of the \$150 billion invested in roads has been eroded through lack of maintenance (African Development Bank 2003). Africa has been living off its assets. The fiscal burden of road network per capita is high due to a combination of low population density, low GDP per capita and a number of topographical, climactic and cultural factors which will be discussed later.

Heavy rainfall can accelerate road deterioration, especially if there are design flaws (grading, ditches, run off control, etc). Vehicle overloading is one of the most serious and common causes of road deterioration. Economies of scale give incentives to load a vehicle to the maximum. Some countries, for example Kenya, have tried to ban heavy loads by limiting the number of axles permitted per vehicle (instead of the weights). Evasion by truckers has, however, been successful in thorwting these efforts.

When a road is not maintained and is allowed to deteriorate, each dollar saved on maintenance increases vehicle operating costs by \$2.50. Reduced maintenance results in increased overall costs to the economy: As just mentioned, The World Bank estimated that the extra costs of poor maintenance costs the region nearly 1% og GDP per year. (Heggie 1994). Poor maintenance today raises the cost for the future: maintaining a paved road for 15 years costs about \$75,000 per kilometer. If the road is allowed to deteriorate over a 15 year period it costs well over \$200,000 per kilometer to rehabilitate. The same for gravel roads: it takes perhaps

\$20,000 per km to maintain (varying with volumes and climate) for a 15 year period, but if allowed to deteriorate over 15 years the replacement costs is double that.

Road users are slow to see the linkage between poor road conditions and higher vehicle operating costs (VOCs). Excessive axle loads (especially in the 3.5-7.5 ton two axle category of trucks) are responsible for a large proportion of road damage. Road repair and upgrading works less well than they should. If these truckers did see the links they are not organized well enough to affect any change (Benmaamar 2006, Naude and Matthee 2007). Road authorities do not come under pressure to reform, and with reform added financial investment will not be effective. When a road is not maintained (allowed to deteriorate from good to poor condition) each dollar saved on road maintenance increases VOCs by \$2.50. Instead of saving money, this lack of maintenance ends up costing the region millions each year. Potholes cause immense damage to vehicles. The Federation of Zambian Road Hauliers estimates that potholes increase VOC by 17%. The direct costs are associated with extra tires, clutches, wheel bearings, break shoes, springs, steering assembly and shock absorbers. In addition to the downtime and damage to goods. Also, virtually all the spare parts for replacement must be imported from abroad, resulting in a loss of foreign exchange.

Maintenance is normally financed under the recurrent budget, and such revenues are almost always in short supply. Although this is changing, donors finance new road building and rehabilitation under a capital budget (often on a grant basis) and governments use these funds for building and rehabilitation rather than maintenance. Where roads are left to deteriorate, women bear the heaviest burden (Kudat 1990). According to the World Bank, a typical Ugandan woman carries the equivalent of a 10-litre (21-pint) jug of water for 10km every day, while her husband humps only a fifth as much. With better roads, both men and women can, if nothing else, hitch rides on trucks, thereby sparing their feet and getting their goods more swiftly to market.

Higher transportation costs raise the costs of doing business, impede private investment and add another barrier to Africa's ability to take advantage of the rapid growth in world trade (currently perhaps 3% of the world total). African truck operators have low fixed costs (due to low salaries, older cheaper trucks) but high variable costs (poor gasoline mileage from the old trucks). Poor road conditions reduce the life span of trucks, tires and increase vehicle maintenance costs and result in higher fuel consumption). Fuel and oil account for nearly half of the variable costs.

Trade is highly sensitive to transport costs: a 10% decrease in such costs could increase Africa's trade by 25%. Importantly, US trade with the region has grown significantly during the past decade: US exports have surged from less than \$7b. in 2001 to over \$74 b. last year. Africans would demand even more US products if they had a more efficient (and lower cost) transportation network. For Africa's landlocked countries, high transport costs means that even if they do everything else right, they will effectively remain landlocked. Of all the world's regions, intra-regional trade is lowest in sub-Saharan Africa. While there are many reasons for this (eg, tariff and non tariff barriers, cumbersome customs procedures, lack of product diversification, the similarity in production among neighboring countries), poor roads play a major role. "It costs \$1,000 to ship a 20-foot container from the UK", said John Ackum, president of Worldwide Movers in Cote d'Ivoire. "You need \$2,300 to transport the same container next door to Liberia. By road our drivers can be stopped five times in Ghana, six times in Togo, six times in Benin and easily 20 times in Nigeria"(The Economist 2012).

UNCTAD estimates the transportation costs in Africa are higher than anywhere else in the world, at 12.6% of the delivered value of exports (the world average is 6.1%, UNCTAD 2003). For landlocked countries it is even higher: 56% for Malawi, 48% for Rwanda.

The actual costs of trucking in Africa—even when road quality and corruption are taken into account—are not significantly higher than in other parts of the world. The main reason for the high tariffs paid in the region is the lack of competition in the trucking industry, which allows firms to sustain high profit margins. In Central and West Africa particularly, trucking industry cartels and restrictive practices in traffic allocation and dispatching are responsible for low vehicle mileages and poor fleet quality. In southern Africa, a more liberal regulatory environment and a greater prevalence of direct bilateral contracting between truckers and their clients keeps freight tariffs down. Because of closed borders, high import tariffs, restrictive rules of origin consumers cannot benefit from lower prices nor farmers cheaper inputs such as fertilizer. High transport costs limit the incentives for farmers to grow more food if they cannot charge a price high enough to cover all of their costs. Truck operators are able to sustain high profits margins (especially in Central and West Africa, where they reach levels of 160%) because of the lack of competition in heavily regulated markets. For example, freight is often allocated to transport firms via a central queuing method than allowing truckers to enter into bilateral contracts directly with customers. Road freight tariffs are more than double the dollar per ton- kilometer in Africa than in other developing regions.

Of equal concern are long administrative delays at border crossings. These keep the effective velocity of international road freight below 12 kilometers per hour, or about as fast as a horse and buggy or bicycle.

CONCLUSION

International donors and national governments tend to underestimate the importance of appropriate roads. Although donors know that roads are essential to the development puzzle, they generally are constrained by the host government. If the minister of transportation wants a road paved to his house (or home region), that has been where the roads have been paved. Often road construction has been planned with little regard to need, witness the large number of prestige projects, and again donors have not spoken up forcefully about them. Oftentimes roads are over engineered. On average some 30 percent of main road networks are over engineered relative to observed traffic volumes (and 10% under engineered). Countries need to adapt road design standards to local conditions and materials to avoid excessive costs, particularly in low volume roads.

For example, it takes a minimum of 300 vehicles per day to justify a paved road. Many roads do not meet that threshold and are done for political reasons or because the expected traffic volume never materialized. Conversely, many roads that need to be paved are under engineered. Perhaps as much as 30% of the main road networks appear to be over engineered, according to the World Bank. On rural unpaved roads the threshold is 30 vehicles per day to justify crushed gravel treatment. Again, this is slowly changing but the road infrastructure backlog is tremendous.

Most of the transportation services are owned and operated by men. In areas where women are the major crop marketers they could gain by getting more access to transportation, especially intermediate transportation.

Toll roads do not appear to be a solution (Buys et al 2006). Since 1990 there have only been 10, and most of them have been in South Africa. There is little scope for growth as the traffic flows are too low. The threshold is 10,000 vehicles per day, and only 8% of the region's road network rise to that level, and over 80% of those roads are in South Africa.

Low income countries devote almost three quarters of funding to road building, leaving a huge repair and maintenance deficit. This can be partially explained by the fact that low income countries are still building their networks, whereas middle income countries who already have their networks in place can devote more to maintenance. Those countries with significant topographical constraints also favor more capital expenditures.

Due to widely dispersed rural populations, doubling the current level of rural road accessibility from 40 to 80 percent would be very costly and entail more than doubling the length of Africa's road network—from 400,000 to 1,500,000 kilometers. This suggests the importance of carefully prioritizing rural road investments based on the potential agricultural value of land. For example, reaching the agricultural land that produces 80 percent of today's crop value could be done with a network of only 600,000 kilometers. Similarly, reaching the agricultural land with 80 percent of potential production value could be done with a network of little more than 900,000 kilometers.

Connectivity is not just about the physical conditions of roads, but must include the regulatory framework. Fuel levies (gasoline taxes) are generally not set at an adequate level. Less than 5% of public revenue is generally made available to local governments managing rural networks. General budgets usually do not allocate enough for main roads. Because the road networks in rural areas are often short, they do not justify employing an engineer in a local agency. In central and West Africa there is little political consensus on freeing up the markets. Operations to and from South Africa are governed by bilateral agreements and allows more market competition, resulting in more efficient and cheaper road transportation costs.

At the end of the day, simply building more roads is not necessarily the solution: many road projects are inappropriate, and are often geared to prestige high-profile, super highways instead of improved back roads that farmers so desperately need (Dawson and Barwell 1993). Even in places with roads people still have to walk a long distance to get access to a bus or matatu taxis. The mindset around the world has been to replicate the American car-centric model for transportation. Providing opportunities for private automobiles benefits some, for most in Africa it takes away resources that could otherwise be used for the majority.

Finally, in addition to helping boost industrialization, roads are essential in promoting health: one fourth of Africans are undernourished, and at least 250m Africans go to bed hungry. Getting food from farmer to table is difficult. Lack of good roads compounds the high poverty and low food security levels by impairing farmer connections to markets: according to the UN World Food Programme, only 25% of farmers in rural areas have access to markets within two hours and some 30% crops spoil before getting to market. Poor transportation adds to the costs of the farmer's inputs. Women farmers are marginalized because they often do not have access to inputs, credit and especially transportation. Due to poor road conditions, remote schools and health clinics are more expensive to build and harder for students and patients to travel to. Poor roads hamper food aid distribution, and this is especially important during periods of unexpected food crises.

For the region to develop it must continue on its path of economic and political reform, but at the same time it must look at improving its basic infrastructure, especially good roads and find new means for increased mobility for the majority. Improved road infrastructure is vital if Africa is to escape the scourge of deindustrialization.

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The Influence Of The Consideration Of Future Consequences On Leadership Effectiveness Through The Empowering Leadership Of The Executive Team And The Transformational Leadership Of Middle Management

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Abstract

This study aims to analyze the direct and indirect effects of the consideration of future consequences on leadership effectiveness through the empowering leadership of the executive team and the transformational leadership of middle management. The research was undertaken at a corporation that provides its managers with leadership and management training for organizational growth. A group of 330 employees participated in the study. After applying a confirmatory factor analysis to the scale used in the research, the relationships among the research variables were analyzed, using the Structural Equation Modeling (SEM). According to the results of the study, the following were determined: a) the consideration of future consequences has positive influence on leadership effectiveness through the empowering leadership of the executive team, and the transformational leadership of middle management, b) As the empowering leadership of the executive team has direct positive influence on leadership effectiveness, it also asserts indirect positive influence through the transformational leadership of middle management, c) the transformational leadership of middle management has direct positive influence on leadership effectiveness.

Key words: top executive team, empowering leadership, transformational leadership, consideration future consequences, leadership effectiveness.

INTRODUCTION

Change and dynamism are two of the most important characteristics of business life today. The changes in customers' preferences and demands in the market, the changes taking place in competitor enterprises, in technology, in the legislation are the elements that reorganize an organization's production processes, structure, operations and relations. In order to continue living in a fluctuating and unsteady market, both the organization and the individual need to constantly develop and sustain their survival reflexes.

While organizations that wish to continue their existence in the market focus on leadership within the organization, individuals place importance on personal development (Houghton & Neck, 2002). Today, leaders are not at the top of the organization, they are at every level. Managers at every level are expected to be leaders to their subordinates and to engage in visionary behavior, such as envisioning the future, encouraging growth, and stimulating learning (Vera & Crossan, 2004). Organizations that have need for effective leaders develop training programs to offer employees the opportunity to develop their skills; they provide coaching services and devise projects for this purpose. The goal of these efforts is to ensure

that the organization can sustain its existence both now and in the future and to train leaders that can guarantee such future.

At which level the leadership may be, whether it is self-leadership or leading others, in every situation, leaders are future-oriented (Vera & Crossan, 2004). Thoms and Greenberger (1995) have determined that people's future time perspective is closely related to their skills of formulating a vision where trained individuals are able to improve their leadership skills, as well as adopt a long-term perspective and an approach to life-long development. Study results show leaders not only improve themselves but also their subordinates and they are able to transform their subordinates into effective and productive individuals (Uymaz, 2015).

Leaders motivate their subordinates in terms of personal development, transforming them into high-performance individuals who are able to realize their goals. For example, Latu, Mast, Lammers and Bombari (2013) found that women managers who are pointed out as role models, and who are trained, supported and motivated, are able to develop leadership skills.

The upper echelons theory stresses the influence of higher management on organizational performance (Carmeli, Schaubroeck & Tishler, 2011) and organizational structure (Hambrick, 2007). The literature defines the executive team as the CEO (Chief Executive Officer), CFO (Chief Financial Officer), COO (Chief Operation Officer), CIO (Chief Information Officer), and CHRO (Chief Human Resources Officer). These executives play an important role in building, operating and controlling the systems that define the organization's strategic direction (Carmeli & Halevi, 2009). Research has shown however that the impact on organizational performance of the leadership behavior of high-level executives is not direct, but indirect (Peterson, Smith, Martorana, & Owens, 2003). Other managers who are not part of top management spread the vision, strategy and decisions taken by the executive team into the organization. The organization's success, performance and future depend on the vital leadership skills of middle- and first-level leaders.

Different leadership models are needed simultaneously at different levels of the organization. These are manifested as empowering, transformational, transactional, charismatic, servant, and authentic leadership models. The type of leadership that allows different levels of leadership in the organization is empowering leadership (Vecchio, Justin, & Pearce, 2010). Empowering leaders communicate with their subordinates in a way that will create the passion, stability, and trust that will lead everyone towards a common goal; they will display model behavior that encourages cooperation, urging subordinates to remain loyal to the objectives of the organization, the team and the individual. Empowering leadership facilitates the formation of behavioral integration in subordinates (Carmeli et al., 2011). It improves the capacity of subordinates not only at team (McNatt & Judge, 2004) level but also at the individual level. Empowering leaders give their subordinates autonomy and development support.

Empowering leadership has common characteristics with other leadership models but there are also important differences (Pearce & Sims, 2002). The most important difference is that the empowering leader strives to strengthen the subordinates' leadership skills and aims to transform them into leaders. Empowering leadership facilitates behavioral integration (Carmeli et al., 2011) and positively influences subordinates' leadership potency. Vecchio et al. (2010) define empowering leadership as the sharing of power and leadership. Fordand and Fottler (1995) states this sharing of power is carried out between top-level executives and managers, and especially among knowledge workers. Empowering leaders delegate powers

and responsibilities to their subordinates. This vision foresees the delegation of the personal and organizational skills needed for organizational development and transformation in order to realize goals and strategies. Middle-level managers need leadership skills to realize the organizational goals that are required for organizational development and transformation.

Contemporarily, there is great change in every field and transformational leaders occupy a critical place in organizations. This is because transformational leaders make important and constructive contribution to the employees, the business, and the organization (Bass, 1999). Transformational leadership is a model of leadership in which subordinates adopt a common organizational awareness and vision and are guided in the direction of achieving the targets and goals of the organization (Bass, Avolio, & Jung, 1995). The support given to fulfill the vision with which the transformational leader provides the subordinates ensures that followers become high-performing individuals (Vera & Crossan, 2004), thereby promoting organizational development and simultaneous growth via personal improvement (Bass & Bass, 2008; Seltzer & Bass, 1990). This basic relationship between managers and subordinates must be managed and it is the potential that emerges from this effort that is converted into performance. Goals defined for both the organization and the employee are what guide the attitudes and behavior of first the leaders, then all employees (Thoms & Greenberger, 1995; Zhang, Wang, & Pearce, 2014). This is why change and growth (Tsai, 2001) need to be managed from a multifaceted perspective (Berson, Nemanich, Waldman, Galvin, & Keller, 2006).

As other leadership models, both the empowering leadership and the transformational leadership are future oriented (Vera & Crossan, 2004). This is because one of the goals of the leaders is to prepare the organization for the future, and to guarantee the sustainability of its future. Strathman, Gleicher, Boninger, and Edwards (1994) distinguish individuals by their preference for results now or in the future. The first group takes present decisions and behavior as a reference for future decisions and has a long-term perspective. For such people, today's benefits may be sacrificed for the goals ahead. Sacrifices may be made for what is to be gained in the future. In the second group, instead of future results, present benefits and results are the preference. For these individuals, the future is the future and present opportunities should not be missed. Today's benefits should not be foregone for future benefits; no sacrifice should be made. In today's world of rapid change and constant crisis, while leaders focus on the future, they also place importance on present results and benefits (Ainin, Jaafar, & Dezdard, 2015; Marien, 2002).

This study examines the impact of executive team's attitudes towards the consideration of future consequences, and their empowering leadership on the transformational leadership of middle managers and leadership effectiveness.

METHOD

Theoretical Background and Hypotheses

The influence of consideration of future consequences on the empowering leadership and the transformational leadership

Empowering leaders are defined as leaders with high consideration of future consequences vision and goals. These leaders answer questions such as "What is our business?", "Why does our unit/department/organization exist?", and "What do we want to become?" (Zhang et al., 2014). In order to realize defined goals, they ensure the development of employees, motivate them, become their role models, and transform them into high-performing individuals. With

their long-term perceptions, leaders prepare the organization and subordinates for the future and expect a form of management from all levels of employee that are goal-oriented and in line with the defined vision.

H1: Consideration of future consequences is positively related to the empowering leadership. Studies have shown that individuals exhibit better performance and dedication if they are stimulated about the future (Peters, Joireman, & Ridgway, 2005). The individual's consideration of the future is closely related to his/her level of awareness (Schwarz, 2008). Transformational leaders devise a future with a clear vision as to how subordinates will fit into that future, providing individualized support to prepare subordinates for the future. Leaders who think for the long term support their subordinates' personal development in order to realize their goals. Intellectual stimulation changes subordinates' mental models and causes them to question their ways of doing business (Bass, 1999).

The leader defines the vision and goals as well as the future of the organization (Bass, 1985). These definitions also include designing the organization's processes, structure, and the needed development as well as the changes of its members (Marien, 2002).

H2: Consideration of future consequences is positively related to the transformational leadership.

Yukl defines leadership as the power to influence people (2010). Empowering leadership is the power of influencing other people, delegating the domain to others and allowing them to use it (Houghton & Yoho, 2005). Leaders, as everyone else, make sacrifices to ensure the future is sustainable (Ainin et al., 2015). The basic characteristic of empowering leadership is the facilitation and support of autonomy (Amundsen & Martinsen, 2014). An autonomy-supportive managerial style yields a variety of positive subordinate outcome, such as task motivation and psychological adjustment on the job (Baard, Deci, & Ryan, 2004). The empowering leadership of higher management ensures the development and the maturing of the leadership skills of other managers and delegates leadership functions to these managers.

H3: Empowering leadership is positively related to the transformational leadership.

The influence of the empowering leadership of executive team and the transformational leadership of middle management on leadership effectiveness

Empowering leaders and transformational leaders are important antecedents of the organizational climate. Both types of leaders make sure the working atmosphere is one that strengthens subordinates. These leaders encourage subordinates to develop and practice new ways and methods. Encouraging new ways and methods serves not only the business but also is necessary to ensure the personal development of employees and the improvement of their leadership skills. This provides employees with a positive, progressive and supportive working environment. For the employee, the organization's most important representative is the employee's own line manager (Scott & Bruce, 1994). This is why the subordinate's thoughts about the manager's attitudes and behavior create his/her perception of the manager's effectiveness as a leader. The employee is likely to accept this perception of the manager as a general rule for the organization (Jaiswal & Dhar, 2015).

H4: Empowering leadership is positively related to the leadership effectiveness

Bass, Avolio, Jung, and Berson have defined transformational leadership as a multidimensional leadership (2003). Avolio, Bass and Jung have described the dimensions as individualized consideration, idealized influence, intellectual stimulation, and inspirational motivation (1999).

Individualized consideration: Leaders see their subordinates not only as members of the group but at the same time as individuals and therefore take interest in the needs of each subordinate. Job assignments are designed in such a way as to give subordinates a learning opportunity.

Idealized influence: Leaders become role models for their subordinates in terms of attitudes and behavior. The leader earns the respect, loyalty and admiration of subordinates with his/her attitudes and behavior and at the same time gives them a sense of being in unity. Leaders strive to integrate with subordinates, both on a mental basis and behaviorally.

Intellectual stimulation: The leader obtains the necessary cognitive resources for subordinates and stimulates them to work differently.

Inspirational motivation: Not only does the leader make sure a vision is formulated for the future, but also teaches the ways and means to reach such vision, showing subordinates they too can get there (Avolio et al., 1999). For the employee, the organization's most important representative is the employee's own line manager (Scott & Bruce, 1994). This is why the subordinate's thoughts about the manager's attitudes and behavior create his/her perception of the manager's effectiveness as a leader. The employee is likely to accept the perception of the manager as a general rule for the organization (Jaiswal & Dhar, 2015).

H5: Transformational leadership is positively related to leadership effectiveness

Participants and Procedure

The study was conducted in a company in Turkey that provides services in the communications sector. The company held a one-year training and coaching program for 65 middle managers that aimed to develop their leadership skills. 34 of the 65 managers volunteered to participate in the research. 34 managers assessed the company's top management in terms of their consideration of future consequences, empowering leadership and leadership effectiveness. The 296 employees working under the 34 managers assessed their managers in terms of their consideration of future consequences, transformational leadership and leadership effectiveness.

Measures

The questions were generally based on a 5-item Likert-type scale. The data collected were first analyzed using confirmatory factor analysis for the entire scale. The analysis exhibited satisfactory results. $\chi^2 = 703.09$, $RMR = .04$, $GFI = .92$, $NFI = .90$, $TLI = .93$, $RMSEA = .06$. In the reliability analysis of the entire scale, the Cronbach's Alpha coefficient was found to be $\alpha = .85$. A Cronbach Alpha coefficient of $>.70$ is accepted as an indication of scale reliability (Morgan, Leech, Glorckne & Barret, 2004).

Consideration of future consequences

The 12-statement scale developed by Strathman et al. (1994) was used for the consideration of future consequences. The Cronbach's Alpha coefficient was found to be $\alpha = .80$.

Empowering Leadership

The 18-statement empowering leadership scale developed by Amundsen and Matinsen (2014) was used in the study. The middle management used the scale to assess the empowering leadership attitude and behavior of top management. The Cronbach's Alpha coefficient was found to be $\alpha = .82$.

Transformational Leadership

The 20-statement of multifactor leadership questionnaire developed by Bass & Avolio (1997) was adapted for transformational leadership scale. The participants used the scale to assess the transformational leadership attitude and behavior of their managers. The Cronbach's Alpha coefficient was found to be $\alpha = .92$.

Leadership Effectiveness

The leadership effectiveness scale developed by De Hoogh, Hartog, and Koopman (2005) was used. The Cronbach's Alpha coefficient was found to be $\alpha = .88$.

Analysis and Results

The study analyzed the causal link between the structural equivalence model and the variables. The variables of the study were the consideration of future consequences (the exogenous latent variable), the empowering leadership (first grade endogenous latent variable), transformational leadership, and leadership effectiveness (second grade endogenous latent variables). The analyses were performed in the SPSS 17 and AMOS 18.

Table 1. Means, standard deviations and correlations

	M	SD	1	2	3	4
1. Consideration of future consequences	3.20	1.04				
2. Empowering leadership	3.70	.80	.43**			
3. Transformational leadership	3.78	.70	.38**	.36**		
4. Leadership effectiveness	3.40	1.02	.28**	.32**	.30**	

p < .05, **p < .01, n = 330

The correlation table found statistically significant and positive correlations between the consideration of future consequences, empowering leadership, transformational leadership, and leadership effectiveness.

Table 2. Results of regression

Dependent variables	Empowering leadership				Transformational leadership				Leadership effectiveness			
	COE	(t)	TOL	VIF	COE	(t)	TOL	VIF	COE	(t)	TOL	VIF
Constant	5.22**	20.01			3.88**	18.50			3.02**	11.15		
Consideration of future consequences	0.88**	12.12	.95	1.81	0.59**	14.78	0.82	1.51				
Empowering leadership					0.35**	9.82	0.82	1.51	0.33**	8.21	0.86	1.40
Transformational leadership									0.29**	7.01	0.86	1.40
R ²	0.46				0.35				0.27			
Adjusted R ²	0.45				0.34				0.26			
F	155.1**				138.4**				111.3**			
Standard error	0.80				1.02				.82			

p < .05, **p < .01, (two tailed); COE= Coefficients; t= t statistics; TOL= Tolerance; VIF= Variance inflation factor

As can be seen the Regression Table 2, a multicollinearity test was performed to determine whether there was high correlation between variables. The test results (VIF values < 2.5) determined that multicollinearity did not exist. Besides the multicollinearity test, a regression analysis was performed in order to examine the direct effects between variables.

The relationships between the variables in the study model were analyzed on the basis of the structural equivalence model. The results of the analysis of the model, $\chi^2 = 703.09$, RMR = .04, GFI = .92, NFI = .90, TLI = .93, RMSEA = .06, exhibited satisfying results. Figure 1. shows standardized structural coefficients and Table 3 portrays the direct, indirect and total effects between the variables.

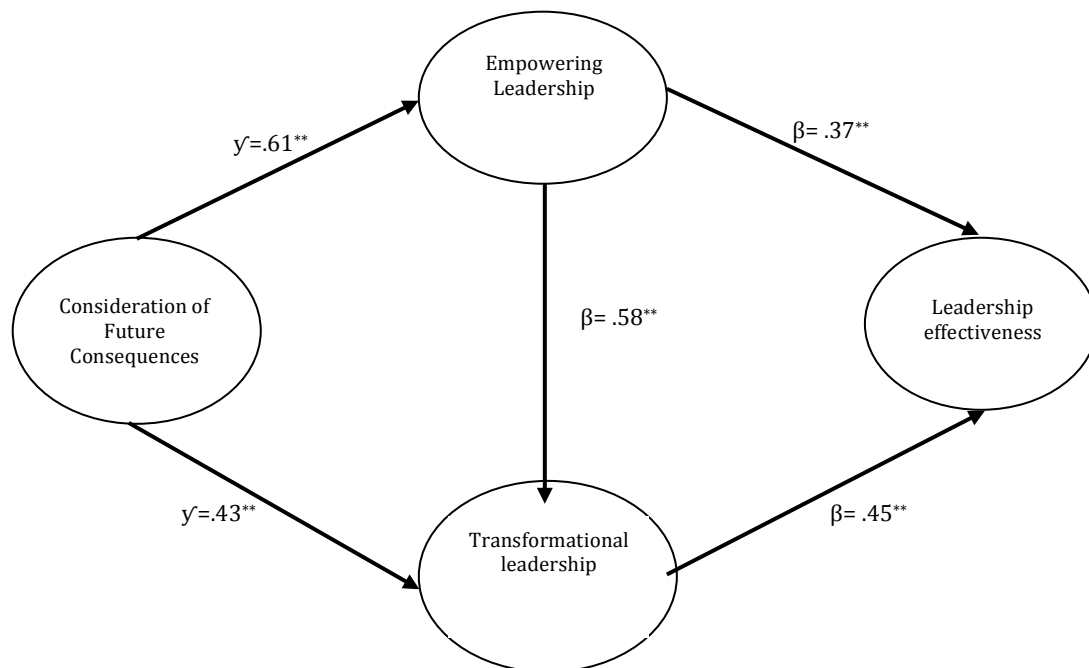


Figure 1. Results of structural equation model

Table 3. Structural model results (direct, indirect and total effects)

			Direct effects ^a	C.R.	Indirect effects	Total effects
Consideration of future consequences	→	Empowering leadership	.61**	22.5		.61**
Consideration of future consequences	→	Transformational leadership	.43**	16	.35**	.78**
Consideration of future consequences	→	Leadership effectiveness			.69**	.69**
Empowering leadership	→	Transformational leadership	.58**	18.9		.58**
Empowering leadership	→	Leadership effectiveness	.37**	14.7	.26**	.63**
Transformational leadership	→	Leadership effectiveness	.45**	15.6		.45**

^a Standardized Structural Coefficients; * p<.05, **p<.01

The results of the standardized parameter estimates (Table 3) show that the consideration of future consequences had strong impact on empowering leadership (.61, p<.01, r²=37) and on the transformational leadership (.43, p<.01, r²=18); on the basis of these results, hypotheses 1 and 2 have been accepted. The total effect of consideration of future consequences on the transformational leadership is .78 (.61 X .58 = .35 + .43 = .78 p<.01).

The effect of the empowering leadership, however, on the transformational leadership, was found to be (.58, p<.01, R²=.34), leading to the acceptance of hypothesis 3. It was observed that the effect of the empowering leadership on leadership effectiveness was (.37, p<.01), the effect

of the transformational leadership on leadership effectiveness was (.45, $p < .01$), and according to these findings, hypotheses 4 and 5 were accepted.

CONCLUSION

The study examined the effect on empowering leadership of the long-term perspective of the executive team and the effect of the two variables on the transformational leadership skills and effectiveness of middle managers. The research results revealed that a long-term perspective on the part of the leader had positive effect on leadership behavior and effectiveness. The executive team uses empowering leadership behavior to support management in achieving autonomy and development in its search for the answers to the questions such as "What is our business?", "Why does our unit/department/organization exist?", and "What do we want to become?" (Zhang et al., 2014). Executive team delegates leadership power and authority to managers, thereby developing their leadership skills. With a long-term perspective, top management not only provides managers with leadership training and coaching, but also supports managers by encouraging autonomy and giving them the authority and the context in which to apply their leadership skills (Baard et al., 2004). The autonomy and development support that the executive team provides other managers with not only enhance their own leadership effectiveness but also provide middle managers with leadership opportunities.

Bass et al. have defined transformational leadership as a multidimensional leadership (2003). Avolio et al. have described the dimensions as individualized consideration, idealized influence, intellectual stimulation, and inspirational motivation (1999). In the corporation where the research was conducted, coaching was provided to facilitate the leadership training of middle managers and to make it easier for them to implement the skills they learned. According to the results of the research, with the knowledge, skills, and autonomy support provided by top management, subordinates were able to be more effective leaders to their own subordinates. At whatever level the leader might be in an organization, he/she must support the development, motivation and the autonomy of subordinates. This multidimensional approach is important in terms of the effectiveness of leadership (Bass & Avolio, 1997). It is foreseen that managers will not exhibit strong leadership behavior if their autonomy is not supported as much as their development is. In essence, this is a process that must be managed from a multidimensional perspective, one that involves all employees, from top management to the employee at the very bottom of the hierarchy and encompasses development, autonomy and delegation.

Limitations And Suggestions For Future Research

The research did not include a review of the basic personality traits of the leaders evaluated in the paper. Personality traits might be added to the research as another variable.

Second, the management performance system, evaluation criteria and the rewards system were not included in the research. The guiding and disciplining impact of these factors on leadership was not examined.

Another factor is that the data represents information collected from a one-year leadership training and coaching program. It can be seen that both the executive team and middle managers display high levels of awareness as a result of the impact of the program. The study may be repeated some time later for the purpose of comparing results. The permanence and sustainability of leadership skills and effectiveness and whether they have become a part of the corporate culture may be further explored.

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