



# PROCEEDINGS OF THE 17<sup>TH</sup> INTERNATIONAL CONFERENCE ON PRIVATE HIGHER EDUCATION IN AFRICA

**17<sup>th</sup> International Conference of Saint Mary's University  
on Private Higher Education in Africa**

**25-27 July 2019**

**Ethiopian Airlines Aviation Academy, Addis Ababa, Ethiopia**



**Research and Knowledge Management Office (RaKMO),  
St. Mary's University  
Addis Ababa, Ethiopia**



**Proceedings of the 17<sup>th</sup> International Conference on Private  
Higher Education in Africa, July 25-27, 2019**

**Theme: African Higher Education in the Realm of Sustainable  
Development**

**Ethiopian Aviation Academy, Addis Ababa, Ethiopia**

**Research and Knowledge Management Office (RaKMO),**

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## Table of Contents

Preface	3
Welcoming Remarks by Assoc. Prof. Wondwosen Tamrat, Founder and President of St. Mary's University (SMU)	4
Opening Remarks by the Guest of Honor, H. E. Prof. Hirut W/Mariam, Minister, Ministry of Science and Higher Education (MoSHE), Ethiopia	6
Keynote Address: Effective Governance, Leadership and Administration: A Panacea for the Success of Universities in Africa by Dr. Teshome Yizengaw, Vice-President, International Office, Indiana University, USA	11
<b>Research Papers Presented in the Conference</b>	
Ghanaian Private Higher Education Providers: Are They Becoming Endangered Species? Patrick Swanzy, University of the Western Cape, South Africa and Francis Ansah, University of Cape Coast, Ghana	12
Diaspora Engagement for Internationalization of African Higher Education: Opportunities for Private Institutions: Ayenachew A. Woldegiyorgis, Boston College, USA	24
Mode 3 Theories in Higher Education: Potential Modalities of Emerging University-Society Engagements, Teklu Abate Bekele, American University in Cairo, Egypt	39
Education as Adaptive Strategy in the Face of Land Scarcity among the Rural Communities of Lake Haramaya-Tiniqe Watershed, Eastern Ethiopia: Aspiration and Reality, Tilahun Tefera, St.Mary's University, Ethiopia	58
University-Government Relationship in Ethiopian Public Universities in the Framework of Information Asymmetry and Goal Conflicts: Policy Perspectives: Mulatu Dea, Wolaita Sodo University, Ethiopia	71
Academic Corruption in Ethiopian Higher Education Institutions: Policy Implication and Discourse: Mekdes Adane, St.Mary's University, Ethiopia	95
Rating Lecturer Related Classroom: Academically Dishonest Practices in Ghana's Institutions of Higher Learning: Fred Awaah, University of Professional Studies, Ghana	106
The Practices of Integrating Research-Based Knowledge and Teaching-Learning Process in Higher Education Institutions: The Case of Hawassa University: Girma Moti, Hawassa University, Ethiopia	115

Rethinking Knowledge Production in Africa: Afrocentric Epistemology as an Emancipatory Discourse: Biruk Shewadeg, Addis Ababa Science and Technology University, Ethiopia	133
Pedagogical Science Practices in Public Higher Education Institutions of Ethiopia: Progresses Made but Challenges Remain: Robsan M. Egne, Arsi University, Ethiopia	149
Student Perspectives about Their PhD Journey: The Case of Addis Ababa University, Wondwosen Tamrat and Getnet Tizazu, St.Mary's University and Addis Ababa University, Ethiopia	166
Demographic Dynamics and Graduate Employability: Dr. Wanna Leka, Institute of Educational Research, Addis Ababa University, Ethiopia	182
Factors Affecting Curricular Responsiveness of Technical and Vocational Education and Training to Youth Employability: Endalew Fufa and Kassim Kimo, Arsi University, Ethiopia	194
Entrepreneurial Self-Efficacy, Motivation and Aspired Commitment among Higher Education Students: The Case of Selected Private and Public University Students: Manaye Adela, St.Mary's University, Ethiopia	216
Financing University Education in Kenya: Challenges and opportunities: Ndenyele Wilson Omalenge, Technical University of Mombasa, Kenya	232
Closing Remarks by Tedla Haile, Executive Vice President, St. Mary's University	240

## **Preface**

SMU's 17<sup>th</sup> International Conference on Private Higher Education in Africa was held from July 25 to 27, 2019 at the Ethiopian Aviation Academy under the Major Theme “**African Higher Education in the Realm of Sustainable Development**” The conference was organized by

St. Mary's University in partnership with the African Union Commission, Association of African Universities, Ministry of Science and Higher Education, Higher Education for Africa, Latin America and Asia, International Network of African Higher Education and Ethiopian Airlines. This conference was accompanied by the 2<sup>nd</sup> HEFALAA Conference held back to back.

Keynote addresses and research papers which revolved around the following areas were presented and discussed:

- Private Higher Education and Privatization
- Policies, Strategies and Practices in Higher Education: PPP, Internationalization, Outreach, UIL
- Demographic Dynamics and Graduate Employability
- Diversity and Its Management in Higher Education.

More than 300 researchers, academia, policy-makers, higher education institution leaders, and industries from both the public and private sectors as well as regional and international organizations in Africa and around the world were in attendance.

The conference generated policy-relevant recommendations and provided opportunity for researchers, educators and leaders for networking.

SMU extends its gratitude to partners, paper presenters and participants for their valuable contributions in this historic event and looks forward to working with you all in other events in the future.

**Welcoming Speech: Associate Professor Wondwosen Tamrat, Founder and President of St. Mary's University**

**Your Excellency Prof. Hirut Woldemariam, Minister of Science and Higher Education, the FDRE**

**Your Excellency Prof Afework Kassu, State Minister of Science and Higher Education, the FDRE**

**Your Excellency W/o Tsion Teklu, State Minister for Education, the FDRE**

**Your Excellency Prof. Etienne Ehile, Secretary General of the Association of African Universities**

**Excellencies and Distinguished Guests,  
Ladies and Gentlemen,  
All Protocols Observed,**

It gives me great pleasure to extend to you all a very warm welcome on behalf of St Mary's University. I feel honored to be able to address this a gust gathering on this occasion of the 17<sup>th</sup> International Conference on PHE in Africa and the Second HEFAALA symposium which are being held together.

Before I begin my talk, please allow me to thank Her Excellency Prof. Hirut Woldemariam, Minister for Science and Higher Education, for being able to join us and grace the occasion despite her extremely busy schedule.

My sincere appreciation similarly goes to state ministers HE Prof Afework Kassu and HE W/o Tsion Teklu who have come to join us and participate in the event. Please allow me also to recognize the presence of the former Minister of Education, Ambassador Dr. Genet Zewde who was the first Minister to grace our first conference 17 years back and who is still here to support our continued efforts.

As we repeatedly wish to remind our audience, St. Mary's initiated this conference 17 years ago not to market the profile of a single such institution but rather to create a forum for a rigorous and robust dialogue for such entities in the newly emerging Ethiopian higher education sector which continues to be towered by a publicly dominated system.

While our knowledge of this subsector still remains meager, we feel that our work over the last decade and a half has added more knowledge about PHEIs which are significantly contributing to expanding access to HE in the country and beyond.

Among others, our persistent efforts continue to exhibit that higher education is no longer a single sector phenomenon and PHE is in particular not about one thing and the same thing—the bottom-line, money and profit. While the inevitable presence of shoddy providers still continues to mar the sector and challenge governments, students and society at large, changes

in the increasing presence of ethical and responsible providers is, on the other hand, an encouraging trend.

I believe that the growth and importance of this conference should also be judged by the level and type of partnerships we continue to forge with our key allies continentally and internationally. Further to the continued encouragement and support of the Ethiopian Ministry of Science and Higher Education, the commitment of the Association of African Universities in the last seven years has elevated the quality of the conference and the profile of our participants and paper presenters.

This year's partnership with the International Network for Higher Education in Africa has further expanded the scope of our reach and work and has attracted an international pool of eminent scholars from around the five continents keynoting, presenting and chairing the sessions turning it to one of the continent's biggest events taking place in HE.

Not least is our close relationship with the Ethiopian Airlines, our national and continental pride and sole carrier of this year's conference, and particularly its Aviation Academy which is supporting higher education as a critical component of continental growth.

You may have also noticed that our partnership with local, regional and international organizations and institutions is helping us to diversify the themes of our deliberations from an exclusive focus on PHE in the earlier years to a more diversified set of topics in higher education. In line with this, we have chosen this year's major theme to be "HE in the realm of sustainable development in Africa". The thematic sessions that speak to this general theme have been identified as Private Higher Education and Privatization; Policies, Strategies and Practices in Higher Education; and Demographic Dynamics and Graduate Employability. I think we need fresh ideas, thoughtful exchange, and reasoned dialogue around these issues.

I am sure we will have fruitful and rewarding exchanges in the next few days that would have meaningful implication in terms of improving the higher education sector that holds the key to greater and sustainable Africa which we all want to see in the foreseeable future.

In concluding, I would like to thank those who have travelled a long way to be part of this gathering and hope you'll have a very pleasant stay in Addis. I wish you all every success in your deliberations.

Thank you for your attention!

**Opening Remarks by the Guest of Honor, H. E. Prof. Hirut W/Mariam, Minister, Ministry of Science and Higher Education (MoSHE), Ethiopia**

**Your Excellencies,  
Distinguished Guests,  
Ladies and Gentlemen,**

On behalf of the Ministry of Science and Higher Education (MoSHE) and myself, I welcome you all. I am glad to meet you here in Addis Ababa, the capital city of Ethiopia, the seat of African Union, 'the Land of Origins' and 'the land of human origin'.

It is my honor to be with you on this Second International Symposium and Master Class Conference, on the theme: **Internationalization of Higher Education in the New Era of World (Dis ) Order.**

Allow me to express my heartfelt appreciation to all the organizers of this Conference, particularly Prof. Damtew Teferra and Asso. Prof. Wondwosen Tamrat, both are good friends of mine since long.

Prof. Damtew Teferra is the founder of the Higher Education Forum for Africa, Asia and Latin America. He is a Founding Director of International Network for Higher Education in Africa, and a leader at the University of Kwazulu natal, South Africa.

Associate Prof. Wondwosen Tamrat is the founder and president of St. Mary's University. He is one of the pioneers in the history of private higher institutions in Ethiopia. He is the one who coined this important theme for this Conference. Thank you Mr. Wondwosen again.

**Distinguished Guests,  
Ladies and Gentlemen,**

The world is unbelievably in a rapid change ever seen before. It is heading towards a knowledge-based digital economy. Now we are in the 5<sup>th</sup> chapter of industrial revolution, where Artificial Intelligence is dominating.

As we all know, the role higher education plays in creating informed and productive generation is unquestionable. Cognizant of this fact, our Education Sector Development Program has given priority to the expansion of quality higher education. It has laid down the framework for sustainability, internationalization and development of research capacity for knowledge creation and technology transfer in the education sector.

It is in line with this aspiration that in Ethiopia the number of public universities has been expanding dramatically from only 2 to 50 today. Parallel with the expansion of public universities, the number of private higher education institutions has been growing from now to over 200, sharing the burden of government in building up the human capital of the country.

Ethiopia has decided to commit a large part of its resources on higher education. The rapid social and economic progress that Ethiopia has been registering today is the result of this decision.

**Distinguished Guests,  
Ladies and Gentlemen,**

Thanks to technology, today, the world has become increasingly interconnected, more interdependent and ever more a globalized single village. In this global nation, internationalized higher education is no doubt plays a key role in realizing economic development, political and peace stability, and above all in building democratic culture and society at large.

Internationalization of higher education can be taken as a means whereby higher education institutions address challenges in all aspects so as to maintain sustainable development. It is a strategy to realize success in human-capability and development in institutional capacity. Our global problems, such as poverty, migration crisis, global climate change, unemployment and the like can be tackled through international cooperation, as global problems call for global action.

In this regard, given its primary role as knowledge and skills producer, higher education can serve as a powerful means by empowering people to change the way they think and behave in ways that promote a more sustainable planet. In practice, internationalized higher education plays key role in producing global citizens who understand the local, regional and global contexts in which they live very well. This in turn promotes the ability to discharge their social responsibilities efficiently and effectively.

**Distinguished Guests,  
Ladies and Gentlemen,**

In Africa in general, and in Ethiopia in particular, the expansion of higher education enrolment is one of the highest in the world. However, still a large number of eligible candidates for higher education cannot be accommodated due to lack of space. The higher education participation rate also remains low, averaging 18 for Africa and only 10.76 for Ethiopia. Thus, despite the increasing number of higher education institutions, the African higher education indicates low percentage of graduates and substantial shortages of skilled labor graduates. Not only this, a number of African higher education graduates are unemployed. Quality and relevance have also remained to be serious challenges in our Higher Education.

**Distinguished Guests,  
Ladies and Gentlemen,**

Despite all the challenges, African institutions of higher education are adopting internationalization activities such as institutional partnerships; joint research projects; inbound and outbound student, faculty, and staff mobility; the introduction of international dimensions into the curriculum; and international virtual delivery of higher education. Yet,

Africa's place in the global higher education network remains disadvantaged due to the fact that the flow of international students is more outbound than inbound for many countries of Africa, and relatively few internationally mobile students and staff return to the continent after completing their studies elsewhere.

It can be understood that internationalization of our higher education helps in introducing versatile process that integrates international and intercultural contents and dimensions into the functions of higher education institutions and systems beyond naming add-on programs as international.

**Distinguished Guests,  
Ladies and Gentlemen,**

MoSHE was established as a new Ministry almost a year ago. This is a mere indication of Ethiopian Government priority area. Since then, MoSHE has been introducing fundamental reforms on higher education quality and relevance as well as bringing in new dimensions to reorganize the system.

Following the recommendations came out of our new National Higher Education Road Map, our Ministry is undergoing a reform program. The first point of departure is curriculum review, a work in progress. In the curriculum review, freshman common courses scheme is going to be introduced. The rationale for the common courses is the need to address quality and relevant problems in our system. The courses include Emerging Technologies, Economics and Entrepreneurship, Logic and Critical Thinking, Communication Skills and History of Ethiopia and the Horn and Global Issues and International Affairs.

The second top gear of the reform is differentiating the higher education institutions. It is taken as one of the priorities in the reform because it opens up innovative ideas to a system, increases institutions' national and international competitiveness and effectiveness, helps the learners to meet their aspirations, and fosters proper utilization of public funds. Based on this concrete base of its advantage, the higher education institutions will be differentiated as Research University, Teaching and Research University, University of Applied Science, TVET College, Liberal Arts College and Colleges of Arts.

So as to realize the aforementioned reform activities, MoSHE has recently come up with a platform to engage with our Ethiopian scholars abroad. We have organized what we call an International Advisory Council in which over 130 prominent Ethiopian scholars abroad signed up and started working with us on various issues of Higher Education. We use a group Gmail account where we can interact. We have 11 clusters, each with a chairperson from abroad and one from in-house. The whole Council is chaired by Prof. Damtew Teferra.

Let me take this opportunity once again to congratulate Prof. Damtew Teferra whom I have a great respect and appreciation for his all rounded support and remarkable contribution in leading our higher education into internationalization, to make it a sector with a better quality and capacity.

In all these endeavors, I believe that we should work hand in hand to create well-balanced and constructive internationalization policies and strategies that can drive the notion of internationalization in the direction that can serve long-term academic purposes. Furthermore, the internationalization of higher education should not be just a mere paper agreement, as it is the case in most of our higher education institutions here; rather the true essence of such collaborations require execution in an environment which is favorable to the development of the international relationship by all means.

That is why we hope that this Conference will be able to generate practical insights into internationalization for our higher education policy makers to ensure the positive benefits our institutions and the countries concerned will get.

**Distinguished Guests,  
Ladies and Gentlemen,**

We are in the era of stiff competition for resources, innovation and technology. Competition becomes vital not only to gain better position in development but also for survival. Its meaning is so profound for the developing countries like Ethiopia; struggling with traditional and inefficient technologies.

We do have untapped natural resources but we have been still struggling to get rid of poverty. The traditional and inefficient service sectors also need automation to free up the system. Moreover, bunch of pressure from fast urbanization and urban sprawl, uncontrolled population growth and unemployment urging call for transition to labor intensive manufacturing industries. Hence, we badly need efficient technologies in modernization of agriculture, mining and service sectors. For these, we turn to internationalization of our higher institutions on competition for better students, talents, excellence and reputation. In fact, we are living in the world where resources are limited and its distribution is uneven. However, beautiful schemes like partnership, collaboration, networking and resource mobilization are there to strike a balance in which institutional ambitions come to a reality.

**Distinguished Guests,  
Ladies and Gentlemen,**

MoSHE is also working on the advancement of research in higher education system to inculcate the clear understanding of its function as a main bridge to connect regional and international engagement for dynamic partnership, cooperation and networking. Currently, we are reviewing the system to strengthen research capacity by widening opportunities to research support & resources. Creating conducive platform that encourages students and young staff engagement in research following multidisciplinary approaches is also another consideration.

However, most of our higher institutions are new and do not have adequate research facilities. They don't have capable faculties who are rich in research experiences to build strong and vibrant international engagements. That is why virtual higher education using virtual classrooms to create virtual partnership with researchers, teachers and students with abundant

resources are highly appreciated.

I do expect from this Conference that we will have experiences to adopt from actual practices of managing internationalization in higher education of Africa, Asia, and Latin America. Also, I do expect further experiences how leaders, faculties and scholars and professionals would be engaged directly beyond their borders in multiple levels of advancing internationalization via bilateral and multilateral agreements.

In conclusion, it is my belief that every one of us has a role to play, at the individual, institutional, national, regional and global levels. Each and every one of us is responsible for ensuring better collaboration, partnership and networking to realize the real internationalization of higher education.

Finally, with these remarks, I thank you all for listening to me and it is my honor to declare the opening of the Second International Symposium and Master Class Workshops, on the topic: **Internationalization of Higher Education in the New Era of World (Dis) order.**

**Once again, Thank You All!**

**Keynote Address: Effective Governance, Leadership and Administration:  
A Panacea or the Kernel for the Success of Universities in Africa  
Teshome Yizengaw, Indiana University, USA**

Universities are apex institutions that play a critical role in generating and adapting solutions to the several challenges Africa currently faces. Not only producing competent human resources, but also research and translation to change lives of people are core missions of Higher Education Institutions. Effective system-wide and institutional-level governance, leadership and administration are the central and critical factors, if not the panacea, for universities to meet their core missions within reasonable autonomy and accountability.

Higher education provides economic and social benefits, both to the individual and the public; produces qualified human capital; adapts and generates knowledge; promotes international cooperation; and improves competitiveness in the global knowledge-based economy. Experience across Africa shows that higher education institutions are largely stifled due to poor legislative frameworks, limited decision-making authorities, and lack of conducive environments for innovation, adaptation, flexibility, and functioning. Although most focus is on system-level governance and leadership limitations, good governance and administration capacities and practices at institution level are equally critical.

Governments invest public resources on tertiary educational institutions to produce the skilled human resource a country needs to meet its development needs and aspirations. This may suggest the need for the government's central control of these institutions. However, higher education institutions need efficient decision-making autonomy and academic freedom in order to function with innovation, flexibility and purpose. This, therefore, might suggest unregulated autonomy, independence and free reign. However, how to ensure accountability and fulfilling responsibility with innovation and adaptation becomes complex.

Flawed governance structures, weak leadership, and poor administration capacities exacerbate the challenges faced by higher education institutions in Africa. Most members of university boards are politicians with little knowledge about the inner workings and complexities of universities. On the other hand, most university leaders are academicians with little preparation and training in the management of these complex institutions. Generally, leaders at all levels in higher education institutions are poor in strategic planning, market research and advocacy, research management, financial planning and management, human resource management, performance management, and partnership building and networking skills.

This paper examines and highlights implications of governance, leadership and administration of the Higher Education Sector in Africa with emphasis on decision-making, accountability and effectiveness of Higher Education Institutions toward meeting their missions and enhancing their abilities to respond to changing environments.

**Ghanaian Private Higher Education Providers: Are they becoming Endangered Species**  
**Patrick Swanzy, University of the Western Cape, South Africa**

**Abstract**

Ghana's quest to improve higher education provision and respond to high demand for higher education resulted in reforms in the sector in 1993. Through this, the Higher Education sector was liberalized and allowed individual entrepreneurs and non-governmental organizations to invest in the sector by setting up higher education institutions (HEIs). Ghana government's data put private higher education institutions' (PHEIs) number over 90. They are a mix of national, international institutions and are secular and faith based. PHEIs play a vital role in Ghana's higher education system. They complement the efforts of public HEIs to absorb the increasing number of high school leavers seeking higher education every year. Nonetheless, current statistics show that PHEIs share of gross tertiary enrolment is on the decline. Given the main source of funding of PHEIs in Ghana comes from student fees, are they becoming endangered species in the higher education space in Ghana? This study examines how sustainable the operations of PHEIs are, within the context of declining enrolment via Resource Dependency Perspective. Through desktop review of articles that focus on Ghana's PHEIs and interviews of purposely selected 15 key informants (including Presidents, Vice Presidents, Registrars, and Accountants) of PHEIs and an academic auditor connected to Ghana's National Accreditation, this paper investigates the viability of the academic operations of PHEIs in Ghana. It provides indicative realities of operational viability and long-term sustainability of PHEIs in Ghana based on the dynamics of students' enrolments, funding, affiliation policy, staffing and innovativeness. We conclude that PHEIs in Ghana could become endangered species in the near future with implication of exacerbating the pressure on the public purse to meet the ever-increasing demand for higher education, and the increasing unemployment rate in the country. Going forward, we recommend that the Ministry of Education should initiate a national dialogue on the viability and sustainability of PHEIs in Ghana.

**Keywords:** private higher education institution, sustainability, Ghana

**Introduction**

Higher education plays an important role in society by increasing opportunities and assisting individuals and communities to achieve their potential (Kilpatrick et al., 2017). The global recognition of these claims seems to have pushed various countries both developed and developing to ensure that higher education is more accessible to their citizenry. In the latter part of the 20<sup>th</sup> Century, most countries democratized their higher education, resulting in a shift from elitist to mass higher education provision (Mohamedbai, 2008). This has since activated demand for higher education worldwide, leading to a surge in students looking for places in Higher Education Institutions (HEIs). Altbach (2013) states that in 2013, 140 million students pursued higher education worldwide and the number continues to increase quickly. The strain placed on the state purse by Higher Education mystification (Altbach, 2013) and competing public needs (pension, infrastructure, health, security and basic education)

(Johnstone, 2006; Ngolovoi, 2008) spurred the need for additional financial resources to sustain and expand the higher education sector. An attractive option to most countries was the privatization of their higher education systems. Privatization is a vague concept and is often implemented differently in different contexts (Wang, 2014). While particulars differ by country, overall one can observe the state in various ways withdrawing its financial support for higher education (Bigalke & Neubauer, 2009) and opening up the higher education marketplace to private providers. Broadly speaking, privatization covers all attempts to increase the participation of the private sector and to strengthen the market in the national socioeconomic setting, through practices such as diminishing public intervention, encouraging public-private partnership, and creating market opportunities (Belfield & Levin, 2002). It is believed that, the approach makes universities more responsive to the needs of students and more efficient but privatization has also been accused of distorting and subverting the public mission of universities, turning universities into profit-oriented businesses that charge high fees and offer a narrow range of programs, often of sub-standard quality (Teixeira, Kim, Landoni, & Gilani, 2017). This notwithstanding, private higher education is expanding rapidly in many parts of the globe. Altbach and Levy (2005) even describe it as a “global revolution”. The phenomenon is evident in Latin America, Africa, Asia, and even in some parts of Europe, where increasing numbers of students willing to access higher education are creating stress upon traditional public universities (Teixeira et al., 2017). It is on record that about one third of global higher education enrolment is provided by private institutions, representing the fastest growing sector in the field (Levy, 2011). Van Schalkwyk (2011) suggests that the private sector is so large in certain countries that it could potentially meet the need for HE on its own. Africa was late in experiencing expansion of PHE, but currently PHEIs are a permanent feature of Africa’s educational milieu (Tamrat, 2017). The growth of the sector has been triggered by escalating demand that could not be met by the public sector and Structural Adjustment Programs that promoted privatization in the 1980s and beyond (Tamrat, 2017). From 1990 to 2007, the number of PHEIs exploded from two dozen to an estimated 468 (World Bank, 2009). Nonetheless, African private higher education institutions only accommodate 20 per cent of total higher education enrolment, below the global average of 31 per cent (Levy, 2013).

The percentage of Ghanaian higher education students enrolled in private higher education institutions increased from 13 to 20 per cent between 2007 and 2012, before dropping down to 16 per cent by 2017 (Kamran, 2019). This decline is inconsistent with the rising enrolment of the sector. The decline should be a cause for concern given that total higher education enrolment was less than 17% of potential students in 2015 (Kamran, 2019). Surprisingly, no study has attempted to answer the question of “Are PHEIs in Ghana becoming endangered species?” This question is what this study sought to answer. Therefore, the purpose of this study was to examine how PHEIs in Ghana are becoming endangered species so that a basis for a constructive national dialogue on the future of private higher education in the country could provide.

## **Context**

The decision to privatize Higher Education in Ghana is not an isolated case. It is deeply rooted in the context of globalization in which neoliberalism has transformed public sectors in many countries (Wang, 2014). An economic crisis in the early 80's brought on in part by the global increase in the price of oil and disappointing growth in Ghana's economy had led to a reduction in the Gross Domestic Product (GDP) allocated to education from 6.4% to 1.3% in the 1980's (Girdwood, 1999). As a result, the quality of education deteriorated and school enrolments stagnated (Dwomoh, 1994). The Provisional National Defense Council (PNDC), a military government led by Flight Lieutenant Jerry John Rawlings initiated education reforms in 1987 as part of a Structural Adjustment Program negotiated with the International Monetary Fund (IMF) and the World Bank and aimed at halting the decline in expansion and quality through a radical overhaul of both the structure and the content of education (Acheampong, 2008). A University Rationalization Committee (URC) was established to undertake a comprehensive review of postsecondary education in the country (University Rationalisation Committee, 1988). Prior to this, Ghana had only three public universities (University of Ghana, Kwame Nkrumah University of Science and Technology and University of Cape Coast). Through this, the Higher Education sector was liberalized in 1993 and allowed individual entrepreneurs and non-governmental organizations to invest in the sector by setting up higher education institutions (HEIs) (Swanzy & Potts, 2017) to increase higher education provision and respond to high demand for higher education. Ghana government's data put private higher education institutions (PHEIs) number over 80. They are a mix of national, international institutions and are secular and faith based. PHEIs play a vital role in Ghana's higher education system. They complement the efforts of public HEIs to absorb the increasing number of high school leavers seeking higher education every year.

At present, there are 81 accredited private higher institutions in Ghana, but only five of them – Akrofi-Christaller Institute of Technology, Ashesi University, Central University, the Trinity Theological Seminary and Valley View University – have been officially chartered as independent degree-granting institutions (National Accreditation Board, 2019). According to Kamran (2019) many, but not all private HEIs are smaller providers of lesser quality that absorb excess demand by students locked out of the competitive and more highly regarded public sector.

## **Theory**

The Resource Dependency Theory (RDT) is the explanatory tool used to guide the analysis of PHEIs in Ghana. RDT was spearheaded by Jeffrey Pfeffer and Gerald R. Salancik, who became popular through their book "The External Control of Organizations. A Resource Dependence Perspective" (Pfeffer & Salancik, 1978). RDT has the tendency to explain behaviour of organizations such as PHEIs (Hillman, Withers, & Collins, 2009). Organization (PHEI) is defined as settings in which groups and individuals such as students, academics, administrators and staff of regulatory agencies with varying interests and preferences come together and engage in exchanges (Pfeffer & Salancik, 2003). RDT postulates that the environment provides "critical" resources (students, academic staff, Affiliation legitimacy,

funds) needed by organizations (PHEIs) and that key to their survival is their ability to acquire and maintain the resources (Pfeffer & Salancik, 2003). In other words, because organizations import resources from their environments, they depend on their environment. The environment includes every event in the world which has effect on the activities or outcomes of PHEIs. This does not suggest that every event confronting a PHEI necessarily affects it. Environments can change, new organizations enter and exit and this impacts the availability of resources. An organization's dependence on its environment in itself is not problematic, the challenge however is that the environment is not dependable. To acquire resources, PHEIs must inevitably interact with their social environments. Organizations such as Ghanaian PHEIs are linked to their environments by federations, associations (Private Universities Association of Ghana), customer-supplier relationships (PHEIs, student and staff) and a social-legal apparatus (National Accreditation Board/National Council for Tertiary Education of Ghana regulations) defining and controlling the nature and limits of these relationships (Pfeffer & Salancik, 2003). Organizations such as PHEIs engage in exchanges and transactions with other groups or organizations (Public Universities, National Accreditation Board, National Council for Tertiary Education and Professional Bodies). The exchange may involve monetary (affiliation and accreditation fees) or physical resources (land and buildings for classrooms and offices), information or social legitimacy (affiliated/accredited status). An organization's (PHEI) vulnerability to extra organizational influence is partly determined by the relative magnitude of the exchange and/or the criticality of the resources (Pfeffer & Salancik, 2003). The relative magnitude of an exchange as a determinant of the importance of the resource is measurable by assessing the proportion of total inputs or the proportion of total outputs accounted for by the exchange. For example, an organization such as a PHEI that creates only one product or service (undergraduate academic programs) is more dependent on its customers (students) than an organization that has a variety of outputs (graduated students/ research outputs and breakthroughs/ funded research projects) that are being disposed of in a variety of markets. Similarly, organization's (PHEIs) which require one primary input (undergraduate students) for their operations will be more dependent on the sources of supply for that input than organizations (Public Universities) that use multiple inputs (undergraduate and post graduate students and public funds). The criticality of a resource measures the ability of an organization such as PHEI to continue functioning in the absence of the resource (students) or in the absence of the market for the output (employment/further studies for graduates of PHEIs). Interdependency characterizes organizations transacting in the same environment, with the connection being through the flow of transactions (Pfeffer & Salancik, 2003). Interdependency exist whenever one actor (PHEI) does not entirely control all of the conditions necessary for the achievement of an action (provision of higher education in Ghana) or for obtaining the outcome desired from the action (quality graduates). Interdependence, is therefore, a consequence of the open-systems nature of Ghanaian PHEIs-the fact that PHEIs would have to transact with elements of the environment in order to obtain the resources (students, academic staff, and funds) necessary for survival. Interdependence can create problems of uncertainty or unpredictability for PHEIs. PHEIs facing uncertainty in Ghana attempt to cope with this situation by restructuring their exchange relationships such as seeking a chartered status. Actions such as academic activities engaged in by organizations (PHEIs) are not possible without constraints.

Constraints on PHEI's actions are the result of prior decision making or the resolution of various conflicts among competing interest groups such as students, Public Universities, NAB, NCTE and professional bodies. The fact that constraints (Student entry requirements/academic staff qualifications criteria/PHEIs Affiliation requirement of NAB/NCTE/Professional bodies/Ghana's Higher Education funding formulae, Universities fees structure) exist indicates that sufficient social support has been mustered to bring it into existence (Pfeffer & Salancik, 2003). Since constraints derive from the actions of others, management of organizations (PHEIs) try to influence these others as a means of determining their own environment. This managerial action normally involves the recognition of the social context and constraints within which the organization must operate and the choice of organizational adjustments to these social realities (Pfeffer & Salancik, 2003). This theoretical framework is used as an analytical lens to empirically explore the sustainability of Ghanaian private higher education institutions.

## **Methods**

This exploratory study sought to gain insights into whether the operations of Ghanaian Private Higher Institutions are sustainable. Data for the study emerged from documents and expert interviews. A review of articles that focus on Ghana's PHEIs published in major newspaper portals (My joy online, Peacefmonline, Ghanaweb, Adomfmonline, Modern Ghana, Citifmonline.com and Ghana News Agency) in Ghana was undertaken between January to May 2018. These newspaper portals were used because they are known to report education news. Guided by Cronin, Ryan, and Coughlan (2008) criterion of currency, newspaper articles that were published in the last ten years, that is from 2008 to 2018, were sought. Search terms included: private higher education, private university college, enrolment in private universities, funding of private higher education, quality of private higher education, challenges of private higher education. Scholarly articles on Private Higher Institutions were excluded because these were deemed not to capture raw views of private higher education practitioners. A total of 31 newspaper articles were retrieved through this exercise and were appraised. Extracts from the articles were synthesized, categorized and thematically analyzed using NVivo 11 to draw meaning and discover relevant insights into private higher education provision in Ghana (Bowen, 2009). In addition to the data obtained from the literature, in-depth interview was conducted with 15 purposely selected experts (including Presidents, Vice Presidents, Registrars, and Accountants) of PHEIs and an academic auditor connected to Ghana's National Accreditation through face-face and partly via Skype for 30 minutes. These officers were deemed to have rich insights and knowledge about PHEIs (Cohen, Manion, & Morrison, 2011). Ethical considerations were upheld. With the interviewees consent, the interview was audio recorded and transcribed. This data was also coded, categorized and thematically analyzed through the assistance of the software mentioned above. The multiple data sources provided a confluence of evidence that enhanced the trustworthiness of the study. The major themes that emerged from the data form the main discussion of this paper.

## **Emerging Issues and Discussion**

In this section, we present and discuss the emerging issues by addressing the purpose of the study which sought to examine how sustainable are PHEIs in Ghana so that a basis for a constructive national dialogue on the future of private higher education in the country could be provided.

The emerging issues revealed several dynamics which seem to be threatening the viability and for that matter sustainability of PHEIs in Ghana. We present the relevant quotations here and pick them up for discussion in subsequent subsections.

*There has been a considerable reduction in student numbers and with the over reliance on fees as the main source of funds, it has put the institutions in a very serious situation (Q1).*

*Our main source of funding is student fees but student enrolment has declined to the extent that we have difficulty in meeting fixed operational cost (Q2).*

*We depend on bank credit now but it is not sustainable if we do not increase student enrolment in the coming years (Q3).*

*It appears the state universities have compounded the enrolment problem we are facing since they charge competitive fees and in many cases they are the mentoring institutions for the PHEIs. Why would a student attend a private university and pay more for a degree when he can assess the same education in a state university for the same degree at a much cheaper cost (Q4).*

*PHEIs, like the state financial institutions, need financial support from government to make them viable. I remember the teaching and learning innovative fund (TALIF) from which our institute benefited helped us to broaden our horizon on what we could offer to both faculty and students (Q5).*

*If the government can inject a whopping GHC10 billion plus of tax payer's money to inject life into an ailing financial sector, then something similar ought to be done for the private higher education sector else we cannot have a healthy higher education system given the role of PHEIs (Q6).*

*For the declining enrolment we are witnessing, funding will remain a problem of PHEIs for a long time to come (Q7).*

*It seems we are concentrated in the two largest cities in the country (Accra and Kumasi) which has made competition very intense, particularly for the generic program like the Humanities. Every private university offers study programs in the Humanities (Q8).*

*The current affiliation policy where public institutions have access to all our information and use it to compete with us is unfair (Q9).*

*In most cases, the affiliate institutions do not discharge their responsibilities towards the PHEIs as stated in the agreement (Q10).*

*Mentor/affiliate institutions most often expect the PHEIs to operate and put structures in place to reflect what is in place at the mentor institution. The mentor institution is required to provide guidance and direction and help ensure quality assurance irrespective of the institutional structures in place at the PHEIs. This is however not the case most of the time (Q11).*

*Staffing is a problem especially in situations where only few lecturers are available with the requisite qualifications. There has been a recycling which does not augur well for the sustainability of the PHEIs (Q12).*

*Salary competition from the public universities has made it difficult for us to maintain qualified staff. We are unable to match up the conditions of service at the public universities to keep terminal degree holders, particularly young PhD holders and professors. Now we, have only two professors who have retired from the public universities and are very advanced in age (Q13).*

*One key area that is greatly affected is staffing. This includes both teaching and non-teaching staff. It's either the institution has no funds to recruit qualified teaching staff or employ non-teaching staff to ensure the smooth running of the College (Q14).*

*Regulation to recruit PhD holders only for academic positions will put pressure on our wage bill and it will affect tuition fee and therefore make cost of private education higher than it is currently (Q15).*

*I do not consider PHEIs to be innovative in their academic programming since they all seem to be interested in offering the same programs. Most of these programs are replicated and there is no underlying difference to make them stand out (Q16).*

*In some cases, these affiliate institutions dictate to PHEIs, how things must be done which in the long run creates the impression that the PHEIs are a miniature of the affiliate institution. This prevents innovativeness and the ability to couch an image for the PHEIs (Q17)).*

*I believe PHEIs should diversify their funding requirements and introduce innovative programs that will not be a repetition of programs only because it attracts students. Institutions should create a niche for themselves and ensure that programs are linked to the needs of industry to make them competitive in the sector (Q18).*

*PHEIs struggle to operate and to threat extinction looms over their heads. Students' enrollment has greatly declined across most of the PHEIs especially with respect to foreign students from especially Nigeria. This reduction in enrollment has affected the operations and sustainability of these institutions (Q19).*

*A lot of innovativeness can be introduced into the Science based programs but because of the cost involved on running these programs, most institutions do not run them (Q20).*

*As a major stakeholder in the training of the required work force needs of the country, it is a cause for concern for the nation. The public higher education alone, cannot fill this skills requirement gap of the nation as well as meeting the enrolment needs of the sector (Q21).*

*One other key factor is that there are a number of employment opportunities offered the PHEIs. With the non-viability and subsequent collapse of these PHEIs, these employment opportunities will be lost further adding up to the bad unemployment situation, which is a concern for the nation (Q22).*

*So far, we have been managed by retired professors from public universities who hardly understand the private sector model higher education where the leader has to be entrepreneurial and business minded (Q23).*

We have coded the above quotations as student enrolment dynamics; funding sustainability dynamics; affiliation policy dynamics; staff conditions of service dynamics; and innovation dynamics. We believe that the discussion of these dynamics put together, largely, answer the overarching research question of the study, “how are PHEIs becoming endangered species in the Ghanaian higher education landscape”?

### **Students’ Enrolment Dynamics**

The above responses reveal interesting dynamics concerning declining students’ enrolment in PHEIs of this study. It is clear from the responses that declining students’ enrolment is a reality in the PHEIs in the study (Q1, Q2, Q3, Q4, Q5, Q8, and Q20). In these relevant quotations about the respondents’ expressions concerning declining students’ enrolment, threat of operational viability comes up. This is because the dynamic of the declining enrolment is not just about a concern for funding viability but also the primary input for operations. Even if alternative funding arrangements are made (Q6 and Q7) as indicated by some of the respondents, the PHEIs still need students as their primary inputs in order to exist so students’ enrolment is not just a source of funding. This is consistent with RDT which postulates that institutions survival depend on their ability to acquire and maintain the primary resources needed for operations (Pfeffer & Salancik, 2003). The dynamics of declining students’ enrolment were also nuanced with prestige and cost because there is a claim that “*Why would a student attend a private university and pay more for a degree when he can assess the same education in a state university for the same degree at a much cheaper cost*” (Q4). This implies that a state university is better and cheaper than a PHEI. In Ghana, this seems to be a widespread view (Tsevi, 2014). This is why the declining students’ enrolment in PHEIs needs to be looked at from a broader perspective because if the PHEIs are not patronized, pressure will mount on the state purse to provide growing demand for higher education. However, it is also clear that the declining students’ enrolment has been linked to several other dynamics including sustainable funding which is discussed in the previous section.

### **Funding sustainability dynamics**

Participants responses are clear that the PHEIs involved in the study appear to be in financial distress which poses an existential threat to the PHEIs (Q1, Q2, Q3, Q5, Q6, Q7, and Q13). However, the funding situation has been strongly linked to the declining students' enrolment as can be observed from the relevant quotations cited in this paragraph. This suggests that increasing students' enrolment is a panacea to the funding distress being experienced by the PHEIs in this study. From RDT standpoint, funding dynamics linked to declining students' enrolment may not be an existential threat if the PHEIs are not dependent on only one primary product/service (academic programs) and one customer (students) for their operations. It is a reality that the students' enrolment is a resource environment that affects them as PHEIs but that environment is in a dynamic exchange with the PHEIs such that the vulnerability of the PHEIs is determined by the relative magnitude of the criticality of the resource (students' enrolment). If the PHEIs have more than one primary product/service (academic programs) and one customer (students), that can reduce their funding vulnerability associated with declining students' enrolment. This is probably the reason why some of the respondents (Q5 and Q6) are calling for government bail-out in times of declining students' enrolment. The question that will still remain is "will government bail-out be sustainable in ensuring the financial viability of PHEIs"?

### **Affiliation Policy Dynamics**

The responses show that affiliation policy dynamics, largely, affect the operational viability of the PHEIs (Q9, Q10, Q11 and Q17). Firstly, the PHEIs pay affiliation fees that the PHEIs perceive to exorbitant (Ansah and Swanzy, 2019). Secondly, the respondents perceive that because of the national affiliation policy public universities who mentor the PHEIs have access to strategic information of the PHEIs and thereby compete unfavorably with them. Thirdly, the study participants perceive the existing mentorship arrangement as constraining innovativeness of PHEIs and eventual survival because mentor universities hardly allow the PHEIs to carve their niches and create identity for future sustainability. The participants seem to argue that because of the affiliation policy, the PHEIs are compelled to operate just like their mentor universities limiting innovativeness.

The affiliation policy dynamics have implications on the resources of the PHEIs which their operational viability and long-term sustainability depend on. The affiliation policy mechanism takes away resources from the PHEIs but instead of the affiliation arrangements helping the PHEIs to become more resourceful and viable, it appears to rather threaten their operational viability because the policy arrangements seem to put the PHEIs in a weaker position in transactional exchange for the resources they depend on for viability and sustainability.

### **Staffing Conditions of Service Dynamics**

The responses (Q12, Q13, Q14 and Q15) portray staffing as one the biggest challenges threatening the survival of PHEIs in Ghana. The PHEIs seem not to have what it takes to maintain and retain qualified full-time academic staff as a result of uncompetitive conditions of service. The PHEIs are unable to match up the conditions of service provided to qualified

staff by the public universities because of funding gap. The PHEIs depend largely on part-time academic staff that is full-time staff of the public universities. Besides, because of the uncompetitive salaries few staff are usually recycled among the PHEIs which has implications for staff commitment and productivity. Additionally, the study participants perceive the implementation of an impending regulation to recruit PhD holders only for academic positions in higher education constraint the academic operations of PHEIs and serve as a recipe for making PHEIs endangered species.

### **Innovation Dynamics**

The responses reveal that the study participants perceive PHEIs as not being innovative enough in their operations and academic programming. For instance, PHEIs are perceived to be largely concentrated in the two most populous cities in the country (Q8) and thereby creating unwarranted competition over limited number of students whilst a lot more potential students are denied access to higher education due to geographical remoteness. A rethink of the geographical locations through innovative programming in terms of satellite campuses or mode of academic program delivery could help in addressing the declining students' enrolment because they could create opportunities for those who are constrained by geographical remoteness to enroll on their programs.

The responses also indicate that PHEIs seem to be replicating same academic programs among themselves with no differentiations and diversification to broadening their potential student clientele base (Q16 and Q18). In line with RDT view, the less dependent an institution is on only one or two resource (Business and Humanities students) the less vulnerable the institution is with respect to operational viability. In Ghana, Business and Humanities academic programs had been the most patronized programs in PHEIs in the past but the trend has changed in recent times but the PHEIs have not moved with the changing trend, which appears to have adversely affected their operational viability. This is contrary to the widespread view that the private sector is more responsive to market trend as compared to the public sector (Teixeira et al., 2017). This is probably so because of the Ghanaian context where almost all PHEIs are under the mentorship of public universities who most often than not, will not permit PHEIs to offer programs they (the public universities) are not offering (Ansah and Swanzy, 2019). It should also be noted that public universities are only implementing a national policy on programme affiliation (Ansah and Swanzy, 2019).

It emerged from the responses that the PHEIs are mostly headed by retired Professors from the public universities who are perceived to be less 'business-minded' and entrepreneurial to drive innovation and pursue demand-driven programs (Q23). However, the situation appears to be complicated by regulating challenge than the entrepreneurial posture of the institutional head because every academic program requires affiliation which gives much power to the mentor institutions. This regulatory arrangement has often been justified with the claim that privatization has been accused of distorting and subverting the public mission of universities, turning universities into profit-oriented businesses that charge high fees and offer a narrow range of programs, often of sub-standard quality (Teixeira et al., 2017)

## **Conclusion and Recommendations**

This study has provided indicative realities of operational viability and long-term sustainability of PHEIs in Ghana due to the dynamics of students' enrolments, funding, affiliation policy, staffing and innovativeness. Based on our analysis and discussion of these issues, we conclude PHEIs in Ghana could become endangered species with implication of exacerbating the pressure on the public purse to meet the ever-increasing demand for higher education, and the increasing unemployment rate in the country. Going forward, we recommend that the Ministry of Education should initiate a national dialogue on the viability and sustainability of PHEIs in Ghana.

## **Limitation of the Study**

The study is unable to state categorically that all PHEIs in Ghana are endangered species because it is an illustrative case study. Nonetheless, it has revealed insightful realities of the private higher education landscape in Ghana regarding institutional viability and sustainability, which could be a basis for a national dialogue.

## **Suggestions for Further Research**

We suggest a further research to hypothesize the issues that have emerged in this study and test for how widespread they are in the PHEIs in Ghana.

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**Diaspora Engagement for Internationalization of African Higher Education: Are Challenges of Public Institutions Opportunities for the Private Sector? Ayenachew A. Woldegiyorgis, Center for International Higher Education, Boston College, USA**

**Abstract**

The concept and study of diaspora has remarkably evolved in the past three decades. Since the mid-1990s it has departed from its classic orientation of examining the ethnic, social and cultural elements of the identities of immigrant communities to analyzing the nature and role of the relationship those communities have with their countries of origin (Dufoix, 2011). The attention given to the issue, mainly by international development agencies in early 2000s, further introduced a new dimension to the area of study: the nexus between migration and development. Particular emphasis was given to the outflow and reclaim of skilled human capital through engagement schemes. As such ‘diaspora engagement’ became a common phrase in the lexicon of policy at national, regional and international levels (Mangala, 2017). Africa’s shift of narrative from brain drain to diaspora engagement is encapsulated by AU’s move to recognize the diaspora as “the sixth region of Africa” (Kamei, 2011; AU, 2012). This has created robust opportunity for the participation of African diaspora in the broader development efforts of the continent. Within this context, the limited level of engagement of African academic diaspora with institutions of the continent has started to pick (Zezeza, 2004, 2013). Nonetheless, the common frontier of diaspora engagement in public higher education institutions is challenged by multiple factors. Taking these challenges as a point of departure and drawing on data from Ethiopia, this paper explores the opportunities for private higher education institutions to better engage the academic diaspora as mediators and investors to improve internationalization.

**Keywords:** diaspora engagement, academic diaspora, internationalization, higher education

**Knowledge Diaspora**

**Background**

Scientific diaspora, intellectual diaspora, knowledge diaspora, academic diaspora, high-skill diaspora, scientific and technical diaspora are some of the phrases used to describe the highly educated groups in the diaspora. In diaspora studies, one of the most emphasized and debated issues in the past three decades has been the migration of educated and skilled individuals often from the so called developing to the developed countries – or as it is often referred to as brain drain.

Brain drain was seen as a catastrophe to developing countries which deters their potential development by taking away the most talented from their limited pool of human capital. Consequently, highly qualified emigrants and foreign educated students who opt to remain where they studied were perceived as a ‘loss’ to their countries (Dufoix, 2011). Acknowledging the high volume of skilled migration from developing countries, some prominent scholars like Bhagwati (1976) suggested that a certain form of tax should be applied in the host countries which will be used to compensate the developing countries for the loss

of their promising workforce. Several reports showed the magnitude of brain drain and its negative consequences, and proposed solutions. The World Health Organization (WHO), for instance, repeatedly reported on the migration of health professionals from Sub Saharan Africa, showing how this phenomenon is harming the region. WHO later developed the Code of Practice on the International Recruitment of Health Personnel, which was adopted by all its members in 2010 (Siyam & Dal Poz, 2014).

The debate on brain drain is an ongoing one (Bailey & Mulder, 2017; Commander, Kangasniemi & Winters, 2004). Critics emphasize the loss of resources invested in the trainings of skilled migrants as well as their potential contributions to the economic and social development of their respective countries of origin (Docquier, Lohest & Marfouk, 2007; Varma & Kapur, 2013). Proponents of brain drain, on the other hand, argue that in the globalized economy, the movement of skills across borders is not only inevitable but also necessary to keep low- and middle-income countries linked to the global market (Beaverstock, 2012; Lowell & Findlay, 2001). More importantly, with proper policy responses, and to a certain optimum extent, skilled migrants can be key partners in development (Bakewell, 2007; Lowell, Findlay & Stewart, 2004; Newland, 2010; Tejada, 2012; Tejada & Bolay, 2010; Wickramasekara, 2011).

Pursuant to the argument that highlights the benefits in skilled migration, since the mid-1990s brain drain analysis has slowly given room to contending notions, mainly known as brain gain and brain circulation. Brain gain is indeed an older concept which was used to describe the advantage that developed countries gained from the arrival of skilled migrants from developing countries (Dufoix, 2011). Its application in the context of the sending countries – which presents skilled migration as an opportunity for developing countries (e.g. Hart, 2006; Rahman, 2010, Rahman, 2013; Straubhaar, 2000) - can be argued, but it is not quite accurate. In trying to engage with their skilled diaspora, developing countries are attempting to reclaim returns from the investment they once made in the human capital development of their citizens. Brain circulation, on the other hand, refers to the trend that skilled migrants in developed countries engage in different ways with their countries of origin to professionally contribute in a manner that benefits the later, while maintaining their professional home base in their host country (Gaillard & Gaillard, 1997; Saxenian, 2005; Teferra, 2005). More simply, it refers to the free movement and use of expertise between the home and host countries while experts maintain their base in the host country.

The emergence of terms such as ‘scientific diasporas’ and ‘intellectual diasporas’ in the academic discourse (Kaplan, 1997; Kapur, 2001) and the advocacy for the diaspora option (e.g. Meyer et al., 1997, Tettey, 2002) as a viable alternative to counterbalance brain drain, in combination with advancements in communication technologies (Teferra, 2003; Tejada, 2012), have significantly contributed to the popularity of brain circulation and its successful transition into the policy domain.

However, it is important to note that despite the general consensus on the importance of brain circulation, there is lack of systematic and detailed evidence on the extent to which it contributes to the development of the sending countries (Tejada et al., 2014). This implies the

need for more research in the area. Meanwhile, according to reports by major international organizations, such as OECD, World Bank and ILO, the share of skilled migrants relative to the overall migrant population has been continuously increasing (Bailey & Mulder, 2017). This is happening in the face of the different policy incentives by developed countries targeting the attraction and retention of the most talented from developing countries (Boucher & Cerna, 2014; Kapur & McHale, 2005). Recognizing the combined effect of these trends – i.e. the growing knowledge gap between the global North and South, today more than ever – there is a pressing need to facilitate more brain circulation, by closely studying the cultural, social, professional and technological aspects of the movement of skilled migrants, and their engagement with home countries (Tejada, 2012; Tejada et al., 2014).

### **The African Academic Diaspora**

In the context of the underprivileged conditions of African higher education, an even more specific type of diaspora – academic diaspora – is relevant for discussion. Academic diaspora, constituting specifically those in the academic career, can be understood as a subset of the broader skilled, scientific or intellectual diaspora.

Taking a 1999 data from the National Study of Postsecondary Faculty as a starting point, and owing to the high rate of skilled migration from the continent since (e.g. Kaba, 2009; Mpinganjira, 2011; Ogilvie, Mill, Astle, Fanning & Opore, 2007; Woldetensae, 2007), Zeleza (2013, p. 6) has been estimated that the number of African born academics working as faculty in American colleges and universities could be between 20,000 and 25,000. Seen from the perspective of African higher education institutions, this is a significant number of academics, in one of the best higher education systems in the world.

The paradox in the chronic shortage of qualified academic staff in African higher education and the increasingly growing number of African academics in developed countries is best captured by Paul Tiyambe Zeleza, a Malawian historian and a prominent scholar of African diaspora, when he noted: “The African born academic diaspora in Canada and the United States constitute the sharp edge of Africa’s unusually high rates of skilled labor migration, the highest in the world for a region with the world’s lowest stock of skilled workers” (Zeleza, 2013, p. 4). This contradiction is central to understanding the dynamics in the African academic Diasporas. As elaborated later, it can be argued that this is also one of the defining factors that shapes the relationship between these specific Diasporas and their counterparts back home.

The African academic Diasporas should be understood in the context of the multiplicity of their constituents which they have to engage and negotiate with (Zeleza, 2004). As academics of color, they have to survive through the complex systemic and individual challenges of the radicalized American academy. As immigrants, they have to make social adjustments while they face challenges of legal requirements, more so today than before. Meanwhile they have to find their positions in society through negotiating their relationships with the native born American society as well as Diasporas of different origins. As emigrants, they have to live with the straining demands from home, both real and imagined. This ranges from the more

personal expectation for material and moral support to family and friends to the more abstract burden of having to defend Africa, in an environment where things African are routinely demonized.

Another way to better understand the African academic Diasporas is through typologies and classifications. A compelling typology was presented by Nesbitt (2003) who outlined that his typology is underpinned by the perceived contradictions: among the African academic diasporas; between their high academic achievement and the inferior position they assume in the racially charged American higher education; and between their alienation from their countries of origin (often condemned for having abandoned their country) and the struggle and desire to come to terms with their African identity in their host societies. According to Nesbitt's typology, the *comprador intelligentsia* uses their identity as Africans to authenticate the status quo of the global order, and come as cynical towards African countries in reference to corruption, tribalism and so on. The *post-colonial critics* act as mediators between Africa and the West by interpreting the African knowledge system and experiences in the postmodernist context. The *progressive exiles*, on their part, use their position to champion a dignified place for African knowledge and they struggle to the liberation of the diaspora as well as their countries of origin. It is important to note that these typologies are not necessarily mutually exclusive.

Zeleza (2004) suggests that other typologies may also be devised, two of which are considered here. A straightforward classification can be based on disciplinary orientations as humanists, social scientists, scientists, etc., which can further be specified to particular fields of specialization. This typology is practically useful to identify networks of knowledge communities (Coe & Bunnell, 2003) in the diaspora and to match them with those in Africa for collaborative engagements. Since different disciplines have their own intellectual and institutional traditions and practices, transnational engagement has the potential to be more efficient.

Another typology Zeleza (2004) proposed is based on the scope and content of the academic practices, research and publication of the academic diaspora. This way he suggested three broad groups namely the *Pan Africanists*, the *Americanisms* and the *globalists*. Those in the first group are rooted both in Africa and the US to drive their research agendas and for their publications and teaching practices. The *Americanisms* are, as the name indicates, focused on issues of the US, while the *globalists* have multiple sites of reference and practices. This typology, though unfortunately not further developed, could be useful for identifying key persons in planning and organizing engagement with African academics (e.g. Pan Africanists can be assumed to be more instrumental in engagement initiatives than the *Americanisms*).

### **Engaging the Academic Diaspora**

It is intuitive that the general argument presented earlier in support of engaging high skill diaspora in the development of their country of origin works here too. African higher education institutions are in the periphery of the global knowledge system (Goujon, Haller & Kmet, 2017; Teferra, & Altbach, 2004; Visser, 2008). Nonetheless, there are positive

developments that come both from reform agendas within the continent as well as the increasingly shifting interest from the rest of the world (Jowi, 2012; Mohamedbhai, 2014; Singh, 2011; Teferra, 2010). This puts the African academic diaspora in a uniquely important position to mediate the relationship between Africa and the advanced higher education systems they belong to, towards bridging the center–periphery divide (Welch & Zhang, 2008). In reference to the increasingly positive interest the African higher education is attracting and the role of academic diaspora therein, Teferra (2010) notes that:

*As Northern institutions and organizations seriously consider engaging with African institutions, they will often find that diaspora members are the main interlocutors in establishing such partnerships. Many Northern institutions are slowly recognizing the value of their foreign-born intellectuals in expanding their reach within a region, and are committing their own resources, while some grant-making bodies are funding institutions that are willing to engage diaspora members in such partnerships (p. 93).*

One such important force is the internationalization efforts of higher education institutions across the developed world. As Africa continues to grow economically, with its considerable young population, it increasingly becomes a target market for international higher education. (China is a very good example of this.) Hence, the African academic diaspora becomes instrumental in facilitating this shift.

The scholastic, visibility and political capital of the academic diaspora is an indispensable resource (Teferra, 2003) in the aspiration of African higher education to ascend in the global knowledge system. Diasporas also have much stronger leverage to raise resources for academic and research activities from western sources, be it their own institutions, foundations or international organizations (Zezeza, 2013). This may partly be understood as a manifestation of the bias of western institutions trusting only their own for better quality and efficiency. Nonetheless, it is clear that engaging the academic Diasporas is of unmistakable benefit to African higher education. Agunias and Newland (2012) have underscored that engaging experts in the diaspora can cut cost (some volunteer to work at no fee while others cover all of their costs. See Zezeza, 2013); linguistic and cultural competence of the diaspora adds strength to collaborative projects; and engagement could be a starting point for permanent return. The good news is that there are a number of engagement initiatives, although they are often individual and occur in fragmented manner. Amagoh and Rahman (2016) in the case of Nigeria, and Foulds and Zezeza (2014) in broader Africa have noted the considerable benefits the engagement of academic diaspora is generating. Similarly, Teferra (2010) has observed that generally there is strong interest among the diaspora to work with institutions in their home countries, because most acknowledge the benefits in professional contributions while staying close to home.

There could be different reasons for why academic Diasporas would be motivated to engage with institutions in their countries of origin. Besides the ease for international practices facilitated through familial, social and cultural ties, the burden of nostalgia is another main

factor (Amagoh & Rahman, 2016). Or as Zeleza (2013, p. 8) puts it, there are “affective, professional and ideological reasons.” The affective motivations relate to the sense of guilt and obligation the highly educated diaspora carries. Further, the benefits of engagement at the individual level can be seen in light of job satisfaction and intellectual advancement (Amagoh & Rahman, 2016; Rahman, 2010; Zeleza, 2013).

### Forms of Engagement

Different scholars use different approaches to analyze the forms of engagement between academic Diasporas and their countries of origin. Analyzing cases across several countries, Agunias and Newland (2012) for instance, identify three general categories based on the role of the engaged academic in the host country. (a) *Diasporas as practitioners who fill critical knowledge gaps*: This requires identifying priority areas where there is critical gap of expertise locally, and identifying experts in the diaspora in the specific field to offer them incentives and convince them to provide their services. (b) *Diasporas as partners/collaborators*: This approach promotes collaborative engagement in research and other projects between local and diaspora academics. Here institutional and professional networks are important. One example of this form of engagement, the authors noted, is the Chinese 111 project which allows top scholars in the diaspora to team up with local researchers to work in selected innovation centers across the country. (c) *Diasporas as members and leaders of scientific and technical networks*: Different countries establish networks around various scientific, technical and business issues composed of local and diaspora experts. This is often done through web based and online communication to bring together the experts to deliberate and work towards different issues of the country. There are also cases where countries establish advisory boards to government offices/departments in which diaspora academics can play crucial roles sharing their expertise.

Paul Zeleza in his 2013 study of African academics in the US and Canada used the major functions of the university – teaching, research and service – as a framework for identifying the different forms of engagement. Some of the different specifics identified under each of the dimensions of the higher education enterprise can be summarized as follows.

Table 1- Types of diaspora engagement with African higher education institutions

University Function	Types of Engagement
<b>Teaching</b>	student exchanges, study abroad programs, short courses, summer classes, curriculum development, supervision of graduate student dissertations
<b>Scholarship and Professional Activities</b>	joint research and grants, publishing and manuscript reviews, donations of books, journals and equipment, building data bases and digital archives, performance evaluations for promotion cases and as external examiners, and mentoring
<b>Services (for Higher Education)</b>	establishing or providing critical leadership for higher education institutions and networks including centers, institutes, foundations, and universities

*Note.* Adapted from “Engagements between African diaspora academics in the US and Canada and African institutions of higher education: Perspectives from North America and Africa” by P. Zeleza, 2013, Report for the Carnegie Corporation of New York, p. 10.

Zeleza (2013) also emphasized that these different forms of engagement should not be thought of separately. Often engagement, even at individual level, occurs in multiplicity of different activities with different purposes and functions, involving interaction with several different people and institutions.

Teferra (2010, pp. 91-93), for his part, used a mixed approach of the roles and specific purposes to classify engagements of academic diaspora. He identified five major forms of engagement: (i) *Joint research programs*- Expanding the limited research collaboration between Africa and the developed world can help build a critical mass of researchers in African diaspora. (ii) *Contributions to publications* – To elevate the status of local publications, members of diaspora can help by contributing articles and serving at different capacities in the publication processes. (iii) *Sharing knowledge resources* – Universities in Africa generally suffer from lack of relevant and current publications and other resources. Academics in the diaspora can be key in collecting and sharing current information in their respective fields, and can also be engaged in mobilizing knowledge resources on behalf of institutions in their home countries. This has become easier and cheaper due to recent advancements in communication technology. (iv) *Professional guidance and advice* – Members of Diasporas can be on professional advisory boards and support local academics in their activities by providing them access to their expertise and networks. (v) *Endowment programs and chairs* – Endowments and chairs are rare practices in Africa. Universities may encourage members of diaspora to establish such schemes that target on motivating local scientists and channeling resources in this unique form.

Analyses on the forms of engagement currently practiced among the African academic diaspora and elsewhere, exhibit three essential elements that need to be underscored. First, most engagement initiatives start at individual level through personal connections that might be established in professional, personal or social links (Teferra, 2010; Zeleza, 2013). These existing relationships are important resources around which formal and institutional partnerships. Striking a working balance between the personal and the institutional, and the formal and informal is important. Second, the role of communication technology is essential for any form of engagement (Amagoh & Rahman, 2016; Teferra, 2003; Zeleza, 2004). The physical and temporal divide between Diasporas and their home countries has been diminished by the use of communications technologies. Therefore, countries that make better investment in communication technology infrastructure, and institutions with better facilities are likely to reap more from the engagement of the academic diaspora. This difference can even go to the level of individuals: those who are more adaptable to the use of technology can have better access to academics in the diaspora and their resources.

Third, the important role of professional and diaspora networks is unmistakable. It has long been established that networks are instrumental in the flow of knowledge and other resources from migrants to their home countries (Findlay, 1990). Although maintaining networks is

often difficult (Meyer, 2001), they remain crucial in facilitating easy communication between experts and coordinating collaborative projects. Experts connected through professional networks can easily find each other and easily identify who to work with based on existing interactions through the networks. Cognizant of the vital benefits, Akins and White (2011, pp. 55-58) suggested a four-stage approach to managing networks of diaspora academics towards effective engagement. First is to *research* to identify members of the diaspora who are better connected and have the drive to mobilize others; second *cultivation*, is the process of creating awareness and informing of interests and initiatives; third comes *solicitation*, which is recruiting key diaspora members who can be passionately involved and be able to use their social and professional stature to mobilize others; and finally, *stewardship*, communication, feedback, measuring outputs and recognition to the work done, etc. to maintain networks and improve performance.

### **Challenges of Engagement: Opportunities for Private Institutions?**

While it goes without saying that challenges are specific to engagement initiatives and their respective contexts both in the countries of origin and residence, researches indicate that some predicaments are common across boundaries. Infrastructural, logistical, economic, political, social and cultural factors all contribute in different ways to the challenges, as they do to the success of engagement initiatives (Teferra, 2005, 2010). Taking this into account, common challenges in engagement of academic diaspora are presented here in four major categories: focus of initiatives, institutional processes, environmental, and attitudinal issues.

**Clarity of Focus:** Regarding emphasizing the importance of clarity of focus in engagement schemes, Wickramasekara (2010) highlighted the need to distinguish between the euphoria in acknowledging the potential of diaspora from the practically real scope for contribution. Despite the broad consensus on the potential resources in Diasporas, their actual contribution depends on different factors, among which is the level of focus the engagement plan works with. Not everyone who belongs to the broad category of diaspora has the necessary level of sense of belongingness or the necessary preconditions in their own environment to make meaningful contributions. A common reason for initiatives to fail, according to Akins and White (2011), is their inability to identify specific individuals who champion and stick with the initiative through challenges. They call this “the ‘mile wide – inch deep’ versus ‘inch wide – mile deep’ conundrum” (ibid, p. 14). To address this, Larner (2007 p. 341) has suggested to use a proper mix of the ‘alumni model’ which mobilizes the mass around an agenda, and the ‘overachievers model’ which focuses on small number of very motivated and committed individuals who have the social and professional weight to rally others around them. Clarity of focus can also be seen with regard to prioritization of areas important to the home country.

With a considerable degree of autonomy, compared to their public counterparts, private institutions are more likely to create a clear and focused plan to recruit and engage members of the diaspora. Lack of clarity of focus has been one of the major sources of frustration for the diaspora. In Ethiopia for instance, after the coming to office of PM Abiy in 2018, his fresh approach of being accommodative of diverse political views and his open invitation for the

diaspora to join in the efforts of building the country generated a massive euphoria. The diaspora, as seen in different ways, seemed enthusiastic about the possible contribution they might have to the country they call home. Nonetheless, it was only few that turned to practical action. This is, among other things, due to the lack of clear plan as to how to engage the diaspora – as one research participant put it “we are ready, but we need to know what exactly the country wants us to do”. The academic diaspora prefer a specific invitation with a clear plan, than a general call, which presumably requires them additional work in the midst of their busy life.

***Institutional Processes:*** very often engagement of academics with African higher education is characterized by its dependence on informal and individual relationships initiated by the diaspora (Ogachi, 2016). Effective and sustainable engagement can be ensured with proper institutional infrastructure that can continually accommodate changing circumstances (Tejada, 2012). Diaspora academics have reported of their frustration in the differences between what they are promised and what they get when they arrive at African universities (Zezeza, 2013). Necessary arrangements, access to facilities, and so on are not consistently managed as expected because of lack of institutional backing. Formulating institutional level diaspora engagement plan and integrating that into the overall operations of the university is a necessary step to attract, retain and make proper use of the diaspora expertise.

This deficiency in public institutions can be related to the slow and unresponsive bureaucratic process, and its reluctance to allocate resources for diaspora engagement as an area of strategic activity. There is a notion that the diaspora comes with resources. While this is a fair point to assume, the resources might not necessarily be of financial nature, or might not be readily available at the start of the process. Therefore, there is a need to use institutional infrastructures and to allocate resources towards developing diaspora engagement, before the institution can reap the fruits of the potential benefits/resources. Private institutions are more likely to have a less bureaucratic institutional system and a more efficient decision making process, where top management – often the owners or their families – are much more accessible to the issues, and can quickly make decisions without waiting for support from the political structure, or without the risk of repercussions.

***Environmental Challenges:*** Environmental impediments can be either in the context of the home or the host country. In the home countries, in addition to the challenges posed by the absence of clear articulation and institutional support, poor infrastructure, political issues, lack of good governance, high level of corruption, lack of rich information system, and the like are deterrents of effective engagement (Modupe, 2016). In the host country numerous environmental factors including the policies of the host country and the extent to which the diaspora member is well established have considerable bearing on their motivation and practical capacity to engage (Tejada, 2012; Tejada et al., 2014). In his 2013 study Zezeza identified that career trajectories, gender, and the pattern of diasporization are factors that largely determine the engagement of African diaspora academics in the US and Canada. Senior or tenured professors have more time, and access to resources to work with than those who are adjunct and pre-tenure who have a lot to prove. Also, those who work in large research

focused institutions with internationalization strategy are more likely and capable to engage than those in small and teaching focused institutions. Female academics, on the other hand, have to deal with additional responsibilities of motherhood and the subtle gender bias in the system. Those with traumatic experiences such as political exiles are less likely to be interested in engagement than others. It is, therefore, important to take a good account of the fact that diaspora academics work in an environment over which they do not have much control.

***Attitudinal Issues:*** Attitude of both the diaspora themselves and of the academics in home countries can be obstacles to effective engagement. As mentioned, before it is not uncommon for the academic diaspora to show strong interest in the idea of engagement only to lack the real commitment to take it into action. Even when actions follow, it might not necessarily be driven by altruistic motives (Teferra, 2010). Engagement with Africa could be added to research projects and sabbatical plans only to increase one's competitive edge for grant or promotion, and not necessarily with a genuine interest of helping African institutions. As Nesbitt (2003) noted some African academics in the west have fallen in the trap of neo colonial mentality that simply takes everything western as a synonym for high quality. Coming from privileged higher education systems academic Diasporas may have unrealistic expectations from African institutions and colleagues.

On the other hand, a much more common and strongly held attitudinal challenge comes from the African academics at home (Agunias & Newland, 2012; Modupe, 2016; Teferra, 2005; Zeleza, 2004, 2013). First, there is the feeling of resentment towards diasporas that they have abandoned, or even betrayed, their country when things were tough (Skeldon, 2008; Zeleza, 2004). The lack of trust and insecurity that the diaspora academics would look down on those in Africa for the underdeveloped academic culture (e.g. lack of publication, conference participation, research grants, etc.) they operate in, creates another layer of friction. These compounds with the feelings that the diasporas, often sponsored by government programs or by international organizations, unfairly earn much more than the locals, although there are ample cases, like in the MIDA program, where diaspora members work only on voluntary bases or only with coverage of their basic expenses (Agunias & Newland, 2012). Modupe (2016) has documented the experiences of those who were frustrated by the attitude of academics they worked with in Nigeria who expected to make money out of each step in the interaction. The academics, as well as institutions, have unrealistic expectation regarding material resources Diasporas are supposed to bring with them. The difference in understanding as to how research grants are obtained and used, is reported to be a cause of disagreement. The friction gets to a point that it would be very difficult to make an academically honest critic of the work of colleagues in African institutions (Zeleza, 2013). All in all, it can be summarized that views on patriotism and love of country, power dynamics, and issues of material resources are at the center of these frictions posing challenges to effective engagement.

## **Conclusion**

Engaging diaspora academics can be a crucial way to improve internationalization in African institutions. There have been ample examples where diaspora academics directly contribute to or mediate the internationalization process. Not only they can bring their expertise, but also create the path for their colleagues, their institution and funding agencies to engage with institutions in their countries of origin. However, engagement in higher education is challenged by various factors, some of which are institutional. Such institutional challenges as lack of flexibility, unresponsiveness, slow bureaucracy in decision making, etc. are naturally stronger in public institutions. Private institutions have the potential to easily fix such issues in order to tap into the possible benefits of diaspora engagement that are left unused because of the shortcomings of public institutions.

In addition to offering a more conducive institutional environment for the diaspora academic to engage with their home country, private institutions can also consider business ventures with the diaspora. A study by the IOM (2018) has reported the interest of the Ethiopian diaspora to engage and/or invest in numerous sectors including education and training. Private HEIs can actively recruit members of the diaspora with such interests, for whom they can provide the institutional infrastructure to engage in education, training and consultancy. This can be established as a separate/ independent venture, or annexed with existing institutions, for or not for profit depending on mutual interests. No doubt partnering with local institutions would make it much easier for diaspora academics to engage in such activities, without having to spend too much time physically in the country, or not having to deal with the bureaucratic structure.

Indeed, diaspora engagement particularly in the field of higher education is commonly motivated by the interest of 'giving back' which rests more comfortably with the non-profit missions of public institutions, than those of profit driven private ones. It is important to consider two points here: first, making profit and offering services (or 'giving back') are not mutually exclusive. There are models that can achieve both ends. In fact these could be even more effective as they can easily attract interest of the diaspora while being more sustainable, compared with one off projects. Second, public-private partnership among local institutions can complement the drawbacks of one another and create a more effective initiative to engage the diaspora. In effect, it involves three parties becoming a diaspora-public-private (DPP) partnership.

It is worth noting that this is an alternative to the direct investment by members of diaspora establishing their own higher education institution. There have been examples of such institutions, often working in some sort of partnership with institutions abroad, with which the diaspora investor is previously connected.

However, excessively profit driven operations by private institutions that disregard their responsibility for quality of educational provision, taints the image of the private sector overall, jeopardizing potentials for diaspora engagement. The recent unfolding of several private institutions in Ethiopia – some of them in partnership with foreign institutions and

involving members of the diaspora – violating standards and operating illegally can be an example.

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**Mode 3 Theories in Higher Education: Potential Modalities of Emerging University-Society Engagements, Teklu Abate Bekele, The American University in Cairo, Egypt**

**Abstract**

Knowledge has been an organizing logic and one of the major functions of universities since their establishment. Contemporary developments in society and economy seem to bestow even more ‘currency’ to knowledge than ever before. Knowledge production chiefly dictates international university rankings, national science policy making, funding and quality assuring regimes worldwide. The quantity and quality of knowledge production and dissemination seems to justify the social significance and relevance of higher education to national development. The mode of knowledge production is but as varied as it is prolific. Conceptually driven studies could broadly be classified into four non-exclusive and non-exhaustive major strands: Disciplinary cultures, professional cultures, Mode 2, and epistemic cultures. While higher education researchers continue ‘experimenting’ with Mode 2 perspectives and epistemic cultures, the emergence of Mode 3 knowledge production is proclaimed. Analytical frameworks (mentioned in the literature as theories) which claim to align within Mode 3 thinking are developed. Our understanding of how and to what extent Mode 3 theories are distinct from each other, and from Mode 2 and epistemic cultures with regard to particular knowledge production parameters is however unclear. Work that features the possible commonalities and differences among Mode 3 theories, and Mode 2 and epistemic cultures is needed, as it can leave implications regarding the social relevance and significance of higher education to socio-economic development. To partly address this knowledge gap and then to better inform future research, this configurative review aims to map out the conceptual contours of Mode 3 theories in comparison with Mode 2 and epistemic cultures using particular parameters. It examines whether there is cultural convergence, divergence, or emergence within Mode 3 theories, and among Mode 3, Mode 2 and epistemic cultures. In this study, culture as in cultural convergence, divergence, and emergence draws on definitions from epistemic cultures and disciplinary cultures to refer to the socio-cultural, technological, material, methodological, and epistemological features or dimensions of knowledge production. It includes academic norms, traditions, expectations, and other conditions that affect knowledge production.

**Keywords:** mode 3 theories, university-society engagements, higher education

**Introduction**

Knowledge production has been an organizing logic (Clark, 1983) and one of the major functions of universities (Castells, 2001) since their establishment. Contemporary developments in society and economy seem to bestow even more ‘currency’ to knowledge than ever before (Breton, 2003; Carnoy, 1999; Castells, 2000; Gibbons, 2003; Gibbons et al., 1994; Knorr Cetina, 2007; Petrella, 2003; Salmi, 2003; Scott, 2003). Knowledge production chiefly dictates international university rankings, national science policy making, and funding and quality assuring regimes worldwide. The mode of knowledge production is but as varied as it is prolific. Conceptually driven studies could broadly be classified into four nonexclusive and non-exhaustive major strands. One, the hitherto common approach takes *disciplinary*

*cultures* as ‘looking glasses’ (e.g. Becher, 1987/1994; Biglan, 1973; Böschén et al., 2006; Clark, 1987/1984/1980, Holland, 1997; Kastenhofer, 2007; Kekale, 2002; Knorr Cetina, 1999; Lattuca & Stark, 1994; Paulsen & Wells, 1998; Stark et al., 1986; Smeby, 1996/2000). Gibbons et al. (1994) dubbed the disciplinary line of knowledge production as Mode 1. Within the general context of Mode 1, the theory of academic capitalism and the new economy explains emerging market-like behaviors in higher education (Slaughter & Rhoades, 2004). Two, other studies consider primarily *professional cultures* (e.g. Eraut, 1985; Hoholm et al., 2004; Jensen, 2007; Karseth & Nerland, 2007; Lindblad et al., 2007; Lindblom-Ylänne et al., 2006; Lueddeke, 2003; Mørk et al., 2008; Nerland, 2008; Stark, 1998).

Three, Mode 2 is presumably the *emerging* mode and claims to sufficiently consider global and national ‘forces’ that affect knowledge production in an age of globalization (Gibbons et al., 1994; Nowotny et al., 2001/2003; Marton, 2005). Mode 2 purports to reflect “changes in the relationship between science and society and a change in the societal role of science” (Kastenhofer, 2007, 364) and it is considered *complementary* to Mode 1 (Gibbons et al., 1994).

Four, Knorr Cetina’s (2007) works on epistemic cultures, knowledge cultures, and macro epistemics seem to ‘appropriate’ disciplinary cultures. Knorr Cetina maintained that an epistemic culture replaces disciplinary culture to “amplify the knowledge machineries of contemporary sciences until they display the smear of technical, social, symbolic dimensions of intricate expert systems” (1999, 3). Epistemic cultures ‘embody’ disciplinary and professional cultures and reflect recent developments in science and society (Knorr Cetina, 2007). This research strand is also emerging alongside Modes 1 and 2.

While higher education researchers continue ‘experimenting’ with Mode 2 perspectives and epistemic cultures, the emergence of Mode 3 knowledge production is proclaimed. Analytical frameworks (mentioned in the literature as *theories*) which claim to align within Mode 3 thinking are developed.

Sandstrom (2014) analyzed the historical development of Mode 3 theories. Sandstrom examined “the emergence of Mode 3 thinking, how it is used and applied by different authors and what it does or might mean for the present and future of higher education and science for development on local, regional and global scales” (2014, 16). The main purpose of Sandstrom’s analysis was “to find out where the notion of ‘Mode 3’ came from, who started using it, when and what it means to them” (204, 17). The study significantly improved our understanding of the development of Mode 3 thinking.

Our understanding of how and to what extent Mode 3 theories are distinct from each other, and from Mode 2 and epistemic cultures with regard to particular knowledge production parameters is however unclear. Sandstrom’s work “open a path for others to go further in their research than the narrow boundaries of this article” (2014, 18). Work that features the possible commonalities and differences among Mode 3 theories in comparison with Mode 2 and epistemic cultures is needed.

To partly address this knowledge gap and then to better inform future research, this configurative review aims to map out the conceptual contours of Mode 3 theories in comparison with Mode 2 and epistemic cultures using particular knowledge production parameters outlined below. Using appropriate analytical frameworks, this study examines whether there is cultural convergence, divergence, or emergence within Mode 3 theories, and among Mode 3, Mode 2 and epistemic cultures.

In this study, *culture* as in cultural convergence, divergence, and emergence draws on definitions from epistemic cultures (Knorr Cetina, 2007) and disciplinary cultures (Becher, 1987) to refer to the socio-cultural, technological, material, methodological, and epistemological features or dimensions of knowledge production. It includes academic norms, traditions, expectations, and other conditions that affect knowledge production.

### **Study purpose, significance, and questions**

The primary purpose of this study is not to bring about consensus on current knowledge production cultures as such but to identify their core attributes and to clearly delineate tensions and issues that merit further scholarship. A working conclusion is drawn as to whether Mode 3 is paradigmatically different from Mode 2 and epistemic cultures.

To that end, Mode 3 is examined from substantive, theoretical, and methodological angles. One, studying the conditions which triggered the emergence of Mode 3 theories can reveal the points of departure of Mode 3. Two, understanding Mode 3 conceptions of *knowledge* and the conditions that affect its production could reveal their epistemological core. Three, revealing Mode 3 empirical, theoretical, and/or practical evidence bases is vital to ‘judge’ their rigor. Four, exploring Mode 3 methodological preferences linked to data collection and analysis also reveals their ‘scientific method’. Five, examining quality assurance mechanisms could enable understanding of the roles various actors play in knowledge production. The analytical frameworks highlighted below provide conceptual scaffolding. This approach enables a holistic understanding of the theories which will better inform further discussions on emerging science/research-society linkages and engagements.

However, two points need to be outlined. One, the study approaches the topic from a higher education perspective, and not from the perspectives of the history or philosophy of science. Two, as the study aims at conceptual mapping, the focus is on identifying the core assumptions, principles, propositions, or theses of Mode 3 without evaluating their integrity, rigor, or fecundity.

The overarching study question posed to meet the purpose is, *How and to what extent are Mode 3 theories distinct from or compatible to each other and Mode 2 and epistemic cultures?* The following specific questions, which are informed by the analytical frameworks outlined below, guide the study.

- What triggered the emergence of Mode 3 theories?
- How is *knowledge* conceived by the theories?
- What conditions and factors do affect knowledge production?

- What research methodology is relevant within Mode 3 thinking?
- How is quality assured in Mode 3 knowledge production?
- What are the evidence bases of Mode 3 theories?

### **Analytical frameworks**

For this study explores Mode 3 in comparison with its predecessors, several analytical frameworks are considered. Core assumptions guide the selection of the frameworks. Successful examination of Mode 3 theories requires a consideration of 1) theories that ‘contextualize’ disciplinary cultures within recent developments in higher education and society, 2) theories from which Mode 3 thinking directly emerged, and 3) conceptions that delineate scientific change over time. Epistemic cultures (Knorr Cetina, 2007), Mode 2 (Gibbons et al., 1994), and scientific/theory change over time (Kastenhofer, 2007) are found relevant. The frameworks (a) inform the articulation of the study questions, (b) guide the development of themes for synthesis, and (c) support a holistic discussion of the findings. As a prelude, a brief account of higher education operation is provided first, followed by a discussion of each analytical framework.

### **Higher education operation**

A plethora of conditions and factors affect higher education operation including knowledge production. The major ones relate to the cultures of the discipline, the institution, the national, and the (academic) profession (Clark, 1983). These are the hitherto predominant categories of conditions that affect higher education functions. The Triple Helix model of university-industry-government relations (Etzkowitz & Leydesdorff, 1995/2000); the Quadruple Helix model adding “media-based and culture-based public” and “civil society” to the Triple Helix, and the Quintuple Helix model adding ‘natural environment, natural environments of society’ to the Quadruple Helix (Carayyanis & Campbell, 2012, 20) presumably better explain emerging higher education-society linkages. This study explores how and to what extent Mode 3 converges to or diverges or emerges from these conceptions of linkages and epistemic cultures.

### **Epistemic cultures**

Knorr Cetina’s (2007) works on epistemic cultures, knowledge cultures, and macro epistemics seem to ‘appropriate’ disciplinary cultures. Knorr Cetina maintained that epistemic cultures replace disciplinary cultures to “amplify the knowledge machineries of contemporary sciences until they display the smear of technical, social, symbolic dimensions of intricate expert systems” (1999, 3). Epistemic cultures are the “interiorized processes of knowledge creation. ... those sets of practices, arrangements and mechanisms ... which... make up *how we know what we know*” (Knorr Cetina 2007, 363).

Topics of discussion include (Knorr Cetina, 2007) epistemic subjects (knowledge agents-machines, group of scientists), epistemic objects (the subjects of study), epistemic settings (knowledge places/habitats), and object-relations regimes (prescribed ways of relating to epistemic objects in research). Core characteristics of epistemic cultures (Knorr Cetina, 1991) include the transepistemic nature of science/research (involving scientists, non-scientists,

materials, technologies); the contextuality and disunity of science (the scientific method is multi-textured and not a standardized tool for reason or rationality); and the significance of collective epistemic subject (erasure of an individual scientist from being epistemic subject). Knorr Cetina (2007) positioned the conception of epistemic cultures within the context of larger national and global cultures of knowledge such as knowledge cultures and macro-epistemic cultures.

### **Knowledge cultures**

The structures and policies of knowledge societies, which promote or restrict certain epistemic outcomes, reflect knowledge cultures which range from "... national and international regulations, to the media ...” (Knorr Cetina, 2007, 370). They also include the cultural, social, political and economic life of society (Ibid, 369 - 370). Simply, knowledge cultures may mean national science research policies and regulations, funding regimes; socio-cultural fabrics of society; level of economic development; and governance style. These along with conditions and factors at the international level supposedly influence the volume and quality of knowledge production.

### **Macro-epistemic cultures**

Macro-epistemics are “intermediate arrangements between knowledge cultures and epistemic cultures” (Knorr Cetina, 2007, 362). They are *knowledge verifying units and organizations* that “... take on specific knowledge related tasks in larger knowledge contexts” such as multinational networks (Ibid, 367). In the academe, macro-epistemics may mean professional associations, publishers (including editors and reviewers), professional networks, and quality assurance agencies at various levels as macro-epistemics “...can also be linked to national and international regulations...” (p. 370). Mode 2 seems also to acknowledge these wider networks of knowledge verifying units.

### **Mode 2 knowledge production**

Gibbons et al. (1994) investigated changes in knowledge production in the natural sciences, technology, the social sciences, and the humanities. A new form of knowledge production, Mode 2, is emerging alongside disciplinary cultures, Mode 1. Mode 2 is considered a *complementary* analytical perspective to Mode 1. The defining characteristics of Mode 2 include the following:

- Knowledge is generated within a context of application versus basic science.
- Transdisciplinary versus multi/disciplinary orientation is taken.
- Diverse knowledge production sites are emerging.
- Knowledge is highly reflexive versus objective.
- Novel forms of quality control versus the peer review system are emerging.

Follow-up publications (Nowotony et al., 2001/2003) examined the dynamic relationship between science and society by collecting data from secondary sources and implicit observation of science and research policy. The 2001 publication reaffirmed the emergence of Mode 2 knowledge production within the context of Mode 2 society and emphasized the

contextualization of science and knowledge. This study explores how and to what extent Mode 3 thinking diverges or emerges from or converges to Mode 2 propositions.

### **Scientific change over time**

This study explores the extent of Mode 3 cultural divergence, convergence, or emergence from and to the aforementioned conceptions. In this regard, Kastenhofer (2007) conception of scientific or theory change over time is found relevant.

Kastenhofer characterized the qualitative nature of change processes in theory or in science generally using three concepts: Cultural convergence, divergence, and emergence. These conceptions explain qualitative changes across fields of study and epistemic cultures- in Knorr Cetina's usage of the term. *Convergence* and *divergence* simply reflect limited positional changes in some elements whereas *emergence* reflects profound changes to the way a system is organized.

*Convergence, divergence and emergence are all processes describing changes within and across scientific fields and, especially, how different scientific components change their positions relative to each other in a given system over time. Convergence and divergence primarily point to a positional change of a constant set of elements; emergence, on the other hand, emphasizes a change of the very set of a systems' elements. All three processes can also be relevant for understanding how epistemic cultures develop over time* (Kastenhofer, 2007, 363).

Convergence, divergence, and emergence “may also be interpreted as being embedded in general societal changes, encompassing changes in the relationship between science and society and a change in the societal role of science” (Kastenhofer, 2007, 364). Convergence and divergence explain qualitative changes of a limited scale whereas emergence explains a substantial reconfiguration equivalent to a paradigm change. The development of epistemic cultures over time appears “highly fluid and irregular” and should be considered in relative terms only (Kastenhofer, 2007). This configurative study aspires to settle whether Mode 3 theories are results of cultural convergence, divergence, or emergence.

### **Methods**

This configurative review explores how and to what extent Mode 3 theories are consistent with each other and with Mode 2 and epistemic cultures. Mode 3 theories (Barnnet, 2004; Carayannis & Campbell, 2006; Jimenez, 2008; Ray & Little, 2001; and Rhoades & Slaughter 2006) are the primary target for analysis in this study, using the six parameters described above. To get more information about some concepts, additional publications by the same authors (e.g. Barnnet, Carayannis & Campbell) are consulted. Other than acknowledging it as a Mode 3 theory, the Sandstrom study did not characterize the Rhoades & Slaughter theory, which this study does. On the other hand, the Kunneman (2005) theory considered in the Sandstrom study is not covered in this study due to its inaccessibility.

To identify possibly more Mode 3 theories, Google and Scopus searches are conducted using such keywords as Mode 3, Mode 3 knowledge, Mode 3 knowledge production, Mode 3

knowledge production in higher education and society, and emerging knowledge production cultures. Other than works that use, replicate or appropriate the already identified theories, no additional work is found. Still, some studies published in inaccessible outlets and in a different language than English might exist out there. As the goal of this study is not to consider all the possible studies on the topic but to examine the major conceptual attributes or characteristics of the already identified ones, it does not affect the overall integrity of the study. That the topic under study is a recent phenomenon implies a possible lack of theoretical 'saturation'.

The study questions and the analytical frameworks guide the analysis and synthesis of the theories. Themes, which reflect substantive, methodological and theoretical significance, are identified for categorization. Each Mode 3 theory is examined along these lines: the rationales given for the development of Mode 3 theories, conception of *knowledge* and the conditions and factors that affect its production, the evidence bases of the theories, their quality assurance practices, and methodological preferences.

The analysis and synthesis are conducted in two stages. First, a table maintaining the aforementioned themes as headings is constructed. Under each heading, concise and clear information is inserted based on information gained from each theory. Once all the studies are summarized this way, patterns and/or trends as well as unique cases are identified for further interpretation. The constant comparison method (Maykut & Morehouse, 1994)) is employed to form themes/concepts and then to compare and contrast each theory. Once themes are created, the table is excluded for efficiency reasons.

It is expected that each Mode 3 theory may not contain explicit information about all the analysis parameters/themes. To overcome this particular challenge, studies are closely read start-to-end and effort is made to extract meaning from implicit assumptions. If information about one or more themes is missing, that is clearly indicated in the table. Although there certainly is a degree of subjectivity on this, it does not affect the overall conclusions of the study. The overall analysis and synthesis are taken from the perspective of higher education, and not from the philosophy of science, systems approach, or innovation.

Using the analytical frameworks, a general discussion of the major findings related to each study question is conducted. First, each Mode 3 theory is compared and contrasted with each other using the parameters. Second, Mode 3 theories are compared and contrasted to epistemic cultures and Mode 2 theories, again using the same parameters. The goal is to identify whether there is cultural divergence, convergence, or emergence among the theories. Conclusions are then drawn as to how and to what extent Mode 3 theories are in/compatible with each other and with Mode 2 and epistemic cultures. Areas for further scholarship are identified and the limitations of the study are acknowledged.

### **Major findings**

This section outlines the major attributes of Mode 3 along the themes outlined above. Commonalities and differences among them are highlighted. To substantiate emergent themes and divergent cases, some direct quotations are included. For a contextualized understanding,

the section first briefly introduces the theories, focusing on their purposes and their major concentration areas.

### ***Contextualization***

Ray and Little (2001) compares Western and Japanese modes of knowledge and its production in higher education. This Mode 3 theory however examines how group tacit knowledge drives Japan's workplace performativity. Modes 1 and 2 are compared "with the privileged role that Japan's workplace has accord to insider collective-tacit knowledge, which we tentatively call 'Mode 3' knowledge" (Ray & Little, 2001, 154). Although the theory acknowledges the significance of considering pluralist epistemology (Modes 1 and 2) to better understand epistemic works, it concludes that "situated group-tacit or Mode 3 knowledge would appear to be particularly important as a tool for enabling practice within Japan's workplace *ba*" (163). The focus on workplace performativity and tacit knowledge accumulated over time mainly through experience distinct this theory from other theories.

Barnet (2004) problematizes *learning* in the 'unknown future', in the future of "supercomplexity". Supercomplexity, "arises under conditions of a conceptual overload: in short, supercomplexity is the outcome of a multiplicity of frameworks. ... No longer are the boundaries, or the forms of right knowing clear" (Barnet 2000, 415). The specification of learning in terms of knowledge or skills is presumed to be abandoned in favor of cultivating human qualities and dispositions. Accordingly, "A Mode 3 knowledge surely beckons, in which it is recognized that knowing the world is a matter of producing epistemological gaps. The very act of knowing- knowledge having become a process of active knowing- now produces epistemological gaps" (Barnet 2004, 251). The focus of this theory is on learning in higher education within the context of societal super complexity.

By creating a conceptual link between systems and systems theory, Carayannis and Campbell (2006) develop their version of Mode 3. Accordingly, "Mode 3 focuses on linking systems theory and knowledge, and the analysis of knowledge" (19) and is presumed to more directly integrate conceptual considerations from systems theory, knowledge, and innovation. Its principles include that systems theory and systems approach represent a more holistic paradigm than a purely economy-based rationale; knowledge-based systems concepts need to be constantly tested; knowledge is more aggregative than research, science, technology and innovation; multilevel systems of knowledge are relevant for holistic understanding; and networking connects "different modes of knowledge production and knowledge use and also connects (sub nationally, nationally, and transnationally) different systems or sectors of society" (20). The theory is widely applied in various contexts including within the contexts of the quadruple and quintuple helices, and innovation.

Building on Mode 2, and academic capitalism and the new economy, Rhoades and Slaughter explore "the restructuring of employment and productivity in the academe, into a new form that we call Mode 3. Such changes involve reorienting academe to more "relevant", "practical" purposes related to work outside higher education" (2006, 9). They challenge many of Mode 2 propositions and discussed their conception of Mode 3, "embedding it in a

discussion of academic capitalism and the new economy in the U.S.” (Ibid, 11). Mode 3 “foregrounds the significance of new professional groupings that are emerging in the interstices of academic organizations” (15).

Drawing on the globalization of the economy and of science, Jimenez (2008) conceptualizes how research is closely linked to “the learning function” and to real community needs in Mexico. Graduate research, which is driven by current societal problems, is used as a stepping stone to conceive Mode 3: “a mode of knowledge production whose distinctive characteristic is a commitment to be at the service of mankind” (49). Mode 3 is conceived to “solve felt needs of specific communities, hence actually being more socially accountable than Mode 2” (55).

In sum, the five Mode 3 theories introduced above seem to take varied perspectives and frames of references. Ray and Little conceptualize tacit knowledge in the workplace whereas Barnett problematizes learning in higher education within the context of supercomplexity. Rhoades and Slaughter theorize on how and to what extent higher education aspires to make research and instruction more commerciable whereas Jimenez explores how graduate research is born out of and is conducted for solving real community problems. On the other hand, Carayannis and Campbell argued for a systems approach to the production of knowledge and acknowledged various multilevel knowledge systems.

The next section consecutively examines the theories with regard to their rationales, knowledge conceptions, conditions/factors affecting knowledge production, evidence bases, methodological approaches, and quality assurance systems.

### **Mode 3 rationales**

To justify their significance, all Mode 3 theories identify Mode 2 deficiencies or inadequacies. Generally, three inclusive lines of thought or rationales are identified.

*Expansive-holistic rationale.* Barnett, and Carayannis & Campbell theories claim that Mode 2 does not adequately reflect societal complexity and the dynamics of knowledge and its production. These theories aspire to configure a more holistic understanding of societal and knowledge complexity. They acknowledge alternative and multiple approaches (which may include Modes 1 and 2) to knowledge, emphasizing respectively on supercomplexity and systems approaches. These theories claim to expand on Mode 2 thinking to enable a more holistic analysis of conditions at subnational, national, regional, and global levels.

*Pragmatic-local rationale.* Other Mode 3 theories seem to capitalize on how and to what extent 1) professionals deal with practical tacit knowledge (Ray & Little), and 2) local community needs give ‘birth’ to the conduct of research (Jimenez). The purpose of research is to directly contribute to organizational productivity (Ray & Little) and to community development (Jimenez). As in expansive-holistic theories, pragmatic-local theories seem to acknowledge the role of alternative knowledge modes. They consider “Mode 1 knowledge as a tool, Mode 2 knowing as practice, Mode 3 knowledge as a collective tacit tool of knowing”

(Ray & Little, 154). Employees and communities are primed as producers and users of knowledge. Overall, pragmatic-local theories are more locally and pragmatically driven than expansive-holistic theories are.

*Critical-refutationist rationale.* Although holistic and pragmatic theories try to challenge Mode 2 thesis, they generally appear to expand and build on it. Rhoades and Slaughter Mode 3, however, critically challenges the conceptual and empirical foundations of Mode 2. Nearly all the major propositions of Mode 2 are presumably refuted, putting to test the very scientific rigor of Mode 2. Points of departure include that Mode 2 does not make adequate distinctions between Modes 1 and 2; higher education-society linkage is not a manifestation of social accountability but more of revenue generation scheme by the former; new structures within higher education are not transient; Mode 2 focuses on research only; research is not conducted in the prime interest of corporations but in university economy interest; and transdisciplinary research engagements are mere additions to traditional department organization.

Overall, Mode 3 theories justify their contributions vis-a-vis the strengths and weakness of Mode 2 thinking. All seem to proclaim that science and the scientific method traditionally associated with Mode 1 need reconceptualization and pluralistic interpretations of society and science need to be considered. Part of the reconceptualization is linked to their conceptions of *knowledge* itself.

### **Knowledge conceptions and conditions**

Mode 3 theories share substantial commonalities with regard to their conceptions of knowledge and the conditions that affect its production. One, most (Barnnet, Carayannis & Campbell, Jimenez, Ray & Little) view knowledge as a social construction and hence acknowledges the roles various actors play in its production. Barnett claims that “our descriptions of the world are always contestable and in which we know that to be the case. Our hold on the world is now always fragile” (2004, 250). Knowledge is viewed as a complex of personal, tacit, experiential and propositional knowledge (Ibid, 251). A “pluralist approach suggests a useful way of recognizing that different types of knowledge can contribute to practice without losing their intrinsic identity because of ‘conversion’; insisting that knowledge is all of one type can have severe consequences” (Ray & Little, 162).

Two, Carayannis & Campbell, Jimenez, and Ray & Little consider knowledge as situated within socio-cultural, economic, and political realities. This conception challenges the universality of knowledge claims.

Three, all the theories consider knowledge within application versus theoretical contexts. Meaning, research produces applicable knowledge. Rhoades & Slaughter contend that “our discussion of academic capitalism and the new economy, and relatedly of managerial professionals and Mode 3 should make clear that problem definition is grounded in the economic interests of the university, which are pursued in concert with particular corporate interests outside the academy” (2006, 17).

Four, all acknowledge the role eventual knowledge users play in its production. Five, knowledge is open and accessible (Barnnet, Carayannis & Campbell, Jimenez). It is no longer confined to expert communities and hence is presumably becoming more of a public good. Six, intersubjectivity along the process is implicated by all but Rhoades & Slaughter. Knowledge as an objective and stable reflection or representation of reality is challenged. Seven, subnational (institutional), national and international-level conditions (Barnnet, Carayannis & Chambers, Rhoades & Slaughter), community of practice (Jimenez, Ray & Little), and multiplicity of epistemological frameworks (Carayannis & Campbell, Barnnet) affect knowledge production.

Two more points are worth mentioning. One, a more bottom-up, local-societal/national initiative is emphasized in knowledge production (Carayannis & Campbell, Jimenez), Carayannis & Campbell theory also acknowledges top-down initiatives. Two, although research and instruction tend to be viewed in commercial values, disciplinary cultures are still the core of higher education organization and knowledge production (Rhoades & Slaughter). Meaning, within the general culture of the academe, university units aspire to add more economic value to their research and instruction. Mode 3 theories “involve reorienting academe to more “relevant”, “practical” purposes related to work outside higher education and entail a growing infrastructure within colleges and universities that connects the production of research and instruction to the external world” (Rhoades & Slaughter, 9). This thesis seems beguiling and compelling given the amount of evidence put forward in support of it.

### **Methodology and quality assurance**

Mode 3 theories seem to hold similar methodological views. One, they generally acknowledge multiple perspectives, world views, and methodologies- plurality of knowledge production modes is acknowledged. Except for Barnett (where incompatibility is implicated), Modes 1, 2, and 3 are considered as compatible, complementary or alternative modes. Carayannis and Campbell Mode 3 emphasizes “the additionality and surplus effect of a co-evolution of a pluralism of knowledge and innovation modes. Two, intersubjectivity, transdisciplinarity, or multidisciplinary are also acknowledged. Three, all theories but Rhoades & Slaughter’s clearly promote social/participatory epistemology. In Carayannis & Campbell Mode 3, “Constructivist notions are emphasized, implying that social systems cannot be understood independently of an observer, since they are not naturally predetermined but to a large extent socially constructed” (2006, 2).

Four, knowledge is permanently open for further qualification/validation (Barnnet, Carayannis & Campbell). Barnnet claims that “knowing the world is a matter of producing epistemological gaps. The very act of knowing becomes a process of active knowing” (2004, 251). Also, “There is a need for permanently testing the applicability of knowledge-based systems concepts. Through this application orientation, the theoretical development of knowledge systems concepts will be further enhanced” (Carayannis & Campbell 2006, 19). Except for Rhoades & Slaughter’s, all the theories seem to undertone the significance of the scientific method closely associated with Mode 1.

These theses have implications to quality control or quality assurance in knowledge production. One, there is no clear boundary or form of right knowing and knowledge (Barnnet, Carayannis & Campbell). Meaning, “Supercomplexity produces a multiplication of incompatible differences of interpretation” (Barnett 2004, 259). Two, all theories consider knowledge producers and users as quality validators/regulators. Theories indicate a shift from peer to public review of science, implying the presence of competing voices or conflict of interest. Rhoades & Slaughter Mode 3 maintains that “accountability is narrowed by the academy’s increasing market embeddedness. Accountability is more and more a matter of the potential to generate revenue.....Accountability comes from the private sector marketplace, which is not a demanding taskmaster in terms of a range of public good considerations” (2008, 18).

### **Evidence base**

The evidence bases of Mode 3 theories are varied. All of them conducted conceptual/literature reviews of Modes 1 and 2 knowledge and observed change dynamics in higher education and society. Rhoades & Slaughter, Carayannis & Campbell, and Jimenez Mode 3 theories draw on empirical data and complement their analyses with reconceptualizations of existing frameworks. The theories also considered third-party data. Barnnet, and Ray & Little theories are primarily conceptually driven, building mainly on extant literature and very limited empirical data. Overall, more empirical grounding and replicability of theories across contexts seem wanting.

### **Discussion and conclusion**

Using the analytical frameworks as organizing logics, this section discusses the major findings of the study. A case is first made whether there is cultural convergence, divergence, or emergence within Mode 3 theories. The epistemic cultural differences or similarities between Mode 3 and Mode 2 are then highlighted. For a holistic mapping out of the conceptual contours, cultural differences or similarities existing among Mode 2, Mode 3, and epistemic cultures are finally compared. To better inform further scholarship, the concluding paragraphs identify tensions and issues in characterizing the various modes of knowledge production along cultural conceptions.

The findings reveal substantial commonalities within Mode 3 theories with regard to their rationales, conceptions of knowledge, the conditions and factors that affect knowledge production, methodology, and quality assurance systems. Mode 3 theories seem to hold that 1) they offer a better depiction of contemporary science-society linkages than Mode 2 does; 2) knowledge is mainly a social construction prone to intersubjectivity; 3) knowledge is socio-culturally, economically, politically, and temporally situated- the universality of science is questioned; 4) knowledge production is framed primarily within application contexts; 5) knowledge users are engaged in the planning and conduct of research and in quality control- the public review of science is emerging; 6) science/knowledge is open/accessible for use and for further validation- knowledge as a purely objective and static conception available only to researchers and their professional networks is in question; 7) research is transepistemic, involving and responding to conditions at individual, institutional, national, regional,

professional, and global levels- consistent with the Quintuple Helix model of university-industry-government-media/civil society-natural environments of society relations (Carayyanis & Campbell 2012); and 8) multiple/plural perspectives, frameworks, methodologies, and modes of knowledge production are acknowledged- the unitary conception of the scientific method is deconstructed. These are the major attributes or propositions of Mode 3 thinking in higher education.

Consequently, Mode 3 theories seem to demonstrate more of cultural convergence than divergence or emergence. They converge around a shared reconceptualization of science/research, taking in to account emerging developments in society and in higher education. The holistic-expansionist and the pragmatic-local Mode 3 theories outlined above clearly reveal more cultural commonalities than differences. Although each theory aspires to offer a better explanation of emerging higher education-society linkages, they appear to hold similar propositions with regard to the analysis parameters considered in this study.

This cultural convergence could be considered significant when the historical development of Mode 3 theories is considered. Sandstrom claims that “Multiple voices are currently speaking about Mode 3 knowledge in contrast to Modes 1 and 2. But up until now they are not always addressing the same thing (or even speaking the same language) and are not in several cases even aware of each other” (2014, 36). That 1) each theory is not aware of the other, 2) each has a particular thematic focus area, and 3) each tends to converge along several epistemic ‘lines’ outlined above partly indicates the ‘validity’ of Mode 3 thinking generally. The theories appear complementary to each other and could be acknowledged for their self-replicatory function.

Sandstrom indicates, “there is a new paradigm, new model, new theory or new approach to higher education and knowledge, etc. now called ‘Mode 3’” (2014, 36). The current study points toward the thesis that Mode 3 is more of a mode or an approach than it is a paradigm or a theory as such. To qualify as a paradigm, Mode 3 must hold substantially distinct theoretical/methodological assumptions and principles compared to its predecessors, Modes 1 and 2.

Mode 2 maintains that 1) knowledge is generated within a context of application versus basic science; 2) transdisciplinary versus multi/disciplinary orientation is getting hold, 3) diverse knowledge production sites are emerging; 4) knowledge is highly reflexive versus objective; 5) novel forms of quality control versus the peer review system are emerging; and 6) science and knowledge are contextual. These propositions are in perfect parlance with the propositions of Mode 3. Considering the parameters of this study, Mode 3 appears ‘appropriations’ or ‘substantiations’ of Mode 2 across settings. Mode 3 propositions do not seem to make a qualitatively substantial ‘drift’ from Mode 2 propositions. Hence, there is also more of cultural convergence than divergence or emergence between Mode 2 and Mode 3. Considering the parameters this study employed, it could be argued that Mode 3 thinking ‘validates’ Mode 2 thesis across a set of contexts.

The critical-refutationist Mode 3 theory (Rhoades & Slaughter, 2006) is but a clear exception to the cultural convergence. This Mode 3 theory tends to refute Mode 2 core propositions. Its points of departure include that Mode 2 does not make adequate 'rift' from Mode 1; higher education-society linkage is not a manifestation of social accountability but more of revenue generation scheme by the former; new structures within higher education are not transient; Mode 2 focuses on research only; research problem definition is not conducted in the prime interest of corporations but in university economy interest; and transdisciplinary research engagements are mere additions to traditional department organization. Along these lines, propositions are put forward to supposedly better depict emerging knowledge production modes along commercial lines. It could thus be claimed that there is cultural divergence between Mode 2 and Rhoades and Slaughter Mode 3 theory. As the latter seems generally operating within and extending Mode 1, the cultural divergence between Mode 1 and Mode 2 could be considered as another indication of the divergence between it (Rhoades and Slaughter Mode 3) and Mode 2.

It is also interesting to outline cultural similarities or differences between Modes 2 and 3 thinking, and Knorr Cetina's epistemic cultures (including knowledge cultures, and macro-epistemics). As outlined in the analytical frameworks section, Knorr Cetina theories hold that 1) disciplinary cultures are inadequate to explain contemporary policy and strategy of knowing; 2) research is becoming transepistemic, involving scientists, professional associations, non-scientists, funders, policies, and other stakeholders including media-consistent with the Quintuple Helix model (Carayyanis & Campbell, 2012); 3) the scientific method is viewed as multi-textured, refuting the standardized objective view; 4) research is sensitive to socio-cultural contexts; 5) knowledge production and progress is not limited to clear-cut processes of verification and falsification, but with "untidy" businesses of experimentation (Knorr Cetina, 1999, 101); and 6) all the above reveal the disunity of the sciences. These theses are generally consistent with Mode 2 and Mode 3 theses. This could be considered indicative of more of cultural convergence than divergence among epistemic cultures, and Modes 2 and 3 thinking. These three knowledge production cultures are complementary and jointly better explain emerging science-society change dynamics than Mode 1 does.

In sum, Modes 2 and 3, and epistemic cultures appear to make substantial 'shifts' from Mode 1, indicative of cultural divergence. They jointly reflect how and to what extent higher education is repositioning itself to better address emerging changes at various levels. The grand thesis is that research is becoming transepistemic (Knorr Cetina, 1999), involving scientists, machineries, funders, national policies, quality assurance regimes, and users during planning and its conduct. Research is becoming more and more collaborative and transcends disciplinary and national boundaries and networks, affecting both epistemic subjects/objects and methodological perspectives. The contextuality of knowledge production is manifested in *levels* (local, institutional, national, regional, and global), *dimensions* (socio-cultural, economic, and political), and *elements* (norms, power relations, regulative principles, technologies, resources, and strategies) (Bekele, 2018). This deconstructs the universal

conception of science/knowledge and makes replication/validation of theories a particular challenge.

However, this study concurs with Scott's claim that it is "misleading to see these changes (Modes 1 and 2 and the Triple Helix) as evidence of a kind of linear paradigm shift from an "old economy" of pure science and disinterested scholarship to a "new economy" of applied science and activist research" (2003, 215). As the foregoing discussions reveal, the cultures co-exist and even complement each other. Modes 2 and 3 and epistemic cultures seem to make shifts only in limited areas and not in overall Mode 1 set up- the cultural change is limited to divergence. Considering this and the cultural convergence between Mode 3 and Mode 2, and within the various Mode 3 theories, it is concluded that paradigmatic change does not yet occur in higher education knowledge production.

Yet, Modes 2 and 3, and epistemic cultures seem to have multifaceted ramifications, potentially affecting the organization of not only research but also teaching, learning, science policy, quality and regulatory regimes, and even governance. That the conceptions consider developments in the natural and social sciences as well as technology and innovation fields simply amplify their significance. They seem to call for a substantial reconceptualization of quality, relevance, and significance of higher education amidst societal changes.

However, some points need to be considered with regard to cultural convergences and divergences found in this study. One, this study focuses only on the pattern and trend in cultural change with regard only to six parameters, as the purpose is to map out the conceptual contours of the various modes. Differences of substantial nature might exist among the modes along other 'lines' not included in this study. Two, Mode 3 and even Mode 2 appear to primarily rely on limited empirical data collected at some point in time and place, and reviews of literature and science policies. This might leave some reservations about their rigor and overall fecundity. Three, the modes are relatively new, awaiting further qualifications and replications across contexts. Four, cultural change over time appears "highly fluid and irregular" (Kastenhofer, 2007, 368). Moreover, "since the investigation of epistemic cultures can only be done comparatively, such an approach allows only for a discussion of relative convergences and is unable to address convergence in absolute terms" (Ibid). It is therefore better to consider the cultural convergences (within Mode 3 theories, and between Mode 2 and Mode 3) and cultural divergences (between Mode 2 and epistemic cultures, and Mode 1) only as processes of relative convergence and divergence of general qualitative nature. There is a possibility of spotting some elements of divergence within converging cultures and convergence within diverging cultures. Only closer examinations of the cultures could reveal nuanced distinctions among them.

Further studies are recommended on many fronts. One, studying the knowledge production cultures in comparison with poststructural, postmodern, postcolonial, and/or critical perspectives could yield more interesting insights. Approaches from the history and philosophy of science could be relevant in this regard. Two, within the conceptual confines of Modes 2 and 3, and epistemic cultures, further studies that problematize scientific rigor and contextuality, academic freedom and institutional autonomy, governance and power relations,

and quality and relevance of education could substantially improve our understanding of emerging higher education-society change dynamics.

This configurative study aspires to contribute to our understanding of Mode 3 theories in comparison with Mode 2 and epistemic cultures with regard to particular parameters. It maps out the conceptual contours of these modes of knowledge. General divergences and convergences existing between and among the knowledge production cultures along certain parameters are featured. This could be considered a modest contribution to further sustain the discussion on this significant and timely topic of higher education-society linkages and engagements.

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## **Education as Adaptive Strategies in the Face of Land Scarcity among the Alla and Nolei Oromo of Lake Haramaya-Tiniqe Watershed, Eastern Ethiopia: Aspiration and Reality, Tilahun Tefera, St. Mary's University, Ethiopia**

### **Abstract**

The value for women fertility, the shift from pastoral livelihood to sedentary agriculture and polygamous marriage were historic factors for the population surge of Lake Haramaya-Tiniqe Watershed. Because of population surge, land became the scarcest resources. In the area, household landholdings are the only land sources for the new generations. Accordingly, a father should have a responsibility to allocate land for each son at marriage. For instance, a man who has ten sons, will appropriate his land for all of them during marriage. The same is expected for those sons who get *mirazaa* (one's own land share) when they have their own sons in the future. Hence, the scarcity of land becomes acute. Amidst of this problem, households are looking for different adaptive strategies. In this regard, education has become one of the adaptive strategies to alleviate land scarcity. Thus, the purpose of this article is to examine the role of education as adaptive strategy in the face of land scarcity. It also attempts to explore whether education has served its purpose up to community's expectation or not.

**Keywords:** adaptive, strategy, education, land scarcity, aspiration and reality

### **Introduction**

Harmaya Wereda is placed in the Central Highlands of Ethiopia that stretch from the eastern margin of the Rift Valley to the Somali and Afar lowlands (Brooke, 1956: 28). Astronomically, it lies roughly between 9<sup>o</sup>20' - 9<sup>o</sup>35' North latitude and 41<sup>o</sup>51' - 42<sup>o</sup>04' East longitude. According to Chalachew (2004), the area of the Wereda is 550 km<sup>2</sup>. In the Wereda there are four towns (Haramaya, Adele, Bate and Awaday) and 33 rural *kebeles* (CSA, 2007). The capital of the Wereda, Haramaya, is located 505 km from Addis Ababa on the main highway to Harar.

In terms of altitude, Haramaya Wereda is positioned between 1900m and 2450m above sea levels. Thus, it lies between two agro-ecological zones: *dega*<sup>1</sup> and *woina-dega*<sup>2</sup> and its climatic condition is a composite of the two agro-ecological zones. The mean annual rainfall of the Wereda is 784.1mm and the mean annual temperature is 16.9<sup>o</sup>C (Chalachew, 2004: 30).

On the other hand, my research site, Lake Haramaya-Tiniqe Watershed, is roughly situated in the north and northeastern part of Haramaya Wereda, which consists of eleven rural *kebeles*

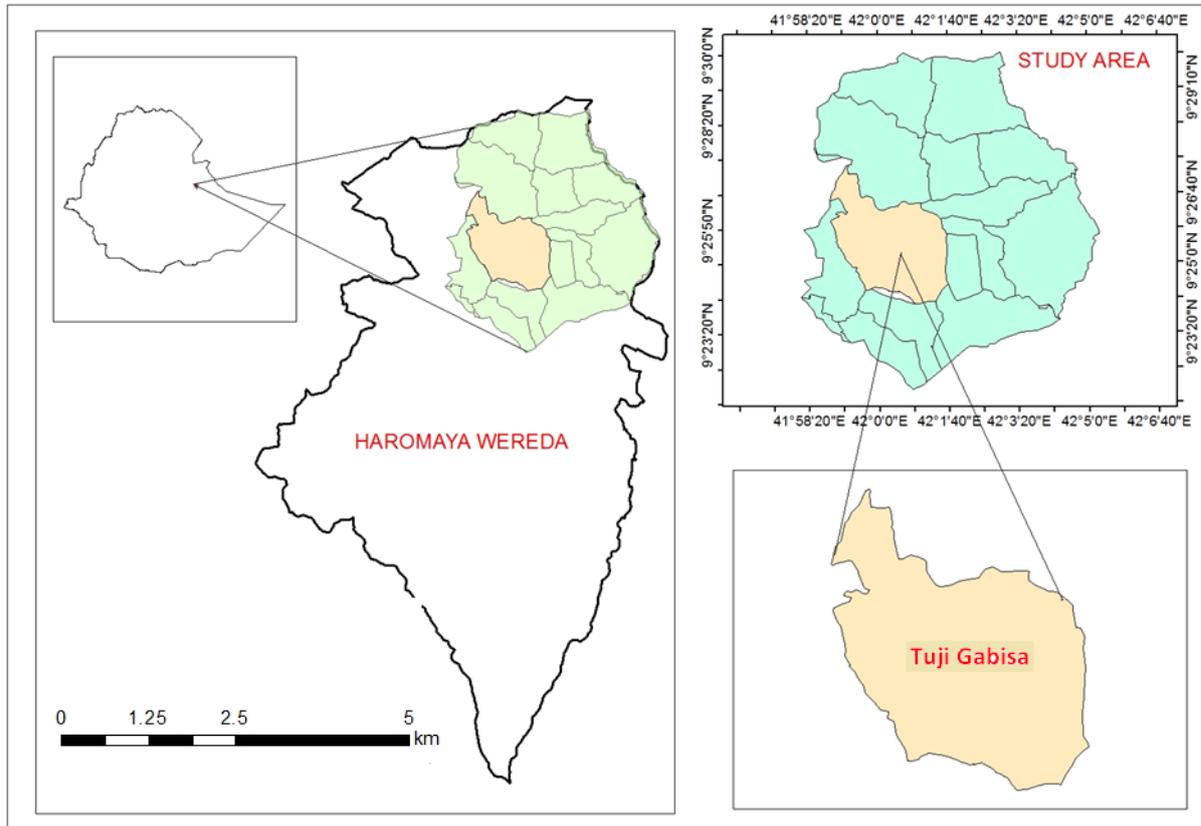
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<sup>1</sup> *Dega*: the traditional agro-ecological zone for areas lying between 2300m and 3300 m above sea level, and

<sup>2</sup> *Woina dega* is the traditional agro-ecological zone areas lying between 1500m and 2300m above sea level (Chalachew, 2004).

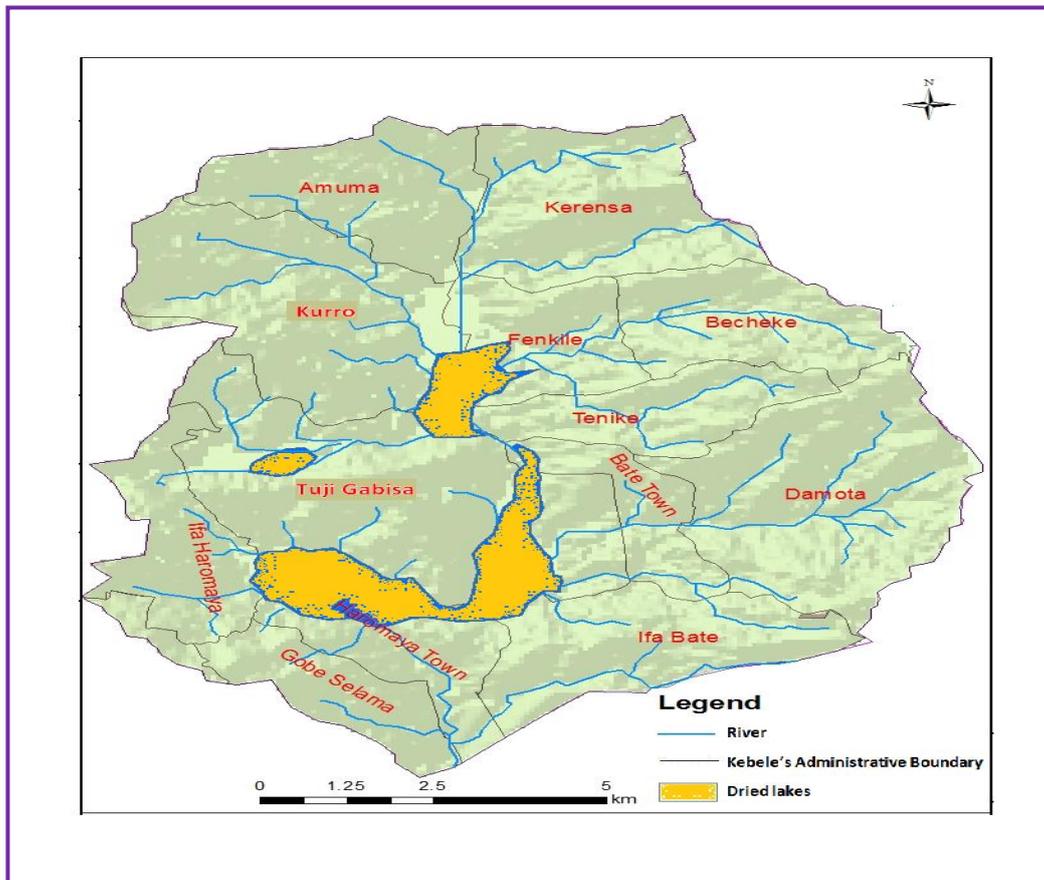
(*araddas*) and three towns (Haramaya, Adele, and Bate). The eleven *araddas* are Finkle, Tiniqe, Damota, Tuji Gabissa, Kurro Jalala, Ammuma, Ifa Bate, Gobe Selama, Ifa Haromaya, Bacheqei, and Kerensa. Astronomically, the Watershed is located between 09<sup>o</sup> 21' 40" to 09<sup>o</sup> 30' 00" North latitude and between 41<sup>o</sup> 56' 20" to 42<sup>o</sup> 05' 00" East longitude.

Map 1: The Study Area Map/Lake Haramaya-Tiniqe Watershed.



(Source: Landsat ETM/Enhanced Thematic Mapper, DEM/Digital Elevation Model and Topographic Map from EMA/Ethiopian Mapping Agency, 2010)

Map 2: Lake Haramaya-Tiniqe Watershed with Respective Kebeles



(Source: Landsat ETM/Enhanced Thematic Mapper, DEM/Digital Elevation Model and Topographic Map from EMA/Ethiopian Mapping Agency, 2010)

## Population

Ethnically, almost all rural areas of Haramaya Wereda are inhabited by the Oromo, and in terms of religion they are Muslim. The population size of the Wereda has been increasing across periods. In the country, three nationwide censuses were carried out in the year 1984, 1994, and 2007. According to census returns, total population of Haramaya Wereda found to be 127,179, 166,597 and 271,018 respectively (CSA, 1987; CSA, 1996 & CSA, 2008). By the 2007 censuses, the population size of the Wereda showed a 113% increase from that of 1984 to reach 271,018 (CSA, 2008). Of this, 50,032 and 220,986 were urban and rural dwellers respectively. Similarly, the population projection for the year 2014 made the population size of the *Wereda* 351,198, which results in an increase of 176% or nearly two-fold of the 1984 census. The same projection shows an increase of 29.6% from the population size of 2007.

## Historic Reasons for Population Surge

Adult male informants argued that in Haramaya Wereda, there is acute land scarcity emanated from high population growth. Particularly, land scarcity was so serious among Nolei Oromo that it forced significant number of them to move out westwards in search of farmlands. As a

result, there exist pockets of the Nolei Oromo settlements in Dadar, Hirna, Galamso, Chercher and Arsi-Bale areas. It is supposed that scarcity of land has occurred in Lake Haramaya-Tiniqe watershed shortly after the Alla and Nolei have settled as sedentary agriculturalists. Based on the accounts of most adult male informants, there are different possible factors for population growth of the area. One of the main factors is the value given to mothers' fertility among Alla and Nolei Oromo. The community believes children are fed by *Rabbi* and were born with fates which can improve households' living conditions.

The shift in livelihood strategy from pastoralism to sedentary agriculture was another historic factor that contributes for population growth. According to key informants, while they were pastoralists, there were occasions that separate spouses from each other for months, which in turn, minimized the likelihoods of mothers' conception. In contrast, following their conversion to sedentary agriculture, the likelihood of mothers' conception increased as rate of sexual intercourse increased between spouses.

Islamic tradition is the third notable factor for high population density of the region. Based on Islamic ideology, the Oromo used to marry up to four or five wives. The four or five wives in turn gave birth to their maximum capacity of fertility. Several informants contended, on the average each of these four wives delivered 6 to 10 offspring. So, polygamous tradition played its part in population growth although this type of marriage is hardly found at present. However, polygamous marriage is an age-old tradition of the Oromo though Islam gave more impetus to it.

### **Statement of the Problem**

The study area is marked with high population growth. As a result of this population growth, households' land holding size is getting smaller and smaller. Several informants stated that this is because fathers keep on allocating their small holdings as *mirazaa* (one's own land share) lands to their sons upon marriage. Consequently, the land once used by a single household, eventually divided to several households. One can easily understand the population pressure in the study area by observing settlement patterns across the watershed. Amidst of this challenge, households have opted to different endeavors as adaptive strategies for long term and short-term solutions, of which, education, family planning, forming cooperative associations, being daily labourer, land leasing, intercropping, intensive farming, and water well construction are among others. However, the purpose of this article is to explore the role of education as an adaptive strategy in the face of land scarcity that challenges community's principal livelihood strategies. The expectation and the actual reality of education as an adaptive strategy will be investigated.

### **Methodology**

Data for this article were collected while I was engaged in a one year fieldwork for my PhD dissertation on Lake Haramaya-Tiniqe watershed. To understand the issue, I employed survey, interview, observation, and focus group discussion/FGD as data collection techniques.

## **Theoretical Framework**

The very essence of actor-based model is that ecological adaptation occurs at the level of individuals instead of cultures or populations. This model is founded on the notions of individual decision making process and exclusive natural selection at individual organism level which are the concern of both anthropologists and evolutionary biologists respectively. Therefore, based on this philosophy, it is possible to conclude that “any higher levels of organization, whether communities, ecosystems, or human social systems, exist only as the fortuitous outcome of interactions among many individual organisms” (Rambo, 1983: 18).

Actor-based model argues against the views that society’s environmental adaptation is resulted from natural selection of cultural or social system rather it emanated from decisions of thousands of individuals preferences how to deal with the environment. As a coping strategy of environmental pressures, individuals are decision makers on how to make livings from available natural resources (Rambo, 1983: 18). Accordingly, individuals who have made right decisions become prosperous and fit to survive in the existing ecological system; whereas, those who have made wrong decisions become unfit and screened out as against the system. Through time, those adaptations that become successful will be institutionalized and considered as cultural norms.

The actor-based model of human ecology assumes that individuals are always rational decision makers though the assumption seems unacceptable (Rambo, 1983: 21). For instance, though no anthropologist stood against the concept that indigenous communities have their own traditional natural resource management system, but cumulative effects of individual decisions often create environmental hazards as in the case of pastoralists.

## **Discussion and Analysis**

### **Land Scarcity**

As it is mentioned earlier, households’ land holding size is getting smaller and smaller due to population pressure. Several informants stated that this is because fathers keep on allocating their small holdings as *mirazaa* lands to their sons upon marriage. According to the explanation of most informants, a man who fathered ten sons will divide his plots of land for all of them during their marriage. In this regard, each son gets small plots of land which sometimes may not be enough to build a house on it. The problem will get worse after those married sons get their own babies. Ideally, they will do for their sons what their fathers did for them. So, it is very difficult to make a living out of these tiny plots of land. The seriousness of land scarcity was explained by one of my informants as follows:

*...so, fathers have responsibility of allocating mirazaa for their sons during marriage. Regardless of land size at households’ disposal, they allocate mirazaa land for their sons. In so doing, the land size is getting smaller and smaller and has become ada-ra’ee, literally means an area with a size of a goat’s forehead. Nowadays, in our community, fathers are not happy to have sons and they are looking them as threat for their small plots of land. So, as opposed to the past, fathers are not in fond of their sons. On the other hand,*

*brothers are looking at each other with enmity fearing each other as an obstacle for their interest in land (Chala Dawi, 01/05/2013 at Ganda Hulul).*

Table 1 below shows the severity of land scarcity across the watershed. From eleven *araddas* of the watershed, only in Ifa Bate and Finqile the average arable households' land holding size is reached to 1.70 and 1.01 hectares respectively. In the remaining *araddas*, the average arable households' land holding size is below one hectare. The lowest average households' arable land holding size is recorded to be 0.24 and 0.37 hectares in Kuroo and Ifa Haromaya respectively.

Table 1: Average Arable Households' Land Size in Each *Aradda*.

Name of <i>aradda</i>	Total number of HHs	Total size of arable land in ha.	Average arable land holding size per HHs in ha.
Ifa Batee	712	1212	1.70
Damota	1329	1053	0.79
Tiniqe	712	710	0.99
Bachaqe	944	603	0.64
Finqile	855	872	1.01
Qerensa Daraba	1610	850	0.53
Amumaa	1248	559	0.45
Kuroo	2039	486	0.24
Tuji Gabisaa	1780	1207	0.68
Ifa Haromaya	2663	987	0.37
Gobe Salamaa	1300	740	0.57

Source: Compiled and computed by the researcher based on data from Haramaya Wereda Agricultural and Rural Development Office and from CSA, 2007

On the basis of the findings from survey and remote sensing data, *khat/jimaa* cultivation is a prominent livelihood strategy of the Alla and Nolei Oromo on Lake Haramaya-Tiniqe watershed followed by cereal and vegetable cultivation. However, informants described that their main livelihood strategies are challenged by scarcity of water, erratic rainfall distribution, land scarcity and *amadaay*/frost.

Amidst of the above challenges, households have opted to different endeavors as adaptive strategies for long term and short term solutions, of which, education, family planning,

cooperative associations (*kahadhe* and *alaada*), being daily labourer, land leasing, intercropping, intensive farming, water well construction, and owning pack animal are among others. However, the purpose of this article is to explore the role of education as an adaptive strategy in the face of challenges for the community principal livelihood strategies particularly of land scarcity.

In line with the essence of actor-based model of human ecology, each household has made decision to adopt different alternatives as coping mechanism in the face of challenges to basic livelihood strategies.

As it is explained earlier, land scarcity is one of the serious challenges for community's livelihood strategies. Most of households in the watershed own land less than one hectare. In contrast, among Alla and Nolei Oromo of Lake Haramaya-Tiniqe watershed, household size is generally large. This was confirmed through my observation and chains of discussions held with different informants. The same idea was further triangulated via data obtained from survey questionnaire conducted in Aradda Tuji Gabisa and the results are presented in the Table 2 below.

Table 2: Percentage and Frequency Distribution of Total Household Size

Total household size	Frequency	Percent	Valid Percent	Cumulative Percent
2	1	.4	.4	.4
3	8	3.5	3.5	3.9
4	21	9.2	9.2	13.1
5	35	15.3	15.3	28.4
6	26	11.4	11.4	39.7
7	39	17.0	17.0	56.8
8	35	15.3	15.3	72.1
9	22	9.6	9.6	81.7
10	16	7.0	7.0	88.6
11	9	3.9	3.9	92.6
12	6	2.6	2.6	95.2
13	5	2.2	2.2	97.4
14	1	.4	.4	97.8
15	2	.9	.9	98.7
16	2	.9	.9	99.6
18	1	.4	.4	100.0
Total	229	100.0	100.0	

Source: Survey carried out by the researcher during fieldwork in 2014

From the survey conducted on 229 households, the minimum and maximum household size was two and eighteen respectively with a range of sixteen. As presented in the above table, out of 229 households, 17% and 15.3% had a size of seven and eight respectively. Moreover, on the basis of the above data, the mean or average household size was found to be seven.

Key informants asserted that land is scarce and households' land holding reduced to the level of threatening livelihood strategies. There is no extra or free land available for the next generation across the watershed. Plots of households' land are used as sources of lands for newly married sons. My key informants clarified that they are still allocating land measured and distributed by the Arabs for their newly married sons. As households land size is getting tiny, they have been insecure for their livelihood strategies.

Musa Ahmad, one of my key informants, was so sad while he was explaining how scarcity of land challenges their basic livelihood strategies. He stated as there is no solution to land scarcity crisis and explained his feeling metaphorically in his own native language as follows:

*'Namnii cittoon itti buute yoo qeessaa qabaate ni hooqa, yoo qeessaa qabaatuu baate ifumaa riga malee waan ishiin hooqu qaba'. Literally, a person who suffer from itch can get relative relief if he has claws for itching his skin. However, if he does not have claws, he is just brushing his skins and no temporal relief from itching. Similarly, we do not have any solution for the scarcity of land. We are living with our problems (Mussa Ahmad, 18/3/2013 at Ganda Bubba).*

Added to land scarcity, effects of *amadaay* on *jimaa*, vegetables and cereal crops is another challenge for households' livelihood strategy. Productivity of crops from small plots land at households' disposal is affected by effects of *amadaay*.

### **Education as an Adaptive Strategy**

In one of FGDs that held with males at Ganda Hulul, discussants revealed that though the first primary school which runs up to grade six was established during the reign of Emperor Haile Sellassie, access to education in Haramaya Wereda expanded following the downfall of his regime. During the *Derg* period, more primary schools including one high school at Haramaya town were built. Discussants further enriched that parallel to the expansion of formal education, the *Derg* made remarkable endeavor to eliminate illiteracy through literacy campaign. Informants clarified that with the existing regime, access to formal education has expanded more than the *Derg* period. In this regard, my field observation also confirmed the presence of lots of newly constructed primary schools across the research site.

Based on survey data and discussion with informants, land scarcity is so severe among my research subjects. During my field stay, I was able to notice small fragmented households' farmlands across Lake Haramaya-Tiniqe watershed. Male FGD discussants at Ganda Buba also marked that they have no extra lands to be distributed to the new generation. Thus, fathers have allocated plots of land for their sons at the age of marriage from households' holding. For instance, if a father has ten sons, he would apportion his land to eleven households including him. As a result, land owned by a single household will be allocated for eleven households. Regarding land scarcity, one of my key informants illustrated his own experience as follows:

*Ismael, a sixty-five years old man, explained that he had ten brothers and six sisters. Culturally, females were/are not legible for land inheritance and our father allocated his land for ten of us. Before distributing land for us, my father had a land size of nusaa.<sup>3</sup> I got two harshii (a land that can be plowed with two pairs of oxen within a day) as my mirazaa<sup>4</sup>. On my turn, I had allocated land for my two sons with a size of half harshii for each. Now, my two sons have nine sons together and still they will have more. In their turn, they will be expected to allocate land for their sons (Ismael Adam, 26/05/13 at Haji Din).*

Ismael believed that it will be impossible for his grandsons to get *mirazaa* lands so as to make a living out of it. So, schooling is taken as one of the community's coping strategies to ease land scarcity. Most of the informants explained that the number of children attending primary and secondary school has increased through time. In line with this, male FGD discussants at Ganda Ali stated that they send boys and girls to school indiscriminately. While I was in field, I often encountered large student population to and from school. Households send children to school with the intention of making them to look future livelihood from their educational career.

Large number of informants clarified that the current government has made them wakeful about benefits of education irrespective of children's sex though households are still in doubt to send girls to school. The rationale behind is that girls leave their parents at marriage and investment on them is seen as wastage. In the area, marriage is patrilocal and households believed that it has no use for parents to invest on girls' education.

Table 3: Statistics for Educational Status of Male and Female HHs Members at School

<b>Educational Status of M/F HH Members at School</b>	<b>N</b>	<b>Minimum</b>	<b>Maximum</b>	<b>Sum</b>	<b>Mean</b>	<b>Std. Deviation</b>
Male primary 1 <sup>st</sup> cycle	104	1	4	154	1.48	.696
Female primary 1 <sup>st</sup> cycle	85	1	4	125	1.47	.717
Male primary 2 <sup>nd</sup> cycle	61	1	4	83	1.36	.753
Female primary 2 <sup>nd</sup> cycle	40	1	2	49	1.23	.423
Male secondary 1 <sup>st</sup> cycle	39	1	2	46	1.18	.389
Female secondary 1 <sup>st</sup> cycle	9	1	1	9	1.00	.000

Source: Survey carried out by the researcher during fieldwork in 2014

<sup>3</sup> *Nusaa* is land tenure system which its size roughly estimated from two to three hectares.

<sup>4</sup> *Mirazaa* is a share of land allocated by fathers to sons from households' land at disposal.

The above Table 3 indicated that as grade level increased, the number of students attending education decreased due to dropouts for various reasons. From survey held on 229 households, 104 of them had male students and 85 of them had female students attending school at primary first cycle (grade 1 to 4). The total number of male and female students at this level was 154 and 125 respectively. The mean of male and female students who attended primary first cycle per household was 1.5; whereas, the standard deviations were 0.69 and 0.72 respectively, showing minor variation among households on children who attends primary first cycle. The number of students decreased to 83 male and 49 female in primary second cycle (grade 5 to 8) and it further decreased to 46 male and 9 female students at secondary first cycle (grade 9 to 10).

Similarly, data obtained from Haramaya Wereda Education Office, which is presented in the table below showed large number of students enrolled at primary first cycle. Yet, the number decreased at primary second cycle because of dropouts and reduced further at secondary first cycle. For instance, the total number of students in 2011 in primary first cycle was 40,224; whereas, at primary second cycle it was 10,049. The number of students in the same year at secondary first cycle was 1,022.

Table 4: The Annual school enrolment data of Haramaya Werada

Year	Grade Levels								
	1-4			5-8			9-10		
	M	F	Total	M	F	Total	M	F	Total
2004	14173	8024	22197	6,643	2079	8722	333	244	577
2005	14905	9654	24559	6008	2036	8044	1382	432	1814
2006	13912	8378	22290	4238	1501	5739	241	48	289
2007	14320	8946	23266	4579	1634	6213	435	93	528
2008	15737	10400	26137	5154	1999	7153	495	80	575
2009	15001	10697	25698	5383	2490	7873	708	189	897
2010	14809	12883	27692	5999	3068	9067	766	213	979
2011	22514	17710	40224	6474	3575	10049	784	238	1022
2012	20,913	16,050	36963	6022	3644	9666	744	250	994
2013	20669	15249	35918	5161	2732	7893	661	205	866

Source: data from Harmaya Wereda Education Bureau, compiled by the researcher in June, 2013

Despite high enrollment rate in primary first cycle, education as a coping strategy does not seem to serve its purpose and promise since most of the students return to their families as dropouts and failed. Male students who return to their parents look for *mirazaa* from small plots of land at households' disposal. There are also graduates of higher education who remain unemployed. I met some of them who are in quest of *mirazaa* lands from their fathers. One of my female key informants, Asha Ahmad, accused the government bitterly for its failure to provide job opportunities for new graduates. In this regard, investments made in children education through all the years could not create ultimate returns.

Informants from Ganda Hulul, Ganda Buba and Ganda Ali asserted that households invest scarce resources in their children's education considering it as coping strategy to overcome scarcity of land. However, after all investment in education, children will largely return home as dropouts, failed or unemployed. Male FGD discussants at Haji Din noted this condition as setbacks of their strategy because after investment made in boys' education, they returned home to claim *mirazaa* lands. It is double loss: the expense of education, and the claim for land. If fathers refuse to give *mirazaa* to their boys, conflict will ignite that culminates to *meenca*<sup>5</sup> confrontation.

Table 5: Statistics for Male and Female School Dropouts at Different Education Cycles

<b>M/F Dropouts at Different Education cycles</b>	<b>N</b>	<b>Minimum</b>	<b>Maximum</b>	<b>Sum</b>	<b>Mean</b>	<b>Std. Deviation</b>
Male dropouts at primary 1st cycle	35	1	1	35	1.00	.000
Female dropouts at primary 1st cycle	23	1	1	23	1.00	.000
Male dropouts at primary 2nd cycle	40	1	2	42	1.05	.221
Female dropouts at primary 2nd cycle	21	1	1	21	1.00	.000
Male dropouts at secondary 1st cycle	18	1	1	18	1.00	.000
Female dropouts at secondary 1st cycle	8	1	1	8	1.00	.000

Source: Survey carried out by the researcher during fieldwork in 2014

As per the survey conducted on 229 households, Table 5 indicated the number of male and female dropouts in households at different educational cycles. In the above table, 35 male and 23 female students were identified as dropouts at primary first cycle level. The average (mean) dropout for both sexes per household was 1, and standard deviation was 0, showing absence of variation in dropouts among households. Similarly, at primary second cycle, 42 male and 21 female students quitted their education. The mean dropouts per household for both sexes

<sup>5</sup> Large hand sickle used for cutting trees and shrubs. It was also used as instrument to defend oneself from any possible attack

at this cycle was 1. But, the standard deviation of male and female dropouts at this level was 0.2 and 0 respectively, showing negligible and absence of variations among households in dropouts. The number of male and female dropouts at secondary first cycle was 18 and 8 respectively.

Male FGD discussants at Ganda Migno explained that though not up to their expectations, there are some graduates who managed to make livings from their educational careers. Abdella who was 78, illustrated the conditions he observed as follows:

*There are some graduates in my village, Ganda Migno, who are employed as civil servants in government sector offices. Of course, there are dropouts, failed students, and graduates who do not have jobs that claim mirazaa lands from their fathers. Thus, education as a coping strategy is too far to be solution for existing land scarcity (Abdella Mume 2/06/13 at Ganda Migno).*

On the other hand, there are graduates who have been employed but claim *mirazaa* land from their fathers since their salary is generally too small to live with it. This demand triggers conflict between fathers and uneducated sons on the one hand, and graduates who have jobs on the other hand. Naturally, fathers respond to those graduates as they have already collected their *mirazaa* through the investment made in their education. This kind of response often ensues in *meenca* confrontation. Thus, though the community believes education as major way out to overcome land scarcity, its impact is far behind to solve this problem.

Table 6: Percentage and Frequency Distribution of Educational Qualification of Employed HHs Members

Educational qualification of employed HHs members	Frequency	Percent	Valid Percent	Cumulative Percent
Undergraduate degree holder	4	1.7	28.6	28.6
Diploma holder	7	3.1	50.0	78.6
Degree & Diploma	3	1.3	21.4	100.0
Total	14	6.1	100.0	
Missing System	215	93.9		
Total	229	100.0		

Source: Survey carried out by the researcher in 2014

In the survey conducted on 229 households, only few of them had members who were employed through their educational career. As it was indicated in Table 6 above, from total respondents, only 14 households responded as they had employed members through educational career. Out of which, four households responded that the educational qualification of employed members was undergraduate degree and seven of them replied that employed

members had diploma. Three households responded they had employed members who had diploma and undergraduate degree qualifications.

In general, the investment that has been made in children's education is premature to be solution for land scarcity. Households' investments in education have been less effective in solving the problem of land scarcity since dropouts, failed students, and both employed and unemployed graduates continued to claim *mirazaa* lands.

### **Concluding Remarks**

Households consider education as a basic solution to ease the problem of land scarcity. Though they have some reservation on girls, they send their children to school irrespective of sex. Sons are sent to schools so as to make future livings from their educational career. Despite this motive, education is hardly serving its purpose since most students return to their parents as dropouts and failed. These students are looking for *mirazaa* lands from their fathers at the age of marriage. On the other hand, there are graduates who remain unemployed but look for *mirazaa* lands. Employees at different government's sector offices are also claiming land from their fathers' holdings.

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**University-Government Relationship in Ethiopian Public Universities:  
In the Framework of Information Asymmetry and Goal Conflicts  
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**Abstract**

This study examines the university-government relationship, with a focus on Ethiopian public universities in the framework of information asymmetry and goal conflicts. Agency theory was used to examine organizational thinking and behavior of the agents and the relationship between agent and principal to highlight goal conflicts and information asymmetries. The study employs a parallel convergent mixed research design. A self-developed survey questionnaire was administered to 1474 participants after purposively and randomly selecting participants from the nine public universities. Data on legal issues were collected from purposefully selected legislative documents. Both descriptive and inferential statistics were employed. Results showed that public universities in Ethiopia experience strong government interference in internal affairs. It has resulted information asymmetry problems and goal conflicts. The Ethiopian government fails to materialize steering from distance and self-governance of public universities. The study concluded that the control system of the government did not conceive the loosely coupled, multidimensional features of public universities and failed to institutionalize a sound government-universality relationship. The author recommended that outcome-based funding and performance indicators be adopted, a balanced autonomy and accountability with clear boundaries be granted, effective governance structures be institutionalized, and a strong supervisory mechanism as major policy implications be established to create an effective university-government relationship.

**Keywords:** governance, government, university-government relationship, agency theory, information asymmetry, goal conflict

**Introduction**

Higher education is currently experiencing demands to synchronize its strategic goals with government objectives and increases the quality of teaching and research (Ahmad et al., 2012a, 2012b). Thus, most countries today bank on large-scale government funding to improve the quality of public universities and the relationship between governments and universities (Roger, 1995). Hence, knowledge of the dynamics of state-university relationships is vital to implement governance reform effectively. Rungfamai (2008) concluded that a good relationship between government and university is crucial in enhancing the output of both government educational policy and university productivity. Although the government is the sole source of funding for most public universities, Liefner (2003) suggested that the government (principal) links funding to performance and allocates funding based on the agent's (university) performance. A system of performance-based mechanisms promotes better alignment of universities actions and government objectives (Kivistö, 2008, OECD, 2010), confirming that universities are working to fulfill the plan set by governments and reduce their unsuccessful activities (Alexander, 2000).

A global move in the state's focus of control from direct to a more indirect form of university governance has recently been observed. This move has been necessitated by a variety of factors, mainly the demand-response imbalance, changes in the environment in which universities operate, the state's growing limitation of resources and funding, and increasing market pressure (De Boer & Goedegebuure, 2009).

These changes tend to shift university governance from a 'centralized' to a 'decentralized' system and from state control to state supervision (Schmidt & Langberg, 2007) which strengthens institutional autonomy and enhances good relationships between governments and universities. In order to meet the requirements of the above changes, governance structures within universities have required the provision of more autonomy, the introduction of new systems of accountability, the empowerment of institutions, leaders, and employees, and new governance arrangements. Thus, this study uses agency theory as a base to examine the state of the government-university relationship in Ethiopian public universities.

Agency theory plays a significant role in examining the relationship between the government and the university and the shifts in this relationship (Kim & Mahoney, 2005; Lane & Kivistö, 2008). Kivistö (2008, p. 12) defined agency theory as "a contract under which one or more persons (principal) engage another person (agent) to perform some service on their behalf which involves delegating some decision-making authority to the agent". This contract is based on the premise that the agent possesses the skills, information, qualification, experience and abilities to perform the outlined tasks and produces good outcomes for the principal (Kivistö, 2008, p. 12). This theory helps the principal (government) to obtain the required information on the agent's (university) performance through a monitoring and auditing system. This theory mainly focuses on how the principal (government) can control the agent (university) in a context of information asymmetry and goal conflict (Ahmad et al., 2012a; Kim & Mahoney, 2005). Thus, information asymmetry and goal conflict are the focus of this study. Information asymmetry is related to the efficacy of complete and accurate information flow and interaction between principal and agent on some specific tasks assigned by the principal stated in the contract between the two parties. It occurs when the agent possesses more or better information about the details of the individual task assigned to him, his own actions, abilities, and preferences compared to the principal (Kivistö, 2007). Despite some difficulties on the government's side, Kivistö and Hölttä (2008) concluded that without some degree of government intervention, informational asymmetries would lead to degradation of quality of teaching, learning, research, innovation and to fail in market.

The next prominent theme of agency theory is goal conflict. Goal conflict occurs in a situation where the principal (government) and agent (university) desire and interest concerning certain ends are in conflict with each other. As result they would prefer different courses of action ignoring the desire by the government (Kivistö, 2007). Moreover, universities are large, complex and autonomous so that they try to achieve their own strategic direction to meet institutional priorities. This leads to goal conflicts and disagreements in vision, mission and goals between agent (university) and principal (government) (Kivistö, 2007).

In essence, agency theory minimizes bureaucratic procedures and government influences on institutional structures; the state increases the decision-making power of university leaders and it promotes more hierarchical structures for intra-university decision-making based on agency theory. In addition, the government needs to focus its own role on setting priority development objectives and monitoring the university's progress in its achievement (output control) based on performance indicators. Furthermore, the government also needs to reorganize the distribution of public funds among universities based on past performance to ensure better relationships and effective governance systems (Kivistö, 2008).

### **Problem Statement**

Public universities are a strategic resources to revamp the human and social capital of Ethiopia, as well as the collective and individual intelligence of the country. In this regard, based on a 20-year strategic direction of the nation, the Ministry of Capacity Building (MoCB) launched a governance reform program to enhance institutional and individual capacity and to strengthen their relationship in Ethiopia with a goal of becoming a middle-income country by 2025, (Ministry of Capacity Building, 2011).

To reinforce the implementation of the governance reform, the revised Public Universities Proclamation (No. 650/2009: Articles 16 & 17) granted balanced autonomy and accountability to reduce government influence (FDRE, 2009). At the General UNESCO Conference of 1997, Ethiopia signed and confirmed to implement “self-governance, collegiality and appropriate leadership to ameliorate university-government relationship” (UNESCO, 1997, p. 28). Although various policy initiatives and directives support the enhancement of good university-government relationship, Ethiopian public universities face various challenges to promote a good relationship with the government. Challenges of the governance systems of Ethiopian public universities according to Teshome (2007), are government interference in internal affairs and institutional decision-making, leadership appointment, and dismissal. Teshome considered poor capacity of the Ministry of Education to assist and lead public universities, micro management by Higher Education boards, lack of guidance and support, absence of timely monitoring and evaluation of university performance and up-to-date reports, and lack of participatory leadership and management systems as major challenges. According to Amare (2005), a tangled government-university relationship characterized Ethiopian public universities.

Mulatu (2014) and MoE-HESO (2004) also attributed the absence of significant changes in Ethiopian public universities to excessive interventions by the government and lack of autonomy of the universities. Demewoz (2013), Kenenisa (2015), Taye (2008) and Yohannes (2010) concluded that deterioration in institutional autonomy in spite of enacted policies remains a challenge Ethiopian public universities face. Further, the balance between autonomy and accountability of public universities has been restricted as a guiding value but public universities experience excessive government intervention (Demewoz, 2013). This situation affects the government-university relationship in general and institutional performance in particular.

Cognizant of this situation, the main objective of this research was to explore the state of the government-university relationship based on the information asymmetry and goal conflicts. To this end, the study was guided by the following research question: What do government-university relations look like in Ethiopia's public universities? This research question, addressed through the conceptual lens, was derived from agency theory. It explored the relationship between public universities as agent and the government as principal in carrying out their institutional mandates and the level of influence of government control and supervision mechanisms the government used to manage public universities. This perspective enables us to analyze this relationship from two points of view: information asymmetry and goal conflicts, in which public universities deal with in carrying out their day-to-day activities to achieve the intended results.

### **Government-University Relationship: Theoretical Overview**

Although mutually beneficial relationships between universities and governments are highly desirable, this has never been easy to achieve and they are in a continuous process of change in almost all higher education systems worldwide (Liefner, 2003). Governments have made dramatic changes in the size, structure, governance and funding arrangements for universities so that they can better address public demands and compete as centers of excellence globally (Ahmad et al., 2012b; Kim & Mahoney, 2005).

There have been many theories applied to analyzing issues related to change in the relationship between governments and universities. The agency theory emerged as a useful and vital theoretical structure in the discipline of sound governance of public universities and has proven to be a major hypothesis for research on university-government dynamics (Ahmad et al., 2012a; Lane & Kivistö, 2008). Lingenfelter (2004) argued that the importance of freedom of thought, expression and the corollary freedoms to teach and to learn, often are the starting point for discussion of the relationship between the university and the government. Focusing on the procedures and issues of initiating governance reform from the government (principal) to the university (agent), agency theory examines organizational thinking and behavior of the agents. It also examines the relationship between agent and principal to highlight goal conflicts and information asymmetries (Rungfamai, 2008). Saam (2007) further explained that informational asymmetries occur because the principal cannot observe the competencies, intentions, knowledge and actions of the agent. Meanwhile, goal conflicts happen when the agent and principal have different goals and the agent undertakes a different course of action than the one desired by the principal (Alvarez & Hall, 2006; Kivistö, 2007).

Agency theory focuses on the central question of how the principal can control the agents in the context of information-asymmetry and goal conflict. Furthermore, as agency theory suggests, a goal conflict constitutes the main reason behind problems in the agent-principal relationship (Shapiro, 2005). The theory can also deal with issues of public university governance and provides clear and insightful explanations for problems arising from the university-government relationship (Kim & Mahoney, 2005; Rungfamai, 2008). In this regard, universities are experiencing increasing demands to harmonize their strategic goals and activities with the government objectives to increase the quality of teaching, learning,

research, and community services (Kettunen, 2006). According to Alexander (2000), in many countries the government could give incentives for pursuing activities that are consistent with the government objectives over autonomous functions of the university. Besides, a system of performance-based-agency reward promotes better alignment of university actions and government objectives (Kivistö, 2007; OECD, 2010). In addition, Lane and Kivistö (2008) argued that since the government and university operate and exist as public authorities, this type of operation requires a political-economy-based academic system provided by Agency Theory. Lane and Kivistö pointed out three reasons for the suitability of agency theory for the government-university relationship. First, they record the funding of universities by the government obtained from different sources. Second, they ensure that the performance of the university is continually measured to align it with government objectives. Third, they monitor and understand the dynamics of multiple principal-single agent relationships.

A review of government-university relationship revealed that neither the desire of public universities for resources nor the desire of governmental leaders for accountability and cost-effectiveness could be easily obtained. Achieving the public interest in higher education requires things that are in conflict, including institutions with enough freedom to be responsive, competitive, effective, and efficient; responsiveness to public needs as explained by democratically elected representatives; and a substantial commitment of public resources to achieve sound governance and cost-effectiveness. No matter how receptive, sensitive and amicable governmental officials and public universities leaders are, they will have different views on these issues. Every state also needs an effective means of articulating and pursuing the public agenda for higher education. The work, as suggested above, is a constant balancing act between legitimate but conflicting values. In this regards, a sound and balanced university-government relationship is required to achieve institutional mandates. On the other hand, Verhoest (2005) outlined three control methods the way the principal can reduce informational asymmetry and goal conflicts with the agents. The first method is creating efficient monitoring systems for measuring and evaluating the agent's performance, skills and environmental conditions. Next, instituting bonds and promissory arrangements where the agent provides assurance that it will perform actions in the interests of the principal. Third, it is important for principals to establish adequate and effective systems of financial incentives that link rewards to performance. This list outlines a comprehensive set of measures that can be taken to resolve agency problems.

### **The Changing Role of Government-University Relationship**

Higher education dynamics have been changing fast globally and are becoming very intricate because of the multiplicity of the number and types of public universities (ACU, 2015; Altbach et al., 2009; Fielden, 2008; Heslop, 2014; UNESCO, 2015). Meanwhile, the role of the state in governing public universities has also changed (De Boer & Goedegebuure, 2009; Fielden, 2008). Consequently, the shifts in governance primarily result in institutional autonomy in universities and are limited to the role of government in some areas (Christopher, 2012; Hanada, 2013; Trakman, 2008). Thus, governments mainly measure institutions' performance against their institutional strategy (Fielden, 2008).

There is always a conflict of interest in terms of priority regarding whose objectives come first (Taye, 2008). Universities want to focus on the pursuit of knowledge as a self-determined institutional objective, and on the other hand the government sets to achieving the national priorities (economic, social, political, environmental and technological) (Lingenfelter, 2004). Thus, the governance challenge is to achieve the appropriate balance between the government steering and institutional autonomy in the pursuit of a better alignment between institutional initiative and the nation's economic and social development goals. These dynamics result in the replacement of an old model (total state control model) with contemporary models (state supervision models), which are recognized by many scholars (OECD 2007; Schmidt & Langberg, 2007) and have resulted in substantial changes in the way activities are organized and managed in public universities (Varghese, 2009). The rationale behind the state control model does not recognize the loosely coupled, multifaceted character of public universities (Van Vught, 1993).

Despite the paradigm shift to the government supervision model, in many countries the actors and agencies try to steer an object by using strict rules and major control mediums. To overcome the above challenges, an efficient state supervising model is of paramount importance. Auditing, monitoring and feedback are the main emphases under the "state supervision model", or "self-regulation" model (OECD, 2008, p. 69). In this model, the involvement of government actors is limited and has a weak impact. Furthermore, the government is chiefly an actor that watches the policies, rules, and regulations played by the main actors.

Although the shift towards the state supervision model has some side effects, giving more autonomy to public universities enhances their internal efficiency and effectiveness and regulates the measures to assure sound governance (Fielden, 2009; OECD, 2003). Thus, the government sets the broad guideline by which the public universities are governed and operated, whereas fundamental decisions about the aim and objectives are left to individual public universities. Consequently, distinctions are made by policy makers between a tight and loose managerial control of universities and a tight and loose goal-setting capacity of the government in public universities (OECD, 2008; Van Vught, 1993).

Such order may suggest two dimensions of governance: procedural and substantive dimensions (OECD, 2010). Procedural (administrative) dimensions include financial and management capacities of public universities, aspects of personnel policy (setting salaries, creation and suppression of posts); and student policy (selection of students, the level of tuition fees). The substantive (academic) dimension includes the freedom to set up courses, choose the content and methods of courses, conduct research and define organizational goals vis-a-vis environment. It also wants to choose the personnel and students according to organizational and academic goals and standards (OECD, 2008). These two dimensions of governance are similar to the dimensions of autonomy such as financial and academic (Berdahl, 1999).

In sum, the practice of steering deals with the government incentive structure that shapes the behavior of the higher education actors towards national policy goals. It is linked with a less

interventionist and facilitative role of the government in providing more direction for public universities over a greater number of areas. In addition, public universities are considered as a vital strategic vehicle for governments to achieve their national objectives. Thus, the government can achieve those ends without compromising the independence of the universities.

### **Research Design, Methods and Materials**

This study used a parallel convergent mixed research method to examine the state of universality-government relationships based on the pragmatist points of view (a deconstructive pattern that advocates the use of mixed methods in research) through concurrent strategy (Creswell, 2012). Mixed methods provide a better understanding of the research problem and question (Creswell, 2012; Giddings, 2006; Neuman, 2006), and help to minimize the risk of validity, reliability and subjectivity issues (Philip & De Bruyn, 2013). Furthermore, the integration of qualitative and quantitative findings may provide this study with more support and more certainty, leading to greater confidence in the outcomes (Boyd et al., 2012). The quantitative data complemented the qualitative data generated from focus group discussions, key informant interviews, open-ended items on the surveys, empirical materials and other relevant documents. This was done in line with Creswell's (2012) advice that mixed methods help to gain broader perspective from the different types of data or study groups within the study.

### **Target Population, Sample and Sampling Techniques**

Since 2015, 41 public universities have been established in Ethiopia, 31 of which were included in the present study. The public universities fall into four categories, grouped by the Ministry of Education based on their age (the 8 oldest, first generation universities; 13 Second generation; 10 third generation; and 10 fourth generation or most recently established universities). The fourth-generation universities were not in the target population, because they were the most recently established universities and not well organized in terms of their governance. Of these, the present study is delimited to nine (N-total number of teaching staff and academic leaders =7510) public universities from 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> generation universities, namely, Jimma University, Arba Minch University, Wolaita Sodo University, Dire Dawa University, Axum University, Debre Berhan University, Woldia University, Wachamo University, and Wolkite University.

The target population for this study was the entire academic community of the nine sampled public universities. Academic leaders (i.e., presidents, vice presidents, directors, deans, and department chairs) and academic staff members (on duty, permanently working and teaching postgraduate and undergraduate courses, both Ethiopians and expatriates) were the participants of this research. Administrative staff (directors, including institutional transformation directors, institutional quality assurance directors, research directors, plan and program directors, academic program directors, finance directors, and human resource management directors) and student councils who had been active in these institutions at least

two semesters were the subjects of the study. To maintain anonymity of the institutions and participants, each study unit and participant was identified by a code letter.

In determining sample size, the purpose of the study, the nature of the data sought, and the size and characteristics of the population were considered. In addition, Israel's (2013) three criteria, which were used in determining the appropriate sample size, were considered. These criteria include the level of precision, the level of confidence or risk, and the degree of variability in the attributes being measured. For the purpose of this study, the sample size was determined using the standard tables for sampling, using the 95% confidence level. Then, standard tables and formulas indicating an estimate of the sample size were developed by the author (Israel, 2013).

Academic leaders were sampled by taking 50% of the total population due to its small size (see Table 1). Thus, academic staff participants were drawn from the individuals available in the institutions to complete the questionnaires on the day the researcher visited their universities. A purposive sampling technique was utilized to select directors, presidents and vice presidents, all of whom served as key interview participants (administration staff (HR directors) and Student Council) and FGD participants (three deans and three department heads) - six in each group.

Based on the standard table of estimation, the sample size for a population of all nine public universities was 1658 (4.3%). Of these, 1586 (95.7 %) were survey participants (presidents, vice presidents, directors, deans and department heads) while the remainder participated in focus group discussions (FGDs) and interviews. The 54 participants in the nine FGD sessions were three deans and three department heads in each session those were not part of the survey. Two human resource directors and two student council members from each university participated in the 18 interview sessions. The sample size for the study participants is summarized in Table 1.

The public universities were selected for the study using the proportional stratified random sampling technique to ensure representation from the strata of the designated groups of institutions. A multi-stage sampling method was employed in the selection of academic leaders (department heads, deans, presidents and vice presidents), administrative staff (directors) and academic staff (lecturer). Colleges, school, faculties, and departments were randomly selected. For the selection of instructors, a random sampling technique was used.

Table 1: Sample Size/Sample Population

Name of University	Academic leaders				Academic Teaching staff (on duty)	
	MLM (dean and DH)		TLM (P, VP, directors)			
	TP	SP	TP	SP	TP	SP
Jimma University	58	29	16	8	1403	238
Arba Minch University	66	33	26	13	1435	243
Wolaita Sodo University	47	24	13	7	890	151
Axum University	52	26	23	12	720	122
Debre Berhan University	50	25	21	11	703	119
Dire Dawa University	40	20	12	6	680	115
Woldiya University	48	24	27	14	724	123
Wachamo University	34	17	25	13	485	82
Wolkite University	39	20	17	9	470	81
<b>Total</b>	<b>434</b>	<b>218</b>	<b>180</b>	<b>93</b>	<b>7510</b>	<b>1275</b>

Source: MoE (2015/2017)

**Note:** TP–Target Population; TS- Target sample; TLM –Top Level Manager; MLM– Middle Level Manager.

### Instrument

The purpose of the survey was to generate quantitative data about the views of the academic community in public universities' governance about the government-university relationship. The study used a self-developed questionnaire. Furthermore, the focus group discussion protocol, key informant interview guide, and reviews were used to collect the qualitative data. Triangulation of information from survey, focus groups and the documents consulted were used to determine the validity and truthfulness of the findings. Once study participants were identified, instruments of data collection were developed based on the literature and the research model and research questions were then developed. Thereafter, the instruments were pre-tested as described below, to establish the validity and reliability of the tools with the help of experts in the area of the study and using Cronbach's alpha test. Data collection was carried out following the pilot test of instruments at Hawassa University.

### **Survey Questionnaire**

Data were collected from academic leaders (Presidents, directors, academic deans and department chairs) and instructors administered by means of standardized and self-developed survey questionnaires. Two sets of survey questionnaires comprised of both open-ended and closed-ended question items were prepared in English language. The survey instruments in general were developed based on the research model, which comprised all aspects of university-government relationship. The instruments were self-administered accompanied by a cover letter that provided the necessary details about the study. The survey questionnaires, in their cover pages, explained to all participants why they received an invitation to participate in the survey, the purpose of the study, the expected amount of time to complete the instruments (from 45 minutes -1 hour), and confidentiality issues. Participants were also assured the anonymity of their responses to encourage their honesty and truthfulness.

The data collection process was carried out by the researcher and the process took a reasonable duration. A total of 1586 questionnaires were dispatched to the two groups of survey participants and 1474 questionnaires were collected. In order to maintain anonymity, no item asked for names or other identifying information. Given the comprehensiveness of the survey tools, the researcher allowed two days for survey participants (academic leaders and staff) to complete the questionnaires. While it was difficult to distribute and collect the questionnaires from academic leaders and staff, the administration of the questionnaire to academic leaders was relatively successful because it was carried out on the spot in the offices and some of the academic leaders were supportive.

### **Interviews**

Unstructured interviews were employed to collect qualitative data. Interviews aimed to identify participants' emotions, feelings, and opinions regarding a particular research subject. The researcher held interviews for approximately one to one and a half hours using both English and Amharic languages for more clarification and understanding of the issues of the research. Both languages were used because respondents may have had some difficulties in describing their views in only one language. Human resource directors and student councils were participants in the interviews with nine public universities. The participants were interviewed regarding similar issues. All interviews were recorded using an audio recorder, and handwritten notes were taken. The information was compiled into categories and transcribed by the researcher.

### **Focus Group Discussions**

Focus group discussions (FGDs) were employed to provide a more in-depth look into the issue under study. This was used to understand how deans and department heads describe their experiences in the practices of governance in the framework of autonomy, accountability and empowerment. FGDs helped to get detailed information not obtained through survey questionnaires. Discussions were carried out to generate ideas of divergence and convergence between deans and department heads. Deans and department heads (three from each) who were not part of the survey questionnaire were participants in the FGDs.

The construction of the FGD protocol was made by breaking down the research questions into thematic discussion questions. Then simple and dynamic questions that could generate spontaneous responses and rich descriptions were formulated in advance. Those selected for the discussions (N=54) were chosen purposefully based on their university experience and seniority which was set after discussing this with their academic vice presidents and college/school and faculty deans based on chain of command. FGD participants were nominated by their academic vice presidents and college deans and they were approached informally, after obtaining information about their experience, to gather information on university governance. By contacting purposefully selected deans and department heads, there were discussions scheduled which were held at times convenient to the participants. Then face-to-face discussions were held with the deans and department heads of the participating institutions in the Amharic and English languages. The discussions were conducted in all nine universities in appropriate halls and classrooms. Each focus group was consisted of six participants that were led by the researcher. In total, nine focused group discussions each lasting for about one to one and a half hours were conducted. Participants were assured anonymity and confidentiality of their responses. They were also advised to keep the confidentiality of issues raised in the discussions.

### Reliability & Validity

Content validity was determined by employing knowledgeable experts in the area of study and by distributing a sample of the questionnaire to participants in the study population to ensure clarity and relevance of the questions. Some questions were found to be irrelevant and deleted. Reliability was a measurement concern generally associated with the credibility of research findings or interpretation of findings (Schwandt, 2001). The reliability of the survey instruments was tested to determine the manner in which items in each domain were effectively grouped together. To this end, Cronbach's alpha coefficient was used to measure internal consistency of items (Table 2). The reliability value of the constructs was 0.93 for the questions on the university-government relationship. After checking the accuracy of the surveys and rejecting unnecessary questions not related to the variables, the survey was carried out.

Table 2: Overall Instrumental Reliability in Cronbach Alpha Value ( $\alpha$ )

No	Items	No. of items	Alpha ( $\alpha$ )
1	University-government relationship	8	0.93

Source: Survey data, 2017

The survey data recorded on the two sets of survey questionnaires were first coded before being analyzed along with the research questions. Both descriptive and inferential statistical methods were employed in data analysis. Data generated from the questionnaire were presented in a table and then analyzed using means, standard deviation, and one-way ANOVA. Furthermore, linear and multiple logistic regressions, principal component analysis (PCA), factor analysis for examining the contribution of predictor variables to the dependent

variable (university-government relationship) and for answering research questions were instrumental accordingly. (see the result and discussion section below).

## Materials

The research used various materials to achieve its objectives. Some of the materials used were SPSS Version-21, Stats, and Version 13 software for statistics and Data Science for quantitative data analysis interchangeably, whereas Hyper-TRANSCRIBE Version 1.6 V.10.0 was employed to analyze the qualitative data.

## Results and Discussion

### University relations in Ethiopia's public universities

This section is mainly concerned with the relationship between government and universities (the nine Ethiopian universities under study) on the bases of agency theory. Agency theory postulates two main points (informational asymmetry and goal conflict) to determine the relationship between agent (university) and principal (government). In order to answer this research question, participants were required to rate the practices of state-university relationship mainly from information asymmetry and goal conflicts points of view. The academic leaders (top-level managers-presidents, vice presidents and directors and middle level managers-deans and department heads) were required to rate the practices of government-university relationship from their experiences, while academic staff (lecturers) were asked to rate the overall practices of their respective universities in the framework of university-government relationship.

In Table 3, key practices of government-university relationships are listed. Eight variables were specified to examine the state of the relationship between the government and university. The first constructed five-point Likert scale was rearranged into three-point scales for managing the variables appropriately. Three-point Likert scales were instrumental based on the acknowledgment of Preston and Colman (2000) (1-Disagree=1-1.667, 2-Undecided=1.668-2.334 and 3-Agree=2.335-3.00). The responses were as follows

Table 3: Descriptive Statistics for Mean and Analysis of Variance to University-Government Relationships

U-G Relationship Variables	Mean	SD	SS	DF	MS	F	Sign.
1. Fast & flexible analysis & reporting of data	1.56	0.96	105	2	52.8	176.7	***
2. Quality & timely information	1.64	0.86	0.7620	2	0.381	1.66	0.190
3. Well-designed direction toward objectives	2.68	0.70	0.2121	2	0.106	0.46	0.630
4. Well-designed strategic plan	2.48	0.69	1.15	2	0.575	2.51	0.082

5. Strong alignment with U-G Strategic Plan	2.49	0.69	5.654	2	2.82	12.32	***
6. Have a good financial resource strategy	1.64	0.94	0.7604	2	0.380	1.66	0.191
7. Autonomous to use the funds	1.73	0.93	0.750	2	0.375	0.57	0.565
8 Autonomous to use internal financial resources	1.63	0.87	2.63	2	1.32	7.45	0.006
Aggregate Weighted Mean and SD	1.98	0.83					
<u>Note:</u> Minimum and maximum mean value ranged from 1-3 respectively. (disagree, undecided, agree)							

Source: Survey data, 2017

The first section treated three variables related to information asymmetry. Accordingly, the data in Table 3 revealed that most participants rated the practices of public universities in providing fast and flexible analysis and reporting of data which assist the government to make accurate strategic decisions ( $M=1.56$ ,  $SD=0.96$ ,  $p<0.001$ ) unfavorably. The mean score depicts a statistically significant difference amongst the groups at 0.001 level of significance. Likewise, the practice of public universities producing timely and quality information relevant to government requirements was not favorably rated by most respondents ( $M=1.64$ ,  $SD=0.86$ ) between and within the groups ( $p=0.190$ ). Although access to well-designed strategic direction of public universities to achieve the desired goals of the government was highly rated by most respondents ( $M=2.68$ ,  $SD=0.70$ ), differences between and within the groups were not statistically significant ( $p=0.630$ ). The mean score of the variable is not significant between the groups.

This section thoroughly analyzed the extent of goal conflict between the government and university in line with desires and interests in certain outcomes. Five variables were used to examine the state of government-university relationship from goal conflict points of view. Accordingly, access to a well-designed strategic plan to increase the institutional responsiveness in line with government objectives was favorably rated by the majority of respondents ( $M=2.48$ ,  $SD=0.69$ ) at a statistically non-significant level of difference between and within the groups ( $p=0.082$ ). The mean score of the variable was not significant between the groups, which is by chance rather than sample error. High alignment of the strategic plans of public universities and the government was also rated favorably by most respondents ( $M=2.38$ ,  $SD=0.79$ ) at a statistically significant level of difference between and within the groups ( $p<0.001$ ). This further shows a significant difference in the mean score among the groups at 0.001 level of significance.

Access to a strong financial resource strategy, authority to use all funds without the influence of government, and better uses of internal financial resources as part of the strategy to generate funds in line with government objectives were not favorably rated by the majority of

respondents, respectively (M=1.64, SD=0.94; M=1.74, SD=0.93; and M=1.63, SD=0.87). The results show that the mean scores of the first two variables amongst the respondents are not significant, (p=0.191 and 0.565), respectively, while the last variable mean score was statistically significantly different among the groups at the p<0.05 level of significance.

These findings revealed the problem of information asymmetries in Ethiopian public universities. The government (principal) failed to audit and monitor the performance of universities and to take necessary and timely corrective measures to address the problem. On the other hand, whereas two of the variables consistently denied the conflicts of interests between the university and government, three of the variables showed goal conflicts because of the absence of financial autonomy. Hence, the problem of information asymmetries and goal conflicts resulted in unbalanced and weak university-government relationships.

### Table of Inter-Image Correlation

The requirement for principal component analysis (PCA) under the Kaiser-Meyer-Olkin measure of sampling adequacy (MSA) should be greater than 0.50 for each individual variable and for all variables (Kaiser, 1974). For all incorporated variables in the PCA, the measure of sample adequacy was greater than 0.5 on iteration 1; this also implied that it is supporting these variables retention in the analysis.

### KMO and Bartlett’s Test of Sphericity

The Kaiser-Meyer-Olkin statistic was used to measure sampling adequacy. The range of KMO statistics lies between zero and one. According to Kaiser (1974), the values closed to one illustrate that the pattern of correlations is relatively compact. Consequently, the factor analysis should yield distinct and reliable factors. Kaiser recommended that the acceptable values are greater than 0.5. Hutcheson and Sofronious (1999) ranked values between 0.5 and 0.7 as moderate, those between 0.7 and 0.8 as good, between 0.8 and 0.9 as better, and values above 0.9 as excellent on the acceptance scale. Thus, on iteration 1, Measure of Sample Adequacy (MSA) for all of individual variables included in the analysis greater than 0.50, supporting their retention in the analysis.

Table 4: Anti-Image Correlation Matrix for Appropriateness of Factor Analysis

Anti-Image Correlation		1	2	3	4	5	6	7	8
1		0.878 <sup>a</sup>							
2			0.867 <sup>a</sup>						
3				0.936 <sup>a</sup>					
4					0.924 <sup>a</sup>				
5						0.900 <sup>a</sup>			
6							.0924 <sup>a</sup>		
7								0.916 <sup>a</sup>	
8									0.938 <sup>a</sup>

Source: Survey data, 2017

Table 5: KMO and Bartlett's Test of Sphericity

Kaiser-Meyer- Olkin measure of sample adequacy	0.847
Bartlett's test of Sphericity - approximate chi-square ( $X^2$ )	5237.72
DF	28
Sign.	***

Source: Survey data, 2017

Furthermore, the overall measure of sample adequacy (MSA) for a set of variables included in the analysis was high (0.847), which significantly exceeds the minimum requirements of 0.50 for overall MSA. The probability associated with Bartlett's test of sphericity was <0.001 with chi-square 5237.72, and 28 Degree of Freedom, which satisfies the requirement.

### Factor Loading

Stata analysis verified eight linear components of university-government relationships within the given data set from 13 variables. The association of Eigenvalues and each factor describe the variance was explained by particular linear components identified by principal component analysis. Eigenvalues are also displayed in terms of percentage of variance explained. Thus, the total variance was explained by the first factor or component under initial Eigenvalues was 51.05% (table 6).

Table 6: Total Variance Explained

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings			Rotation Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	4.084	<b>51.05</b>	51.049	4.084	51.04	51.049	2.971	37.18	37.137
2	1.112	13.895	64.944	1.112	13.89	64.944	2.225	27.81	64.944
3	<b>1.001</b>	<b>11.014</b>	<b>75.958</b>	<b>1.001</b>	<b>11.01</b>	<b>75.958</b>	<b>2.131</b>	<b>16.43</b>	<b>75.958</b>
4	0.496	6.229	82.187						
5	0.443	5.538	87.725						
6	0.408	5.100	92.829						
7	0.348	4.356	97.181						
8	0.226	2.819	100.00						

Extraction method: principal component analysis, the eigenvalue cut point =1 (Kaiser, 1974)

Source: Survey data, 2017.

In Table 6, using the output from iteration 1, there are three Eigenvalues greater than 1.00. The latent root criterion for number of factors to derive would indicate that there are 3 components to be extracted from these variables. A three components solution would explain 75.958% of total variance.

Data presented in Table 7 below examined the content of questions developed that loads on to the identical factors to try to verify common themes. In this analysis, factor loadings less than 0.4 were not displayed. The requested factor loading to identify the common themes was  $\geq 0.4$ . Fielden (2005) indicated that ordering variables by loading size also substantially simplify the interpretation. Thus, the table above illustrated that the values of factor loading for all eight components were greater than 0.4, with an overall alpha value of  $r=0.8629$ .

Table 7: Rotated Principal Components (Eigenvectors) Matrix

Variable	Information Asymmetry	Goal Conflicts		Alpha Value Reliability / $\alpha$ /
	System Issues Component-1	Financial Issues Component-2	Strategy Issue Component- 3	
1	0.5844			<b>0.8629</b>
2	0.5719			
3	0.4871			
4			0.4548	
5			0.8533	
6		0.5704		
7		0.6006		
8		0.5553		
Extraction method: principal component analysis; <b>rotation</b> method: Varimax with Kaiser Normalization				

Source: Survey data, 2017

Accordingly, the items that load highly on factor one appears to relate to system issues between state and university. Hence, this factor is labeled as information asymmetry. The items that load highly on factors two and three all appear to relate to strategic and financial issues. Therefore, these components are labeled as goal conflict. The results of this factor analysis appear to portray that the initial question items in certainty is a collection of two subscales - goal conflict and information asymmetry - which is the basis for agency theory to measure government-university relationships of Ethiopian public universities.

Table 8: ANOVA &amp; Multiple Regression Analysis of University -Government Relationship

Model	$\beta$	SE	t	df	F	R	R <sup>2</sup>	Sig.
1 University-gov't. RSH								
System issues	0.481	0.0219	21.90	16	4.40	0.488	0.5105	***
Strategic issues	0.511	0.0223	23.60					
Financial issues	0.465	0.0292	15.95					
<b>Constant</b>	1.970	0.0307	92.40					

Source: Survey data, 2017.

As shown in Table 8, the multiple regression model is statistically significant ( $p < 0.001$ ) in predicting how the independent variables (system issues, strategic issues, and financial issues) measure the extent of effective university-government relationships (dependent variables) in the framework of information asymmetry and goal conflict in Ethiopian public universities. A one-way ANOVA test further suggests that a statistically significant difference exists between and within the groups ( $F = 4.40$ ,  $p < 0.001$ ,  $DF = 16$ ). The F tabulated value at the 1% level of significance was 4.015. Successively, the F tabulated value was less than the F calculated (value = 4.40), confirming that the overall model was significant. Moreover, the value of  $R^2$  was 0.5105, revealing that 51.05% of the total variability (DV) was explained by independent variables.

According to the p-value of the multiple regressions for each predictor component after principal component analysis (PCA) at the cutoff points of Eigenvalues (1) and communality requirement (0.4), each of the three components contributes to the regression model. Therefore, the regression weight of the second component (strategic issues) is highest, as the results of  $\beta$ -value revealed (0.5109), followed by the first component (system issues) and third component (financial issues) (0.4812 and 0.465)  $\beta$ -values, respectively, at the  $p < 0.001$  significant level.

The findings further showed that a unit improvement in system issues (fast and flexible data analysis and reporting, and quality and timely information relevant to government to make sound decisions), will lead to a 0.481 unit contribution to promoting an effective system of university-government relationships. Similarly, a unit increase in strategic issues (having an improved strategic plan that focuses on responsiveness to government objectives, high alignment of government and institutional objectives) will lead to a 0.511 unit influence to enhance the system of effective relationship between the government and the university. A unit improvement in financial issues (having improved financial resources strategy, autonomy to use funds internal or external without the influence of the state) will lead to a 0.465 unit contribution to ameliorate the system of relationships between the university and the government. As understood from the analysis of multiple regressions, all of the variables

(three components) have a significant positive influence to promote an effective university-government relationship in Ethiopian public universities.

### **Qualitative Data Analysis**

This section examined the university-government relationships qualitatively. The FGD and Key Interview (KI) participants were asked to reflect their views on the relationship between the university and the government. Accordingly, most FGD participants claimed that: “A strategic plan and strategic objectives are in place, and all are designed by the government. Therefore, the university is working to achieve those strategic objectives initiated by the government, which did not contextualize based on the local and institutional priorities.” Echoing a similar concern, participants from other FGDs decried that absence of a strong system of supervision; strong interference and control by government organs, “even sometimes more than control”; control of universities for the security of the state; limited autonomy at the college and departmental levels; and interference by top officials in decision-making characterized universities.

Participants in key interviews also reflected their views on the university-government relationship. According to one KI participant, “Excessive interference by top management and governing board” was common. The other KII remarked, “The University is considered as one branch of the zonal sector rather than as a federal institution”. The fact that the board nominates zonal officials who failed to perform well in the other sector without the consent of the college and department supports the above findings. Other KI participants also reacted to this question during interviews. One of the KI participants stated, “Lack of a decentralized governance system is the main feature of my university. Students in institutional governance were not engaged. Unless the agenda is a student case, student representatives have no chance to attend the management meetings, even though the legislation gives them the right to participate”. The above responses confirm an autocratic governance system in these universities.

### **Document Review**

The Higher Education Proclamation (HEP) 650/2009 granted responsibility to public universities to establish an efficient system for statistical data collection and information exchange among universities, their units and the Ministry of Education (FDRE, 2009, Article 27(1), p. 4992). Although policy directives and initiatives were put in place, there are controversies in the practices and legal documents, as the ESDP IV Report revealed (MoE, 2015). Furthermore, the Ethiopian Education Development Road Map document acknowledged weak trends of collecting, organizing, analyzing data, and providing reports in the institutional performance in public universities by education leaders (MoE, 2017). Thus, these information asymmetry problems of public universities reduced government effectiveness to supervise the institutional performance in a well-organized manner. Moreover, it impeded the promotion of a sound government-university relationship (MoE, 2015). Therefore, the results of the documentary review were consistent with the findings of our quantitative and qualitative data analyses.

Similarly, HEP 650/2009 also stated that, “every public university shall determine with the MoE or the concerned government organ a strategic plan agreement for a period of five years” (FDRE, 2009, Article 65:1, p.5025). This implied that public universities were not given institutional autonomy to design and develop institutional strategic plan without external pressure. To the contrary, HEP 650/2009, Article (44, 2) states that the responsibility of governing boards is to supervise and confirm that public universities implement the provision of this proclamation whether or not sound governance is realized. This article restricts the interference and control of government officials in university affairs and delegates to them a supervisory role. The results of both the quantitative and qualitative data analyzed were complement to each other and portrayed the excessive control and interference of the government in the internal affairs of public universities. This situation has created lack of trust and a poor relationship between universities and the government.

### **Discussion of Major Findings**

The Ethiopian government demands a strong and effective system of governance to manage public universities and to fulfil the goals outlined in government strategic priorities. To realize and achieve these goals, the government-university relationship needs to play a key role. In this study, the relationship between the government and public universities in Ethiopia was examined in the framework of agency theory. The findings indicated that although universities and governments have common concerns and assumptions on the agent-principal relationship, the elements of providing fast and flexible analysis of data and reporting of information that is necessary for government to make accurate and strategic decisions to improve the relationship were not in place. Moreover, though timely and quality information on public university functions significantly influence the supervision and management of their performance (Lane & Kivistö, 2008), this linkage was not fully realized in most Ethiopian public universities. This problem also indicated the failure of government to manage the financial environment of the public universities, which are fully funded by the government, demanding cost-effectiveness of this investment and streamlining university goals with the objectives of the government’s strategic plan. The findings of the current study indicated weakness in information flow and interaction between the government and universities in performing various prescribed tasks.

Although public universities have institutional autonomy to determine their own strategic directives, strategies and objectives at the national, regional, local and institutional levels demand to achieve vision and mission (FDRE, 2009). Kivistö and Hölttä (2008) in their empirical findings support some degree of government intervention on strategic issues, but lack of institutional autonomy and excessive intervention of government and its authorities characterize Ethiopian public universities. Ethiopian public universities are operating with a replica of the strategic directions, strategic plan and financial resources strategy prepared by the central government (Ministry of Education) (MoE 2015, 2017) to achieve its objectives. Thus, the universities lack institutional autonomy to prepare their own financial resources’ strategy and using internal and external sources of funding without the influence of the government.

In supporting these findings, the multiple regression model predicted how the independent variables (information asymmetry and goal conflicts) measure the extent of an effective university - government relationship (dependent variable). Thus, the multiple regression model confirmed the fitness of the data with  $R^2$  57.7 % of dependent variable explained by independent variables at  $p < 0.001$  level of significance. These findings were consistent with the qualitative and quantitative survey data, which complement each other.

The empirical study of the OECD (2007) portrays a widespread institutional tendency to shift from the centralized to the decentralized system of governance toward greater autonomy of institutions in line with governance and management strategies. In this regard, the findings of this research were inconsistent with the above OECD report and Teshome's (2007) empirical work, which reported limited interference by the government. On the other hand, the results were consistent with Baye's (2008) research findings, which acknowledged excessive government interference in public universities.

### **Conclusion**

This study indicated that the Ethiopian government and universities need to work cooperatively to ensure both a sound governance system and a better relationship. The study results revealed that public universities are experiencing information asymmetry and goal conflicts. This problem has upset the balance between government steering and institutional autonomy in the pursuit of a better alignment among institutional initiatives and government strategic objectives. We, therefore, concluded that the control mechanisms of the government did not conceive the loosely coupled, multidimensional features of public universities. The required relationship between government and university was not institutionalized but was manifested by excessive government intervention.

### **Policy Implications**

The following policy implications are forwarded based on the major findings of the study and conclusions:

**Adopt Strong Supervision Mechanism; Outcome Based Funding and Performance Indicators:** At the national level, the government should create an enabling environment for universities and grant the autonomy necessary to function optimally. Moreover, because of greater accountability and transparency concerns, the government should institutionalize strategic approaches to manage public funds and track the performance of public universities. The government should also institutionalize a strong supervision mechanism, outcome-based funding approach (allocation of fund based on the achieved result) and key performance indicators that are an efficient mechanism to manage the agent performance and minimize conflicts of interests between the two parties. Moreover, the government should establish an advanced information management system to easily supervise and manage the performance of public universities and to exchange up-to-date information. The government should establish key strategic performance indicators to help to examine the level of performance of universities and their accountability and reward high performing and achieving institutions.

## **Granting more Autonomy with Clear Boundaries Between University and Government Organ Roles and Responsibilities (MoE, Governing Board)**

***At the National Level:*** First, in order to grant more institutional autonomy to public universities, the legal and policy documents need to be revised, particularly the Higher Education Proclamation, 650/2009 (FDRE, 2009), Growth and Transformation Plan-II 2011/12 (FDRE, 2011), and the Education and Training Policy (FDRE, 1994). Second, the government should grant and respect the institutional autonomy, particularly in establishing the governing boards and top management executives of public universities based on proclamations and academic merits. Third, the government should grant financial autonomy and help strengthen the internal and external financial capacity of universities by designing and institutionalizing various financial strategic approaches while granting greater autonomy to use their funds effectively and efficiently to achieve national, regional, local and institutional goals. Fourth, strong interference by governing boards, the Ministry of Finance and the Economic Development and Federal Procurement Agency should be minimized and managed through the development of better strategic monitoring and evaluation mechanisms.

***At the Institutional Level:*** Since universities are sources of creative and innovative excellence, granting more freedom to academia is of central importance. Universities should also grant academic autonomy to scholars in order to solve national, regional local and institutional problems and to facilitate sustainable development. Furthermore, universities should decentralize their financial management system to strengthen the financial autonomy of middle and operational level managers to enable them to make sound decisions and maintain good relationships.

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**Academic Corruption in Ethiopian Higher Education Institutions**  
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**Abstract**

The focus of this study was to explore the experience of academic leaders and students on the practice of academic corruption and to suggest a workable area of improvement to curb the level of academic corruption in higher education institutions. To conduct this study, phenomenological research methodology through an in-depth interview with ten purposefully selected respondents and document analysis was employed. In line with this, the findings of the study discovered that high level of appropriation in-class hours, complex ways of exam cheating, plagiarism, distorting and fabricating assignment and research findings, and degree mill were dominantly apparent types of academic corruption. Likewise, among the causes of these academic corruptions, the most prevailing ones were high-level of technological reliance, little knowledge about the consequence of academic dishonesty, hopelessness in the return in education, a culture of an easy way out, and family expectations of having a degree were sighted as the push factors from the students' side. Conversely, lack of professional ethics, failure to use technology to support the teaching-learning and research, lack of pedagogical training and research skills, excessive teaching load, lack of proper accountability and transparency mechanisms, and lack of motivation were the reasons why the academic staffs contributed to this ill behavior. In a similar fashion, the government was also responsible due to failure in devising comprehensive national accreditation mechanisms, lack of concern for the education sector and being a horrific role model in academic engagements for the younger generation. As a result, the quality of graduates and education is in jeopardy. Therefore, since education is the mother of all sectors that needs due attention and to curtail this corrupt trend in the higher education sector, the government and the Ministry of Sciences and Higher Education through collaborative effort from actors in the sector, should envisage a way to create strong colloquium that set standards for academic professional conduct, create technology adaptive environment, be committed to design and execute new ways of responsibility and accountability platform, mainstream ethical standards in the curriculum, and place monitoring and evaluation scheme for creating change adaptive educational context and create a continuous research culture so as to alleviate the shocking academic corruption perceived in the higher education institutions.

**Keywords:** academic corruption, professional ethics, higher education institutions

**Rationale**

Corruption is a global phenomenon every nation faces with different magnitude in the political, economic, social and technological environment of the globe. Beyond this, it is at its best a shorthand reference for a large range of dishonest and criminal activities (World Bank, 2017). In its broadest usages, it can refer to both the act or process of corrupting and the state of being corrupt. It can refer to such processes in public office, private business, or personal life. Like any other sectors, the education sector in general and the higher education sector in particular suffers from this behavior.

As the OECD reports in 2018, higher education institutions are responsible for intellectual capital formation and the value of academic integrity that consists of honesty, trust, respect, fairness, and responsibility which is fundamental to the reputation of academic institutions. But now a days, universities suffer lack of integrity that includes the practice of plagiarism, cheating, unauthorized use of others' work, paying for assignments claiming as one's own, the falsification of data, downloading assignments from the internet, the misrepresentation of records, and fraudulent publication. It also includes payment for grades with gifts, money, or sexual favors. These corrupt behaviors are generally categorized under four broad categories as political, administrative and bureaucratic, academic, and extortion (Bloom, D. et al, 2006 P. 1).

### **Problem Statement**

In a modern world where education becomes the mother of all sectors in providing competent human capital, the role of education is key in setting standards for academic integrity. This can be translated through setting standards in honesty, trust, respect, fairness, and responsibility which are fundamental to the reputation of academic institutions (IEP-UNESCO, 2018). Besides, it is the sector's responsibility to produce efficient and responsible graduates who can change and improve the living standard of the society and set a moral standard, mutual respect and social trust for sustainable development.

According to Gow, S. (2014, p. 70-83), competition for resources and fame place pressures on higher education institutions. As institutions that fail to fulfill the moral obligations enter the university systems, they in turn intimidate the status of research and credentials. As a result of this corrupt behavior, the individual and socio- economic rate of return of higher education investments is reduced. Consequently, the reputation for academic dishonesty brings low level of trust towards graduates, institutions and the sector at large.

Disturbingly, in a recent survey which was conducted by the University of Makerere in 2006, among 7,000 young students aged 18-35 it was found out that 60% admired people who use get-rich-quick scheme, more than 50% believed that it does not matter how one makes money, while 53% said they would do anything to get money. 37% would take or give a bribe and 35% believed there is nothing wrong with corruption.

In Ethiopia, researches have shown the high rate of academic dishonesty particularly on cheating during an examination (Tefera & Kinde, 2009). Therefore, this study tried to explore the experience of faculty members, active students and recent graduates about the academic corruption at its broader sense through qualitative inquiry in line with the current massification of higher education institutions.

### **Objectives of the Study**

Generally, the study was intended to explore the academic corruption in Ethiopian higher education institutions from the experience of the faculty members, active students, and recent graduates' point of view.

Specifically, it was intended to identify the major types of academic corruptions, causes of academic fraud, and to suggest possible solutions to curb the academic dishonesty in Ethiopian higher education institutions.

### **Methods**

A qualitative transcendental phenomenological approach was used in this study so as to understand the experience of students and academic leaders about academic corruption in Ethiopian higher education institutions (Moustakas, 1994, p.43). This approach views the methodology as a series of logical steps, accounts for multiple perspectives from participants, and utilizes rigorous data collection and analysis. In this study, in depth interview, focus group discussion and document analysis were used as a means of data collection, through lengthy and rigorous analytic process, and to validate and make the findings reliable (Creswell, 2013, p. 46).

### **Sampling and Participants**

A total of ten respondents were purposely selected from regular division consisting of three department heads, four active students, and three graduates of 2010 E.C. After a brief discussion about the purpose of the study, participants were contacted through face to face communication followed by signing the consent form. Then, pseudonym was given for each participant but in line with the agreement made with the institution earlier. I did not mention the research setting in this document so as to protect its reputation.

### **Data Collection**

After completing the rapport, the data collection was followed. Since I am currently working in one of the higher education institutions, I chose to conduct this study in other higher education institutions as a PhD student so as to minimize biases before the data collection in order to assure data accuracy. Then, based on the semi structured interview protocol, which was developed and reviewed by two independent researcher instructors, the data collection started and audio taped for accuracy. At that juncture, the interviews with academic leaders were conducted in their private office while data from the students were collected through focus group discussion. Finally, the data collection was completed within a period of 6 weeks. There is no standard for a minimum number of participants in qualitative research because its purpose is not to generalize as far as extensive detail has been collected to saturation (Creswell, 2013, p., 63). In this study, additional respondents were no longer recruited once saturation had been reached, in which no new information was provided to aid in the understanding of the phenomenon (Francis, et al., 2010)

### **Data Analysis**

The data analysis went hand in hand with the data collection process and it was used after each individual transcript was read twice to immerse the researcher in the data to highlight the key concepts (Moustakas, 1994, p.52). After an initial engagement, themes were identified through horizontalization of ideas with equal values, reduction and elimination of statements that were not in the scope of the study was made, and clustering of similar ideas was done to

identify a thematic label. This step was repeated several times to further group and reduce categories until all constituents were clustered and reduced into 5 core themes of the experience. Finally, identification of these themes was performed by re-reading the complete transcripts to verify that the theme and accompanying invariant constituents were explicitly expressed and compatible with the participants' words.

### **Reliability and Validity**

Commonly identified reliability techniques used in this study include the recording of detailed interview, an audio recorder for accuracy, using document analysis, and inter-coder agreement from independent coder (Silverman, 2005, P. 9).

Lastly, two research instructors have analyzed the data independently and then met with the researcher to discuss codes. There were no significant discrepancies, and any small differences were discussed and resolved to create one set of themes. Commonly identified validation techniques used in this study include data source triangulation to corroborate evidence, bracketing to clarify bias, and member checking (Erlandson, et al. 1993, p. 133).

Final themes, as well as a sample of the invariant constituents of those themes, were e-mailed to all the academic leaders to verify their response. Those who responded reported that the provided account accurately reflected their perspectives and experiences and added some proverbs for clarity.

### **Discussion and Results**

#### **Theme 1: Academic Corruption**

Academic corruption can be translated through plagiarism, essay and dissertation mills, falsification of research data and results, fake journals and peer review, using unauthorized material in exams, impersonation, hacking test banks, bribe-influenced alteration of marks on exam scripts or in the exam results database, degree mills/certificate forgery( Kuranchie, A., 2014).

While the question was forwarded to all respondents to gauge their knowledge about the concept of academic corruption, most of the respondents had some idea about it but as an extreme case a student respondent said that, 'It must be a joke if we think that there is an academic corruption. In the first place, an education sector is a place of broke people and I don't think there is a way for corruption.' (Abdu, 1st-year student).

After further clarification about the concept in its theoretical frame, the students got cautious about the accountability attached to it if all these issues are considered as corruption. And this same student asked me that, 'if it is so, who is going to be clean since every one of us are doing it in one or another form?'

Therefore, from this it can be concluded that there is low level of awareness towards academic corruption since commonly the term is aligned with money related issues.

## **Theme 2: Plagiarism and Essay Mills**

Plagiarism occurs when a person presents someone else's ideas, phrases, sentences or data as one's own work. Another person's work should always be properly and accurately referenced. Self-plagiarism involves submitting work that one has previously submitted (Dawson, P., 2015).

All the respondents were asked about the situations that are perceived in our higher education institutions related to plagiarism.

All of the respondents agreed that this has become a common practice in our education system. And as a result, everyone prefers to copy and paste than doing original work. In addition, effort was made to pinpoint, for discussion, some of the issues that might potentially contribute to this kind of behavior in our educational work. Some of the views of the students and the university leaders are presented below:

*In the first place, we didn't have any rigorous research background to conduct a research even during our stay in the university. We only took a research course for a semester and our grade is evaluated based on the exam result than testing us in practical situations. In addition to this, it is a fashion of the day to copy from the internet and submit it as ours. This is because no one cares about what we are up to and we know that if it is a written assignment, a research work, or any other, the instructors and we the students think that it is a bonus (Sara, 3rd year).*

Similarly, another respondent who was one of a graduating class of 2010 E.C. witnessed that,

*'Plagiarism seems legal in our country. In my batch, most of my classmates were doing their senior research from the internet, particularly on research works from East Africa. Plus, during a course assignment, an instructor was giving 18 out of 20 for an assignment presented to him for the past 3 years without even reading it. In another incident, I had an advisor who was a department head, who had a maximum teaching load and 25 advisees. ...what happened was, he told me that my review of literature was bombarded and needs some detail readings. I tried to test him by giving him what he had given me as it is, without even changing a full stop.....and he told me I did well and told me to proceed with my data collection. Surprisingly, is it not in front of the universities that paid research assistances are advertised? Last year, my class mate paid 7,000.00 (Seven thousand birr) for her senior essay and during the defense session the examiners asked her where the organization was located since it was clear that the company was closed and she failed. The only thing that they did to her was to change the company and to come up within 15 days, and that was it.(Laughter). So, why on earth should others suffer? (Medhanit, Alumni).*

*'Oh! Nowadays plagiarism seems a common course for our students across our universities. I think, there is nothing that we can do about it. As you know, the type of students that are coming to higher education is baseless and highly corrupt in*

*their lower grades; our instructors are so busy running here and there to at least survive; and the little concern given to the sector brings this problem. In addition, there is no commitment by the side of the academician to at least identify the problem and to help students. We know that the consequence for students' theft in any regard will be re-work and other disciplinary measures, but it will be waste of time for both parties since everyone is the same as በባዳ ቢያኮርቶ: በጨለማ ቢያፈጡ: ምን ሊያመጡ እንደሚባለዉ' ( Simon, Department Head).*

*'These days, anyone of us is forced to work in a very tight schedule so as to earn more and to fulfill at least our family responsibilities. I know it is a corrupt behavior but most of us are working for at least five universities and you can imagine how we are tired even for class hours. It is also hard to properly advise and correct students' assignment and research work. Let me tell you one real story....a friend of mine works 85 hours per week in 7 universities, and can you imagine how he can allocate his time?..... I know you can't imagine...as Limeneh (an Ethiopian comedian) once said .....ተቢድረን ሞተናል..... I interrupted and asked him, how can he manage this (Laughter). You know, there are emerging vocabularies in our current higher education context like.... the 'Hit-and-run', the 'In-and-out' and the like. I asked him to further elaborate these terms and he said, the 'Hit and run' comes to the class and talks about concepts indicated in the title then declares the chapter is over..... (feeling disgusted), and in the 'In- and- out' case, the instructor comes to class on time since most of the universities have class controllers and goes out within a few minutes after his attendance is done. The funniest part, in this case, is students are so happy since they also leave early. If an instructor who is orthodoxy in keeping the rules of the 'normal' teaching-learning, students may label him/her as 'oldies' and condemn them equally with the one who doesn't want to give good grades, no matter what. So, can we think of effective teaching-learning, research and community engagement in this condition?' (Firew, department head)*

From this, it can be understood that plagiarism and essay mill have become part of the normal academic exercise. And missing classes has become the dominant behavior in the universities.

### **Theme 3: Falsification of Research Processes and Results**

Falsification of research data poses enormous challenges for humanity as a whole. Among the notorious examples in this regard is, "Climate-gate", the scandal which was done by the Climate Research Unit at the University of East Anglia and was found to have tampered with data on global warming. The incident has created turmoil to the issue of climate change and other scientific theory deniers, casting a shadow over the credibility and integrity of academia as a whole (Harper M. (2006) p. 674-679).

Based on the above notion, I asked respondents their experience about falsification of the research findings and the process. All of them asked me, 'if the instructors fail to read and comment about the research, who is afraid not to distort it in any convenient way?'

*'When I started doing my senior essay, I tried to do it by myself, but my friends were mocking at me since they were copying and pasting papers from our universities and no one says anything. Before that, during the title submission for our senior essay, everyone was fighting to hoard at least five papers in and outside of our campus, and my friends submitted their research title to the department based on this backup. But after a while, I joined my friends and copied at least the literature review from a research paper done at Adama University. During the defense session, the two examiners were trying to read my paper in the exam hall, and they only asked me two questions and that was it. So, who is concerned about either the process or the trustworthiness of the findings?' (Solomon, a graduating class student).*

#### **Theme 4: Examination Fraud**

Examination fraud takes various forms, from leaking exams in advance to cheating during examination sessions by using unauthorized material, impersonation, where examination candidates pay other people to sit in exams on their behalf, as well as alteration of marks either directly on the answer sheet or in the examination records management system (Brimble, M. & Stevenson, 2005 p. 19-44).

Although cheating in an exam has been a problem for a long time, technological advancements in the forms of mobile phones and tablets have broadened the means and methods for cheating. Students can request and receive answers to questions by text, wireless microphone and earphones, iPods and MP3 players (Tefera & Kinde, 2010, p. 79-99).

Like most of the responses above, this is the most customary type of corruption found at every level and type of the education sector, as witnessed below.

*'During my 27 years of teaching and leadership experience, the techniques of examination fraud and cheating have become more complex than the actual teaching practice in our country. Last semester, I found identical exam papers on Communicative English course. How dare a student even copy everything in an essay type of exam in the presence of the invigilator? And the most shocking thing was that the culprit so confidently explained her case to the discipline committee telling she copied the exam because she got the consent for copying. Though both of them were getting zero in their mid-term exam, the students did not feel anything about the incident' (Debasu, Department head).*

Contrary to the above response, all of the students think that cheating in exam is not as such a big deal now. This is because no one gains or loses from being educated.

*'I am so amazed at how everyone is trying to make it a big deal. First of all, most of us are here at least to have a degree to make our families proud. And we are not sure if this degree will enable us to have a job or not since most of our brothers and sisters who have sacrificed their time, energy and pleasure for education are still wandering around to find a job. For instance, if you take my case, I have a brother who got 3.8 and graduated in Textile*

*Engineering, but is currently working as an accountant for my cousin's spare part shop. So why should I suffer? I don't even know what will happen next? And I hope my friends think the same way.*

I asked him to share his experience how students cheat in the exam and he told me the following:

*'Most of the time, if the invigilator is not as such serious, we might use our telephone data connection to browse or we might photo shoot the exam questions and send to someone through our group account like WhatsApp, telegram, or IMO so as to send the answer to the class. Or we might write the answers for multiple choice and true/false questions on the attendance sheet so as to make it available to the whole class. We also copy short notes and writings on the walls and board.s' (Fitsum, 2<sup>nd</sup> year student).*

Therefore, from the above responses the issue of exam fraud in the form of exam cheating is prevalent in higher education. This results from the fact students losing hope in the return of investment in education in their future.

#### **Theme 5: Degree/ Diploma Mills**

Some degree mills are mere printing shops that sell counterfeit degrees and transcripts from legitimate schools, while others are shadowy institutions that promise applicant's degrees in a very short period of time with little or no academic engagements (Abagi, 2006, p. 91). Accordingly, questions regarding such acts were forwarded to all respondents and the most characteristic responses are presented hereunder:

*'I think it is not as such hard to have a forged academic credential from any higher learning institutions. For instance, if we take the case which was broadcasted on the media, many civil servants were found with false credentials in different regions. And I do hope that unless serious attention is given at a national level, including the universities, we might be the leading in acquiring false degrees since culturally we praise credentials than merit. You know it is like..... አሳ ሲበላሽ ከአናቱ ነጩ እንዲሉ the value acquiring false academic credentials is taken as a legal document for even the higher government officials who are entrusted with a huge task of formulating/ setting policies. So, you can imagine how the ordinary citizen enjoy the easy cooked degrees if there is no accountability?' (Samuel, Department head).*

Similarly, Maru, who is currently working as a department head had to say the following:

*'As a university, we try all our best to check students' academic credentials during admission. However, it is done manually, and the level of accuracy is not as such perfect. In addition, if we find out that a credential is suspected of fraud, we need to pay 50 Birr per a credential for authentication by the National Educational Assessment and Examination Agency. Since it is costly, most of the time we are forced to do the verification manually. However, during degree issuance, forgery becomes prevalent most of the time if students are paying for the internal staff of the university.*

*But, it will be detected if this forged credential is used for an academic purpose since the consent of the official is asked by the university and if they don't have any record it will be traced. Moreover, there are organizations that send letters to check if a particular student has attended that university. But, if the one with a forged credential is not suspected by the employer or restrains from further education, it will remain there. But we automatically expel students if we find forgery and file it as a law case. Among other things, since we don't have an autonomous quality and accreditation agency, there are universities that are officially engaged in degree selling'.*

Overall, from the respondents' responses, the problem of forgery, degree mill, lack of strong controlling mechanisms, and absence of central graduates' repository were identified as the sources of degree mills.

From the overall discussion, the respondents' experience in relation to academic corruption and its components, a number of major contributing factors can be sighted. On the side of the students, the feeling of losing hope on the education sector, lack of role models, and culture of easy way out are some of them. Lack of academic integrity, low commitment for their job, and lack of pedagogic and methodological training can be sighted as major factors on the instructors' part. Likewise, low attention given to the education sector, lack of strong quality assurance agency, and mob culture were some of the elements for academic corruption on the government side.

### **Implications**

An academic community that ignores corrupt behaviors in an academic discipline is violating a core duty of the academic sector including duties owed to their universities, to their students (Granitz and Lewis, 2007), to students' future employers (Brubaker, 2003), and to the community at large (Caldwell, 2007, p.9-20).

In addition, as indicated in the findings of this study, the level of academic corruption in the higher education institutions is deep rooted and potentially affects the quality of input, process, output and outcome of the education, particularly during the aggressive massification of higher education program in Ethiopia. Therefore, it will be wise to have a policy intervention that gives answers to the following questions:

- Do we really need formal education and whose education?
- Why do we need to invest in massification of higher education and programs?
- Do we really have autonomous mechanisms that ensure quality of education in our own context?

### **The Way Forward**

As the findings of this study depicted, currently the trend in academic integrity and professional code of conduct in the education sector has become a serious agenda that needs deep transformation. Due to high level of political interference in the academic institutions that erodes the values of thinking, Ethiopia reaps the most corrupt citizen that appreciate easy way out than working hard than ever.

Therefore, the Government, the Ministry of Science and Higher Education together with Universities must work towards providing quality education and maintaining high level of professional code of conduct in the higher education sector. I believe the following recommendations will help to narrow the existing catastrophe in the higher education sector and its replicating effect on other sectors.

- Devise education policy that gives credit for the input, process, output, and outcome of the education in general and higher education in particular.
- Revise the strategies that help to refocus investment in the academic community and technology-based educational inputs than investment on massification of higher education programs.
- Encourage and support the formation of strong colloquium that set standards for academic professional, conduct and mainstream ethical standards in the curriculum.
- Ensure comprehensive central archives to make graduates' information accessible.
- Ensure strong national autonomous quality, relevance, monitoring and evaluation scheme.

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**Rating Lecturer-Related Classroom Academically Dishonest Practices in Ghana's Institutions of Higher Learning, Fred Awaah, University of Professional Studies, Ghana**

**Abstract**

The falsification in higher education comes with it attended plethora of problems including academic corruption (Macfarlane, Zhang, & Pun, 2014). The menace has become one that is eating deep into the fiber of high education within the Africa region with increase media reportages of promotion, accreditation, enrolment and grade frauds. Curbing this situation seems not to have had much attention in practice like it is on print therefore threatening the quality of higher education to stakeholders. This assertion finds support in the works of Damtew (2018) that, there have been public outbursts on the level of falling standards in higher education in Africa which has been associated with academic fraud. These observations seem to be reflective of the general heights that academic fraud has attained in recent times in the higher education space in Africa. In their work Curbing Student Related Academic Corruption in Sub Saharan Africa, Awaah and Abdulai (in press) did not depart from the opinions of the earlier authors; they argue that the culture has been heightened by the demands for excellent certification with good grades rather than education. In conformance to this culture, academic stakeholders have been found in diverse dishonest practices that are reflective of the words of Okebukola (2016) that academic corruption is any type of cheating those accords a person undue advantage in an academic enterprise. Whiles the above authors have observed the phenomenon from other lenses; little has been done in the area of rating the identified forms of academic corrupt practices relating to lecturers specifically in their classroom duties. Anchored on the Social Learning theory examines the most recurrent form of lecture classroom-related academic corruption. Data were obtained from an online questionnaire with 114 respondents. The findings show that the most recurrent form of lecturer classroom related academic corruption in Ghana higher education is lecturers not making available to students their Interim assessment grades before the main examination (53.5%), followed by lecturers not completing syllabus before close of semester (22.8) and in the third place was a number of practice including lecturers coming to lectures late, not completing syllabus within the semester amongst other with 23.7%.

**Keywords:** academic dishonesty, Ghana's higher education, rating

**Introduction**

Academic corruptions involve every form of dishonest practices within an academic environment which undermines academic integrity and may provide undue advantage to an academic stakeholder. Usually it reflects in cheating in examinations, falsifying entry requirements for the purpose of gaining admissions into universities, plagiarism, hacking the IT systems of universities to change grades, trying or actually bribing lecturers for good but undeserving grades amongst others. Much as these practices have been identified with students, other stakeholders like lecturers, university administrators, and accreditation bodies amongst other have been identified with similar corrupt practices. As Damtew (2018) puts it,

“Academic fraud is not the sole preserve of students. Academics, staff and management are reported to have been involved in nefarious acts ranging from manipulating and doctoring grades, results and reviews to trading grades for sexual favors, popularly known as ‘sexually transmitted grades’. Ethnicity, gender and religious bias have been also identified as factors that undermine academic integrity in a number of countries (ibid). These practices have overtime compromised academic quality and have resulted in the churning out of poor-quality graduates, undermining the integrity of universities and compromising trust in the labor market.

In recent times, academic fraud seems very pronounced amongst lecturers with very obvious acts like plagiarisms, publishing in predatory journals, exchanging grades for sex amongst others being on the rise. While these practices are obvious and considered unethical, there are a number of lecturer classroom-related academic corrupt practices which undermine the credibility of the university environment which seem equally rising but has seen little attention as a result of acceptance by students, faculty and university administrators. Ample evidence exist that in most universities, some lecturers do not teach the entire syllabus before the end of the semester, others do not make available to students marks of their Interim Assessment (IA) scripts before student go on vacation, others do not present course outlines to students at the beginning of the semester while others report for lectures very late and exit very early or do not appear for lectures’ at all. The practices may seem non beneficial to any stakeholder but a true reflection of the highlighted reveals that, lecturers are usually the beneficiaries; making time to take care of their own business when they report late and exit early; making time for their own business or leisure when they do not make the requisite time to complete the syllabus with students; skipping topics they are expected to teach when they do not provide course outlines to students at the commencement of the semester and entering grades that may not be a true reflection of the students’ performance when they do not actually make time to mark and present to students their actual grades for interim assessments.

### **The Problem**

Despite ample evidence that exists on the occurrence of classroom related Academic Corruption amongst lecturers in Ghana’s higher education, there seems to be little evidence regarding the most occurring form amongst all the acts considered unethical by lecturers pertaining to the classroom. This research fills the gap in the area of academic corrupt acts by lecturers in relations to their work in the classroom and ranking the acts in order of frequency of occurrence in Ghana’s higher education.

### **Objectives of the Study**

This paper identifies the four-lecturer classroom-related academically dishonest practices with the aim of finding out which of them is the most predominant in Ghana’s higher education, the causal factors to these dishonest practices and curative measures to curb the rising menace in Ghana’s educational system. In line with this, the following research questions will be answered;

- What is the most frequently occurring lecturer classroom-related Academic Corrupt practice in Ghana’s higher education?

- What is the cause of the identified forms of lecturer classroom-related Academic Corruption in Ghana higher education?
- What measures can be used to solve the identified forms of lecturer classroom-related Academic Corruption in Ghana's higher education?

### **Theoretical Framework**

Literature has acknowledged the various forms of academic corruption as a major problem that occur as a result of high rate of dishonest practices among students and the resultant interference on learning and evaluation procedures in lecture rooms (Michaels & Miethe, 1989). In order to explain the phenomenon of academic corruption relating to lecturers and their work in the classrooms in Ghana's higher education institutions, there is the need to adopt theories that will provide more insight on academic corruption. Theories are propositions that explain social phenomenon. For the purpose of this study, the Social Learning Theory is adopted.

The Social Learning Theory is a psychological theory of deviance that is developed from a behavioral change (Lersch, 1999). Advocates of this theory see violation of rules as learned behavior that is attained and preserved through the same process as conforming behavior (Akers et al, 1979). The social Learning Theory argues that people's behavior is influenced by the environment in which they find themselves through observational learning (Bandura, 1977, Bandura, Ross & Ross, 1961). Akers (1985) argues that the tendency to engage in academic corruption or desist from it starts from the family. However, the most important influence on students comes from the behavior and attitude of their peers and/or instructors (lecturers).

### **Literature Review**

Academic corruption has been viewed from diverse spectacles by different scholars. Depending on the location, the nature of the academic fraud, and what is most prevalent within the environment, scholars have opined similarly and differently on the concept. Okebukola (2016) for instance opines that academic corruption is any type of cheating those accords a person undue advantage in an academic enterprise. The definition reflects the nature of academic corruption in Africa where the main focus is cheating in examinations, promotions, accreditation of institutions or other related instances. The strength of his opinions is clearly evidenced in the very obvious reason why stakeholders embark on academically dishonest practices in Africa (cheating). However, his opinion failed to consider instances where academic corrupt practices occur but do not actually result in any form of benefit to the stakeholder. For instance, many lecturers would mark scripts of students but do not present the scripts to the students before the close of the semester. This clearly is a practice which is not honest and can be classified corrupt but clearly, it does not advantage the stakeholder who is the lecturer although, psychologically, it disadvantages the student who expects to know his/her performance in the interim assessment before the main examination. Despite these criticisms, his observation clearly adds value to previous researches in this subject by emphasizing on the very obvious motive for academically corrupt practices, which is to

benefit stakeholders. Okebukola's work seem to find support in the works of Baig (2018) that academic corruption are unfair selection/promotion within the institute, appointments through nepotism or favoritism, professorial malpractice, favoritism given to selected students, unfair and biased assessment of grades, stolen resources from budget, exam questions sold in advance, forcing students to drop out, tendering process violation and illegal fees and ghost teachers. The opinions of both Okebukola and Baig find similarity in the very clear emphasis on cheating. The distinguishing opinion between the two remains in the emphasis made by Baig on the various forms of academic corruption while Okebukola summarizes all the thoughts in a short definition.

In Africa, though many instances of these corrupt practices seem evident, it is increasingly clear that lecturers are becoming a causal factor to the growing menace with most of them being guilty of either reporting for lectures late, exiting lectures before the expected time or not attending lectures regularly. This has had negative effects on students thus affecting academic quality over time. In her work *Lecturers' Competences and Students' Academic Performance*, Muzenda (2013) reports that subject knowledge, teaching skills, lecturer attendance and lecturer attitude have significant positive influence on students' academic performance. Her positions are one that should encourage rigorous reforms by institutions of higher learning especially in Africa to enact new laws that will ensure lectures attend lectures and deliver cause instructions within the time allotted to achieve the desired results of the course. While the positions of Muzenda still make a lot of relevance in literature, other writers may justify lecturer non-attendance to lectures on the increasing technology that make it easy to lecture from a distance. Such opinions have however witnessed counters by the writings of Billings-Gagliardi, and Mazor, (2007) that fears of the increasing availability of technology-enhanced educational materials has a negative impact on lecture attendance seem unfounded. While African institutions of learning are still engaging stakeholders in the many challenges related to academically dishonest practices, the issue of syllabus or course outlines being made available to students at the beginning of each semester seem to pose yet another challenge to managers of higher education. In their research *effect of Syllabus Tone: Students' Perceptions of Instructor and Course*, Harnish and Bridges, (2011) report that it is not uncommon for students to complain that faculty are unapproachable, while faculty complain that students are not engaged. Such perceptions, especially when formed at the start of a semester, can impact what students learn and how instructors teach; therefore, it is critical that these perceptions are prevented if a course is to be successful. A good starting point is the syllabus, which does not only inform students about a course and its requirements, but also creates a first impression about the instructor and his or her attitudes toward teaching. The opinion of Harnish and Bridges (2011) is clear testament that, for students to be courageous about their course and the tutor, a good starting point will be to make available to students the course outline or syllabus for the semester. A critique of her report however is the very obvious fact that, it is not enough for students to have the syllabus - it is important for lecturers to instruct professionally while students also make ample efforts to study the contents of the course outline. A good blend of this reduces the burden of the instructor especially when he/she is equipped with the skills, knowledge and attitude needed to perform on the job.

Students' awareness of their grades usually is a motivator to their continual input to studies, thus there is the need for lecturers to make known to students their results at all stages of examinations that students may embark on. While this is common a practice and adhered to by lecturers, in a number of instances, lecturers do not make available to students the results of their interim assessments before examinations which have adverse effects on student performance. This finding supports the works of Taras (2003) that students' expectations of their grades were closely related to the amount of time and effort which they had invested in their work. This was external to the actual standard of their work and their awareness of this.

### Methodology

The population for this study comprises of all current university students in Ghana at 2018/2019 academic year. A snowball sampling technique was used to reach the sample population. However, a total of 114 students responded to the online questionnaire. The questionnaire was created through Google forms and administered to students through social media platforms and electronic- mails. The students' responses together with theories and literature reviewed on the subject is the basis of the analysis.

### Findings

Graph 1: Responses on the most Recurrent form of Academic Corruption in Ghana's Institutions of Higher Learning

Which of the following is the most occurring form of classroom related dishonest practice of your lecturers? ( Please tick only one)

114 responses



The graph above rates lecturers not making interim assessment marks available to students before examinations with a total percentage of 53.5%. Lecturers coming into the classroom late and exiting early or not appearing for lectures at all rates second with a percentage of 22.8. Other practices such as lecturers not completing syllabus before close of semester, lecturers not making available to students the course outline, improper organization of interim assessments and others accounted for the remaining 23.7% of the other classroom dishonest practices by lecturers.

## **Discussion of Results**

Lecturers do not make Interim Assessment grades available to student before close of semester was rated the most occurring lecturer classroom-related academic corruption in Ghanaian universities with a record 53.5% of respondents alluding to this. Respondents attributed the inability of lecturers to make available interim assessment marks to students before the close of the semester to a number of factors. One of the reasons identified is the inability of lecturers to mark interim assessment scripts. A respondent aptly summarizes this in a few words: *“They do not mark the IA papers”*.

Respondents attributed this to lecturers being lazy, lack of effective supervision by management to ensure lecturers avail IA marks to students, lecturers sometimes withhold IA grades in order not to discourage persons who did not perform, lecturers avoiding being questioned by students for grades wrongly awarded, family pressures and lack of time due to part time teaching in other institutions. It is to be noted that, students are affected psychologically when their grades are not made known to them at a reasonable period after examination. This has the tendency of affecting their performance in subsequent examinations. This assertion is supported by the works of Taras (2003) that students' expectations of their grades were closely related to the amount of time and effort which they had invested in their work.

Rated most concurrent lecture classroom related academic corruption is lecturers not completing syllabus before the close of the semester with a percentage of 22.8. Respondents attributed this to frequent absenteeism of lecturers, most lecturers teach in more than one University hence do not have time to complete syllabus. In addition to laziness, some lecturers lack certain skills to teach and too much contents for a given course. In the word of one respondent, *“Because the slides they structure for the semester is too much”*.

When lecturers do not complete syllabus within the semester, it reduces student confidence in the course and also the lecturer. This has tendencies of undermining studies since students are likely not to give much attention to the given course. This act has however become an acceptable norm by students, lecturers and university authorities, making lecturers considering the act normal. The deviance behavior is not new in literature. The continual perpetration of this act finds conformance with the Social Learning theory which is a psychology of deviance. Authors like Lersch (1999), Akers et.al (1979) and Bandura (1977) have espoused that advocates of this theory see violation of rules as learned behaviors that is attained and preserved through the same process as confirming behavior.

The respondents rated lecturers coming to lectures late and exiting early or not appearing for lecturers in most instances as part of the last categories of lecturer classroom related academic corruption which formed part of the remaining 23.7%. They attributed this to factors like personal busy schedules of lecturers and laziness on the part of lecturers.

This occurrence in the Ghanaian higher educational institutions has negative effects on students thus affecting their academic quality over time. Muzenda (2013) puts it differently

“subject knowledge, teaching skills, lecturer attendance and lecturer attitude have significant influence on students’ academic performance”.

The respondents rated lecturers not making course outlines available from the beginning of the semester as part of the remaining 23.7% rated last. Such perceptions, especially when formed at the start of a semester, can impact what students learn and how instructors teach; therefore, it is critical that these perceptions are prevented if a course is to be successful. A good starting point is the syllabus, which not only informs students about a course and its requirements, but also creates a first impression about the instructor and his or her attitudes toward teaching. This position is supported by the works of Harnish and Bridges (2011) that, for students to be courageous about their course and the tutor, a good starting point will be to make available to students the course outline or syllabus for the semester.

### **Conclusion**

This study rated the classroom related to academic corruption among lecturers in Ghana’s Higher Educational Institutions. The study concludes that, lecturers do not make interim assessment grades available to student before close of semester was most occurring lecturer classroom-related academic corruption, with lecturers not completing syllabus before the close of the semester rated second. Others such as lecturers coming in late and exiting early or not appearing for lecturers, lecturers not making course outlines available from the beginning of the semester and others were collectives placed in the 3<sup>rd</sup> place. This occurrence of these academic dishonesty is largely as a result of lecturers being lazy, lack of effective supervision by management to ensure lecturers avail IA marks to students, family pressures and lack of time due to part time teaching in other institutions, frequent absenteeism, lecturers are not meant to teach or lack certain skills to teach students, too much contents for a given course, failure on the side of the management of the university or faculty and forgetfulness on the part of lecturers.

### **Recommendations**

A number of recommendations have been made in line with the identified practices. They are discussed under the appropriate headings.

#### **Lecturers Do Not Make Interim Assessment Grades Available to Students before Close of Semester**

In line with the finding that management is lax on supervision of lecturers, it is recommended that management makes it a policy to ensure Interim Assessment marks are made known to students within a stipulated period to enable students aware of their performance before the main examinations. Also, as a matter of policy, student representatives in the class should be empowered through an institutional reform to enable them question lecturers who do not make Interim Assessment marks known to students before the end of the semester. This will reduce fear of victimization by students to confront lecturers on the issue. In line with the finding that lecturers do not mark interim assessment scripts; compulsory early marking is recommended to ensure lecturers make available to students their scripts and grades before the main

examination. Further, to ensure all lecturers comply with marking policy, there should be a portal that displays all Interim Assessment marks for the semester before exams. Lecturers who do not mark will be exposed by the portal for appropriate sanctions. Surveys like this should be conducted after the IAs so that students will know the lecturers who do not submit their marks to the students.

### **Lecturers Come in Late for Lectures and Exit Earlier or Do Not Appear for Lectures at All**

In line with the finding that lecturers come in late and exit early, it is recommended that, there should be a clock in and clock out systems for lecturers to ensure they work in line with the expected schedules of the university in the classroom. Further, there should be regular lecturers' assessment on attendance by the university. Attendance log book should be made available in various lecture rooms each day. This should be backed by reviews by management and appropriate actions taken by management on defaulting members. Regular checks on lecturers by an assigned officer of the university should be in place.

### **Lecturers Do Not Make Course Outlines Available to Students at the Beginning of the Course**

Hinged on the finding that lecturers are guilty of this as a result of lacking the requisite skills, it is recommended that lecturer are equipped with the skill, knowledge and attitudes needed to teach the entire contents of the course. This can be done through periodic trainings. Universities should ensure a portal is created to host all course outline for the semester.

### **Lectures Do Not Complete Syllabus Before end of Semester**

Prescribed penal measures should be meted to lecturers when found guilty. Students' assessment on lectures should be taken more seriously and necessary sanctions meted out to underperforming lecturers. Each course should be taken at least twice a week in order to help lecturers complete their syllabus for the semester.

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**The Practices of Integrating Research-Based Knowledge and Teaching-Learning Process in Higher Education Institutions: The Case of Hawassa University, Girma Moti Geletu, Hawassa University, Ethiopia**

**Abstract**

The purpose of this study was to explore the integration of research-based knowledge teaching-learning process in College of Education. The study was carried out using qualitative research design with case study method. The data were collected using interview, FGD, observation and document analyses from 30 participants. The curricular materials were not mapped around inquiry and unable to make practitioners' minds-on/hands-on activities. Besides, the works of the majority of students and instructors were not awesome in creating and utilizing findings as practitioners rather than being mere consumers. However, on one hand, few instructors and postgraduate students produced research outputs to accomplish academic promotion and partial fulfillment of their degrees respectively. On the other hand, instructors have shown high degree of ownerships on the research outputs due to meager experiences of students. The financial and material resources allocated for research is determined by the accountability system of the university in that the college is semi-autonomous. Hence, it was difficult to bridge the gaps between teaching and research due to perplexing dynamics emanated from financial problems, lack of motivations, experiences and poor curricular materials. As a result, HEIs are failed to produce top performance level graduates with critical thinking, originality and creativity. Besides, practitioners were not motivated in joint generation, utilization and dissemination of knowledge. In ensuring the nexus between the two disciplines, the declared proclamation should be shifted from 75%: 25% to 50%:50% for teaching and research respectively. Moreover, the types of the researches to be conducted and utilized by practitioners should be inclined to the disciplines rather than being influenced by the interests of the funders. Likewise, the College should establish strategies and revitalize efforts towards making researches more problem-solving and practical in the teaching-learning process.

**Keywords:** integration, research, teaching-learning process

**Introduction**

**Background of the Study**

Higher education institutions are distinct social organizations which are characterized by the coexistence of teaching and researching, among others. Through creating strong bond between education and research, higher education institutions are contributing to the social, economic, and cultural development of the given society. Hence, integrating teaching and research in higher education institutes opens opportunities for discussion among instructors, students and other stakeholders. However, higher education institutions are facing different serious problems in serving the public in providing necessary knowledge and in educating young people to address the current complex global challenges. In the journey of addressing these dynamics, the two main European policies, the Bologna Process started in 1999 and the Lisbon Strategy, including the modernization agenda for universities have been translated into new

national policies affecting principally governance, autonomy, funding, research and external quality assurance (Pavel, 2012). Within international framework, according to the Bologna Process the orientation of master studies in Europe tends to reach substantial improvement of a new generation learners and offers opportunities for originality in idea development and use including research. Purposefulness of the research in different rapidly changing and turbulent contexts reinforces the needs of all stakeholders such as children, families, professionals and the policy audiences (Maslo&Kiegelman, 2008). It is evident that pedagogical research is complex in nature and none of the existing methodological approaches can be sufficient to discover its complexity.

An actual task of contemporary Universities is to narrow the gap between research and teaching through a research-based approach to education by creating environment that includes vital integration of research activity and teaching learning process, new emphasis and support for innovations and better preparation of students as future professionals (Deem, 2007; Haverhals, 2007 & Tranter, 2007). Research-based studies with different modifications support a vision of a University that links research as a creative activity and education at every level (Deignan, 2009; Scripture, 2008). The integration of research and education could be promoted by creating a research and education environment, developing education and research programs that provide multi-disciplinary, team driven and system oriented educational opportunities to University students (Tranter, 2007). Meaningful research and educational experiences should take place in environment in which research and education fit together naturally and reinforce each other and in which interaction takes place among all actors.

Research and teaching are the two major mandates and responsibilities of Universities worldwide (Bridges, 2009). This task of doing both research and teaching activities is what distinguishes Universities from other teaching institutions (Shami and Kifir, 2002). However, the question remains as to whether there is a productive interaction between these functions and whether university academics practically link their teaching to research. In connection to this viewpoint, Brew & Bound (1995) underlined that there have been three different views on the types of relationships that exist between research and teaching at higher education institutions. These are: (1) The strong integrationist view which states that in order to be a good university teacher, you have to be an active researcher. (2) The integrationist view which states that there are links between teaching and research at the departmental or institutional level but not at individual level. (3) The independence view (unpopular one) which states that there is no causal relationship between the two.

However, Brew and Boud (1995) argued that much of the relationship between research and teaching is based only on an outcomes view of research as publication. Moreover, these authors maintain that it is not teaching and research that are directly related, but that each is related to learning. Focusing attention on research as learning is, therefore, shifting to a view of research as a process in which the researcher becomes more of a learner than a problem solver. It is when research is taken as a productive and applicable process that links teaching and research can be realized in terms of what the teacher learns from it and uses this learning

to improve his/her practice rather than mere publications. Teachers' focus only on publications will ultimately lead to the separation of research and their teaching practice (Barnard *et al.*, 2007). This pinpoints that the degree of improving the teaching-learning process using research findings is meager.

There is a situation that the traditional 'top-down model' of educational research, where non-teacher researchers propose solutions to educational problems and the teacher implements with fidelity have not impacted on practice (Rubdy, 2008). Using the top-down model, researchers very often ask and answer questions that may not help practitioners deal with day-to-day problems in their specific contexts (Crookes, 1993). This fidelity approach of curriculum implementation considers teachers only as practitioners and takes a lion share in researching and practicing. Moreover, the research involves knowledge in practical situations and using a knowledge-base to derive solutions to new problems, rather than internalizing world of knowledge itself.

In light of this, Griffiths (2004) & Healey (2005) proposed four models showing the links between teaching and research. Many teaching and learning activities may involve a mixture of these four approaches. These are: (1) Research-led teaching: students are mainly an audience, emphasis on research content. (2) Research-oriented teaching: students are mainly an audience, emphasis on research processes and problems. (3) Research-based teaching: student is active, emphasis on research processes and problems. (4) Research-tutored teaching: students are active, emphasis on research content.

Hence, research-based teachings along with research-based curricula were my conceptual frameworks for this study. Here, it is noticeable that the curriculum is largely designed around inquiry-based activities rather than on the acquisition of subject content, the experiences of staff in the processes of inquiry are highly integrated into the students learning activities, the division of roles between teachers and students is minimized and the scope for two-way interactions between research and teaching was deliberately implemented. For research-based teaching model, Griffiths (2004) recommended that research-based curricula are undertaking research and inquiry.

Here, the curriculum focus is on ensuring teaching and learning process and teaching as the main tasks of universities and thus, the student learns in inquiry mode (i.e. the students become producers of knowledge not just consumers) in the journey of promoting quality of education in HEIs. Therefore, the study revolves around how, why and when to integrate research-based knowledge and teaching-learning process in Hawassa University, College of Education and its implications for quality in HEIs.

### **Statement of the Problem**

As means of transformation from knowledge generation to knowledge dissemination and utilization, ETP (1994) states that research of practical societal impacts is given priority in view of the fact that development is unthinkable without having skilled citizens that come out of competitive type of education system in the walk of globalization. When Ethiopia is moving

to stand among middle income countries according to 2020-2030 agenda of global sustainable development goals or the third mission, one may ask about quality of higher education and quality of instruction as key priority areas in the arena of development. More specifically, McIntyre (2005) stated that an effective teacher is the one who is professionally informed by knowledge from research in the teaching practice. This is because, “the key to effective teaching is definitely a balance between theory and practice” (Pacheco, 2005). This assures that through teachers’ use of research-based knowledge quality of instruction can be improved.

In the Ethiopian context, much pressure in the reform agenda to enable teachers do more researches apart of their professional development and to improve their practice by linking their teaching to research; publishing and disseminating their research results in different journals as well as presenting on seminars and workshops (FDRE, 2003). So that the symbiotic relationship that exists among research, teaching and learning explain the contribution of research to teaching and to the quality of education on the one hand, and the opportunities that teaching creates for research activities to be undertaken on the other (Adane, 2000). This underlines that teaching and research are experience-based disciplines and are the two sides of the same coin and part and parcel of teachers’ professional development in higher education institutions.

Despite these opportunities, there are full of complaints that research done by Ethiopian higher education institutions' academics are not serving the purpose of solving contextual problems in education (ETP, 1994). Moreover, Tsegaye (2000) argued that the apparent marginalization of the research activities from teaching-learning process has led to the persistence of educational problems. Related concerns have also been expressed in government policy documents (ETP, 1994). According to higher education proclamation (No. 531/2003) that governs higher education institutions in the country (FDRE, 2003); there are important requirements in this legislation that set the framework for research in institutions of higher learning. The higher education proclamation states that “academic staff” means an employee of higher education institution who devotes 75% of his time to teaching and 25% of his time to research. Most of the Ethiopian higher education institutions are not engaged in research and studies as much as required of them (Habtamu, 2003). This shows that research is seen as marginal aspect of teaching rather than being indispensable to maintain higher standards.

There may be occasions where students would feel they are just ‘cheap labor’ for the teachers, when they are engaged in actual knowledge production together with the teacher (Chang, 2005). This was seen to be explored from the perspective of distribution of authority (Dekker, 2016), where students and teachers in different disciplines were interviewed about their views of and experiences with research-based teaching. This reflects the concerns of ownerships and the challenges when students and teachers practice the linking of research and teaching in the joint supervision.

In the journey of investigation, one might ask the question, what is research-based teaching then? Research-based teaching is teaching through meaningful and real hands-on experiences in research: students are researchers and ask complex questions, search for answers by doing

research, and report about their research journey. The teaching-research nexus can be viewed as a continuum with no relationship between teaching and research at one end and a full relationship between teaching and researching at the other end. Universities can improve the relevance of their education and can better prepare the students for follow-up studies and to the new and emerging demands of the labor market in the 21<sup>st</sup> century. Moreover, a close intertwining of teaching and research strengthens their professional identity. Similarly, the research activities carried out in universities are inadequate both in quantity and quality due to challenges such as lack of research funds, fewer facilities, poor management support system, teaching load and shortage of qualified and committed staff (Dawit, 2014). In the Ethiopian context, there are few studies done on problems of research associated with higher education institutions (e.g. Adane, 2000; Habtamu, 2003; Dessalegn, 2006; Dawit, 2014.etc.). These studies revealed that research at higher education institutions in general is surrounded by number of perplexing paradoxes.

Higher education, research and teaching are the key axes and change dynamics in the walk of globalization. Today's students are active learners rather than onlookers waiting for other sources of information. They view themselves as participants in creating information and new ideas (Leadbeater, 2008). Accordingly, the 21<sup>st</sup> century instruction is based on three pedagogical principles (3P's) such as personalization, participation and productivity (Mc Loughlin and Lee, 2008). This allows learning through authentic real-world contexts and solving problems as they arise all of which constitute powerful learning strategies. Forming working relationships with teachers and partners in the community and working collaboratively with peers will contribute to productive learning experiences for learners worldwide (Bolstad, 2011). Research about how individuals learn provides valuable insights into the ways different pedagogies support learners in mastering the 21<sup>st</sup> century skills and competences, and best engages and prepares them for a complex and ever changing world.

Besides, my long experiences as researcher and practitioner in colleges of education persuades me to investigate the interrelationships between research and teaching, and evaluate the effects of research-based knowledge in augmenting the learning of students. I believe that research-based teaching is a promoter of higher order learning outcomes and critical thinking expected of higher education institutions. A fundamental belief motivating me to conduct this research was grown from my own relationship with constructivist disposition. Therefore, my constructivist epistemology asserts that knowledge is a product of the social context where meaning evolves from interactions with others (Clotty, 1998). Hence, my research related philosophical persuasions helped me to construct the framework in which the study is designed (Charmaz, 2006). This investigation is founded on pragmatic undertones with the belief that meaning is created through action and interaction from experiences-based education. Therefore, I believe that this particular study bridges the gaps in integrating research-based knowledge and instructional system. Hence, the previous local studies did not address the attempts of HEIs in integrating research findings and teaching learning process. On the basis of this rationale, in order to fill the gaps, I was initiated to explore the practices of integrating teaching and research in Hawassa University, College of Education in focus and its implications for quality of higher education institutions.

## **Objectives of the Study**

The main objective of the study was to explore the integration of research-based knowledge and teaching-learning process in Hawassa University, College of Education in focus. More specifically, the study has the following objectives:

- Investigate the awareness, willingness and motivation of practitioners on the integration of research-based knowledge and teaching-learning process.
- Evaluate the effects of research-based teaching learning process on the joint generation and utilization of knowledge to produce competent graduates.
- Examine the cultures and recurrent practices/experiences of integrating research and teaching-learning process.
- Analyze the curricular materials whether or not designed around inquiry-based activities to prepare graduates for the 21<sup>st</sup> century world-knowledge and skills.
- Explore the competences of instructors and postgraduate students in ensuring integration of research and teaching-learning process.

## **Basic Research Questions**

The central research question for this study is: ‘What does the integration of research and teaching-learning process look like in Hawassa University, College of Education in focus?’ Based on this question, the following key sub-questions were raised throughout the study.:

- How well are the institutional plans and strategies utilized to strengthen the nexus between research-based knowledge and teaching-learning process to produce competent graduates?
- What do the awareness, willingness and motivation of practitioners on the purposes and methods of integrating research and teaching-learning process look-like?
- How do students and academic staffs practice problem-based teaching-learning strategies?
- Are the curricular materials in college of education designed around inquiry-based activities to prepare graduates for the 21<sup>st</sup> century world-knowledge and skills?
- How do instructors and students practice the co-creation and utilization of knowledge in research-based teaching-learning process?

## **Research Design and Methodology**

### **Research Method**

To illuminate the degree of integration of research-based knowledge and teaching-learning process in Hawassa Unity, College of Education in focus, qualitative design with case study method was used. Case study is a design of inquiry found in many fields, especially evaluation in which the researcher develops an in-depth analysis of a case, often a program, event, activity, process, or one or more individuals. Cases are bounded by time and activity and researchers collect detailed information by using a variety of data collection procedures over a sustained period of time (Yin, 2009, 2012). Moreover, with this regard, Creswell (2014) assured that case study method is an approach to inquiry involving collecting qualitative data to make in-depth investigation. Through bringing philosophical foundations and

methodological considerations together in an ongoing praxis therefore, the researcher believed that case study is an appropriate method to show the current status of integration of research and teaching-learning process in Hawassa University, College of Education in focus and its implications for quality of HEIs.

Accordingly, my own knowledge development paradigm leads me to the investigative efforts and further rationales for selection of methodology, data collection, participants' selection and data analysis. In view of this, Creswell (2003) stated ontology as the claim researchers make regarding knowledge whereas epistemology is how individuals have arrived at that knowledge, and methodology is the process of studying the knowledge.

I agree with the contention that, "all knowledge and meaningful reality is contingent upon human practices being constructed in and out of interaction between human beings and their world, developed and transmitted within essential social context" (Clotty, 1998). These ontological assumptions helped me to emphasize the lived experiences of educational leaders, instructors, postgraduate and PGDT students on the integration of research-based knowledge and teaching-learning process.

### **Sources of Data and Sampling Techniques**

The participants in this qualitative case study method are generally chosen according to what is known as purposive sampling technique on the bases of specific criteria met by the participants at the moment of selection. Hence, 30 participants were selected to take part in this study; 13 participants (4 PhD, 5 Masters and 4 PGDT students). 7 instructors were selected using purposive sampling technique and participated in interview, and 10 participants (2 PhD, 3 Masters and 5 PGDT students) were engaged in FGD. Besides, the secondary sources of the data were instructional materials, plans and strategies, different academic research manuscripts such as Masters' theses, PhD seminars, thematic researches, disciplinary researches and action researches.

### **Data Collection Instruments and Processes of Analysis**

The most appropriate data collection strategy for qualitative case study researches are an in-depth-interview, FGD and document analysis. Creswell (2014) suggested that the researcher should make an interview with 3 to 15 individuals and Polkinghorne (1989) recommended that the researcher can interview from 5 to 25 experienced individuals. Accordingly, to collect data from research directorate, educational leaders, instructors, postgraduate and PGDT students in Hawassa University, College of Education in focus, I prepared unstructured open-ended interview and FGD guiding questions in "English" because it is the medium of instruction in Universities. Among the total of 30 participants, in-depth interview was conducted with 20 participants (9 postgraduate students, 4 PGDT students and 7 instructors), and FGD was conducted with 2 teams holding 10 participants. Pseudonyms were given to each interviewee and FGD members to protect their identities. The collected data were coded and organized in thematic units.

## **Presentation and Discussion of Major Findings**

I have identified a total of 86 individual verbatim statements shared by educational leaders, senior instructors, postgraduate and PGDT students. Of these, 65 individual verbatim statements represented relevant, non-repetitive, non-overlapping significant statements. These statements reflected the entire sentences and were a subjective extrapolation from the texts, and were grouped into 5 themes and 12 Sub-themes.

### **Theme of Major Findings of the Study**

#### **Theme 1: The Efforts of Practitioners**

In line to this, an interviewee, RBT<sub>6</sub> centrally demonstrated that, “instructors and postgraduate students are trying to practice the spontaneous to-and-fro measure of performances to ensure institutional autonomy (academic autonomy and freedom) in teaching, research, and community services to ensure quality of education in order to achieve even the third mission to sustain education in HEIs. Besides, in respect to teaching-learning process, the degree of relationships between teachers and students, students and students, students and the curricula are found to be weak but the degree of the relationships between students and grade is very strong (RBT<sub>3</sub>).

“Most of the time research is carried alone without any nexus with teaching by instructors and by non-practitioner researchers due to the priority areas of funders but expected to be implemented by instructors and students. Sometimes the funders or resource providers influence the research and teaching integration in that there are situations where teachers are shifting to research unrelated to teaching (RBT<sub>2</sub>). Besides, instructors have better motivation, knowledge and skills than students who are loosely engaged in research projects due to lack of experiences, finances, consultancies and values given to utilization and publications of the research findings” (RBT<sub>1</sub>).

On the other hands, the other interviewee argues that there is often integration between research and teaching to some extents such as using problem-solving methods, inquiry, laboratory, projects. etc. Accordingly, RBT<sub>12</sub>, “witnessed that the college is announcing for the academic staff to apply, compete and conduct interdisciplinary, disciplinary, internationally funded projects annually according to the schedule of the University. The equilibrium shifts in that there are no mutual relationships between teaching-learning process, research, training and social services. Besides, it is a question to me to find research-based teaching and learning processes where there is weak accountability system and being semi-autonomous” (RBT<sub>7</sub>). However, the modern integration of research activities with teaching and learning promotes quality of instruction (Clark, 1997).

#### ***Subtheme 1: Conceptualizing the Nexus between Research and Teaching-learning Process***

With respect to understanding of the nexus between research and teaching-learning process, one interviewee explained that, “I think that knowledge-based teaching is the result of the bond between teaching and research. And, I believe that when both academicians and students conduct research, ask questions, make exercise through hands-on/minds-on, one can gain knowledge informally and practically solve the problems following scientific procedures” (RBT<sub>4</sub>). However, there is lack of understanding about the importance of the nexus between research and teaching by stakeholders.

Besides, respondent RBT<sub>12</sub>, commented that, “when I see most of the course materials, they are not designed according to constructivist paradigm and student-focused approach that invite students to solve the problems through scientific method. This shows that research-based teaching is not widely conceptualized throughout the schools, departments and programs in the college of education”.

### ***Subtheme 2: Awareness, Willingness and Motivations of Academic Staffs and Students***

In light of awareness and motivations, an interviewee, RBT<sub>9</sub>, “suggested that I think academic staffs and PhD students have good awareness on the theoretical frameworks of research-based teaching-learning processes, but there is lack of motivation and encouragement to implement it”. Moreover, RBT<sub>14</sub> mirrors out that, “I understood research-based teaching is encouraging both students and academic staffs but the motivation is not practically encouraging”.

In a similar manner, one of the interviewees, RBT<sub>20</sub> confirmed that, “from my side, I can tell you that the legislation mirrors out that 25% of the time of the academic staffs is devoted to doing research and community services and 75% to teaching. But, academic staffs are doing research mainly for academic promotion and students are doing for course requirements and partial fulfillment of their BED/BA, MA or PhD degrees and the majority of the findings are to shelf. Besides, I don’t think that this legislation by itself makes teachers to focus on teaching rather than research. Hence, to strengthen the integration between research and teaching, there should be a shift to devote 50% of the work time to teaching and 50% doing research”. This idea is supported by the FGD that, “instructors and PhD students have awareness on the theoretical justifications and implementation of research-based teaching and lack motivations such as both extrinsic motivation (e.g. rewards, promotion), and intrinsic motivation from the side of professionalism” (FGDR<sub>1</sub>).

### ***Subtheme 3: The Culture of Research Based-knowledge and Teaching-learning Process***

In respect of overshadowing the culture of research-based teaching, allocating reasonable budget for research and providing adequate infrastructure support is one of the important motivational conditions for productive research culture to flourish in an institution. “...as to my understanding, the trends of conducting research in my college is primarily not to improve teaching-learning process and it is for community service as the purpose of the funders but many findings are to the shelf and only few are implemented as trainings. Academicians usually conduct academic researches for academic promotion and fulfillment of their degrees from the side of students” (RBT<sub>5</sub>). Also, one of the interviewees, RBT<sub>8</sub>, commented that, “I think the culture of College of Education in implementing the integration of research-based teaching-learning process is relatively poor. Because the types of researches conducted were depending on the purpose of the funders or financial systems of the University. You don’t have options to get money otherwise”.

Hence, the equilibrium shifts is that there is no strong nexus between teaching and research in my college. Salazar-Clemeña and Almonte-Acosta (2007) noted that the ability of institutions and departments to pull external sources for financial resources assists the research culture.

Moreover, from focus group discussion teams, “it is evident that the trends of College of Education in integrating knowledge-based teaching learning process is on-and-off depending on the thematic and financial phenomenon of College of Education. Because you don’t implement your responsibility system without human, material and financial resources” (FGDR<sub>1</sub> & FGDR<sub>2</sub>).

#### ***Subtheme 4: The Quality of Course Materials***

Even though there are attempts to integrate teaching and researches to some extent, there are no well-organized curricula with respect to research-based teaching. At the same time, no one is initiated to develop research-based curricula to ensure the nexus between teaching and research” (RBT<sub>8</sub>). Moreover, “the quality or status of instructional materials are usually teacher-centered and something looks like learner-centered and do not help learners to integrate research-based knowledge and teaching and learning processes which entirely need to focus on inquiry-based activities. Therefore, we can say that research-based teaching and learning process are less understood and poorly implemented at both graduate and undergraduate levels” (FGDR<sub>1</sub>).

#### **Theme 2: The Practice of Co-creation of Knowledge by Academic Staffs and Students**

One of the interviewees, RBT<sub>10</sub> suggested that, “as to my understanding, academic staffs and postgraduate students practicing the spontaneous to-and-fro movement in teaching, research and community services to ensure quality of education and achieve the third mission as well. But I think that most of the time the teaching-learning process is carried out theoretically without being supported by projects”. In light of this, Gray *et al* (2013) suggested that while the research has certainly shaped and in effect endorses our focus on the curriculum, it does leave open and uncertain the extent to which organizations need a research ‘presence’. Individual staff need research competence and understanding to support students involved in learning through some form of research or inquiry.

On the other hand, the other interviewee, RBT<sub>18</sub> ascertained that, “sometimes research is carried out by non-practitioners or external researchers and expected to be implemented by instructors and students in the schools”. Besides, RBT<sub>15</sub> illustrated that, “I am certain that students are conducting research for fulfillment of their degrees and instructors support them as advisors for their professional support and as a source of increasing their income. Otherwise, they have no worries to integrate research and teaching and to recycle the findings into the teaching-learning process”. Moreover, the other interviewee, RBT<sub>13</sub> stated that, “from my experiences, even though there are many problematic areas need to be solved, the joint creation of new knowledge between teachers and students is not encouraging. This nexus is not going beyond advisor-advisees or mentor-mentees relationship”.

It was also evidenced from the FGD that, “the curricula are not inquiry-based, the learners are considering projects, field trips, laboratory and research works as tiring duties, and sometimes instructors are not willing to support, give feedbacks and guide learners to create knowledge in collaboration, lacks team spirit and team working” (FGDR<sub>1</sub> & FGDR<sub>2</sub>).

### ***Subtheme 1: Accountability of Practitioners***

The interviewee suggested that, “I think that it is difficult to say that there are accountability system when decisions about the curricula, finance, human and material resources are allocated and monitored from the center though the policy looks-like decentralization. But, I witnessed that the college is semi-autonomous in that it is only accountable for the implementation of the curricula and should not decide on financial issues” (RBT<sub>11</sub>). Besides, RBT<sub>3</sub> indicated that, “instructors and students have no authority to improve instructional materials. And implement it as already prepared from the center for PGDT and as prepared by academic staffs. Otherwise, it requires budget to prepare research-based materials for teaching-learning process. But I contemplate that academic staffs and students are more accountable to integrate teaching and research”.

### ***Subtheme 2: Dynamics Perplexing the Integration***

One of the interviews, RBT<sub>10</sub> assured that, “I think the most serious factor that affects the implementation of research-based teaching is lack of instructional materials prepared in such manner. The other thing and even the most serious factor is lack of financial resources to be run by the College of Education”. Similarly, RBT<sub>8</sub> suggested that, “our chances to get academic promotion are too limited because the criteria developed by the University are too high to achieve even the volume and index of the journal of publication expected is greater than 20 with high impact factor. Hence, the College lacks institutional autonomy and the teachers lack academic freedom as well. This is a similar problem throughout the University. I observed that the other unique perplexing problem in this University is that you couldn't get any academic promotion unless you served in this particular university for 4 academic years whether you are fresh graduate or served in other equivalent universities. This scenario undermines experienced teachers employed or transferred from other universities to conduct researches”.

### ***Subtheme 3: Experiences of Academic Staffs and Postgraduate Students***

One of the interviewees, RBT<sub>7</sub> mirrored out that, “they ponder that academic staff have more experiences and accountability to implement research-based teaching relatively but facing multiple challenges in respect of motivations, curricular materials, financial resources, etc. Besides, they are certain that postgraduate students are experiencing some research projects for course requirements and in fulfillment of their degrees. Hence, students are participants rather than audiences”. Usually, the findings of many of these projects are not recycled in the teaching-learning process as outputs.

## **Theme 3: The Effects of Research-based Teaching on Standards of Instruction**

The balance between teaching and research is very weak and by implication low standards of quality of graduates in College of Education. “Instructors understand that most of the time, teaching is carried alone by instructors and sometimes research is carried out by non-practitioners or external researchers but expected to be implemented by instructors and students” (RBT<sub>16</sub>).

***Subtheme 1: Assumptions on the Status of Instructional Process***

In light of the status of instructional processes, Robertson Blacker (2006) stated that teaching-research integration provides positive student and teacher perceptions and engagement of experiences with problem-based learning in instructional processes.

With respect to this, RBT<sub>11</sub> ensured that, “I am certain to say that active-learning and continuous assessments were not perfectly implemented except the attempts of the cooperative learning strategies. Hence, we don’t expect quality teaching-learning process under such phenomena where instruction is not fully student-focused”.

***Subtheme 2: Performance Levels of Graduates in the Joint Production of Knowledge***

One of the interviewees, RBT<sub>3</sub> commented that, “I think that students need to be considered as both producer and consumer of knowledge in collaboration. To implement this, you need to have research-based curricula. Therefore, when I come to the quality of our graduates at postgraduate level, still we have three types of graduates (lower performer, medium and high performer) at their stay in the University”. Moreover, in the focus group discussion, respondents confirmed that, “the teaching-learning process is not supported by inquiry or research activities and so that the graduate performance level is varying accordingly. Therefore, similar to primary and secondary schools, students are at three levels of performances based on the notion of inquiries, problem-solving activities and creativity or originality. According to HERQA (008/2006), all degree graduates are expected to demonstrate that they have acquired knowledge, skills and abilities identified in their programs’ learning outcomes. Thus, it is difficult to prepare graduates for the 21<sup>st</sup> century works”.

**Theme 4: The Extent of Institutional Autonomy and Competences**

RBT<sub>6</sub> described that, “educational leaders, instructors and postgraduate students recognized that the contributions of the College to national and local economic development to maintain high standards with respect to the production of motivated, skilled and knowledgeable human labor is not encouraging to maintain quality of instruction”. Besides, Respondent, RBT<sub>8</sub> summarized that, “educational leaders are trying to exercise their responsibilities in quality assurance, research production and publication, cooperative learning, short and long-term training but the finance to implement these duties and responsibilities are from the center. This pressure ultimately affects quality of teaching and research, public services and resulted weak knowledge production and innovation practices”.

Moreover, from document analysis I observed that the thematic, disciplinary, action researches manuscripts are produced by practitioners but not implemented in problem-solving actions. This shows that the College lacks accountability systems to solve educational problems associated with teaching-learning process.

### **Theme 5: The Effects of Accountability System**

In light of this, RBT<sub>17</sub> summarized that, “I am sure that currently, the College has its own educational culture, structures from college level to department unit’s level, and an access to technologies (actually weak). Hence, I believe the College is semi-autonomous to accomplish its duties as it is one of the institutions of the University to implement the integration of teaching and research”.

Besides, “some challenges like problems of internal efficiency, quality and values given to research-based teaching profession need urgent improvements. Hence, I think it is difficult to manage communication gaps between different stakeholders through effective planning, implementation and monitoring the integration of teaching and research. Besides, I think that the College is selected as the Center of Excellence in teachers’ education due to its best structure at the ground miles such as quality of human capital. But the process of assuring quality of instruction and the process of knowledge productions in particular require further hard working” (RBT<sub>19</sub>). Based on the above premises, one of the interviewees, RBT<sub>7</sub> supposed that, “I contemplate that students are engaged in the teaching-learning process, research and conferences but the College is unable to integrate and balance the skills in teaching and research”.

The materials for making a system of authority afford some actors in a social system more freedom in their actions than others. Thus, inadequacies of the resources suffocate the authority of public universities in balancing between teaching and research. Institutional autonomy grants an organization the ability to quickly and successfully source and exploit resources faster than its competitors (Abrutyn, 2009). Hence, the lack of integration between teaching and research is a consequence of limited resources to public universities.

### **Conclusions**

Based on the central points of the themes and subthemes on the integration of research-based knowledge and teaching-learning process in the College of Education, I can conclude that the relationships between research-based knowledge and teaching-learning process are unquestionably essential to scholastic experiences. While the integration matters to the experience, it lies out of sight and is largely taken for granted. Indeed, the integration between research and teaching-learning process foregrounds the quality of education in general and that of instructional system in particular to solve practical problems. Moreover, from the findings summarized in the thematic units, I can conclude this study as follows.

In the integration of research and teaching-learning process, the actual practices were not promising even though there were institutional plans and strategies. Accordingly, practitioners had no willingness, motivation and encouragement to implement the integration of knowledge-based research and teaching-learning process. For instance, the status of the curricular materials at each level was not fully inquiry-based to make practitioners’ hands-on activities to develop practical and lived experiences. Besides, there are circumstances where the works of instructors and students were not awesome in generating and utilizing research findings as participants rather than being mere audiences and consumers. These experiences

pledged instructors and students to be dependent on experts' information rather than becoming co-producers and disseminators of knowledge.

- The awareness, willingness and motivations of some students and instructors to exercise inquiry-based activities in the journey of the integration of research-based knowledge and teaching-learning process were found to be negligible, except the case that instructors and students are doing researches for their academic promotion and fulfillment of degrees respectively. But, the University encourages publications of articles on reputable journals.
- The accountability system of the University determines the financial resources allocated for both research and teaching and hence, it is difficult to strengthen the nexus between research and teaching where the accountability system has confounding dynamics emanated from financial problems, lack of motivations and experiences and poor curricular materials. The political, social and cultural contexts of the University elongated the communication channels between educational leaders and frontline implementers of the curricula and research activities. This untimely long route accountability system forces the practitioners to make soundless decisions on the implementation of the curricula, research works and community services on time.
- The commitment of management bodies, teachers and students in the integration of research-based knowledge and teaching-learning process to produce competent graduates with critical thinking, originality and creativity were not encouraging. Hence, the curricula were not fully student-focused and not allow learners to construct their knowledge on their efforts on the bases of inquiry, research, projects, research laboratory, etc.
- The integration between the two disciplines resulted in positive effects that few instructors and PhD students are trying to accomplish the missions and values of the College of Education by producing knowledge in the form of term papers, mini-research papers, projects and assignments. However, most students and some instructors were not motivated and confident enough in the joint production, utilization and dissemination of research-findings. These puzzling challenges resulted in threshold performance level graduates, and failed to produce top level performance graduates with creativity, originality and new insights.
- The legislation of higher learning institutions set the framework of higher education proclamation that states "academic staff" means an employee of higher education institution who devotes 75% of his time to teaching and 25% of his time to research". This has made the academic staffs to give more time for teaching rather than being engaged in doing research, and resulted in poor nexus between teaching and research activities.
- Many of the thematic researches, disciplinary researches, masters' theses, PhD seminars and action researches produced by practitioners are shelved in the library and offices rather than being published, disseminated and utilized by consumers, and recycled in the instructional processes.

- There were the missing of links between research and teaching-learning or failure to recognize the linkage between education, research and development (ERD) due to lack of focuses by leaders, followers and contexts.

### **Recommendations**

This study foresees the integration of research-based knowledge and teaching-learning process and calls for vertical and horizontal effects where the management bodies, educational leaders, instructors and students work in collaboration to generate large pools of knowledge to achieve the missions and values of the University. On the bases of these grounds and justifications, I forwarded the following recommendations as directions to solve the identified challenges in the journeys of maintaining quality in universities:

- In order to materialize the integration of research-based knowledge and teaching-learning process, practitioners had better be rewarded, encouraged and motivated intrinsically and extrinsically by educational leaders and management bodies. Because, rewards, motivation and encouragement are instrumental for effective preparation and implementation of inquiry-based curricular materials, training and advising postgraduate students to participate in joint creation, utilization and dissemination of research findings.
- Educational leaders, management bodies and research director should minimize if not totally solving mystifying dynamics emanated from financial problems, lack of motivation, experiences and poor curricular materials which elongated the communication channels between the educational leaders and the frontline implementers of the curricula and research activities. This direction ultimately initiates the practitioners to make sound decisions on the integration of knowledge-based research and teaching-learning process.
- Management bodies, educational leaders, instructors and students had better develop commitment and possibilities in the integration of research-based knowledge and teaching-learning process. This is indispensable to produce competent graduates with critical thinking, originality and creativity through construction of large pools of knowledge on the bases of inquiry, research, projects, field trips, laboratory and findings of study as inputs and outputs.
- The types of the researches to be conducted and utilized by practitioners should be inclined towards the disciplines rather than being influenced by the interests of the funders. The University should recognize the roles of researches conducted by the academics and graduate students in its overall mission and encourages both the academics and students to do problem-solving researches those benefit the society. Moreover, the College should create a research environment where the University academics and students work together in discovering and disseminating knowledge.
- The College of Education is expected to disseminate the findings of thematic, disciplinary, theses and action researches through establishing journal of education for publication, preparing symposia, disseminating the findings with their recommendations and implications to primary consumers, curriculum designers and policy makers as well.

- Postgraduate students' researches (M.A/MSc and PhD theses) should be incorporated into the research system of the University and country's prioritized goals of development. As a result, the research outputs publications should be related to both academic purposes and development of the country. Besides, the outcomes should be commercialized and recycled in the instructional system, and duplication and plagiarism will be prevented.
- Literature suggests that 80% of the knowledge is gained from informal education and only 20% of the knowledge is gained from formal education. Therefore, it is worthwhile to recommend that the academic staffs of HEIs had better use 50% of his/her time to teaching and 50% of the time to research. By then, the integration between teaching and research will be strengthened and realized assuring that the two disciplines are dynamic in line to political, social and cultural development of the country.
- Education, research and development (ERD) should be linked through knowledge production, knowledge transfer and knowledge application, and calls for institutional critical thinking through (3Rs); renewing, reforming and restructuring thinking in the institutional systems.

### **Implications for Policy**

Knowing that research findings are not utilized and disseminated and thus not being used for solving practical human problems is really discouraging. These scenarios request for appropriate and immediate policy measures that demand knowledge production, knowledge transfer and knowledge application functions with the research, right from commencement of the study to the point of application into instructional system to promote quality in HEIs.

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**Rethinking Knowledge Production in Africa: ‘Afrocentric Epistemology’ as an Emancipatory Discourse, Biruk Shewadeg, Addis Ababa Science and Technology University, Ethiopia**

**Abstract**

Afrocentric epistemology’ implies an inquiry that seeks to escape from a Eurocentric hegemony in knowledge production, in combination with a search for an alternative epistemic order situated in the African weltanschauung. Mainstream organizational theories in the social sciences and humanities remained as bare reflections of the collective European subjectivity and Western dominant ideology, a posture that negates the world views of Africans. A proper African episteme will of necessity de-exoticize Africa and correct its reduction to banalities of want and despair. However, cognizant of the limitations and partiality of all knowledge and a vigorous need for studying Africa in its own specificity, an emancipatory discourse first aims to re-problematize explanations of phenomenon related to Africa away from Eurocentric attitudes and conceptual frameworks. Emancipation of the discourse needs to rest on its pragmatic adjustment regarding Black disorientation, de-centeredness, and lack of agency via epistemic anarchy. Ngugi’s linguistic concerns are also essential to avoid disenchantment of an Afrocentric epistemology couched in a former colonizer’s language.

**Keywords:** Afrocentrism, Afrocentric-epistemology, emancipation, African-vernacular

**Conceptualizing Afrocentrism**

“*Placing African ideals at the centre of any analysis that involves African culture and behavior*” is Asante’s (1987:6) understanding of the very idea of Afrocentrism. He presented it as a discourse that fundamentally seeks to uncover and use paradigms that may reinforce the centrality of the African ideal as a valid reference for acquiring and examining knowledge. In an attempt of re-valORIZING the African place in the interpretation of Africans, the Afrocentric discourse Milam argues, challenge the “*foundations that Eurocentrism is grounded in explaining Africa*” (1992:12).

As a framework from which the world is approached from an African perspective, Afrocentrism puts the people and culture of Africa as the general focus that represents an African world view.

Afrocentrism begins its analysis with the assumption that Eurocentrism has destroyed African culture; de-Africanized the consciousness of blacks, and crippled their economic and cultural development (Asante 1991). Eurocentrism is thus presented as a potential threat to the cultural, social, economic, and political development that made the African human experience, Mbembe (2001) argues, to constantly appear in the discourse of our times as an experience that can only be understood through a *negative interpretation*.

Afrocentrism thus, seeks a solution which may include strengthening the development of an Afrocentric epistemology and making Africa one foundation in generating knowledge. This knowledge would ultimately become emancipatory and a defensive weapon against a

pervasive and domineering Eurocentric worldview. The Eurocentric scholarship has led the “*African history and reality lose any specificity, and with it, we also lose any but an invented notion of Africa*” (Mamdani, 1996).

Afrocentrism, as a philosophy that affirms blacks as an “*active historical agents*”- is vital in reversing a perennial misrepresentation of African history and culture and in enhancing self-esteem. This makes the discourse in need of a vigorous contention against European sole hegemony in knowledge generation, and offering Africans an ennobling, short of however ‘exaggerated’ and ‘mythologized’ versions of reconstructing the African past.

In such a way Afrocentrism requires an absolute abolition of the West from the center of African reality (Asante, 1988). Mamdani, magnifying the perennial Western domination of knowledge production in Africa, coined the idea of ‘*history by analogy*’ and argues:

“... *analogy seeking turns into a substitute for theory formation. The Africanist is akin to those learning a foreign language who must translate every new word back into their mother tongue, in the process missing precisely what is new in a new experience. From such a standpoint, the most intense controversies dwell on what is indeed the most appropriate translation, the most adequate fit, the most appropriate analogy that will capture the meaning of the phenomenon under observation.*” (1996:12)

The central tendency of such a methodological orientation, in view of Mamdani, is to lift a phenomenon out of context and process. The result is nothing but a ‘history by analogy’. But, the Africans, in light of the Afrocentric discourse, can see themselves as agents, actors, and participants rather than as marginal on the periphery of political and economic experiences, only when they view themselves as centered and central in their own business.

As a paradigm, Afrocentrism enthrones the centrality of the African as expressed in the proper forms of African culture, and activates consciousness as a functional aspect of any revolutionary approach to phenomena. This compelled the Afrocentrists not to engage in a futile quest for the presence of a collective sense of Africanity- common experience of the African world. They would rather question centrality, control of the hegemonic global economy, marginalization, and power positions as crucial in articulating the African quagmire.

Afrocentrism addresses how the unbalanced relation since 15<sup>th</sup> Century that is where the West has started its contact with the continent thereof, has resulted in a unidirectional narrative of human history. It questions how the West sought to assume the right to tell its own stories and others solely from its own vantage point. It challenges the overall Western monopoly in knowledge production which unmask the undeclared assumption that only the West is legitimate in producing and disseminating its produced knowledge. As it is an experience from a certain segment of humanity, Afrocentrism challenges the universal pretension of the Western epistemology to be incomplete and often distorted when it comes to problematize others’ phenomenon.

Afrocentrism by virtue of its call for an Afrocentric epistemology counters this with the assertion of legitimacy of African ideals, values and experiences as a valid frame of reference in pursuit of an intellectual inquiry. As Mamdani might aver, what one has to argue against should be a Eurocentric discourse that “*dehistoricize phenomena by lifting them from context, whether in the name of an abstract universalism or of an intimate particularism, only to make sense of them by analogy*” (1996:13). Mamdani’s endeavor rather is to establish the historical legitimacy of Africa as a unit of analysis.

It is important, however, to note that Afrocentrism does not represent the other replica of Eurocentrism - total claimant of control over the monopoly of knowledge. It rather seeks to mature relationship to other cultures, neither imposing nor seeking to advance its own material advantage. Here, an epistemic critique may arise on the issue of relativizing knowledge. Michel Foucault’s (1980) exposure of the enigma of Power-knowledge nexus would inform how the two can reinforce each other. Afrocentrism in this regard strives fundamentally for centering African culture and claiming it as a valuable part of humanity that attempts to fulfill Africans role as a legitimate partner in a multicultural discourse- something constructed together. It only seeks to broaden the horizon of knowledge production through what Wimmer (2002) may call ‘*polylogue*’.

Generally speaking, Afrocentrism as Asante noted, adhere to the idea that “... *all people have a perspective which stems from their centers ... while Eurocentrism imposes itself as universal, Afrocentrism demonstrate that it’s only one way to view the world*” (1988:87). Furthermore, in demonstrating as to how the European early history of renaissance has a concomitant with African root, early Afrocentric intellectuals embarked up on the “stolen legacy” discourse.

### **The Notion of “Stolen Legacy”**

Africa, in view of Eurocentrists, was no more than objects in history, little beyond a Hobbesian “state of nature”. As Mbembe noted, Africa,

*“is never seen as possessing things and attributes properly part of “human nature”... its things and attributes are generally of lesser value, little importance, and poor quality. It is this elementariness and primitiveness that makes Africa the world par excellence of all that is incomplete, mutilated, and unfinished, its history reduced to a series of setbacks of nature in its quest for humankind” (2001:1).*

This can clearly be observed in the Hegelian notion demonstrating Africa saying,

*“The Negro ..., exhibits the natural man in his completely wild and untamed state. We must lay aside all thoughts of reverence or morality – all that we call feeling – if we are to comprehend him: there is nothing harmonious with humanity to be found in this character... in Negro life, the character point is the fact that consciousness had not yet attained to the realization of any substantial existence ... thus distinction between himself and the universality*

*of his essential being, the African in the uniform, underdeveloped oneness of his existence has not yet attained. ”*

However, early Afrocentric scholars rejected such nullification of African history and civilization. The late Senegalese Cheikh Anta Diop (1974) constituted the ideological bedrock of the Afrocentric genre of this sort. He rejected the “*Hamitic interpretation of ancient origin, and affirmed the civilization for Negroid origin and character*” (Adeleke, 2015:7). In the same vain, taking Egypt as an important factor in Afrocentric discourse, Asante writes:

*“Afrocentrism reestablishes the centrality of ancient Kemetic (Egyptian) civilization and the Nile valley cultural complex as points of reference for an African perspective in much the same way as Greek and Rome serve as reference points for the Western world.”* (1987: 9)

Asante observed that Egyptian civilization is both the foundation of Africa’s classical civilization and progenitor of European civilization.

Other Afrocentrists as that of Richard Bell (2002), in the same vain, represents ancient Egypt as a birth place of Science, Philosophy, and Mathematics; a place where Greek scholars went to study prior to shaping Western Civilization. Thus, the Greeks acclaimed progenitors of Western civilization, were borrowed copiously from, ancient Egyptians-Africans. This compelled Shavit (2001) to come up with a thesis – “Greek dependency theory”.

The argumentation behind the thesis is that if ancient Greek is the foundation of Western culture, if it could be proven that Greek culture was heavily dependent up on Egypt, it seemed reasonable then to depict Western civilization as a product of Africa. The ‘Stolen Legacy’ thesis thus, developed with the alleged recognition of Greek Science and Philosophy is a product of an Egyptian influence. Western civilization, based on what the thesis claims, is a result of ‘stolen’ ancient Egyptian-African legacy. The identification of the Alexandrian conquest of Egypt as epochal in this theft and pillage is a case in point. Greeks scholars allegedly collaborated with Alexander on his rampage through Egypt, and pilfered the ancient accounts and treasures of the Egyptians temples. This being the case however, the colonial enterprise Bernal (1991) argues, making it necessary to denigrate all things black and African as it needed to establish the superiority of European thought. Therefore, an Afrocentric epistemology obtains an indispensable role in countering such downgrading discourse of the West. Afrocentrism, as any other conceptual ideas met with critics which the following discussion treats.

### **Critic of Afrocentrism**

Lefkowitz (1996) could be described as one of the fiercest critics on Afrocentrism. His central thesis centers on whether ancient Egypt or what is known in the literature as Kemet had any influence on Greek civilization or not. He further took issues with the idea of “Afrocentric essentialism” which uses “*Africa to advance a monolithic and homogenous history, culture, and identity for all Black people, regardless of geographical location*” (2009:11). By mythologizing identity, Adeleke argues, “*Afrocentrists were able to impose a unified identity on all Black people, ignoring the multiple complex historical and cultural experiences*” (ibid:

91). Adeleke's objective, is to offer what he calls "*an exposition and critique of the cultural, social, historical, and indentitarian implications of the essentialist tradition in contemporary Black cultural nationalist thought as theorized in Afrocentricity*" (ibid: 10).

The other critic arises from Afrocentrism's inconsistency with globalization. Enthusiasts predict the imminence of global "cultural citizenship" as globalization erodes national, ethnic, racial or other primordial constructions of identity (Cohen, 1997; Adeleke, 2010). The notion of global "cultural citizenship" suggests the possibility of transcending the limitations of national, racial or ethnic constructions of identity. It also implies the capacity to engage multiple cultural experiences without being boxed in, or restrained, by one's original identity.

Afrocentrism however is presented to promote uniqueness for a certain segment of humanity. There is a widespread belief that the world is becoming one "global village", and that technology is breaking down cultural barriers. Consequently, increased interactions relentlessly brought the realization that '*engagements, contacts, interactions, mutuality and shared experiences rather than differences, define the human experience*' (Adeleke 2015: 209).

### **Critique of the Critics**

Regarding the first critic, one can rightly challenge the critic itself given the fact that while the debates among historians and classical scholars on who influences who are not likely to end, it is important to recognize the fact that the contributions of ancient African empires to world civilization has either been ignored, distorted, misrepresented or completely reduced to nonentity in world history by Eurocentric scholarship (Alkebulan, 2007).

On the globalization factor, Afrocentric scholars, deem this broadening of the human experience pregnant with hegemonic implication that could perpetuate a global system of unequal relationships. They discern the threat of a neo colonial situation within this global framework, which would facilitate European and super-power dominance over, and threat to the survival of, weaker nations and peoples. Afrocentric scholars magnify this image of a supra-European hegemonic and destructive cultural force. Europeans have used, and would continue to use, culture as a weapon of domination. They have objectified and denigrated Africans and successfully constructed a hegemonic world order in the past, and nothing in the new global horizon suggests a different outcome. To Afrocentrists, therefore, Europe's cultural threat to blacks is perpetual and absolute (Adeleke 2015: 209).

Afrocentric scholars are deeply suspicious of any global cosmopolitan construction of identity (cultural citizenship). The cultural implications of globalization add urgency and tenderness to the Afrocentric notion of cultural threat, since culture is perceived as a critical front in the war against Eurocentric hegemony. Globalization is portrayed as '*fundamentally a disguised European hegemonic force, a post-modern metamorphosis of nineteenth century imperialism*' (Adeleke 2015: 209).

This new global imperialism, Afrocentrists aver, has shed the blatantly racist arrogance, and ideological and militaristic characters of the past, and is now cleverly disguised as an

internationalist, worldwide phenomenon that supposedly would benefit all of humankind. Asante's cultural paranoia is worth recalling: "*We are seriously in battle for the future of our culture. Afrocentric vigilance is demanded to preserve our culture*" (Asante, 1988: p. 49). The notion of 'Afrocentric epistemology' then is a precursor in a move towards this vigilance.

### **Theorizing Afrocentric Epistemology**

Afrocentric epistemology is the study of the African concept of knowledge. It is a branch of African philosophy that deals with knowledge. It engages with the nature and concept of knowledge, the ways in which knowledge can be gained, the ways in which one can justify an epistemic claim or validate a knowledge claim and other related issues. Afrocentric epistemology consists of how African sees and talks about reality. There are several elements, Asante writes:

*"In the mind of African that govern how humans behave with regard to reality: the practicality of wholism, the prevalence of consciousness, the idea of inclusiveness, the unity of worlds and the value of personal relationships"* (2000: 126).

These, in Asante's idea constitute the elements of the African mind. They frame as Jimoh & Thomas (2015: 20) argues, the "*African conception of reality, and they are the basis in which claims are made by the African. African theory of knowledge is cultural or social as other epistemologies.*" It denotes an epistemology that is consciously situated within a particular cultural context. It is essential and necessarily rooted in African ontology.

Since epistemology constitutes the claims we make concerning the facts of our experience world views, it validates the necessity of the relationship between ontology and epistemology for this relation is crucial to recognize, understand, and authenticate our cognitive claims. As Ruch & Anyanwu succinctly writes:

*"We must know that the basic assumptions, concepts, theories, and worldview in terms of which the owners of the culture interpret the facts of experience. Without the knowledge of the African mind process and the worldview in to which the facts of experience are to be fitted both the African and European researchers would merely impute emotive appeals to cultural forms and behavior suggested by same unknown mind"* (1984:146).

With a philosophy of integration and principles of understanding, the African cultural world differs intrinsically from the Western world of ideas, particularly with regard to what constitutes trustworthy knowledge and reality. In the traditional African thought system, as Ramose (2003) might argue, there is a concrete existence of man and nature. African tradition considers the two not in terms of separate ontological existence, but in terms of conceptual neumerality. The Separation of man and nature, therefore, is impossible for the African.

These two are, in Jimoh & Thomas (2015:3) conception "*sacredly united.*" Thus, the African world is a unitary world as different from the analytical and pluralistic world of the Western thought. Owing to the reason that the African ontology represents a unitary world, not

attending the problem of knowledge by dividing its domain into the rational, the empirical, and the mystical of African epistemology may not be surprising. The three constitutes a single way of knowing in both the intellectual and concrete division of reality. Therefore, the traditional African epistemology goes beyond the outer reach of formal logic and acknowledges the irreducible mystery of the transcendent; while a Western scientific paradigm maintains methodological and mathematical formulations.

The African epistemology sees man and nature as one inseparable continuum, so to speak. This made subjectivism and objectivism, not to constitute a problem in African theory of knowledge. They are rather subsumed in the unity of existence. In such unity, the subject gets to know the object. This may not be possible in a condition where subject and object are detached. African epistemology does not demarcate between the epistemic subject and the epistemic object. The epistemic subject that experience the epistemic object and the epistemic object which is being experienced are joined together in such a way that the epistemic object experiences the epistemic object in a sensuous, emotive, and intuitive understanding, as well as through abstraction, rather than through abstraction alone which characterizes Western epistemology.

This, in the “normative” understanding of epistemology may raise questions of justification. And, regarding justification for a claim made, Aja (1993) argues that the problem of knowledge in the African worldview to be found in ascertaining whether or not what is claimed as knowledge is actually knowledge rather than mistaken opinion on the one hand, and the means or source of acquiring knowledge on the other. He thus sought confusion between knowledge and the source of knowledge in African epistemology. Anyanwu and Ruch (1984) however address the issue of justification claiming that,

*“Knowledge therefore comes from the cooperation of all human faculties and experiences. He sees, feels, imagines, reasons, or thinks and intuits all at the same time. Only through this method does he claim to have knowledge of the other. So, the method through which the African arrives at trustworthy knowledge of reality ... is intuitive and personal experience.”*

In the African epistemology thus, there cannot be knowledge of reality whether it's the noumenon or phenomenon as far as Kant (1998) is concerned, if man detaches himself from reality. The subject, therefore, has to be involved in seeing and thinking, experiencing as well in conceiving reality. This validates the idea that experience is vital in the cognitive process. This is where Senghore's (in) famous ‘Emotion is Negro, Just as Reason is Hellenic’ can be situated. Knowledge in Africa therefore, consists of imagination, intuition, feeling, and abstraction. Cognition in the African worldview seeks oral tradition of music, folklore, proverb, etc. with the literacy advancement; the analytical discursive and rigorous logic that dominated the western tradition would help to open the African thought system to a scientific system. Furthermore, the African epistemology conceives knowledge more as a product of societal convention rather than an objectivist phenomenon. This make the justification of knowledge claims to be within the context of knowledge whereby the knowledge is made. Therefore, it is not only senseless but would “*yield no results to find justification for a claim*

*made in one cultural context in another as the standards of both contexts may be incomparable*” (Jimoh & Thomas, 2015:5).

Any epistemology and the African one in particular tend toward the view that human and socio-cultural factors necessarily interfere with human understanding and therefore help to define rational certainty. While restriction to the scientific method of abstraction and bifurcation of reality in to subjective and objective in consonance with its ontology characterizes Western epistemology; The African epistemology in consonance with the African ontology conceives the world as a basic unitary system therefore considers reality as interwoven and connected (Senghor, 1995). That is why the African epistemology sees beyond the issues of distinction between knowledge and belief, the subject and object, the noumenon and phenomenon.

The domain of knowledge in African epistemology is not polarized between the doubts that assail epistemic claims and the certitude that assures our claim. As per the claims of Afrocentric epistemology is concerned, Culture plays a vital role in the cognitive understanding of reality and as Brown (2004) argues “*unless one is intimately familiar with the ontological commitment of a culture, it’s often difficult to appreciate or otherwise understand those commitments.*” Thus, understanding the African cultural and ontological conception of reality is crucial to enable us to understand the African approach to knowledge. Furthermore, for the African, there is more to reality than what is within the realm of empirical inquiry. In this regard, Brown writes:

*“a fundamental tenet of traditional African culture is that there is more to reality and to the realm of experience than that which is readily accessible through empirical inquiry, and that one acquire an understanding of natural phenomena by appealing to experiences whose characterizations are not empirically confirmable but are nonetheless warrantable assertible”* (2004: 159).

An Afrocentric epistemology accepts the idea that the essence of life and therefore of human being is spiritual. But, this is not the denial of the material life: however when all is done and said, what remains is the indivisible essence of life, i.e. the spirit – ultimate oneness with nature, the fundamental interconnectedness of all things, and not the appearance of things. Therefore, Afrocentric epistemology is a reflection of the primacy of the spiritual, the relationship between the physical and the spiritual, and the interconnectedness of all things as well. “*The integration of spiritual and physical principles, may however be challenged by an environment dominated by rationalism and empiricism*” (Mazama 2001:14).

As a matter of fact, however, the spiritual component of nature that influences human experience and perception, Appiah (2005) argues cannot readily be explained by empirical verification. It rather is explained by the causal efficacy of the spiritual component of nature. “Spiritual component of nature” signifies incorporeal components that have consciousness. That means they own awareness of nature as humans have. And, apparently, they constitute a capacity to respond to perceptions.

In such a way Afrocentric epistemology represents a major departure since the fundamental Western ontology towards knowledge is that science is the primary determinant of what is real and what is not. Anything that cannot be supported by science is considered a metaphysical fantasy or mere superstition. By contrast, it's worth to note that not all of Western religion is supported by science, yet it's not presented as a metaphysical fantasy or mere superstition. Rather, it is seen as "*grounded in the literatures, doctrines, dogmas, revelations, and historical traditions that have shaped political policies and norms*" (Brown, 2004:159). It further gives meaning and purpose to the faithful as well as motivates scientific inquiry and great art. It deeply promotes Western civilization a moral structure on which human behaviors are guided and judged. This being the case, many western intellectuals view traditional African culture as a myth, a metaphysical fantasy, or religious superstition. They conceive the African culture as lacking the grounding that Western culture claims to have. It's here that the Afrocentrists are expected to make the unorganized organized, the uncoordinated and coordinated, and give pattern to such knowledge and keep it entrenched in the academia. Equivocally they have to also do away and emancipate from the "normative" perception of epistemology that corners those knowledge systems that may appear strange.

### **Why Emancipation?**

Afrocentrism's ultimate aim is liberation. The Afrocentric epistemology which is the extension of Afrocentrism must generate a knowledge that will free and empower the Africans in the course of mental decolonization. It is in this light that Afrocentric epistemology is claimed to be 'emancipatory'. The liberation achieved contends and rests up on Africans ability to systematically displace the Western way of thinking, being, feeling, and consciously replace them with ways that are germane to our own African cultural experience.

Epistemological centeredness Mazama (2001:14) argues becomes a key idea behind this emancipatory discourse. As Asante writes, Afrocentric epistemology:

*"Establishes a frame of reference wherein phenomena are viewed from the perspectives of the African person ... it centers on placing people of African origin in control of their lives and attitudes about the world. This means that we examine every aspect of the dislocation of African people; culture, economics, psychology, and religion" (1991:172).*

As an intellectual inquiry, Afrocentric epistemology studies ideas and events from the standpoint of the Africans as key players. This discourse, by virtue of an authentic relationship to the centrality of Africa's own reality, is a fundamentally empirical project. It laid down the ways in which Africa asserts itself intellectually and psychologically, breaking the bonds of mental colonization. Afrocentric epistemology produces knowledge not only for the sake of it but primarily for the sake of liberation and emancipation. In this way, one can argue that Afrocentric epistemology does by no means represent a disinterested pursuit of knowledge only. It brings a paradigm that can activate our consciousness to be of any use to us. The discourse has to have an aim of defending the cause of educational social justice. Its emancipatory nature offers an important discursive space to rupture the culture of dominance that represents a monocultural system of thought. The Afrocentric emancipatory discourse has

to “*expand horizon of the curriculum to include the valid achievement and knowledge of the Africans*” (Dei 1994:3).

The emancipatory discourse led by Afrocentric epistemology seeks the African experience to determine all inquiries that denote the importance of the spiritual, the necessity of immersion in the subject, a due consideration of holism, and the way in which intuition can be relied upon. Deconstructing what Udefi (2005) calls “colonial Myth on Africa”- which involves the denial of rational thought, civilization, history etc. to African and Africans is crucial. The colonization of Africa was based on the ideological framework that Western reason and civilization was superior to the non-Westerners, particularly when that culture is African. And, the knowledge generation in the Afrocentric epistemology has to be liberating and emancipatory.

However, the Afrocentric epistemology has to make sure that conceptual decolonization may not be fully attained in a condition where its language itself is a colonial. Moreover, it might be a paradox when Afrocentrism condemns mental colonization in which the condemnation itself is made through a colonial language.

### **Emancipation vis-à-vis the African Vernacular: A concomitant**

*“How did we, as African writers, come to be so feeble towards the claims of our languages on us and so aggressive in our claims on other languages, particularly the languages of our colonization?”* Ngugi (1995:287).

“*Language is a technology of power*” Fanon (1967) argues. Colonialism made possible with a total dismantlement of people’s material wealth and culture. Propagation of colonial languages at the detriment of local languages was part of the colonial enterprise. Domination of the people's language by languages of the colonizing nations Ngugi argues “*was crucial to the domination of the mental universe of the colonized*” (1986:18). Mental colonization is indeed impossible short of an imposed colonial language since language is a collective memory bank of a society. In this regard, Ngugi avers, “*Europhone-African literature has stolen the identity of African literature*” (2009:51). Colonial language policies and colonial schooling systems systematically degraded African languages by forcing Africans to speak colonial languages and this created “*feelings of inferiority in African peoples*” (Lunga, 1997:37-38). Ngugi disclosing the adamant fixation of the post-colonial intelligentsia in the ex-colonial language claims:

*“In all other societies, writers, keepers of memories, and carriers of national discourse use the languages of their communities; but the postcolonial intellectuals prefer to express communal memories in foreign languages, which, in the end, means sharing those communal memories with the foreign owners of the languages or among themselves as a foreign-language-speaking elite. The result, really, is an intra-class conversation of elite that, cocooned from the people by the language of its choice and practice, conceives of itself as constituting the nation all by itself”* (2009:56)

The Afrocentric discourse then may lose its sense while neglecting the language factor as one important element in a way of developing an emancipatory discourse.

Fanon (1967) scrutinized the way colonized peoples participate in their own subjection through internalizing inferiority. Internalization or what he calls "epidermalization" of inferiority is collective self-hatred and preference for the colonial language and its culture on the part of the African is one of the symptoms. Colonized peoples, forced to speak colonial languages, tended to adopt colonial ways of thinking and to identify more with the colonizing are alienated from their own languages and culture.

The debate about the appropriateness of colonial language as a language of literary and cultural expression in postcolonial Africa symbolizes the contradictory impulse in Africa's engagement with the colonial.

Ngugi wa Thiong'o, Kenyan writer and critic and an accomplished writer as well, is one of the chief proponents of the argument against English language to be a language of literacy in post-colonial Africa. Learning and promoting African indigenous language has to be, Ngugi (1986) argues, a means of confronting the language problem in post-colonial Africa. His rejection of his "Christian name, James, and the adoption of his 'native' name," Wa Thiong'o, which means son of Thiongo" (Lunga 1997: 40), shows his unshakeable stance on the language factor.

Ngugi's bold rejection of English is further marked when he refused to write in that language. He rather opts for Gikuyu- his 'mother' language - one of the Kenyan indigenous languages to write. His book of essays, "*decolonizing the Mind* (1986)" documents his politics of language. This book of essays up until his return in 2009 with his "Something Torn and New: An African Renaissance" marked his departure from English. He writes, "*This book ... is my farewell to English as a vehicle for my writings. From now on it is Gikuyu and Kiswahili all the way*" (p. xiv).

Ngugi identified the continued use of English as a perpetuation of imperialism. His rejection of English marks and executes his ideological confrontation with English. His decision to reject English is necessitated by his conviction that English cannot be freed from its racial and colonial assumptions of superiority and authority. He strongly argues that mental decolonization that emancipates Africa from the hangover of colonialism is unattainable without a divorce from colonial languages. For Ngugi, the struggle against colonial and neo-colonial domination includes resistance and rejection of colonial authoritative discourses.

Bakhtin's (1981) engagement with the idea of authoritative discourse has a resonance with Ngugi's stance on the language factor. Bakhtin describes "authoritative discourse" as a discourse that exerts power and influence over us. He describes how the influence of another's discourse in the process of ideological formation assumes an authoritative quality. According to Bakhtin, authoritative discourse,

*“[D]emands that we acknowledge it, that we make it our own; it binds us. Quite independent of any Dower it might have to persuade its authority already fused to it. The authoritative word is located in a distanced zone, organically connected with a past that is felt to be hierarchically higher. It is, so to speak, the word of the fathers. Its authority was already acknowledged in the past. It is a prior discourse” (1981: 342).*

Likewise, Ngugi describes English as functioning in such an authoritative fashion. He considers the school as the site of such deployment of authority and power. He writes:

*“The settler despised peasant languages which he termed vernacular, meaning the languages of the slaves, and believed that the English language was holy. Their pupils carry this contempt stage further: some of their early education acts on receiving the flag were to ban African languages in schools and to elevate English as the medium of instruction from primary to secondary stages. In some schools, corporal punishment is meted out to those caught speaking their mother tongue; fines are extorted for similar offenses” (1986:59).*

In its association with holiness and the imperial, English operates at elevated, sacred, and epic zones. Ngugi's description of English corresponds with Bakhtin's identification of authoritative discourse as the "Sacred Writ," a language "that must not be taken in vain" (1981:342). Ngugi's *“resistance of English in favor of his native language can be regarded as a struggle against the authoritative demands of English”* (Lunga, 1997:41). His philosophy and ideology of language – culture influences his sharp arguments against writing in English. For him, as for many other Afrocentrists, language, besides being simply a means of communication, is a carrier of culture.

Ngugi's view of language echoes positivist notions of language which cast language as either a code or simply a transparent vehicle for transmitting meanings and ideas. He identifies three essential aspects of language as culture. The first cultural aspect of language is that it is a product and reflection of history. His observations about language and history point to his sensitivity to language as an embodiment of a particular historicity. Similarly Bakhtin (1981:66) argues that Language will always carry the *"survivals of the past"*. Secondly, language has a *“psychological role in mediating between self and self, self and other and self and nature”* (Lunga, 1997:42). Ngugi's conception of language in its mediating role is similar to Bakhtin's dialogic view of language. In his study of language in society, Bakhtin reminds us that language as a pluralist construct:

*“lies on the borderline between oneself and the other. The word is half someone else's. . . the word does not exist in a neutral and impersonal language. . . but rather it exists in other people's mouths, in other people's contexts, sewing other people's intentions; it is from there that one must make the word and make it one's own” (1981:293).*

The capacity to transmit or convey images of the world and reality through spoken and written words is Ngugi's third identification of a language. In his view therefore, a particular language transmits the images of the world contained in the culture it carries. The particularity of the sounds, the words, the word order in phrases and sentences, and the specific manner of laws of their ordering, are what distinguish one language from another. He writes, "*a specific culture is not transmitted through language in its universality but in its particularity as the language of a specific community with a specific history*" (1986:15). His conception of language as a representation of particular or specific culture or reality does promote a difference and distinctiveness that may not admit any universality or commonality of languages. His rejection of colonial languages is based on his view that the imposition of colonial languages introduces a particular culture and a specific world-view that alienates colonized people from their own language, culture and universe.

This alienation, then inevitably jeopardizes the call for mental decolonization. Ngugi further associates language strongly to cultural identity. He asserts that language is central to one's cultural identity and to one's relationship with the universe. He further claims "*The choice of language and use to which language is put is central to a people's definition of themselves in relation to the entire universe*" (1986: 4). Then how does the main tenet of Afrocentrism i.e., 'Centrality of the African ideal in Afrocentric epistemology' be practical in a situation where the African languages are neglected in favor of the colonial one? Ngugi argues, after Fanon (1967), that a sense of self on the part of African people is inhibited by use of European languages. He sees the continued use of English and its dominance in Africa as a kind of mental colonization and cultural imperialism. Ngugi regards the use of colonial languages to be a cultural and conceptual prison house that holds the African mind captive. For him, decolonization requires, among other things, an outright rejection of colonial language. He is not alone with regard to defending African vernacular, the other African writer; Onoge (1990) also argues that continued use of European languages in postcolonial Africa forces Africans to abandon their own languages and therefore their commitment to an identity based on kinship - symbolized by a shared language and religious beliefs. In the same vein, Owomoyela (1992) postulates that African languages embody what Ghanaian writer Kwei Armah (1969) calls "*our way*," as well as express conceptions of reality that are specific, uniquely, African. African kinship illustrates well this relationship between culture, language and identity (Lunga, 1997:43). Owomoyela (1992) strengthening Ngugi's idea argues that language carries cultural values and distinguishes one culture from another. Language he adds, is not primarily or exclusively a means of communication, but a system of representation. For him, language represents cultural values. He associates the death of a language with the demise of a culture. Owomoyela considers African languages, cultural identity and the distinctive African ways of speaking to be at risk of disappearing with the increasing dominance of European languages in post-independence. Ngugi, Onoge and Owomeyela all share similar concerns about English. Their radical responses are necessitated by fear of cultural loss. Ngugi suggests that the continued use of English is a perpetuation of imperialism. To sum up, Afrocentrism in its fullest sense of the term is unattainable with an abandonment of African vernaculars in knowledge production.

## Concluding Remarks

The Afrocentric epistemology asserts both that the African distinct cultural values, traditions, mythology, and history has to be considered as a body of knowledge that deals with the social world; and that it is an alternative, non-exclusionary, and non-hegemonic system of knowledge based up on the African experience. It investigates and understands phenomena from a perspective grounded in African centered worldviews. Afrocentric epistemology is about a critique of systems of 'educational texts, mainstream academic knowledge, and scholarship; and further validates the African experience and ontology.' Afrocentric epistemology generally speaking calls for an alternative culture to be part and parcel of the school system and knowledge.

A society's worldview, in view of Afrocentric discourse, determines what constitute a problem for them and how they address it. As a result, Afrocentric scholarship reflects the "ontology, cosmology, axiology, and aesthetic of the Africans" (Mazama 2001:14). It is with this assumption that it has to be centered in the African experience. Frantz Fanon's idea of liberation appears vital in this regard. As with liberation from mental colonization, there must be a transformation of the status quo as to find a foundation for incorporating alternative perspectives. This is indeed moral and profoundly political. One must take in to account the point that this process of intellectual liberation is a response to the slavery, colonialism, and imperialism since 15th century. Alternative voices are vehicles for liberating for those who demean thereof.

In most cases Eurocentrism masquerades as epistemological universalism, and political and academic projects that seek to break the silences around subordinate group's knowledge are firmly discredited. The call for multiple approaches to knowledge production appears imperative in such a case. The Eurocentric enthusiastic endorsement of hierarchical ordering has resulted in an over glorification of quantification and skepticism about anything that failed to be qualified. The 'normative' explanation of social phenomena while often presented structural forms downplays the human element and dimension of emotionality and intuition. This is a primary concern that Afrocentric scholarship brings to the debate in an attempt of creating a truly inclusive body of knowledge. In dealing with how to deconstruct the 'normative' epistemological discourse and promoting the African one, an Afrocentric discourse also gets entangled with the question of language.

Ngugi's concerns with the preservation of the vernaculars and cultures are persuasive in that identity is clearly embedded in our language and culture and therefore be kept lingua Franca in the academia is worthwhile. For, a full-fledged Afrocentric epistemology without the use of African vernacular is not only obsolete but also inconceivable.

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**Pedagogical Science Practices in Public Higher Education Institutions of Ethiopia:  
Progresses Made but Challenges Remain, Robsan Margo Egne, Arsi University,  
Ethiopia**

**Abstract**

In many countries, concerns have been raised about the quality and relevance of higher education. In the policy debates emerging as a consequence of these concerns, a lot of attention has been paid to the applicability and relevance of higher learning institutions in terms of addressing the felt needs of the country under consideration. The contribution of education to the overall development of a nation becomes evident especially through higher education. This is because higher education is considered a key to delivering the knowledge requirements for development. Studies reveal a strong positive correlation between higher education participation rates and levels of development, and that high levels of education are essential for the design and production of new technologies, for enhancing innovative capacities, and for the development of civil society. While the reforms of higher education in advanced economies have received much attention, relatively little is known about the change dynamics in higher education system in developing countries. Therefore, through this paper, I want to contribute to a better understanding of higher education system from the perspective of the type of pedagogy being practiced frequently and its consequences in producing competent graduates for the world of work in low-income countries by presenting the results of a study on higher education system in Africa by taking Ethiopian public higher education system as a case. To this end, selected higher education institutions' officials and instructors were used as sources of data. Questionnaire, interviews, and observations were used as tools of data collection. The collected data were analyzed using mixed methodologies. Findings of the study revealed that despite the offering of on-job pedagogical science trainings in the sample universities, little progress has been made in the universities in terms of the type of pedagogy frequently employed by the instructors in instruction processes. In other words, the findings of the study revealed that most instructors of the sample higher education institutions still predominantly use teacher-centered pedagogy. Recommendations which are assumed to help the instructors' use of active learning are forwarded in the research paper.

**Keywords:** active learning, higher education, hybrid model, pedagogy, transmission model, transformative approach

**Introduction**

**Background of the Study**

In many countries, concerns have been raised about the quality and relevance of higher education. In the policy debates emerging as a consequence of these concerns, a lot of attention has been paid to the applicability and relevance of higher learning institutions in terms of addressing the pressing needs of the country under consideration. International comparative studies of the learning outcomes of students in various parts of the higher education system formed an important driving force for the policy debates. In countries where students scored relatively poorly in these studies, there was in general a feeling that something had to be done

about the poor performance; improving the quality of higher education was seen as one of the core elements in reforms aimed at strengthening the quality and relevance of the country's education system (Egne and Maassen, in press).

The contribution of education to the overall development of a nation becomes evident especially through higher education (Egne, 2014b). This is because higher education is the level at which students are pursuing professional learning in their respective areas of specialization before they enter the world of work (Mergo, 2006). Higher education is considered a key to delivering the knowledge requirements for development (Egne, 2016). Studies reveal a strong positive correlation between higher education participation rates and levels of development, and that high levels of education are essential for the design and production of new technologies, for enhancing innovative capacities, and for the development of civil society (Cloete et al., 2011). The positive impacts of higher learning institutions on economic development and poverty reduction particularly in developing countries is underscored by public figures, such as Kofi Annan, the former Secretary-General of the United Nations, who as quoted in Bloom et al. (2005, p. 4), states:

*The university must become a primary tool for Africa's development in the new century. Universities can help develop African expertise; they can enhance the analysis of African problems; strengthen domestic institutions; serve as a model environment for the practices of good governance, conflict resolution and respect for human rights, and enable African academics to play an active part in the global community of scholars.*

Despite this fact, enrolment rates in higher education in Sub-Saharan Africa are by far the lowest in the world (Bloom et al., 2005). Studies (Balsvik, 2007; Nkinyangi, 1991; Semela, 2012), also suggest that higher education institutions in Sub-Saharan Africa are characterized by high student unrest. According to Balsvik (2007, pp. 3-4), contrary to experiences in the western world, due to student unrest, regular teaching and studies are often disrupted in African universities for weeks, months, even for years and has become endemic in many places in Africa (Balsvik, 2007; Semela, 2012).

While the reforms of higher education in advanced economies have received much attention, relatively little is known about the change dynamics in higher education system in developing countries. Therefore, through this paper I want to contribute to a better understanding of higher education system from the perspective of the type of pedagogy being practiced frequently and its consequences in producing competent graduates for the world of work in low-income countries by presenting the results of a study on higher education system in Africa by taking Ethiopian public higher education system as a case.

### **Statement of the Problem**

Higher education is a recent phenomenon in Ethiopia. This is because it is not more than 70 years since modern secular higher education had been introduced to the country (Egne, 2015). It can be argued that since the inception of university education in Ethiopia in the early 1950s, the lecture method or the traditional pedagogy has predominantly been used in the higher

education teaching and learning process of the country. However, with the coming to power of the current government in 1991, a new education and training policy, which gives much attention to issues of educational access, relevance, quality, and equality was developed (Egne, 2017). Furthermore, reforms such as education and training policy implementation strategy, Education Sector Development Programs, Continuous Professional Development programs, new school curricula, new modes of instruction and assessment, decentralization of the educational administration, and the use of the vernacular languages of the different ethnic groups as media of instruction until the end of primary education and the likes have been introduced to the education system of the country (Egne, 2015; Mebratu, 2011).

Furthermore, currently, the Ethiopian government is aggressively working hard to implement programs such as ‘Transformation and Growth Plan II’, Kaizen, BSC, and BPR, amongst others, in order to assist the civil servant of the country to bring real change in the work places. In addition, many public higher education institutions of Ethiopia give much emphasis to the production, transfer, and consumption of innovative knowledge. One could argue that the type of pedagogy being used by Ethiopian higher education institutions’ instructors must enhance the implementation of the above reform programs. In other words, the successful implementation of the above intended policy directions requires the application of pedagogical science practice that fosters active engagement of students in the learning process. However, to the best of my knowledge, there is limited study which looked into the degree to which university instructors improved their pedagogical science practices in order to enhance the realization of the above intended reforms. Therefore, this is a curiosity driven study which investigates the extent to which activity-oriented pedagogy is used in the current Ethiopian public higher education institutions.

### **Research Questions**

This study aims at answering the following basic questions:

- Which type of pedagogy is frequently practiced in the Ethiopian public higher education institutions?
- How much progress is made in the Ethiopian public higher education institutions in terms of changing the traditional or teacher-centered mode of lesson delivery into a more interactive mode of lesson delivery?
- What are the challenges that hinder the effective implementation of the activity-oriented pedagogy in the Ethiopian public higher learning institutions?
- What should be done to help the Ethiopian public higher education institutions’ instructors to exercise the type of pedagogy that enhances creativity and innovativeness?

### **Significances of the Study**

This study is assumed to have a number of contributions. The results of the study may contribute to the existing body of knowledge with respect to the application of pedagogical science type that fosters higher learning institution students’ creativity and innovativeness. In addition, the findings of the study may improve university instructors’ knowledge, skills, and

attitudes with regard to how to enhance independent learning in their day-to-day instruction process. By the same token, the results of the study may enhance the production of university graduates who are voracious readers. Furthermore, the results of the study may provide empirical knowledge for policy makers, university leaders, and other relevant stakeholders about activity-oriented pedagogical science practices. Moreover, the findings of the study may serve as springboard for other researchers who want to make further investigations in the area under consideration.

### **Delimitation of the Study**

The scope of this study was restricted to public higher learning institutions of Ethiopia. As a result, the conclusions did not include private as well as religious higher learning institutions found in the country. Moreover, the generalizations made based on the findings of this research did not include the pedagogical science practices exercised by pre-primary, primary and secondary school teachers of the country. The scope of the study was also delimited to identifying the type of pedagogy frequently used by the Ethiopian higher learning institutions' instructors in their day-to-day lesson delivery. As such, it did not focus on the education policies, curricula, assessment techniques as well as the other activities being implemented in the higher education institutions of the country.

### **Research Methodology**

#### **Research Method**

The core intention of the study was to explore the degree to which activity-oriented pedagogical science practices were employed by Ethiopian public higher education institutions' instructors. To this end, descriptive survey research method was used in the study. This is because descriptive survey research method enables a researcher to gather huge data within a limited period of time. Drawing on Best and Khan (2001) and Leedy and Ormrod (2005), one of the merits of using descriptive survey research method is to analyze the practices that prevail, beliefs and attitudes held, and processes that are going on. This is because it describes what actually exists such as current conditions, practices, situations or any phenomena.

#### **Subjects of the Study**

In this study, instructors and educational officials of the sample universities were considered as sources of data. The basic objective of gathering data from these groups was to cross-check the responses obtained from different angles through triangulation.

#### **Samples and Sampling Techniques**

In this research, three public universities i.e., Arsi University, Adama Science and Technology University, and Addis Ababa University were selected as samples purposely. The main reason underlying the selection of these three universities is to get diverse perspectives from the public universities established at different times. Furthermore, the reason underlying the selection of these three universities is the convenience that I got to conduct the study. In other

words, since I decided to use the advantage of proximity, I thought that I could easily get collaboration from the respondents of the three universities. In line with this claim, Williams (2008) suggests that when the research site is convenient for the researcher, it has its own positive effect on the assurance of the quality of the final research findings.

When it comes to the actual sampling technique employed for taking samples, simple random sampling and purposive sampling techniques were used concurrently to select the subjects of the study. As such, simple random sampling was used to select the sample instructors whereas purposive sampling was employed to select the educational officials as well as the instructors who were interviewed. Accordingly, a total of 240 instructors (80 instructors from each university) were taken as samples. In addition, six educational officials (two from each university) were selected as samples. By the same token, six instructors (two from each university) were selected as informants using purposive sampling technique.

### **Instruments of Data Collection**

In this study, questionnaire, interviews, and classroom observations were used as tools for data collection. The items of the questionnaire, interviews, and classroom observations were prepared based on Cummins' (2000) three types of pedagogy. As such, in the closed-ended items of the questionnaire, each of the three types of pedagogy was systematically repeated five times to check the consistency of the respondents' responses. Accordingly, the first, fourth, seventh, tenth, and thirteenth items were framed based on traditional pedagogy, the second, fifth, eighth, eleventh, and fourteenth items were set based on progressive pedagogy, and the third, sixth, ninth, twelfth, and fifteenth items were prepared in line with transformative pedagogy (see Table 1 below).

In addition, the items of the questionnaire were both closed-ended and open-ended. The former were prepared in a Likert-scale with five options (strongly disagree, disagree, undecided, agree, strongly agree) with the intention of obtaining objective responses through ensuring relatively better flexibility in the checking of each item, whereas the latter assumed to give the respondents full freedom to express their feelings.

After preparing the questionnaire, pilot test was undertaken at Ethio-China Technical and Vocational Institute, Addis Ababa. In this regard, the questionnaire was administered to a sample consisting of 20 instructors, randomly selected from the institute. The appropriateness of the items of the questionnaire, i.e., whether they solicit the intended data and the intelligibility of the wording, was judged based on the responses of the respondents and then slight improvements were made accordingly.

The reliability of the items of the questionnaire was calculated using internal consistency method (Cronback, 1951, as cited in Ferguson and Takane, 1989). Accordingly, the reliabilities of the items dealing with the sub-scales traditional pedagogy, progressive pedagogy, and transformative pedagogy were found to be alpha ( $\alpha$ ) = 0.77, 0.81, and 0.74 respectively. As suggested by Gay (1980), if reliability coefficient is  $\geq 0.50$ , it can be accepted as reliable instrument. Based on this criterion, the items of the questionnaire were found to

have good grounds to be used for collecting the relevant main data for the study. Furthermore, the validity of the items of the questionnaire was improved by soliciting comments from experts in the area of study under consideration.

In general, after checking the reliability and validity of the tools of data collection, the questionnaire was administered to (n=240) sample instructors that were selected from the three sample public higher learning institutions under consideration. However, out of the total instructors, 180 filled out the questionnaire correctly and returned it, i.e., with the response rate of 75%. All of the respondents filled out the paper questionnaire.

To obtain additional information to the data which were provided by the respondents on the questionnaire, semi-structured interviews were used as tools of data collection with six educational officials and six instructors from the same higher education institutions. Furthermore, observation checklist was prepared to make classroom observations in order to assess the type of pedagogy frequently used by most instructors of the sample higher education institutions in their day-to-day teaching activities. To this end, a total of twelve classroom observations were made where the observees taught for a maximum of one-hour lesson.

To sum up, the items of the questionnaire, interviews and classroom observations were designed in a way they complement each other. In other words, the content of the interviews and observation checklist followed that of the questionnaire, and thus were crosschecked with the questionnaire responses. In general, the contents and focuses of the three tools of data collection emphasized the basic research questions raised in the research project.

### **Methods of Data Analysis**

Both quantitative and qualitative approaches were used to analyze the data (Creswell, 2014; Creswell and Plano Clark, 2011). This is because these approaches provide the opportunity to gather, analyse and interpret both quantitative and qualitative data and thereby help the researcher to have an in-depth understanding of the research problem under consideration (Creswell, 2014; Teddlie and Tashakkori, 2009; Yin, 2014). This means that using a combination of qualitative and quantitative research methods enables a researcher to strengthen one method by offsetting the drawbacks of the other (Creswell and Plano Clark, 2011). This in turn, is assumed to increase the validity, reliability and generalizability of the results of the study. On the other hand, according to Johnson and Onwuegbuzie (2004), mixed methods research has drawbacks such as difficulty in mixing qualitative and quantitative data in a logical way, its expensive and time-consuming nature, and difficulty in reconciling conflicting results.

Although there are different types of mixed methods (Johnson and Onwuegbuzie, 2004; Teddlie and Tashakkori, 2009), in this study, a concurrent triangulation design, which enables a researcher to collect and analyse both quantitative and qualitative data simultaneously (Rauscher and Greenfield, 2009), was employed as a core design. This design is used in this research as it enables a researcher to give equal weight to both the qualitative and quantitative

data within a single study as a strategy to cross-check or verify the results of the study (Johnson and Onwuegbuzie, 2004).

The data that were collected using the close-ended items of the questionnaire were analyzed quantitatively. On the other hand, the data which were collected using the open-ended items of the questionnaire, semi-structured interviews, and classroom observations were analyzed using qualitative approach.

### **Results and Discussions**

The data collected using the closed-ended items of the questionnaire were analysed quantitatively. To this end, the five-point scale was reduced to a three-point scale to make the data tabulation process more intelligible in terms of presenting the results in a concise manner. Hence, the values of the alternatives ‘fully disagree’ and ‘disagree’ were combined. Similarly, the values of the alternatives ‘agree’ and ‘fully agree’ were merged whereas the values of the alternative ‘undecided’ were treated separately. Therefore, the tabulation, analyses, discussions, and interpretations were made based on the three-point scale table. On the contrary, the data gathered using the open-ended items of the questionnaire, interviews, and classroom observations were analysed qualitatively.

The data gathered via the semi-structured interviews were analysed using thematic approach. In other words, the data analysis process involved transcribing which included constructions from an oral conversation to a written text, coding, and sorting out the frequent issues that emanated from the collected data. In this regard, to maintain anonymity particularly in direct quotations, the informants were substituted by related acronyms and then followed by subsequent numbers. Hence, the six educational officials were represented as EO1, EO2...EO6. Similarly, the instructor informants were substituted by I1, I2...I6.

### **Survey results**

Table 1: Instructors’ opinions on the practices of pedagogy in their respect university

S. No	Questionnaire items	Proportion of instructors in each category					
		Disagree		Undecided		Agree	
		N	%	N	%	N	%
1.	I usually use much of the time for presenting the contents of the daily lesson(s) in my teaching practice.	20	11.11	10	5.56	150	83.33
2.	I usually encourage my students to construct their own knowledge in collaboration with me.	120	66.67	14	7.78	46	25.56
3.	I very often encourage my students to analyze and understand the social realities of their own lives and of their communities.	114	63.33	6	3.33	60	33.33
4.	In my lessons, I give much attention to the contents to be learnt than the teaching and learning process.	16	8.89	8	4.44	156	86.67
5.	I usually think that the process of learning is more important than the contents to be learnt.	146	81.11	12	6.67	22	12.22
6.	I often encourage my students to discuss ways in which their social realities might be transformed through different forms of social action.	160	88.89	4	2.22	16	8.89
7.	The core intention in my teaching is to enable students to master the subject matter(s) through memorization.	30	16.67	12	6.67	138	76.67
8.	I usually try to apply collaborative inquiry and the construction of meaning as a core principle in students' academic development.	120	66.67	18	10	42	23.33
9.	I usually encourage my students to create linkage between knowledge, social commitment, and action.	158	87.78	13	7.22	9	5
10.	I often encourage students to easily comply with the expectations of the societal power structure.	40	22.22	14	7.78	126	70
11.	I very often encourage my students to understand the notion that learning should be through practical experience rather than having to absorb facts.	152	84.44	8	4.44	20	11.11
12.	I very often make students to understand the fact that the ultimate goal of instruction should be realizing social change through the promotion of the principles of social justice.	144	80	5	2.78	31	17.22
13.	I often consider teaching as a practice of giving time-tested knowledge to students.	28	15.56	12	6.67	140	77.78

14.	I usually apply cooperative learning in my lessons in order to develop mutual understanding among my students.	162	90	6	3.33	12	6.67
15.	I often encourage my students to learn 'how to learn' so as to make them independent learners.	138	76.67	14	7.78	28	15.56

Note: N = number of respondents

As suggested by Cummins (2000), the basic characteristics of traditional pedagogy is that the teacher's task is to impart subject matter contents to students through formal and structured teaching. Likewise, the majority of the respondents (83.33%) agreed to the fact that they usually use much of the teaching time for presenting the contents of the daily lesson(s) in their teaching practice. In addition, the majority of the respondents (86.67%) confirmed that in their lessons, they give much attention to the contents to be learnt rather than the teaching and learning process.

Similarly, most of the respondents (76.67%) indicated that the core intention in their teaching is to enable students to master the subject matter(s) through memorization. Besides, (70%) of the respondents confirmed that they often encourage students to easily comply with the expectations of the societal power structure rather than producing students who are agents of social changes. Moreover, (77.78%) of the respondents reported that they often consider teaching as a practice of giving time-tested and important knowledge to students. On the basis of these responses, it could be argued that the majority of the instructors are applying traditional pedagogy in their day-to-day instructional practices.

As suggested by Cummins (2000) and Zirkel (2008), progressive pedagogy encourages the construction of knowledge through the collaboration of students and teachers. Nevertheless, the majority of the respondents (66.67%) indicated that they do not usually encourage students to construct their own knowledge in collaboration with their teachers. By the same token, most of the respondents (81.11%) said that they do not usually think that the process of learning is more important than the contents to be learnt.

Furthermore, the majority of the respondents (66.67%) reported that they do not often try to apply collaborative inquiry and the construction of meaning as a core principle in students' academic development. Most of the respondents (84.44%) also asserted that they do not very often encourage their students to understand the notion that learning should be through practical experience rather than having to absorb facts. Moreover, the majority of the respondents (90%) suggested that they usually do not apply cooperative learning in their lessons in order to develop mutual understanding among the students. From the above responses, one can deduce that the majority of the instructors of the three sample universities do not apply progressive pedagogy in their day-to-day instructional practices.

As pinpointed by Nieto and Bode (2010), transformative pedagogy uses collaborative critical inquiry to enable students to analyze and understand the social realities of their own lives and

of their communities. Nonetheless, the majority of the respondents (63.33%) claimed that they do not very often encourage the students to analyze and understand the social realities of their own lives and of their communities. Similarly, most of the respondents (88.89%) said that they do not often encourage students to discuss on ways in which their social realities might be transformed through different forms of social action.

In addition, most of the respondents (87.78%) reported that they do not usually encourage their students to create linkage between knowledge, social commitment, and action. Furthermore, (80%) of the respondents held the opinion that they do not very often make students to understand the fact that the ultimate goal of instruction should be realizing social change through the promotion of the principles of social justice. Lastly, the majority of the respondents (76.67%) assured that they do not often encourage their students to learn 'how to learn' so as to make them independent learners. The above responses are indicative of the fact that the majority of the respondents do not use transformative pedagogy in their day-to-day teaching and learning processes.

Moreover, one of the key questions raised through the open-ended items of the questionnaire was 'Do you think that Ethiopian university instructors significantly changed the way they deliver their lessons following the on-job trainings such as HDP, BSC, BPR, and/or Kaizen? If your answer to the above question is 'No,' could you please describe the major factors that hinder instructors to bring significant changes following their participations in those on-job trainings?'

In response to this question, some of the central points noted by the respondents were:

- Ethiopian teachers usually give due attention to the benefits they get from participating in on-job trainings rather than focusing on the payoffs they get from participating on those professional trainings.
- Most instructors think that there is no merit-based system in the country. As a result, they do not give great attention to professionalism and the training programs that update their professional competences.
- There is a general problem of attitude towards pursuing on-job trainings in the country.
- There is no well-organized and user-friendly pedagogical science handbook for Ethiopian university instructors.
- Except giving intermittent on-job trainings, there is a general lack of organizing and offering well-organized continuous professional development programs in Ethiopian higher education institutions.
- The components of the training packages are usually not designed based on Ethiopian realities. So, what the trainees learn in the packages, in most cases, have no direct relevance to their day-to-day professional practices.
- There is a general lack of attention given to issues related to life-long learning or continuous professional development in Ethiopian higher education institutions. As a result, there is little improvement in this regard.

These responses may show the fact that the Ethiopian higher education institutions do not have a well-organized system through which their academic staff members get relevant and sustainable need-based trainings. Under such circumstances, it is very difficult to expect quality from the education rendered by those institutions. This, in turn, suggests the fact that there are compelling conditions that force public higher education institutions of Ethiopia to offer need-based and well-organized continuous professional development program for their academic staff.

In addition, in response to the question ‘what do you suggest to help Ethiopian higher education institutions’ instructors frequently apply activity-oriented pedagogy in order to effectively facilitate the learning outcomes of students?’ most respondents indicated that:

- The leaders of public higher education institutions must get adequate awareness and must be convinced about the relevance of life-long learning or continuous professional development program.
- The Ethiopian government must press the leaders of public higher education institutions to show real commitments and determinations to implement staff development programs.
- There is a need for strengthening partnership between public and private higher education institutions in order to help them share best experiences and research findings that can improve the existing trend of staff development programs.
- Well-organized and context-based sustainable pedagogical science trainings should be given to public higher education instructors.
- Issues of staff development programs must be given due attention by the Ethiopian Higher Education Relevance and Quality Agency.

These responses imply the fact that a lot of works are needed in order to organize need-based sustainable staff development trainings in the public higher education sector so as to improve the quality of education offered by those institutions. This means that there is a need for giving due attention to both updating and upgrading programs in the public higher education sectors.

### **Results of Interviews**

As noted earlier, in addition to survey, semi-structured interviews were used as tools of data collection. In this regard, data were gathered from both educational officials and instructors. In this respect, in response to the interview question ‘Is there a well-organized pedagogical science updating program for teachers to effectively teach their respective course(s) at your university?’ One of the interviewees said:

*“Yes, we have a program called PSIST training at our university. The program is intended to improve the Pedagogical Science knowledge and skills of the instructors.” (EO4).*

Similarly, another official who took part in the interview asserted:

*“Yes, we have HDP at our university. The training is offered for all instructors as a mandatory program in order to help out teachers to get an in-depth understanding about the essence of teaching and learning processes.”* (EO1).

From the above responses, one can realize that there is pedagogical science training at the sample higher education institutions. Nevertheless, from the responses of the informants, it is not clear whether or not the training is a regular and well-organized.

Instructors may need support from the entire community of higher education institutions, and especially from educational administrators, to effectively produce citizens who are independent learners and critical thinkers. To do so, in the first place, apart from subject matter knowledge, they must get adequate inputs concerning pedagogical science trainings. In this regard, in response to the interview question ‘To what extent do you think that continuous professional development has been materialized in your university’s context through pedagogical science and other trainings?’, one of the official informants responded:

*“Although it is difficult to know the degree to which change is brought in a continuous manner, I think the pedagogical science trainings we offer via PSIST program can serve as a good input in terms of improving the teaching competences of our instructors.”* (EO3)

By the same token, another official asserted:

*“We usually deliver pedagogical science trainings for our instructors for limited months in a one-shot fashion. In such context, I think it is difficult to ensure continuous professional development.”* (EO2)

The above responses reveal that the current pedagogical science trainings given in the public higher education institutions of the country are a one-time training. As a result, there is no tradition of arranging and offering continuous professional development programs in the public higher learning institutions. Under such condition, it is less likely that the instructors produce students who have inquisitive minds and critical thinkers.

To effectively produce students who have high-order thinking as well as problem-solving skills, there is a need for engaging them in activities that develop their analytic powers. To do so, in the first place, the challenges that hinder the instructors from getting adequate and sustainable life-long learning techniques should be alleviated. Based on this premise, the following interview question was posed to an official: ‘What are the challenges that hinder the effective implementation of the activity-oriented pedagogy at your university?’ In response to the question, one of the informants noted that:

*“Most instructors give much attention to upgrading programs because of the benefits they get in relation to improving their level of qualifications. However, when it comes to continuous professional development programs, people give little attention to them because of problems related to attitude.”* (EO5)

In response to the same question, another instructor commented that:

*“Although it is extremely important for instructors to use the activity-oriented pedagogy, due to challenges such as lack of meritocracy, concern and commitment, poor reading habits, lack of reflection, and research cultures, most Ethiopian university instructors mainly use the traditional method of teaching i.e., the lecture method.”* (EO6)

To cross-check the responses of the educational officials, similar interview questions were posed to some selected instructors of the sample universities. In this regard, in response to the interview question, ‘Which teaching method do you use most of the time? Lecture method or active learning? Would you please explain why you use the method so often?’, one interviewee asserted:

*“I usually use the lecture method in order to cover the contents of the courses I teach. To apply activity-oriented pedagogy, preconditions such as minimising the contents of the courses, changing the attitudes of students, changing the attitudes of educational officials, and the general public are needed”* (IN3)

In answering the same question, an instructor illustrated:

*“I think, the core challenge that hinders instructors from frequently using an interactive pedagogy is negative attitude towards the teaching profession. Most instructors often engage in moon light works to subsidize the salary they earn through regular bases.”* (IN1)

The above responses indicate the fact that unless the core problems raised above are solved, it is difficult to apply the activity-oriented pedagogy in the day-to-day classroom instructional duties. This, in turn, has a far-reaching implication for the quality of education provided by higher education institutions.

### **Summaries and Conclusions**

The central intention of this study was to investigate the degree to which activity-oriented pedagogical science practices are employed by Ethiopian public higher education institutions’ instructors. To this end, the following basic research questions were posed:

- Which type of pedagogy is frequently practiced in the Ethiopian public higher education institutions?
- How much progress is made in the Ethiopian public higher education institutions in terms of changing the traditional or teacher-centered mode of lesson delivery into a more interactive mode of lesson delivery?
- What are the challenges that hinder the effective implementation of the activity-oriented pedagogy in the Ethiopian public higher learning institutions?
- What should be done to help the Ethiopian public higher education institutions’ instructors to exercise the type of pedagogy that enhances creativity and innovativeness?

To answer the research questions, the types of pedagogy as suggested by Cummins (2000) i.e., traditional pedagogy, progressive pedagogy, and transformative pedagogy were used as analytical frameworks. In the study, a research design involving descriptive survey research method was used. Furthermore, in the study, data were collected using questionnaire, interviews, and classroom observations. Mixed methods were used to analyze the data.

The findings of the study revealed that most instructors of Ethiopian public universities use traditional pedagogy. In other words, although the instructors are expected to apply the activity-oriented pedagogy, they are found to frequently use the teacher-centered teaching method. In addition, challenges such as attitude, inadequate salary, lack of meritocracy, absence of concern and commitment, lack of continuous professional development programs, poor reading habits and absence of reflection are found to negatively impact teachers' use of the activity-oriented pedagogy most of the time.

On the basis of the above findings, although the Ethiopian government more than ever emphasizes programs that support the improvement of education quality, it can be concluded that the type of pedagogy very often applied in the public universities is not in a position to realize the intended quality of education. In other words, it can be concluded that there is little progress in terms of improving the type of teaching method that is employed in the higher learning institutions of the country.

## **Recommendations**

Based on the findings of the study, the researcher would like to recommend the following:

- To bring real change, instead of offering a one-shot training, there is a need for delivering a well-organized and sustainable continuous professional development programs in the public higher learning institutions of the country. Besides, the trainings should be offered by pedagogical science specialists.
- There is a need to prepare a need-based as well as user-friendly pedagogical science handbook for instructors that may serve as a quick reference.
- As part of this handbook, it is important to set indicators/parameters against which the success or failure of the application of the art of teaching could be evaluated.
- For the effective implementation of continuous professional development programs in the public higher education institutions, there is a need to raise the awareness as well as commitments of the leaders of the institutions from the perspective of pedagogy as a cross-cutting issue.
- As part of this recommendation, there is a need to establish a full-fledged as well as well-furnished training center in the respective institutions. This center should offer inductive training for novice teachers as well as on-job trainings for the experienced ones with respect to pedagogical science.
- There is also a need to create relevant and sustainable partnership between private and public higher education institutions in order to improve the quality of education through experience sharing and staff as well as students exchange programs.

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**Student Perspectives about Their PhD Journey: The Case of Addis Ababa University,  
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**Abstract**

This study was conducted to explore students' views on their PhD journey by gauging the experiences of 164 students pursuing their studies at the four colleges of Addis Ababa University- Ethiopia's flagship institution. The findings indicate that while the student-student and student-faculty relationships, climate of programs and thesis advisory services are positively rated, support systems like availability of financial assistance and resources, workshop and conference presentation, special trainings provided, opportunities for publication of research papers are found to be very weak. It is posited that the success of PhD programs currently run at Addis Ababa University will continue to be challenged unless a significant improvement is made on the support mechanisms put in place.

**Keywords:** PhD, doctoral education, doctoral programs, doctoral supervision, Addis Ababa University

**Background**

The personal, institutional and national goals set for doctoral studies are varied and multidimensional in their nature. Contribution to economic and scientific development through innovation (i.e. the production of new knowledge), improved teaching, and research output appear to top the list of reasons why doctoral studies are most often invigorated in many countries. It is widely attested that since the demands of knowledge production and innovation can only be attained through the active participation of a highly trained labour force the need for doctoral graduates is uncontested (Kehm, 2006; Jørgensen 2012; Cloete, Muton, & Sheppard, 2015). The huge capital outlay poured on doctoral education and the increasing presence of PhD holders within and outside academia are more or less rooted in these same justifications.

Triggered by the critical human resource required to catalyze its economic development and institutional needs-not the least of which is its rapidly expanding higher education sector-Ethiopia has increased the production of PhD holders over the last decade. In addition to the manpower need highlighted in its Growth and Transformation Plan II (2015) specific plans set in the 2008 white paper of the Ministry of Education set the need for the expansion of post graduate programs with the major goal of improving the academic qualification of university staff (MoE, 2008). These developments continue to serve as a major boost to the wider introduction of PhD programs in local universities and the training of an increasing number of candidates outside the country.

Changes are steadily increasing both in the number of PhD candidates and the diversity of PhD programs initiated across the various public universities, albeit the rate of success still remains meagre. Currently, local universities award more than 500 PhDs every year up from a low of 21 in 2010/11. As of 2016 more than 3,000 students are pursuing doctoral studies at local universities (MoE, 2016). While the exact number of people studying abroad is not

available, the national trend is tipped towards significantly augmenting the number of PhD holders in the country in the years to come.

Despite the surge of PhD training across most of local universities, little is known about Ethiopian PhD programs and-or the experiences of key stakeholders involved in the process. This study attempts to fill this gap by examining the nature of PhD training as viewed by doctoral students enrolled at Addis Ababa University- Ethiopia's flagship university and the dominant PhD provider in the country.

### **The shifting landscape of doctoral education: Features and forces of change**

Recent global developments indicate that doctoral training is increasingly drawing attention as a subject of policy direction and scholarly pursuit (Jones, 2013; Manidis & Goldsmith, 2018). Fundamental changes have especially been noted in doctoral education over the last two decades driven by evolving national and global developments (Kehm, 2006; Jørgensen, 2012; Cloete et al., 2015).

Given its contribution in the production of highly trained work force critical to knowledge production and innovation, policy directions in many countries focus on strengthening the nexus between doctoral outcomes and initiatives in economic growth that are targeted at enhancing sustainable competitiveness (Kehm, 2006; Jørgensen, 2012; Sabic, 2014; Manidis & Goldsmith, 2018). For instance, European initiatives like the Bologna Declaration (1999) and the Lisbon Strategy (2000) were influenced by the need to make the continent more competitive through the training of high level human power (Kehm, 2006; Jørgensen, 2012; Cloete et al., 2015). The quest for improvements in the provision of doctoral education in North America is attributed to a similar need (Kehm, 2006; Cloete et al., 2015). Governments in the BRICS (Brazil, Russia, India, China and South Africa), are formulating targeted policies and deploying huge resources that would augment doctoral and research output as part of their effort to improve their competitive positions in the global knowledge economy (Cloete et al., 2015). Even in some African countries there are policy directions and concerted efforts aimed at improving the provision of PhD training (Molla & Cutebert, 2016).

Doctoral education continues to assume an important dimension particularly in terms of its size, relevance and policy formulations that influence its nature and structure. One major development is the change in the growing number of PhD trainees available across the developed and developing world- especially in countries of emerging economies. In fact, graduate education is becoming multi-polar and its center of gravity is 'gradually moving away from the North Atlantic' (Jørgensen, 2012, p. 8). Europe is known in terms of the highest number of doctorates awarded both in absolute terms and relative to its population; however, when it comes to the rate of increase in the production of PhD holders China, Brazil and India take the leading positions (Jørgensen, 2012). While the US for too long remained the leading nation in terms of PhD graduates, followed by Europe, Australia and Japan (Jørgensen, 2012), China has now surpassed all with the production of more than 50,000 PhD graduates per annum (Nature, 2011).

In addition to numbers the gender and cultural diversity of graduates are also areas where positive changes are being witnessed (Manidis & Goldsmith, 2018). Another development of PhD education, necessitated through the demand and growth of doctoral training, is the absorption of graduates outside academia. Contrary to the earlier tradition of universities being the major destinations, industry and companies are attracting more PhD graduates, especially in developed nations where the production of PhD holders is outstripping the academia's accommodation capacity. For instance, 56% of PhD graduates in Canada, and 50% of graduates in Europe currently serve in public and private sectors outside of academia assuming research and non-research positions (Kehm, 2006; Jørgensen, 2012; Sabic, 2014). This development holds implications for the preparation of PhD candidates since new training modalities should reflect as much diversity as the learners. It is argued that doctoral education should avoid its narrow focus and consider the inclusion of components such as key professional skills, organizational and managerial skills, entrepreneurship skills, and teaching skills that are more reflective of the kinds of positions graduates will assume after the completion of their studies. In addition to exposing doctoral candidates to other sectors and academic cultures, this change is again contributing to the nature of jobs PhD holders are involved in by making the new sectors more knowledge intensive (Jørgensen, 2012; Sabic, 2014).

Despite the paucity of data regarding the development and current landscape of PhD production in Africa (de Laar et al., 2016), the continent shares some of the evolving developments discussed above. Africa's developmental needs unavoidably underpin the demand for more doctoral graduates due to their critical importance in driving economic growth and the shift towards a knowledge society. The crucial importance of PhD programs in improving quality in the African university system is also well established (cf. Cloete 2015; Khodabocus, 2016). That is why governments in the developed and developing world give special emphasis to the growth of PhD programs. There seems to be now an increasing realization that the major needs of building research capacity in Africa can be realized by supporting higher education institutions that should meet local, national and regional challenges (IAU, 2012). Influenced by an interesting array of innovative practices from within and outside the continent, some African HEIs are trying to respond to these changes (Molla & Cutebert, 2016) which will, in turn, contribute to the growth of PhD holders.

However, doctoral studies in Africa exhibit some distinctive features and a variety of challenges compared to the rest of the world. As noted by Harle (2013) this includes the nature of candidates who are often employed, an older age profile among PhD candidates, and the reasons for initiating doctoral programs which mainly pertain to upgrading the qualifications of existing university staff to enable them teach at post graduate levels, and to augment the number of qualified researchers at PhD level. In terms of funding and sponsoring African PhDs the involvement of development agencies and research funding agencies that support doctoral studies as part of their development policy and practice is also a common phenomenon (Harle, 2013; Molla & Cubert, 2016)

It is worthy of note that despite the increasing quest for improving the status-quo, Africa's performance in doctoral education remains very low and even emerging changes in the area are far behind current demands. This is compounded by deficiencies in a range of areas that affect the growth of doctoral education within the continent. To begin with, the majority of countries in the continent are known for spending less on research, innovation and development, and for lack of the strategic policies needed to propel themselves to a better position (ACUP, 2012). Most institutions in the continent similarly face serious challenges with regard to lack of funding, poor quality of supervision, lack of academic freedom, poor link with industry, insufficient PhD programmes, poor physical infrastructures, brain drain, lack of supportive teaching and research environment, and poor strategic positioning of the PhD program (ACUP, 2012; Cloete, 2015; de Laar et al., 2016).

### **Investigating the doctoral student experience**

Relative to the other areas of investigation, gauging the doctoral student experience about success or failure in PhD programs appears to be outstanding perhaps due to the central place doctoral candidates assume in any PhD program. Doctoral students remain key to the production of a significant part of the research output of universities and the backbone of research productivity outside academia (Jørgensen, 2012). The critical role that doctoral students assume in terms of their instrumentality in the discovery and implementation of new knowledge and the continuity of PhD programs necessitates the need for understanding what works and doesn't work in their training (Jones, 2013).

Enrolling in a PhD program can be driven by a multitude of factors such as career development/professional upgrading, intellectual challenge, lack of satisfaction about one's current job, personal agenda, social or family/personal pride, research as politics, and drifting in (Appel & Dahelgren, 2003; Brailsford, 2010; Maldondo et al., 2013). Despite the various interests that drive doctoral studies, the decision to enroll in PhD programs is most often considered to be a risky choice since it can involve a variety of negative outcomes (Brailsford, 2010) and challenges that are sometimes described as a 'rollercoaster of confidence and emotions' (Cotterall, 2013).

Among others, the PhD degree is known for its high level of attrition and stressful demands that can impinge on the academic success and wellbeing of candidates (Appel & Dahelgren, 2003; Brailsford, 2010). Studies made in the US indicate that the national attrition rate for PhD candidates ranges from 30 to 70% (Wasburn- Moses, 2008; Phlato et al., 2012; Jones, 2013). The attrition rate for Europe is around 50% (Sabic, 2014), while a figure from South Africa raises the rate to 88% (Bunting & Shepherd as cited in Garwe, 2015). Due to its implication to individual students, employers and institutions attrition remains a contentious issue in the extant literature on doctoral education (Gardner, 2008).

There are a multitude of factors that can impinge on the success of doctoral education from the perspective of students. While student motivations for pursuing doctoral education is most often dictated by personal interest (Appel & Dahlgren, 2003), the success of most PhD students appear to be mainly determined by student-related and environmental or

organizational factors (Lepp, 2015). Notwithstanding the contextual variations one would expect, students' perspectives on doctoral education have most often been investigated from the point of motives for enrolling in postgraduate programs, student background, working environment, nature of program/research project, support provided and reasons that account for attrition (Spear, 1988/89; Appel & Dahelgren, 2003; Wasburn- Moses, 2008; Vermue & Fokkens- Burisma, 2012; Skovsgaard & Vestermark, 2016). These factors have been mostly investigated in terms of the fit or misfit between the expectations of doctoral students and the norms and practices of their institutions (Pyhalto et al., 2012), constituting the source of positive or negative reactions about overall satisfaction in PhD programs (Spear, 1988/89; Vermue & Fokkens- Burisma, 2012; Skovsgaard & Vestermark, 2016).

Studies that focus on identifying the most influential factors that contribute to the relevance and success of a PhD program highlight the importance of factors such as the nature and structure of the program, the support provided to students, the socialization of candidates and the challenges that PhD candidates face during the course of their training. Factors related to students' capabilities and personal problems, the issue of personal commitment or lack of motivation, the provision of mentorship and support, information and educational facilities, time allotted for the thesis, overall work load, the socialization process, departmental issues (e.g. bad advising, faculty attrition, etc), also have significant influences in determining the success of students (Appel & Dahlgren, 2003; Gardner, 2008; Martinsuo & Turkulainen, 2013).

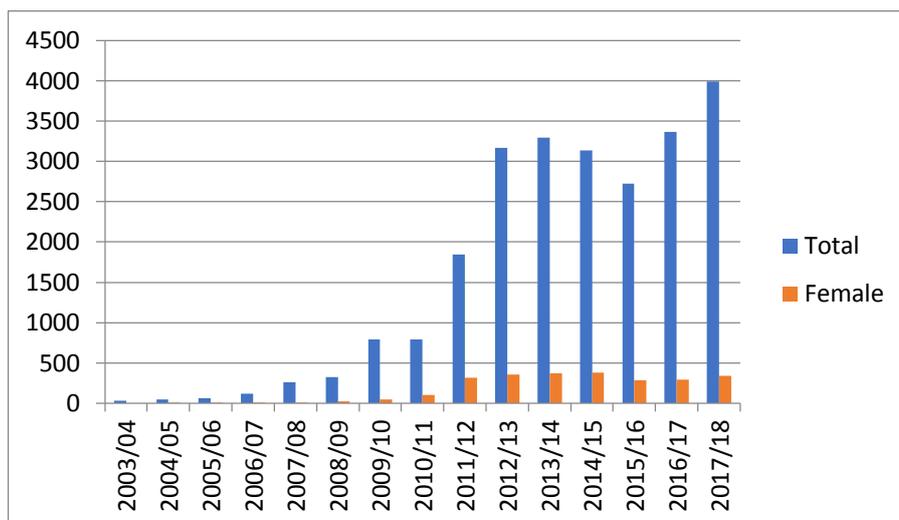
As a complex environment that demands different forms of engagement from PhD students, doctoral studies call for a variety of support schemes that should be availed (Johnston et al., 2016). However, despite the increasing investigations about the various dimensions of doctoral education the support systems available appear to have received little attention in the literature (Greene, 2015; Lahenius, 2013). There are naturally a variety of support services that could be provided during doctoral education including professional development, thesis writing support, housing, orientation, funding, and institutional initiatives.

### **The Research Context**

Higher education in Ethiopia is barely 70 years old having commenced in 1950 with the establishment of the University College of Addis Ababa (now Addis Ababa University). The beginning of post graduate studies dates to 1978 which marks the establishment of Schools of Graduate Studies at the two oldest universities of the country-Addis Ababa University and Haramaya University (then called Alemaya University of Agriculture-AUA). Since the beginning of 2000 other universities have also followed suit in the provision of postgraduate programs across the country. The past decade has especially witnessed a significant increase in postgraduate enrolment in Ethiopian higher education institutions.

Currently there are over 75,000 postgraduate students enrolled in public and private institutions of higher learning. Despite the overall growth of postgraduate enrollment in Ethiopia the PhD share still remains limited. In 2017/18 only 3994 (5.2%) of the total number of students (i.e., 76795) enrolled in post graduate programs attended doctoral programs (MoE, 2018).

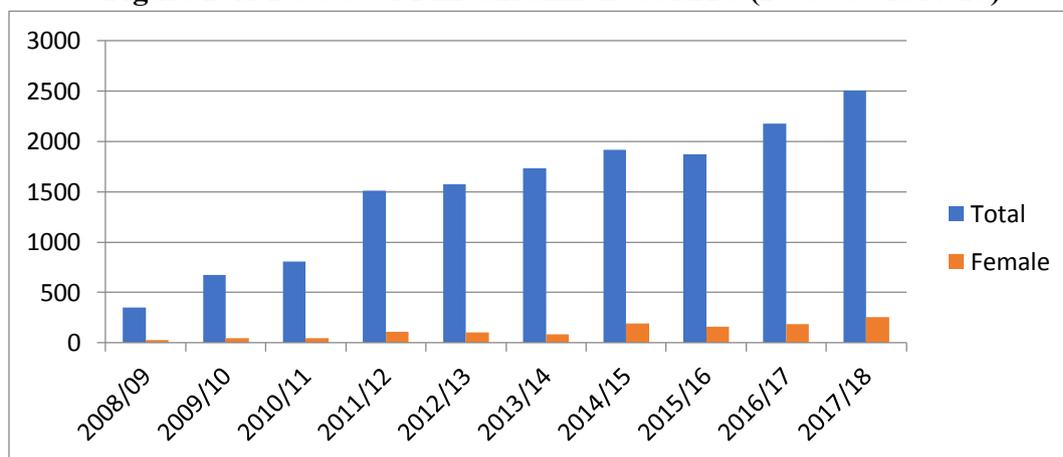
**Figure1: PhD enrollment in Ethiopian institutions (2003/04- 2015/16)**



As might be gleaned from figure 1, the share of PhD enrollment started augmenting since 2008/09 and especially as of 2011/12. The rapid growth since 2011/12 may be attributed to the government’s focus on the expansion of the program and the increasing involvement of universities other than Addis Ababa University (AAU) in the production of PhD graduates.

Over the last decade AAU’s dominance in terms of enrollment, diversity of programs and graduates still remains unchallenged, despite other universities offering PhD programs. The following figures for the last 10 years show how Ethiopia’s premier university- AAU- remains the powerhouse of the country’s PhD production.

**Figure 2. A Decade of PhD enrollment at AAU (2008/09- 2017/18)**



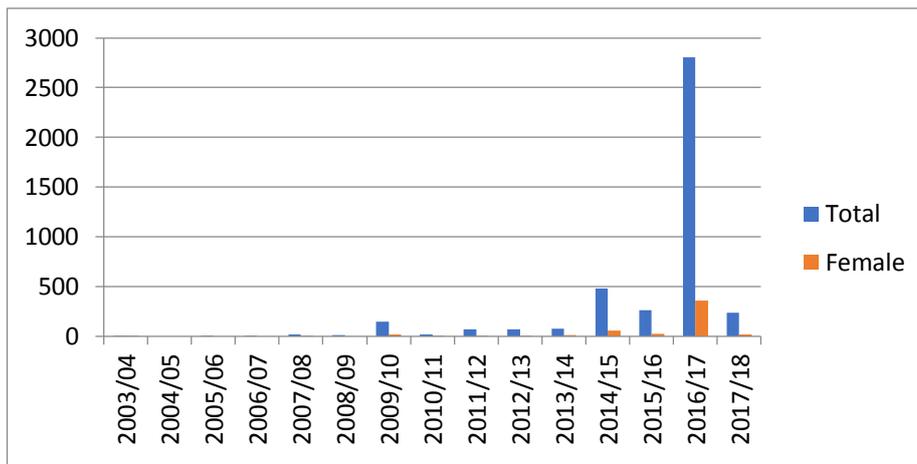
### Enrollment by program type

The two most popular streams attended by postgraduate students are Social Sciences and Humanities, and Business and Economics. These programs are attended by 29.6% and 19.65% of the total number of students enrolled. The remaining fields of studies with their rates of enrollment are Natural and Computational Science (15.4%), Engineering and Technology (15.15%), Medicine and Health Sciences (11.9%) and the least attended Agriculture and Life Sciences (8.3%).

### PhD graduates

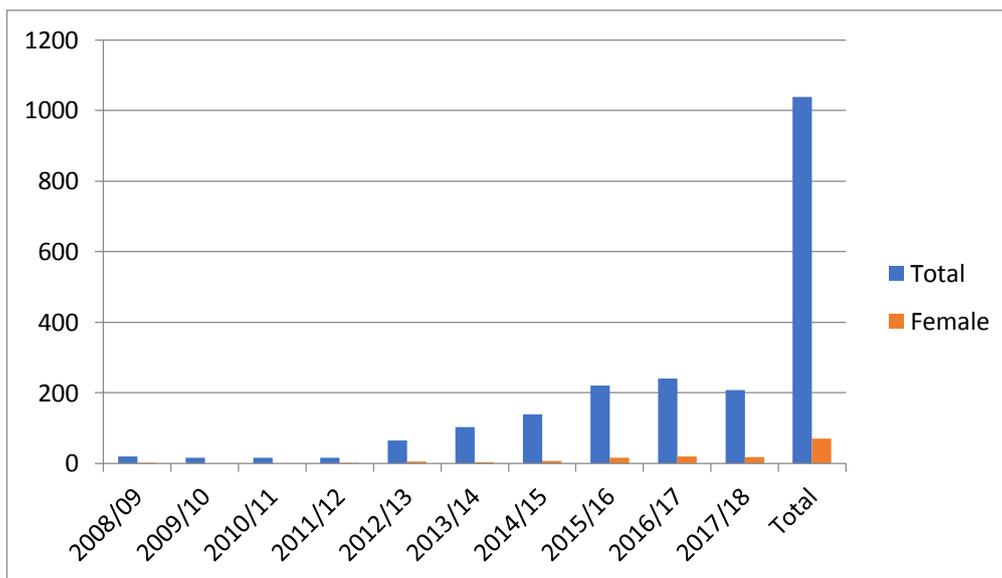
Ethiopian higher education institutions have reached at the level of awarding over ten thousand post graduate degrees per year. In the year 2015/16 a total of 10,468 postgraduate graduate students graduated from public and private institutions. Of these, the majority (84.6%) were from government institutions. It can be seen from the table that female graduates still remain underrepresented, comprising only 18.9% of total graduates. PhD graduates constitute only 263 (2.5%) of the total number of graduates that completed their studies in the same year.

**Figure 3. PhD graduates from Ethiopian universities (2003/04- 2017/18)**



Again, the AAU remains the biggest university in terms of the share of PhD graduates that it has trained over the last ten years- as may be learnt from figure 4 below.

**Figure 4. PhD graduates at AAU**



## **Research Objectives**

The objective of this research is to gauge the perspectives of PhD students at AAU towards their training by examining their satisfaction with their programs, and the various forms of support they are provided.

## **Research Methodology**

The research used questionnaire as a principal means of data collection. PhD students were asked to express their views on the major components of PhD training using a Likert scale with five points. In addition to the closed questions the questionnaire included open items that gauged the reasons behind some of the choices respondents made. Quantitative data were analyzed using SPSS software.

## **Major Findings of the study**

### **Demographics of survey respondents**

A survey with questions covering various aspects of the PhD experience was developed and administered online to 200 respondents in four colleges: The colleges of Education, Development Studies, Languages and Information Technology. 164 respondents completed the questionnaire online. The survey had the purposes of gauging the experiences of PhD students and identifying possible areas that might require special attention.

The overwhelming majority of the candidates completed their masters studies at Addis Ababa University while others did theirs in other local universities, and two in foreign universities (one in China and one in India). Quite common to other countries in Africa (Herman, 2015), only 22 (13.4%) of the candidates are female. Respondents that assumed work responsibilities (65) while studying said the hours they covered per week ranged from 2-16 hrs per week. This is in congruence with PhDs offered in other African countries which have the most common features of combining work and PhD related duties.

Most of the PhD programs are attended by candidates drawn from public universities. This is an indication that the programs are still targeted at augmenting the qualification of university staff who are still far below meeting the national requirements set a 30% PhD and 70% masters. The three most important reasons why respondents chose to study were also identified as career development, upgrading one's knowledge and skill, and developing research skills.

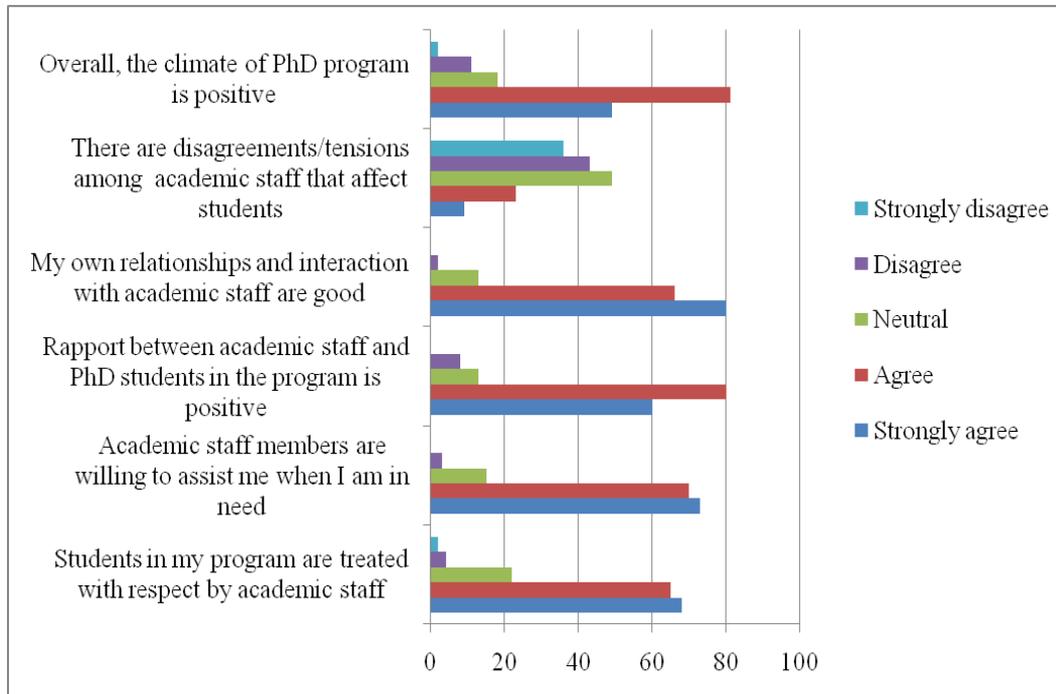
### **Respondents' views about their PhD journey**

The success of doctoral students' engagement is determined by a plethora of individual and environmental factors (Pyhalto et al., 2012). In this study a variety of issues were examined to determine the nature of the PhD programs that respondents were pursuing. The findings below particularly focus on those areas where the availability of support schemes was considered to be critical to student success.

## Climate of program

One aspect of the PhD program investigated was the climate of the program which looked at the relationship among students and between students and faculty.

**Figure 5: Climate of PhD programs**



The findings indicate a strongly positive outcome. Respondents attest that their relationship with staff and other PhD candidates is favourable and they are treated with respect by staff. However, when it came to disagreements/tensions among academic staff the majority of respondents (81) chose to remain 'neutral' and 'agree' with the statement which is perhaps an indication of the lack of internal cohesion among faculty in some departments.

## Dissertation advising

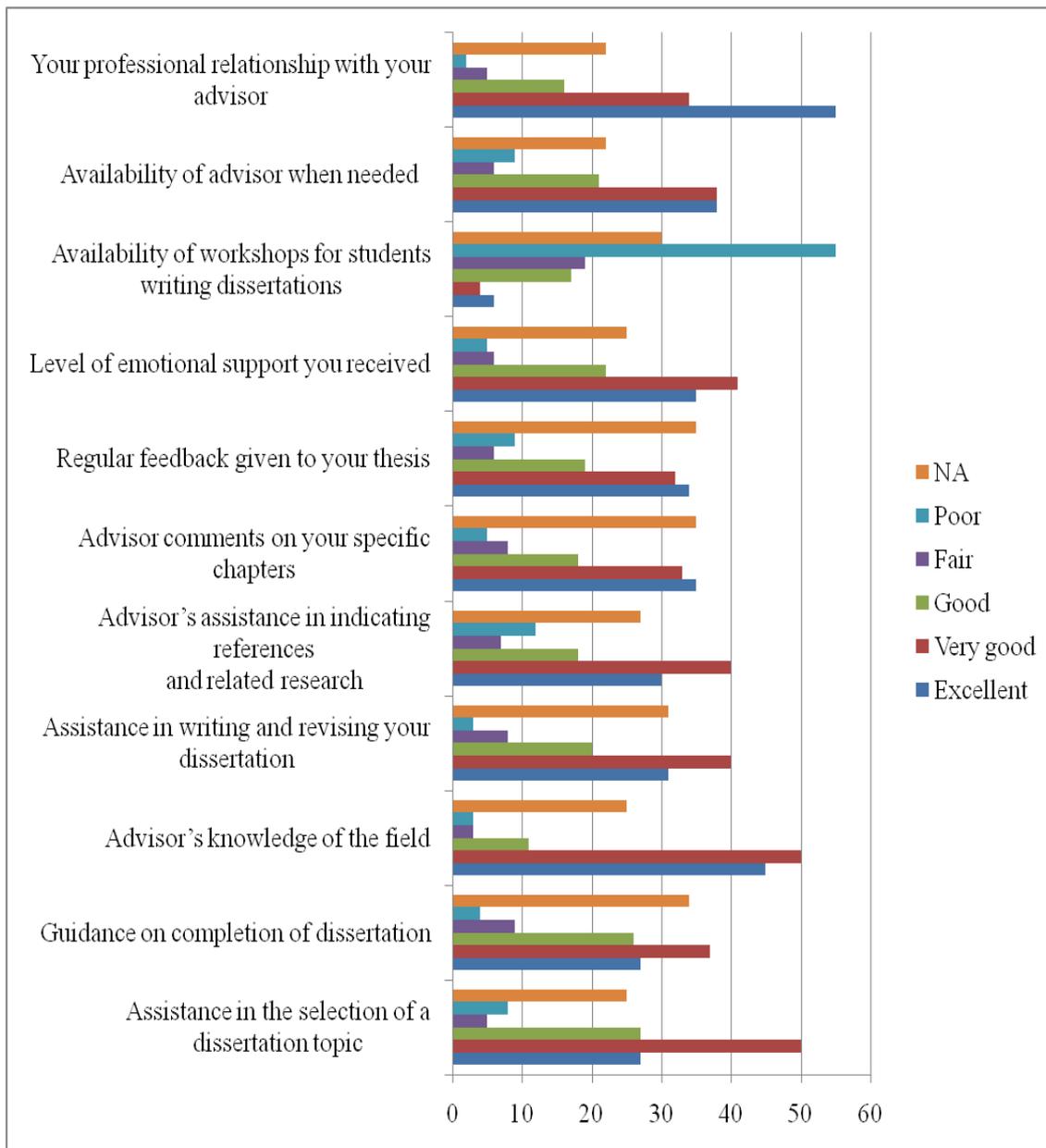
The supervision of students' work remains to be one of the crucial frameworks for the PhD journey (Pyhalto et al., 2012; Cloete, 2015). The doctoral supervisor is also regarded as fundamental to the transition of the doctoral candidate to a future academic or practitioner (Pyhalto et al., 2012). In this regard, the nature and quality of relationship between advisor and the candidate is considered to be critical in the success of the PhD program (Jones, 2013; Loud & Muller, 2014).

The supervisory relationship in the PhD program and the support students received during their dissertation writing was examined in this study using the responses given by 113 respondents who said they are working on their thesis.

Most respondents are positive as regards the overall assistance provided to the dissertation writing process. More than one third of the respondents rated their link with the advisor as excellent and most of the forms of assistance needed from advisors were rated 'very good'.

The only statement negatively rated is the availability of workshops for dissertation writing which appears to be missing in most cases.

**Figure 6: Advisory support provided to PhD dissertation**



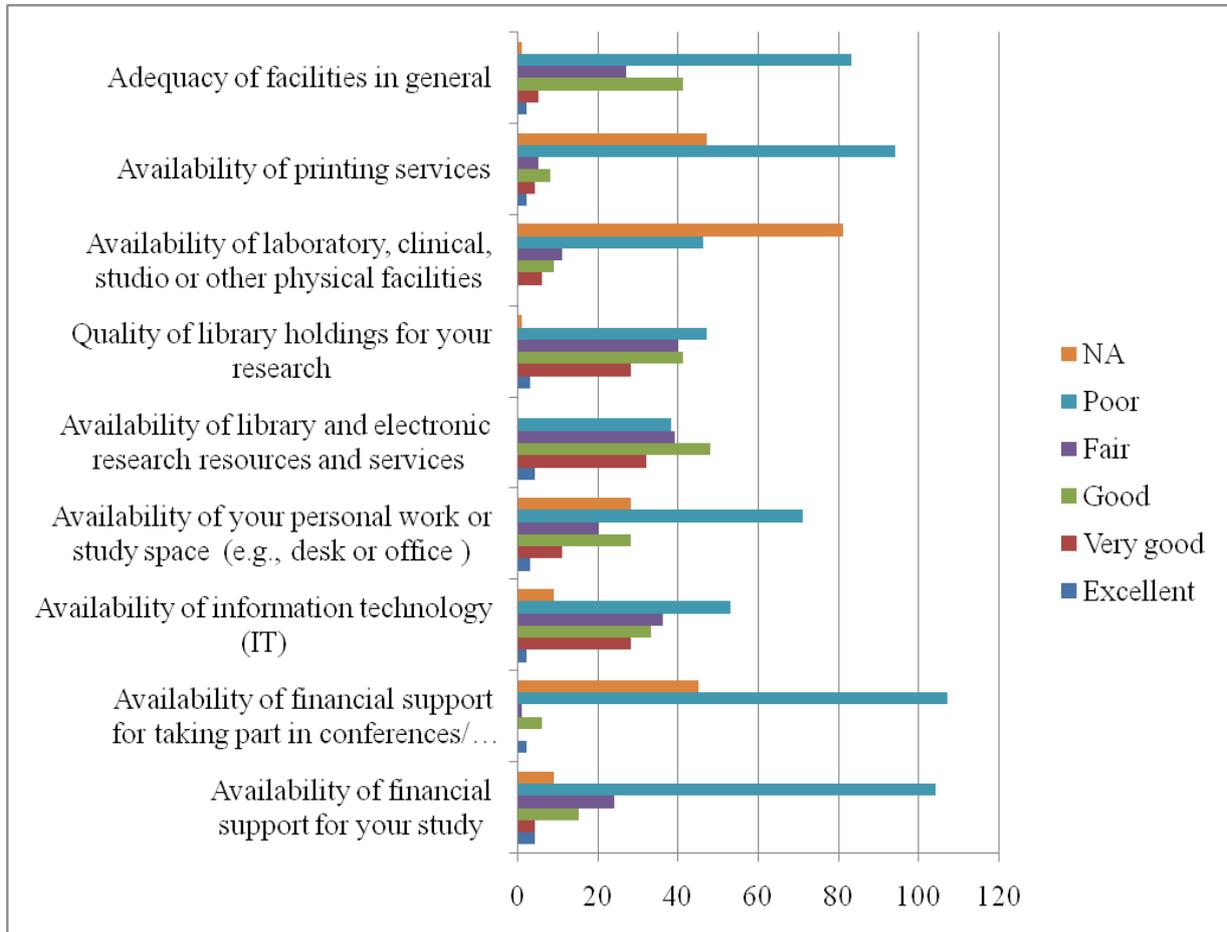
**Availability of financial support and resources**

Funding can be a critical source of incentive or barrier in doctoral studies (Greene, 2013). The level of access to financial opportunities is assumed to have its own effect in doctoral studies. Where enough funding is not availed candidates could be seriously challenged in accomplishing their responsibilities (Greene, 2013; Sabic, 2014; Cloete et al., 2015)

It was earlier noted that a significant number of respondents are engaged in extra-work to satisfy their financial needs. The answers respondents gave when asked about their level of satisfaction as regards financial support and the variety of resources availed invariably

indicate that most of their ratings fall on ‘poor’ and ‘fair’. This is an indication that most of the PhD programs are quite weak in terms of financial support and resources that are needed to run the programs successfully. Besides the lack of physical facilities like labs students receive little assistance towards attending conferences.

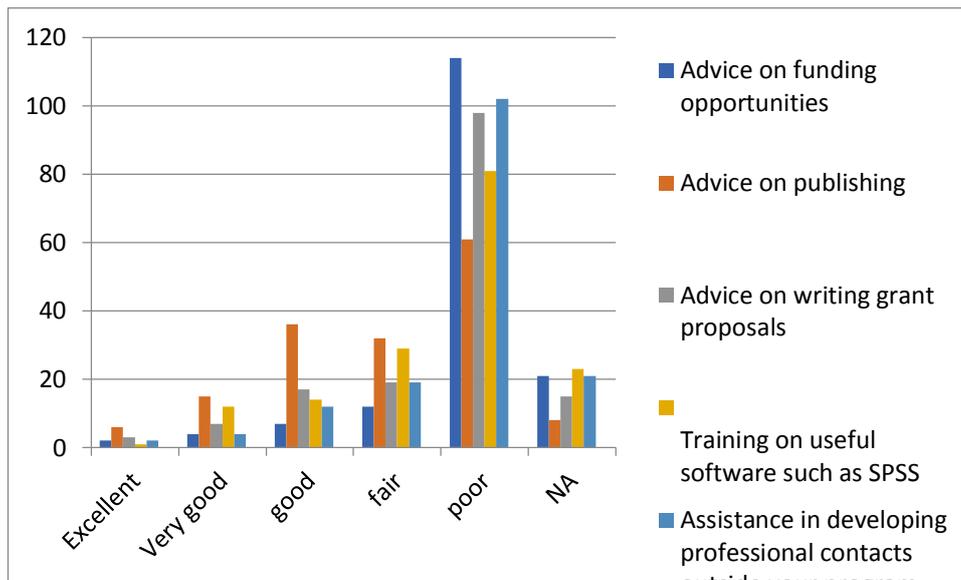
**Figure 7: Availability of financial support and resources**



### Assistance and special training

The same thing is true about the availability of resources and type and frequency of assistance PhD candidates are given as related to publication, training and professional contacts. Most of their ratings indicate that almost all of the programs are poorly rated in all respects. Candidates claimed they are given little assistance in seeking funding, grant opportunities and developing professional contacts that could have enriched their exposure and knowledge. There is also little assistance in offering special trainings that can facilitate the preparation of their assignments and the write up of the final dissertation.

**Figure 8: Assistance and training provided to PhD candidates**

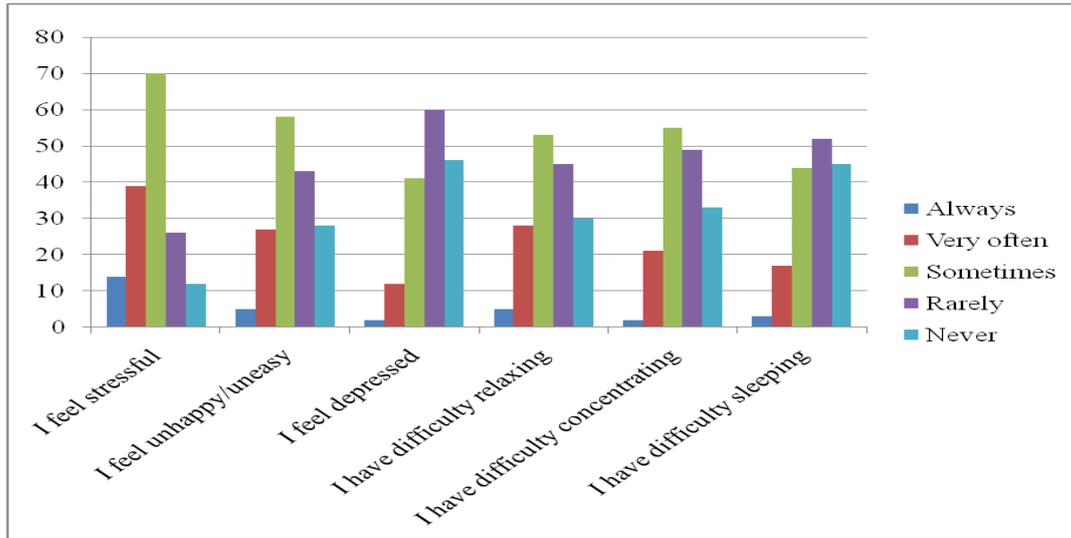


### Feelings of stress and emotional trauma

Graduate student life is considered to have stress and emotions that play a complex role in doctoral experiences (Cotterall, 2013). Accordingly, the extent to which PhD students experienced a positive or negative emotional experience with their PhD could determine their success or persistence (Devos et al., 2015; Vermue & Fokkens-Bruinsma, 2012; Skovsgaard & Vestermark, 2016).

A significant number of PhD candidates expressed their frequent feelings of stress and emotional disturbance which could be partly attributed to the amount and nature of work involved in their studies. In almost all cases the number of students who expressed as having no emotional feelings is less than one third of the total number of students responding to each statement. Mulling over the causes and consequences of these stresses requires further investigation, this study indicates that the issue of emotional stress is an important factor that should be given enough consideration when it comes to the challenges faced by PhD students.

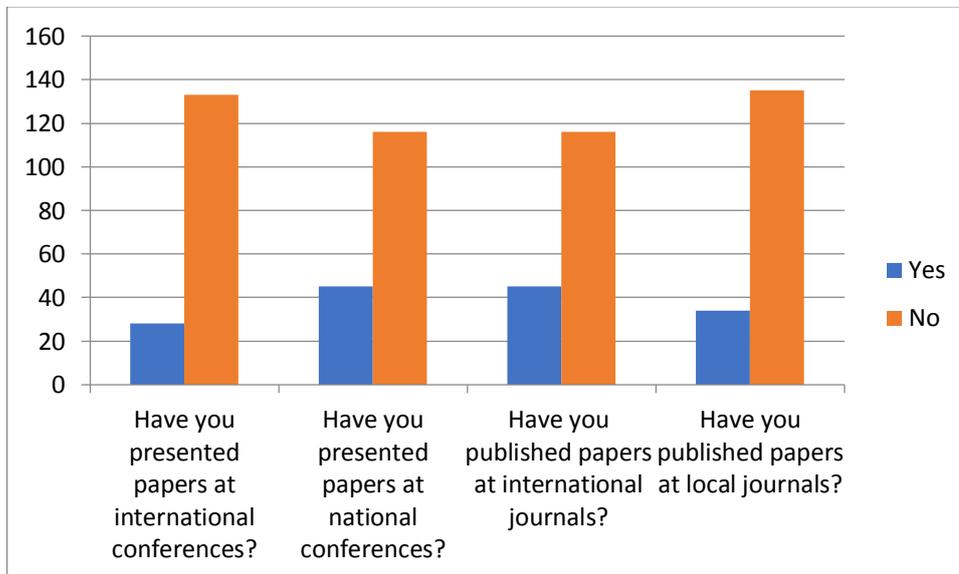
**Figure 9: Emotional experiences of PhD candidates**



**Publication and conference presentation**

Venues for seminars and research are considered to be important not only in providing students with additional learning opportunities but also in helping them integrate and network with others. Departments running postgraduate programs are thus expected to arrange various events in order to engage students in the presentation of their research findings that provide opportunities for practicing communication and networking skills and help them to get useful feedback on their work (Johnstone et al., 2016).

**Figure 10: Experience in presenting and publishing research papers**



The findings of this study further reveal that most of the PhD candidates have limited participation in knowledge generation- a scheme expected to be emphasized at this level. This corroborates with a study made by Maldonado, Wiggers and Arnold (2013) that showed opportunities to publish and research training were rated low by PhD students in Canada.

Candidates' limited participation in these areas can be a serious barrier in terms of acquiring relevant experience since the candidates will be expected to actively participate in research production and dissemination later in their careers. Such deficiencies can also lead to dissatisfaction, stress, isolation and attrition of doctoral students if left unattended (Wasburn-Moses 2008; Jones 2013; Martinsuo & Turkulainen, 2013).

### **Conclusion**

The critical role of PhD training in building the human resource capacity of a country and enhancing research productivity is not debated (Jørgensen, 2012). Driven by the objectives of understanding and enhancing the provision of doctoral education, the need to monitor and evaluate the experience and needs of doctoral students has grown important as these students essential to tertiary level program continuity and because they serve as the backbone in the discovery and implementation of new knowledge (Jones, 2013). It is also assumed that any misfit between doctoral students' expectations and the norms and practices of an institution could affect their persistence and success (Pyhalto et al., 2012).

Concurrent with the global trend the policy directions set by the Ethiopian government and institutional needs that grew parallel to the higher education expansion, the demand for doctoral education continues to grow. The rapidly expanding higher education sector in Ethiopia requires more people trained to fulfill the qualification requirements and conduct research. However, this need is not accompanied by enough preparation of universities that provide training at this level.

This study which explored the situation at the country's oldest and Flagship University revealed that the system appears to be quite weak. This is especially so in terms of funding support and the availability of key resources like labs which hold significant implications to the nature of training being provided. In a similar vein, the contribution of doctoral students appears to be limited in terms of knowledge generation and dissemination as reflected in the limited opportunities availed for workshop and conference presentations and participation in publications.

The findings of the study are in general suggestive of the need for reforming the current model of doctoral education in Addis Ababa University which is found to be deficient in most of its support schemes. National plans and pertinent sectoral or institutional needs cannot be met by merely increasing the number of PhD holders but through conscious institutional efforts, monitoring outputs and working environments to PhD candidates. Otherwise, more PhD holders without due consideration to their productivity and working conditions will simply remain an exercise in futility (Tamrat, 2018).

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**Demographic Dynamics and Graduate Employability, Wanna Leka, Addis Ababa University, Ethiopia**

**Abstract**

The 2016/17 data from the Ministry of Education shows that there were 788,033 students enrolled in all programs both in government and non-government higher education institutions. In the same academic year, a total of 141,700 students graduated from government and non-government higher education institutions. One of the main purpose of higher education institutions is to produce competent graduates who have appropriate knowledge, skills and attitudes in diverse fields of study. Thus, the employability of these graduates in the labour market has been the interest of many stakeholders. Employability is a multi-dimensional concept. Some authors suggest that we must distinguish between factors relevant to obtaining a job and factors relevant to the preparation for work. In view of this, a preliminary study was carried out to see the employment/unemployment status of graduates from five selected public higher education institutions of Ethiopia. The objectives of the study were: (a) to investigate the factors that the graduates consider as important in enhancing employment in the labor market; and (b) to explore the relevance of students' areas of specialty and the labor market demand. In order to address the objectives of the study, the following research questions were raised: (a) What was the reported employment/unemployment status of graduates from selected public HEIs? (b) What factors were considered as important in enhancing employment in the labor market? and (c) How relevant are HEIs programs in relation to labor market demands? In order to answer these basic questions, both qualitative and quantitative methods were employed in conducting the study. Primary and secondary sources were used to collect data. The primary sources included graduates, instructors, and policy makers from the Ministry of Education. The secondary sources were documents from the sample HEIs, CSA, and other relevant publications. Both questionnaires and interview protocols were used to collect data. The results indicated that a number of graduates were employed in public and private institutions, few of the graduates were self-employed and a small number of graduates were looking for jobs that they were interested in. The majority of the respondents indicated that their pre-employment training was fairly relevant. Despite the positive responses given by respondents, higher education institutions need to work in close collaboration with the employers to make the programs more relevant.

**Keywords:** graduate employability, higher education institutions, Ethiopia

**Introduction**

Ethiopia is a country having a population of hundred million. It is reported that about 55% of the population is below the age of thirty. Like other developing countries, Ethiopia aspires to join the club of middle-income countries by the year 2025. In order to achieve this goal, its economy has to grow faster every year. Maitra (2007) stated that higher education is very important to national economies, both as a significant industry in its own right, and as a source of trained and educated personnel for the rest of the economy (p.1). Higher education/tertiary education includes undergraduate and postgraduate education, as well as technical and vocational education and training (TVET). The significance role of higher education in

enhancing the development of a given society has become quite clear in the current knowledge-based society. There is a worldwide consensus that land and natural resources have become less important; on the other hand, human resources are crucial and strategic for the future of each country, thus making the investment in education and research the most fruitful (Maitra, 2007, p.7). The council of higher education (South Africa, 2001) indicated that our world is becoming a knowledge-based society and the role of education, especially at higher level, is the center this phenomenon. Given the critical role of universities in socio-economic development, no country can afford not to support at least some higher education institutions of high quality.

In view of this fact, Ethiopia promulgated the Education and Training Policy in 1994. After the introduction of the policy, the elitist educational system of this country shifted to mass base education. Accordingly, massive expansion took place at primary, secondary, technical and vocational education training as well as in tertiary level education. In 2016/17, the enrollment rate of students at primary level (1-8) was 20.8 million, at secondary level (9-12), it was 8.5 million, at TVET it was 302, 083 and at tertiary level it was 679, 299 (govt.), enrollment at private higher institutions was 108,734.

The Education and Training Policy of 1994 stated that higher education at diploma, first degree and graduate levels, will be research oriented, enabling students become problem-solving professional leaders in their fields of study and in overall societal needs. Furthermore, the Education Sector Development Program (ESDP IV, 2010/11-2014/15) suggested the need for improving the quality and the employability of university graduates. The expansion of higher education institutions (government and non-government) gave thousands of young people the opportunity to pursue tertiary level education and graduate as professionals with a hope of getting employment in the labor market.

Getting employed in the labor market is quite a challenge for many young people. As the number of graduates increase every year, the chances of securing employment in ones' area of specialty are becoming problematic. Currently there are over forty-five public universities and a good number of private higher education institutions. Thus, the graduates from public as well as from private higher education institutions equally join the labor market looking for employment. Table 1 below shows the number of graduates who completed their undergraduate studies in public and private higher education institutions and joined the labor market at various times.

Table1. Graduates who Completed Undergraduate Studies in Public and Private Institutions

Year	Public Higher Education Institutes			% Females	Private Higher Education Institutes			% Females
	Male	Female	Total		Male	Female	Total	
2011/12	49902	15337	65239	23.5	8483	4422	12905	34.3
2012/13	49230	16936	66166	25.6	7236	5671	12907	43.9
2013/14	64153	18630	82783	25.6	7960	6238	14198	43.9
2014/15	69648	24608	94256	26.1	7268	6043	13311	45.4
2015/16	77133	36210	113343	32	7640	6292	13932	45.2
2016/17	87442	39882	127324	31.3	7083	7293	14376	50.7

Source: MoE: Education Statistics Annual Abstract. 2011/12 – 2016/17.

Table1 was constructed to show that thousands of young people graduate from public and private higher education institutions every year and join the labor market. However, no well-known national comprehensive study has been undertaken so far concerning the employability of these graduates. In view of this study was conducted that included five public universities.

### Statement of the Problem

Higher education in this country served very limited segment of the society. It stayed as an elitist educational institution for many years. Very few young people joined higher institutions and as they graduated, they had no problem of finding employment in the labor market. Since the introduction of the Education and Training Policy, the number of higher institutions increased to a large extent. This expansion opened up opportunities for thousands of young people to join these institutions. As a result, thousands complete their education and join the labor market looking for employment. The demand of the labor market seemed limited and the employability of graduates became a source of concern. Thus, this study targeted how graduates get employment as the competition got stiffer every year in the job market.

### Purpose of the Study

The major purpose of this study was to explore the employability level of students who graduated from five public higher education institutions and joined the labor market.

### Objectives of the Study

The objectives of the study were:

- to investigate the employability status of graduates from five public universities;
- to explore the relevance of the skills the graduates acquired during their studies and the jobs they are performing in the labor market;

- to solicit the views of the graduates concerning their training and the reality of the labor market; and
- to make practical recommendations to policy makers based on the findings of this study.

### **Research Questions**

The study attempted to address the following basic research questions:

- What was the reported employability status of graduates from selected public HEIs?
- How relevant was pre-employment education and training of the graduates to the existing demand of the labor market?
- What was the opinion of the graduates concerning the application of what they learned and what they do in the labor market?

### **Significance of the Study**

Even though the study covered only five public universities, the outcome of this study could benefit different groups, namely: Policy makers, higher learning institutions, students, instructors, curriculum developers, researchers, parents, international organizations and other interested stakeholders.

### **Delimitations**

It was reported that there are more than forty-five public universities and a large number of private universities in the country. This study covered only five public universities. Furthermore, the study did not include the views of the employers.

### **Limitations of the Study**

The data was collected from only 151 graduates of these five public universities. Furthermore, the opinions of the employers were not included in this study. Based on these facts, the findings of the study could not be taken as comprehensive. Thus, one must take caveat while reading the findings.

### **Methodology of the Study**

Both qualitative and quantitative methods (mixed methods research) were employed in conducting the study. According to Creswell (2014):

‘A mixed methods research design is a procedure for collecting, analysing and mixing both quantitative and qualitative methods in a single study or series of studies to understand a research problem. The basic assumption is that the uses of both quantitative and qualitative methods, in combination, provide a better understanding of the research problem and question than either method by itself.’ (p.535).

### **Data Sources and Data Collection Instruments**

Primary and secondary sources were used to collect data for this study. The primary sources were graduates who joined the labor market. Secondary data was collected from CSA, and

other relevant publications/books and journals. As regards to the data collection instruments, questionnaires were used for graduates.

### **Sampling techniques and sample size**

Here are five universities for the study: Addis Ababa, Arba Minch, Haromaya, Hawassa, and Jimma Universities were included on the basis of purposive sampling technique. Tracing former graduates was a very challenging exercise. Hence, an attempt was made to get the actual number of graduates from the registrar office of each sample university. Then snowball sampling was employed to track down those who graduated from undergraduate regular programs of the sample universities. A total of 151 graduates were included in the study.

### **Methods of Data Analysis**

The data obtained through the questionnaires were coded and entered into a computer using SPSS. During the analysis percentages and cross-tabulation were used in dealing with the data.

### **Data Presentation and Analysis**

In this study five public purposely selected universities were included as shown in Table 2, of which 46.4% of the participants were from Addis Ababa University, close to 20% were from Arbaminch University. Again, close to 15% and 13% participants were from Hawassa and Haromaya Universities respectively. Only 6.6% were from Jimma University. A total of 151 graduates participated in this study.

Table 2. Graduate Students

<b>Names of the Institutions</b>	<b>No of graduate participants</b>	<b>Percent</b>
Hawassa University	22	14.6
Addis Ababa University	70	46.4
Arbaminch University	30	19.9
Haromaya University	19	12.6
Jimma University	10	6.6
<b>Total</b>	<b>151</b>	<b>100.0</b>

In Table 3 we can see that 90.7% of the participants were male students and only 7.9% of the participants were female graduates. In the public higher learning institutions, girls' participation is still less than male students.

Table 3: Participants' Gender

<b>Gender</b>	<b>No of the participants</b>	<b>Percent</b>
Male	137	90.7
Female	12	7.9
Total	149	98.7
Missing	2	1.3
<b>Total</b>	<b>151</b>	<b>100.0</b>

For many years, it was a known fact that institutions of higher learning served more students coming from urban areas. As we can see in Table 4, a large majority 82.1 % indicated that they attended urban high schools. Only 17.2% indicated that they came from high schools located in rural areas.

Table 4: Location of high schools that the graduates completed

<b>Location of High Schools</b>	<b>No of Respondents</b>	<b>Percent</b>
Urban schools	124	82.1
Rural schools	26	17.2
Total	150	99.3
Missing	1	.7
<b>Total</b>	<b>151</b>	<b>100.0</b>

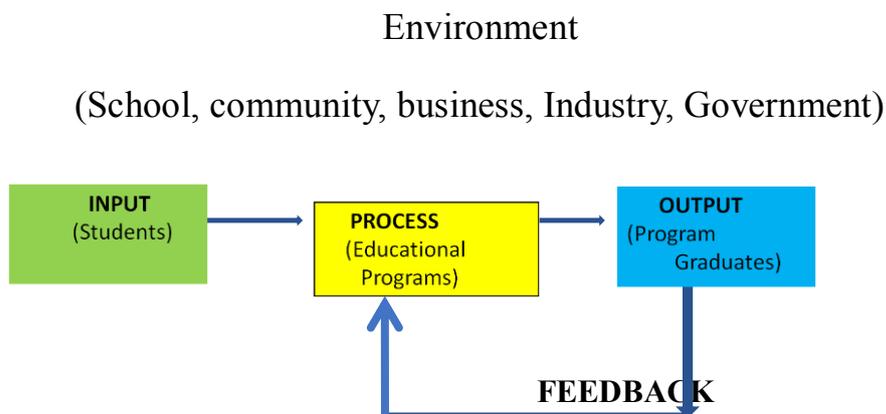
The graduates who participated in the study were asked if they studied the subjects of their choices. Table 5 showed a large majority 77.5% of them indicated that they did so. This fact is quite important to maintain the interest of the students.

Table 5: Did you study the subjects you liked most while attending university education?

<b>Responses</b>	<b>No of Participants</b>	<b>Percent</b>
Yes	117	77.5
No	29	19.2
Total	146	96.7
Missing	5	3.3
<b>Total</b>	<b>151</b>	<b>100.0</b>

The students studied at the university level were expected to prepare themselves for employment or self-employment in the labor market. Students coming to the institutions of higher learning need to have a reasonable high school academic preparation to pursue their education at higher level. Students' pre-employment education and training as well as their completion at the institutions of higher learning could be conceptualized as shown in figure 1. The input part included all material and human resources including students and teachers. The process part included the curriculum, education and training, the teaching/learning activities including all other skill developing activities. All activities that take place within the university compound were considered as pre-employment training. According to Finch and Crunkilton (1989), assessment of program graduates (i.e., contribution to society, job satisfaction, competence attained) serves as feedback for system adjustment. The environment within which an educational system operates must be taken into account. The environment (school, community, business, industry, government) can influence input, system operation, and output (p.26-27).

Those who completed the pre-employment training were graduates who joined the labor market having mastered employability skills. In view of this, the graduates were asked how effective their pre-employment training was (Table 6).



Adopted from - Finch & Crunkilton (1989)

In Table 6, we can see that almost 40% of the respondents said the program was moderately (average) effective. Other respondents (34.4%) considered the program was effective. Only 8.6% of the graduates said the program was highly effective. Contrary to the positive responses indicated above, a total 14.6% of the graduates thought that the program was ineffective though they were the minority.

Table 6: The effectiveness of the subjects the graduates studied in developing skills needed in the labor market.

<b>Responses</b>	<b>No of Respondents</b>	<b>Percent</b>
Highly ineffective	5	3.3
Ineffective	17	11.3
Average	60	39.7
Effective	52	34.4
Highly effective	13	8.6
Total	147	97.4
Missing	4	2.6
<b>Total</b>	<b>151</b>	<b>100.0</b>

After graduation, the students joined the labor market looking for employment (Table 7). A total of 151 graduates were traced and located through snowball sampling/chain sampling method. Out of these graduates, 53% of them got their first job within six months after graduation. Those who said it took them from 6-12 months accounted for 6%. Only 3.3% of them said that it took them more than a year to find the first job.

Table 7: Time it took graduates to get their first job

<b>Responses</b>	<b>No. of Respondents</b>	<b>Percent</b>
Within six months after graduation	80	53.0
From 6-12 months	9	6.0
More than a year	5	3.3
Any other	48	31.8
Total	142	94.0
Missing	9	6.0
<b>Total</b>	<b>151</b>	<b>100.0</b>

Those who got employed were asked the type of organization they joined. From Table 8, we can see that 90.7% of the graduates joined government organizations. Very few joined private sectors as well as NGOs. Thus, the government is the big employer in this case.

Table 8: Type of organizations graduates got employment

<b>Response Items</b>	<b>No. of Respondents</b>	<b>Percent</b>
Public sector (government organization)	137	90.7
Private sector	1	.7
Non-Governmental Organization (NGO)	5	3.3
Total	143	94.7
Missing	8	5.3
<b>Total</b>	<b>151</b>	<b>100.0</b>

The graduates who got employment were asked if they applied in their workplace whatever skills they learned in their respective institutions. We can see from Table 9 below that close to 50% said that they applied very much what they learned in their institutions. Close to 28% indicated that they apply a little of what they learned. Only 2% of the respondents pointed out they do not apply at all what they learned.

Table 9: Applying what was learned in work places

<b>Response Items</b>	<b>No. Respondents</b>	<b>Percent</b>
Not at all	3	2.0
Yes, a little bit	42	27.8
Yes, very much	75	49.7
Total	120	79.5
Missing	31	20.5
<b>Total</b>	<b>151</b>	<b>100.0</b>

The graduates were asked to indicate how useful the programs they pursued in their universities to the current jobs. We can see from Table 10 that close to 54% said the programs they pursued were very much useful. 41% percent said that the programs they went through were somewhat useful. Only 3.3% of the respondents pointed out their university programs were not useful at all. In table 10, graduates expressed the usefulness of the level of the program in a positive way.

Table 10: Usefulness of the programs pursued to their current jobs

<b>Response Items</b>	<b>Frequency</b>	<b>Percent</b>
Not useful at all	5	3.3
Somewhat useful	62	41.1
Very much useful	81	53.6
Total	148	98.0
Missing	3	2.0
<b>Total</b>	<b>151</b>	<b>100.0</b>

The next question posed for the graduates was the level of their satisfaction in the jobs they were doing (Table 11). Those who said highly satisfied accounted for 15.2% and those who said just satisfied accounted for 36.4%. When the two groups combined, the total sum amounts 51.6% and this is the majority. There were other respondents who said they were neither satisfied nor dissatisfied and they accounted for 16.6%. A total of 24.5% of the graduates pointed out that they were highly dissatisfied or simply dissatisfied (Table 11).

Table 11: The level of satisfaction in the current Jobs

<b>Response Items</b>	<b>No. of Respondents</b>	<b>Percent</b>
Highly dissatisfied	19	12.6
Dissatisfied	18	11.9
Neither satisfied nor dissatisfied	25	16.6
Satisfied	55	36.4
Highly satisfied	23	15.2
Total	140	92.7
Missing	11	7.3
<b>Total</b>	<b>151</b>	<b>100.0</b>

It is known fact that labor markets are dynamic due to technological impact. Graduates need to be flexible to adapt to the changing situations. Current literature and experience show graduates need to have both core and soft skills. The core competences are skills necessary to live in a complex, very interacting, and continuously changing society (Maitra, 2007). Core skills are skills that make an individual effective at work and they are sometimes called transferable skills. Graduates can develop through time and these skills become part of the individual. On the other hand, soft skills such as team-working, leadership, project management, etc. can be learned from different experiences (Martin, 2007). Maitra (2007) suggested that education must not remain a theoretical learning but the transfer of knowledge must be integrated with practical experience.

In view of this, graduates were asked what kind of knowledge and skills were needed to be effective in labor market. The responses were given in Table 12 with a ranking order.

Table 12: Rank order of knowledge and skills graduates needed to perform effectively in the labor market

No	Response Items	% Respondents
1	Theoretical & practical	60.0
2	Communication skills	43.0
3	Practical & experienced based	40.4
4	Theoretical & experience	34.0
5	Social skills	28.5
6	Theoretical	18.5
7	Practical	18.0

One of the research questions that were posed to the graduates was concerning their overall rating of the effectiveness of the universities in producing capable graduates. From Table 13 we can see that about 9% of the respondents said the program was highly effective. Those who simply said effective accounted for 34.4%. About 40% of them said that the program's effectiveness was an average (not very high or low).

Table 13: Overall rating of the university's effectiveness in producing capable/competent graduates in the labor market

Responses	No of Respondents	Percent
Highly ineffective	5	3.3
Ineffective	17	11.3
Average	60	39.7
Effective	52	34.4
Highly effective	13	8.6
Total	147	97.4
Missing	4	2.6
<b>Total</b>	<b>151</b>	<b>100.0</b>

## Conclusion

The Ethiopian higher education system has expanded to a large extent since the introduction of the Education and Training Policy in 1994. This expansion has opened up opportunities for thousands of young people. It is reported that there are over forty-five universities in the country. Furthermore, private institutions of higher learning are also flourished after the introduction of the education policy. At the end of every academic year, thousands of young

people graduate from these higher institutions of learning and join the labor market seeking employment in public or private enterprises. Employability of graduates is a result of a complex set of interrelated factors comprising economic and professional contexts (Stiwne and Alves, 2010).

In this study, 151 graduates from five public universities took part. Almost 91% of these were employed in public organizations. Thus, the government was the main employer. The graduates were asked a number of pertinent questions that included the usefulness of the programs they completed, job satisfaction in their place of work, relevance of their pre-employment training, etc. The responses obtained were mainly on the positive side. However, a good percentage of the graduates also indicated that their pre-employment training was not that much of high quality.

### **Recommendations**

Based on the results of the study, the following recommendations are forwarded.

- Serious attention should be given to design university education and training on market demand.
- Universities should carry out tracer studies periodically to see the relevance of their pre-employment education and training to the labor market.
- In addition to core skills, relevant soft skills must also be emphasized.
- Universities should have labor market information system.
- Girls are still under represented at the institutions of higher learning and this situation has to change.
- More effort must be made by all stakeholders to make the universities center of excellence.

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**Factors Affecting Curricular Responsiveness of Technical and Vocational Education and Training to Youth Employability, Endalew Fufa and Kassim Kimo, Arsi University, Ethiopia**

**Abstract**

This research investigated factors affecting the responsiveness of TVET to youth job-creation in Arsi Zone. Descriptive survey design was used in the research. Data were collected from randomly selected 120 TVET trainees in four TVET colleges and four deans of the respective colleges. Three purposively selected instructors from each college (n=12) were also data providers. Combination mode of questionnaire and semi-structured interviews were used to collect data. The findings indicated that, there were no entry assessments held to verify the fitness of candidates for the lesson process. Moreover, formative conditions did not strongly relate with exit assessments. Competency-based assessments were also held with the motto of pass-fail decision-making rather than filling gaps in skills. Even for those passing the competency examination, there were no pre-identified employment opportunities since colleges strongly depended on educating the youth without looking for available job options. Overall, lack of entry assessment, shortage in formative enrichment of practices, lack of alignment between entry-formative-exit-outcome assessment (CoC), and lack of focus on pre-identification of employment opportunities were factors identified to be major bottlenecks to youth employment after graduation.

**Keywords:** TVET, curricular responsiveness, youth employability

**Introduction**

Technical and Vocational Education and Training (TVET) is aimed at providing students with knowledge, skills and competencies that will allow them to lead productive and fulfilled lives (UNESCO, 2016). The role of TVET is to develop productive knowledge, skills and competencies which prepare the youth for the world of work. In that, work-based learning plays a crucial role to ensure that, skill-acquisition is in line with skill-requirements at work-place (Mejia, 2012). Employability of youths guarantees stability in ideology and economic base of generation (Uddin & Osemengbe, 2013). For employability of youth, there must be endeavor to promote circumstances that would enable citizens to secure an adequate livelihood, right to work, vocational guidance and training, and just and favorable conditions (Biashavi, 2013).

The relevance of TVET policies and programs is often measured in terms of their success in providing graduates with a smooth transition from school to the world of work (UNESCO, 2016). Technical and vocational education and training is carried out on the basis of competency-based curriculum which embarks upon the development of hands-on skills and production capacity from which the trainees could directly be benefitted being employed in different production and service units. Here, two concepts need attention. On the one hand, TVET holds some grains of education: curricula, teacher preparation, institutionalization of learning, arrangement of learning units as theoretical and practical, and existence in due

accord of means of assessing learning. It also embarks upon technical aspects which embrace both theoretical knowhow and skill-based practices (Shaorshadze & Krishnan, 2012).

By and large, each string of engagement in TVET should be pertinent with the vocational need out in the field (UNEVAC, 2016). To be pertinent to the vocational need, there needs to be alignment of the instructional provision system with the practical reality in the field. By far, every aspect of education and training in the institution must be tied up with what the vocation demands (Eden, 2012). To earn what the vocation demands, building a competency-based chain of engagement remains to be the most viable means. Such a chain of engagement should be framed along with a bimodal exchange between employing chains and institutional provisions. This could be realized by creating closeness and concern formed between the industry and the training centers or institutions.

While varying degrees of education and training are provided in the realm of TVET today, the responsiveness of collegiate provisions for youth employability remains an issue seeking attention. *Youth employability* here marks the extent to which graduates find job opportunities for earning a living either being employed in the industries seeking educated taskforce or creating their own jobs. Colleges dispatch thousands of graduates every year but the extent to which the graduates get opportunities for employment remains to be a question to the generation.

Smooth transition from school to the world of work is marked by consonance between skill-standards and market-need which can ensure employability. Employability of educated taskforce in different sectors is an issue seeking utter most attention across nations and the globe. Research evidences make it plain that poor training at earlier levels, incompetent teacher support, less emphasis on general knowledge and lack of career guidance are conditions which limit success in meeting market-demand (Mumishi, 2016).

In Ethiopia, TVET has a long history with notable achievements marked through the limited provisions in the past. In the long decent, TVET colleges have come to earn considerable tributes as means of minimizing youth unemployment and enlivening the practical value of practical education across vocations (Desalegn, 2014). The provision has come to assume more profitable aspects with the creation of access and equity in educational provision in the country with the advent of the Education and Training Policy and subsequent changes (Shaorshadze & Krishnan 2012). With the increase in extension of services, there is a necessity to increase efficiency and equity of the centrally-driven allocation mechanism, and evaluate TVET program in terms of the value-added to the final labor-market outcomes for its beneficiaries.

The policy implementation process has also come to bear workable fruits with opening of colleges and diverse training institutions in the remote corners of the country across regions. In spite of all these attempts, youth employability in different industries - be it production, extension or service aspects - is always with questions. Martha (2012) traces that, employment challenges of TVET graduates are triggered by high and increasing unemployment rate, weak labor-market institutions, and irregular unemployment regulatory policies which serve the

formal and wage-employment sector. Cases of employability could be traced from both national and international perspectives. From the broad international perspective, challenges of institutions to prepare the youth for employability could be traced in terms of entry identification of basic knowledge and understanding, formative follow-up of due skill mastery, proper assessment, remediation and complementation of learners' knowhow and skills, and alignment of training and education with the field practices and demands in industries. From national perspective, the purpose for which trainings are given, conviction on the part of the graduates to learn for change, and unity among vested institutions to work for the betterment of skills to ensure employability are conditions which challenge the success TVET can attain in being responsive to youth employability. Different researches have been held so far regarding the place of TVET in reducing unemployment. Yet, the extent to which it works with industries, the way through to be responsive to employability is what remains behind the scarlet in research. Hence, research becomes inevitable to investigate how far TVET programs operate towards ensuring youth capacity to be employable from the stage of entry-behavior to the output measure, and then job-entry competency measure. Without research, it could be futile to discuss the nexus between TVET College as a school and industries as workplaces, which have their own businesses to run even without having any responsibility in common regarding job-entering taskforce.

Hence, this study looked into factors affecting TVET responsiveness to youth employability in Arsi Zone, Oromia Regional State, Ethiopia with the justification that, identifying such factors would enable spearheads to work on paths which lead to improvement of workable ties which can enliven exchanges between school and workplace such that, there could be possible means of developing real and workable youth competency after graduating from colleges, which, in turn, helps to improve conditions for employability.

### **Statement of the Problem**

When students complete a certain level of education, they are expected to join further learning stage or vocations from which they can earn a living. Earning a living does not just happen, since there should be preparation for the world of work. Such a preparation demands the youth to undergo training and educational practices which qualify them for a job. Technical and Vocational Education and Training is provided at different levels across nations to ensure youth preparation for a job. It is for that very purpose that, different institutions and colleges are set up to work on youth education after completion of general secondary or preparatory education, the requirement to train for work-life being the prime concern, conditions in and out the training situation can have pressing effects and impacts on the success of the graduates.

TVET candidates undergo training in already set up institutions whereas job-life demands skills to be workable in the field (Mumishi, 2016). Unless there is consonance between training provision scheme and market-demand on the job sphere, there could be observed gaps which remain open thereby blocking the youth from joining some jobs (UNESCO, 2016). Colleges providing technical and vocational education and training must bear the reality that they work on the pertinence of youth skill-standards to expected marketability standards right from the entry to graduation.

Such a reality bearing should be aligned with consonance of curricula and implementation strategies in colleges with practices in the workplace (Seangmean, Sokheng & Somonich, 2015). That consonance, in turn, must be aligned with not only what the market demands but also how the youth can prepare themselves the way through to employment (Tripney & Hombrados, 2013), thereby getting cognitive, physical and psychological preparation for job-life. Global experiences reflect reactive interventions such as combating unemployment through technical and vocational education, which, in itself, cannot be any good remedy without being supported by the joint operation of school and workplace (Mejia, 2012). So, on conditions where school and workplace move under the watershed of reactive intervention, ensuring employment would be very distant since conditions are made plain in the aftermath (Akoojee, 2016).

In Ethiopia, the youth join TVET after the completion of general secondary education (Grade 10). There are also some who do so after completing preparatory education with average achievement below the threshold for university entry. Three conditions seem to challenge such an entry. On the one hand, students completing general secondary or preparatory education do not seem to prepare themselves pre-hand to join TVET as an educational option. By and large, almost all secondary school leavers opt to join preparatory school and all preparatory level leavers a university. So, there seems to be narrow space between school and colleges to prepare the students to join TVET. On the other hand, TVET colleges do not have any workable scheme and pre-knowledge of the type of candidates they should enroll. Moreover, colleges and industries do not seem to be aligned in working out curricula and subsequent practices for the best preparation of graduates for job-life. Hence, TVET provision is surrounded by trios of individual and institutional challenges on youth-employability which stands as the lifeblood of the very scheme.

Thus, this research looks into factors affecting TVET responsiveness for youth employability in Arsi Zone of Oromia Regional State. The variables of concern are youth preparation index and relationship with industries in working with TVET Colleges to ensure youth employability. Collegiate youth-preparation index is seen in this study in relation to entry identification of capacity, process-based enrichment of skills, and assessment of attainments in line with the expected competency-standards. Likewise, relationship index is looked into in terms of the interplay between TVET colleges and industries in adjusting conditions for correspondence between curricular strategies and job-entry tests.

Hence, this research seeks to answer the following questions:

**Basic Question:** What are the institutional and individual factors affecting TVET responsiveness to youth employability?

**Specific Questions:**

- How well are students aware about streams and would-be employability of skills?
- How far do training conditions allow practical involvement in and out?
- How far do formative measures represent expected learning competencies?

## **Objectives of the Research**

This research sought to attain the following objectives:

- To clarify alignment of TVET curricula with workplace needs;
- To identify viability of training conditions for practical learning on campus and at sites, and
- To make out pertinence of formative follow-up to the exit competencies.

## **Significance of the Study**

This research studied factors affecting TVET responsiveness to youth employability taking institutional and individual aspects into consideration. In line with the attainments of the objectives, the significance of the research would be such that:

- Clarifying alignment of TVET curricular preparations to workplace needs would have relevance for the colleges to go in line with the market-demand;
- Verifying candidates' capacity would have relevance for programmatic arrangements and curricular enrichment for valid provisions to be realized;
- Making out pertinence of formative measures would have significance for the holding of follow-up in due form as to steer learning progresses against the requirements of the vested competencies.

## **Delimitation of the Study**

For the purpose of focus and manageability, this research was delimited to four model TVET institutions which were selected as cluster centers across Arsi zone. Cases in view were also delimited to nexus the TVET colleges had with the nearby industries and individuals' experiential reflections. Data related to employability rate across industries were not considered after it became clear that employees were entertained all across; not on the basis of proximity.

## **Limitations of the Study**

In this study, the researchers had the plan to survey reciprocal ties between colleges and industries such that it could be possible to see things from different angles. However, there encountered limitation in accessing data owing to insufficiency of industries having nexus with TVET, and reluctance in data provision. Consequently, this study lacks data on the part of industry, to which effect it cannot be generalizable to any single industry, except reflecting the views and practices of colleges.

## **Operational Definition of Terms**

The terms defined below had operationality as per the research issues treated in the process of the study, and the researchers used workable definitions which could be appealing to the issues under consideration in this research:

- **Factors:** Institutional factors such as linkage with industries, programmatic arrangements for checking students' entry, process and exit conditions.

- **Affection:** The reference of affection in this research condition had reference to existing practices which stood as bottleneck conditions on TVET graduates' success in job-creation or getting employed in different enterprises.
- **Technical and Vocational Education and Training:** The concept pertains to practices in Arsi Zone, more specifically, in the cluster centers. It does not, hence, represent all others.
- **Responsiveness:** Refers to follow-up and developmental enrichment made on training.
- **Youth:** Subjects defined here are those attending TVET in the colleges under the aforementioned cluster.
- **Employability:** Getting or creating job-opportunity on the basis of education and training provided for them through TVET College.

### **Review of Related Literature**

Technical and Vocational Education and Training (TVET) is a kind of provision aimed at developing technical hands-on skills on experiences that prepare the youth for the world of work. It is framed in a manner that it enables different groups who need technical and vocational skills. It aims to capacitate secondary school graduates to be technically armed to work in medium and small-scale industries or create their own jobs (Hutton & Dixon, 2016). The point is in serving educational customers with valid and desirable know-how skill and attitudes that are market-driven.

### **Purposes and Issues of Technical and Vocational Education**

Like any other educational institution, TVET works to develop human potential for the highly demanding market and enliven workmanship for self-employment (Lemecha, 2018). The grand purpose is to prepare educated taskforce for the world of work on the basis of job-oriented need assessment (Wheeler, 2017). The other purpose is to create conditions for employable skills which the current generation needs to succeed in the contemporary society of science and technology (Hollander & Mar, 2012). By and large, TVET helps learners to have strong technical and vocational breakthrough for their better life and for the advancement of the society directly or indirectly (Majumdar, 2013).

Directly they provide for youth skill-development thereby ensuring the provision for employable skills which will be viable both in production and service realms (Hutton & Dixon, 2016). Indirectly, they provide for model duty of the educated human resource, which others to take the footsteps of those who have succeeded and work for better life and living (Lemecha, 2018).

Coming to the issues, Brewer (2013) underline TVET to respond to issues of massive unemployment, rapid technological changes, structural reforms in the economy, and responsiveness to market-demand which, in turn, feeds the economy. In the same lines, specific issues pertaining to TVE are stated as transition to knowledge-based economies which substitute product-based economies, deep-orientation and practices of self-employment and entrepreneurial skills, closer links with industry for policy formulation, program

implementation, curriculum development, and sharing resources. Above all, development of transferable skills with regard to transition from school to work remains to be a thought-provoking matter (Wheeler, 2017; Majumdar, 2007).

### **Principles of Technical and Vocational Education and Training**

According to MacDonald, Nink and Duggan (2010), a modern and responsive TVET system needs to take into account current and expected socioeconomic conditions including labor-market demand, the needs of both the formal and informal sector in relation to employment, and the professional capacity of TVET teachers and instructors. Further, TVET must attend to the specific employment needs of both rural and urban situations and take account of belief and value systems, religions and customs, and different (particularly in relation to gender and social dimensions in training and employment) regional and indeed climatic variations between regions within a country. Here, relevance to the labor market (one that meets employer's needs and expectations), access for trainees, quality of delivery, standardization, inclusion of soft skills, and secure and uninterrupted funding are underlined to be essential issues.

According to the National Technical and Vocational Education and Training (NTVET) Strategy (Ministry of Education, 2008), the guiding principles of the National TVET System go as under:

- a. **Demand Orientation:** Under this, the document forwards two essential components: competence needs and qualification requirements. Competence needs in all economic sectors are underlined to be essential for the improvement of people's employability in the labor-market, more specifically in the self-employment realm.
- b. **Quality and Relevance:** Effective means of quality management is said to cater for relevance of TVET programs thereby providing support and guidance to TVET institutions to achieve definite quality standards, as the policy depicts. Occupational standards, assessment and certification are underlined to be means of realizing the quality and relevance of provision. The question is how far it takes the expected service to real ends.
- c. **Contributing to the fight against HIV/AIDS** which underscores awareness-raising and training about preventive measures by developing policies to ensure that can stop discrimination according to health status with regard to HIV/AIDS.
- d. **Contributing to Environmental Protection** through environmental awareness about sustainable uses of scarce natural resources.

The guiding principles above trace four essential pivots which pertain to workplace needs and requirements, effective means of quality management, humanistic needs in training provision and environmental needs.

### **Factors Affecting Employability Skills**

The ultimate goal of Technical and Vocational Education and Training is to produce taskforce for workplace needs or demands. The destined task-force must have knowledge, skills and attitude which qualify them for the work life. For the acquisition of workable knowledge and

skills, there must be mechanisms whereby the pursuant develop such skills. With respect to factors affecting employable skills, Dania, Bakar and Mohamed (2014) having studied factors influencing the acquisition of employability skills in Malaysia, came up with the finding that, self-concept, participation in career development activities, and industrial training were the top three factors which highly influenced technical secondary school students' employability skills. Ismail and Mohammed (2015) held a study on employability of TVET curriculum and came up with the findings that, dominance of theory over practices, shortage of skills in problem-solving and decision-making, and non-existence of consideration for lifelong learning and development of innovative competences were among the striking conditions on youth employability. These latter researchers largely stressed institutional factors while the initial ones focused on the individual factor, self-concept, to have had a pressing effect.

Likewise, Raihan (2014), after studying institution-industry collaboration in Bangladesh with its effects on employability of skills came up with the findings that, nature and extent of pre-employment skills development, research and innovation, sustainability of the collaboration initiatives, better understanding of multiple collaboration, and existence of right environment and supportive structure were few of the factors affecting employability of skills. Bakar, Mohammed and Hamza (2013) also trace having deep pre-orientation could awaken the youth to skill-employability. Isengard (2010) studied risk factors on skill employability and identified individual level of education, the country-specific organization of educational systems and labor-market institutions, and existence of active labor-market programs to have pressing effects.

### **Research Methodology**

This study dealt with identification and analysis of factors affecting TVET responsiveness for youth employability. Variables of concern were job-entry conditions and training processes as seen against market-demand for employability. Training processes included means of identifying entry behavior of trainees, means of ensuring trainees' formative achievement standards both in theory and practice, and mechanisms to ensure summative outputs of learning. Job-entry competencies included the interplay between the training outputs and overall competency. Conditions related to the role of stakeholders were also presented in terms of the nature of provision. Overall, the research followed the pragmatic theoretical paradigm.

### **Research Design**

In carrying out this study, descriptive survey research design was employed for its viability to explore factors with their nature (Dawson, 2007; Williams, 2003). Descriptive survey design was also preferred for its quality to describe a situation/process more accurately and systematically (Dulock, 1993).

### **Data Types and Sources**

In this research, data which were primary in nature, pertaining to direct experiences and practices were taken into consideration. Data related to learning experiences were collected from 120 students in the four model TVET colleges: Bokoji, Robe, Arba-Gugu and Eteya.

With respect to institutional organization and implementation of arranged practices, pertinent data were collected from the TVET deans and instructors. Selected documentary sources referring to preliminary need assessment, curriculum development, identification of pre-instructional preparation, the teaching-learning process, and assessment and evaluation were consulted. These data types were taken into consideration to *triangulate* the data such that it would be able to give a complete figure in coverage.

### Sample Population and Sampling Techniques

Samples among 1189 students in the graduating level of learning (n=120) were selected through *stratified random sampling*, the point of stratification being distribution across the selected colleges (Singh, 2007). Emphasis was given to those in the third level because they were believed to have undergone the entry, formative and a part of the site induction process. Deans (n=4) and teachers (n=12) were purposively selected on the basis of their experiences and roles in the respective colleges. Reference was also made to working documents of each college on curricular planning, implementation and assessment in line with the competence-based approach.

### Sample Distribution across the Target Colleges

Table 1: Sample Distribution Across the Colleges

No	College	Students		Teachers		Deans	
		Total	Sample	Total	Sample	Total	Sample
1.	A/Gugu	372	37	14	3	2	1
2.	Eteya	249	25	17	2	2	1
3.	Robe	341	34	15	3	2	1
4.	Bokoji	236	24	18	4	2	1
	<b>Total</b>	<b>1198</b>	<b>120</b>	<b>64</b>	<b>12</b>	<b>2</b>	<b>1</b>

### Instrumentation and Validation

Questionnaire, semi-structured interview and documentary checklist were instruments of data collection. Questionnaires were prepared, proofread and validated through peer review; and then, presented to students. Reliability coefficient was not made out provided that most of the items were open-ended. In the process, assistant data collectors were trained /oriented on how to collect questionnaire data and organize in due accord. Likewise, interview guides were prepared and checked for pertinence through a similar review, and arranged for data collection

with officers. Documentary checklists were also prepared and checked for pertinence to collect data related to performance reflections from record-centers of each college.

### Procedures of Data Organization and Analysis

The data collected using questionnaire were systematically organized and analyzed statistically with the help of percentage values. Interview and documentary data were also transcribed, coded and thematically interpreted. Then, major findings were summarized in line with the research questions. On the basis of the findings, conclusions, recommendations and implications for further study were given.

### Results and Discussion

The students' questionnaire responses were based on students' entry awareness, formative lesson-processing, terminal school to work situation. The students' entry awareness issues were seen from the standpoint of information they got about field employability, and conviction they had about the compliance of courses to the possible employability situation.

#### Field-Orientation and Placement

Table 2: Access to Field Orientation and Proper Placement

	Existent	Non-existent	Uncertain
Q1. How do you consider access to information on placement and screening?	23 (19%)	44 (37%)	53 (44%)

From the very idea of communicating field-oriented information, existence of timely information dissemination about fields of study, this study forwarded the point as a preliminary issue. Data provided by students to the questionnaire indicated information on fields of study and would be placement was existent (23, 19 %) as some respondents denoted. Non-existence of field-orientation was also marked by a considerable rate of responses (44, 37%). The highest rate of response (53, 44%) denoted students' uncertainty about pre-orientation and pre-identification of capacity for placement purpose. So, the response rate went more to uncertainty about would-be placement and field-orientation.

Parallel to the data obtained through questionnaire, interview responses from college deans indicated that, the colleges had course-based which basically dealt with role-orientation but not field-orientation. The quoted response went as here under:

*'Students come to register at the college based on notices every year. When students register for a course, we screen them based on their secondary school results. Then, we register them to the proper level that the prior result allows. After registration, they are given*

*orientation on how they work on their fields. That is how we handle the teaching-learning process' (Part.1, Eteya, Nov., 2017).*

The above interview account bears categories of data that displayed students' entry decision to have been based on dead file which was ascertained only on the basis of secondary school results. At the orientation session, students were given information on how to deal with instructions but not what the industry provision or practical work-related decisions were like. So, things were more to the instructional aspect than to the college-market orientation. In that sense, students had very limited information to prepare themselves for learning and taking heed on employability from the very outset.

Another participant dean had to say the following:

*'The college prepares curricula and orients students when they come up with deserving results. On that basis, as per the need held by the regional TVET agency, students are assigned to certain fields. At entry level, they are given course orientation and what they should do with their teachers. That is how we provide orientation. We also try the best we can to encourage them to tilt to technical and vocational training since they greatly undermine the stream of TVET. At times, they are wrongly oriented since they prefer a field without checking its future marketability. That pressure comes from elders or parents' (P.2, Bokoji, 2017).*

In this category of data, five themes could be made out. In the first place, curricula were prepared on the basis of institutional need as per the urge from top agency office. In that accord, they were more subject to contextual alienation. Second, course orientation was given without field orientation. In that sense, students were given course award without understanding what would wait for them ahead. Third, every form of induction was expected from TVET administration since different forms of encouragement were sought essential. In that case, students were not expectant and were not ready with TVET courses and skills. Fourth, the training initiatives to have been based on external pressure from elders and parents. A certain participant witnessed a parent saying, "Unless you learn Computer Maintenance, don't expect a coin from me."

The final point goes to stating that, the fate of TVET entrants was hung between three agents: Industry, Colleges and Parents, which had different whims. The implication goes to indicating the provision of information about fields of study in TVET to students to be incongruent with the college-provision or parental expectation. Likewise, students were not well-oriented about placement. Regarding the field-orientation issue, available findings underline the need to embrace approaches aimed *at value re-orientation* of TVET in the process of training provision (Okwelle & Aynomike, 2014).

## Diversity in Fields of Training

Table 3: Reflection on Field-Diversity

	<b>Very much diverse</b>	<b>Diverse to some extent</b>	<b>Uncertain</b>
Q2. How do you see diversity in the field of study?	28 (23%)	26(22%)	66(55%)

In the process of learning, students should know and be aware of the important fields among which they can select the most appropriate one, as per their capacity and inclination (Wilson & Peterson, 2006). Thus, in this research, the other point of concern was students' awareness about diversity in field of lesson provision. Most of the TVET candidates indicated their uncertainty about existence of diverse fields in their respective training provisions (66, 55%). Existence in diverse forms of fields of concern was witnessed by some respondents (28, 23%) whereas existence of diversity to some extent was marked by the least rate of responses (26, 22%). This implies that, students had diverse status of awareness about existence of diverse options among which to select the most appropriate ones.

Data obtained through interview also indicated a similar reflection:

*We mostly tell them the fields we have and the students get registered. The zone TVET Coordination Office works on coordinating things after students get graduated. There are also conditions for arranging placement matters. Otherwise, we don't have a special means of disseminating information about the diverse fields and why they are so important (P1, Eteya, 2017).*

From the officer's reflection, it could be inferred, in the first place, that students get registered to fields without any due consideration of the existing fields and why they are destined to learn.

Another officer states the following:

*We have diverse fields. Our student enrolling mechanism is based on merit. So, field diversity being in place, we don't labor with explaining to students why fields are so important. They simply get registered to fields as per their results. Even when they refuse to join some fields, the hard skills area, the college tends to force them. Otherwise, some streams get overcrowded with students while others collapse (P<sub>2</sub>, Bekoji, 2017).*

Instead of briefing students about the different fields, even taking it as something trivial, colleges tilt to registering students to fields as per their general secondary school grade results. Information obtained from document review and officials' reflections also denoted the fact that, the entire curricula were prepared by the Regional Commission for TVET that there could be no option and reason to discuss fields diversity. While fields diversity can be seen from the possibility to design and

implement comprehensive and lifelike curricula, the shortage of budget highly delimits the scope, as reflected in documents (Information obtained from Documents and Reflection across the four Colleges, September, 2017).

### Practicality of the Attended Lessons

Table 4: Practicality in the Fields of Study

	Very high	Average	Low
Q3. How do you consider practicality of lessons?	36 (30%)	58 (48%)	26 (22%)

Training provision in TVET must be practical to the extent that students could gain skills they can apply in their future job. That way, they can also get swift gate of employability (Haolder & Paul, 2012; Morris & Powell, 2013). In this regard, students were asked if fields they attended were practical. It became evident from the data provided that fields attended in TVET were practical on average term for most of the respondents (48%), highly practical as evidenced by (30%) of the respondents and not practical as indicated by the least per cent of the respondents (22%).

A related interview data indicated that the colleges had ties with some enterprises with which they worked under the auspices of Zonal TVET Coordination Office. The account goes as here under:

*'We have practical induction in the form of internship. Our candidates are assigned to the nearby and far off industries and enterprises when they complete courses. Perhaps, we support them in whatever we can. But, our relations with industries is not strong. At times, the attendants at the industries either overlook the follow-up as an extra labor or consider the candidates' labor as cheap. So, the industries/enterprises simply fill in the forms and send the candidate back'* (P1, Eteya, 2017).

The interview account indicated that practical parts of the training were mostly pushed to the end of lessons. That would imply tracking remedial to be by-passed. The other point was that, students were not properly followed up by people at the internship centers. The internship meant for practical engagement was spent therefore on unexpected labor. There is also a matching reflection on existing documents and practices that, though emphasis is given to sustaining the practical aspect, shortage in running workshops pulls the endeavor back. Resource shortage is also traced as the major bottle-neck. From the practical learning perspective, the TVET provision looked into has the reflection that, provision of adequate facilities, equipment, consumable materials, and hand tools is very imperative for TVET to be adequately repositioned (Ogbunaya & Udoudo, 2015).

### Facility Issues in TVET Provisions

Training facilities are essential components to support the smooth nexus between theory and practice. This peculiarly holds true in the case of technical and vocational education and training because students are required to get hand-on skills as they learn (Morris & Powell, 2013). This part of the research dealt with *availability of training facilities*, and the responses were indicated as under:

Table 5: Condition of Training Facilities

	<b>Totally available</b>	<b>Somewhat Available</b>	<b>Not at all</b>
Q4. How do you consider the availability of training resources?	26 (22%)	24 (20%)	70 (58%)

As shown in Table 5 above, most of the respondents indicated that training facilities were not at all available in the TVET Colleges under study (58%) , and were used only to some extent as witnessed by some respondents(20%). Perhaps, some respondents (22%) indicated availability of sufficient training resources. So, availability of the training facility was not consistent for the trainees. To vitalize the students' responses, document review where the nature of supplies, utilization, relevance to lesson provision, and accessibility were taken as core issues. Across the four model TVET colleges, the following points were set as indicative of the use of learning-teaching facilities.

From the reflection made on document review evidences, it could be inferred that, material supply and use diverse/difference had features across the model TVET colleges. Lack of proper use of facilities was also indicative of the reality that, the existing resources were not used for the intended purpose. The resource shortage might delimit trainees' practical skills thereby increasing their chance of not being eligible for employability. The highest rate of responses rested in the option that, the existing resources were not even used well.

This relates to the research evidence in Ghana which brought to light insufficiency of resource to be the grandest bottle-neck to TVET effectiveness in meeting the demands of competency-based curriculum (Dasman, 2012). Lemma (2014) also indicated that, insufficiency in resources and inadequate use of existing resources stand as challenges to competency-based curriculum handling. Therefore, the insight about training resource use in this study could be indicative of the fact that enough attention was not given to how well resources were used.

### Concordance between TVET and Competence-Based Assessment

In this part, candidates attending the TVET training were asked to underline their understanding of the college assessment in line with the exit competency assessment, to which they provided the succeeding responses.

Table 6: Reflection on Concordance between Lesson Assessment and Competence Assessment

Q5. How do you consider relatedness of lesson-based assessment with competence-test?	<b>Well integrated</b>	<b>Somewhat integrated</b>	<b>Non-integrated</b>
	18 (15%)	70 (58%)	32 (27%)

Responses on the integration in the mode of assessment between lesson-oriented and competency test denoted to the most that, the nature was somewhat integrated to the most (58%). Considerable rates of responses also showed strong integration and non-integration. Document evidence from TVET offices also reflected that, while the competence assessment required practical testing from the institutional aspect, the only possibility was to use paper-pencil tests owing to resource shortage. This implies that, though there is a slight rate of integration, there is shortage in interconnecting post-training competency test with the assessment in the lesson-delivery process.

In the practical sense of the trade, what is taught at formative stages must be a pathfinder for what students are going to face in the long process even after exit. Hence, shallow integration in the mode of assessment could denote shallowness in the rate and nature of readiness expected. From the standpoint of the occupational standards delineating the competence of a worker according to the requirements in the labor-market, and where competence refers to the general range of knowledge, skills and attitude necessary to perform a specific job (National TVET Strategy, MoE, 2008:26), lack or minimal integration between institutional and competence test would imply mismatch between learning and market-need.

### Students' Reflections on Sufficiency of Industries

This part of the data dealt with students' awareness about industries in the training area which could be used for placement practices and later employment. Their responses were summarized and analyzed as follows.

Table 7: Sufficiency of Industries

Q6. How do you see sufficiency of industries to accommodate trained youth?	<b>Sufficient</b>	<b>Insufficient</b>	<b>Uncertain</b>
	48 (40%)	72 (60%)	-

In line with TVET provision for skilled manpower development, there is a need to have sufficient industries which could exploit the skills. The existence of industries is advantageous for two major purposes. One is in providing placement support, and the other is employment opportunity, *which can be a two-way benefit* (Terje & Esther, 2016). With this in view, in

their responses to college-industry linkage most of the respondents (60%) stressed insufficiency of industries for TVET graduates.

In line with this, the researcher checked the types of industries set up in Asella area to verify the response and found out that, Flour factories were abundantly found whereas *tourist*, *transport* and *hotel* industries were very scarce. By and large, the urban industries were *not* in close connection with the Zonal TVET Cluster. They were rather restricted in the urban boundary while majority of the TVET were in the rural towns and vicinities. This is an indicative of the mismatch between the training needs area and the training provision sphere (Morris, & Powell, 2013).

The other reference in this research was innovative use of TVET which would pertain to looking for ample floors of investment through education such as transport management, tourism, hotel management and greenery. Though there are offices for culture and tourism, the provision of training for that industry is very much minimal, to the level of being even none. Researches indicate that, for TVET programs to meet their goals effectively there should be deep intimacy with industries (Dasman, 2011). In line with this, insufficiency of industries would mark limitation in the opportunity for practical attachment and employment opportunity.

### Regarding Employment Opportunity

In TVET and all across the skill engagement condition, concerns about employability are very high. In that sense, students' understanding of the most employable skill-area is an essential part of the trade when it comes to skill-productivity. Accordingly, students were asked to reflect on existence of employment opportunities.

Table 8: Reflection on existence of employment opportunities

Q7. How do you consider sufficiency of employment opportunities for TVET Graduates?	<b>Sufficient</b>	<b>Somewhat Sufficient</b>	<b>Insufficient</b>
	12 (10%)	50 (42%)	58 (48%)

It could be ascertained from data in Table 7 that employment opportunities were non-existent as indicated by the highest rate of responses so far provided (48%). A related rate of responses also showed employment opportunities to exist to some degree (42%). Perhaps, a limited rate of responses showed sufficiency in employment opportunity (10%). Where employment opportunity could refer to either self-employment or being employed in industries owned by government or private proprietors, the highest rate of insufficiency in the data implies that, TVET graduates in the target research areas did not have reliable employment-base right from

the provision of training. This could have a remarkable pressure on youth employability since it blurs conditions for job-related decisions (Dietrich, 2012; Seangmean & Semonich, 2015).

### **Discussion**

With respect to field-orientation and placement, course-orientation preceded the general orientation, which was a bit untimely. There were also ambitiously negative orientations from parents and elders. Students themselves did not get positive remarks at joining technical and vocational education and training by far. So, disorientation was one of the factors entangling TVET responsiveness to youth employability.

Regarding field diversity in TVET, candidates had different views and experiences. Some of them asserted the diversity in fields of study to be dependable, whereas others described it to be minimal, and others, still denoted their being uncertain about it. That would imply lack of deep awareness about available streams among which to choose the most appropriate from the very outset.

With respect to practical induction, internship was conducted at the end of most academic undertakings which was highly detached from individual course-based practices. For one thing, the existence of practice-based ties with industries and enterprises was a kind of blessing for the success the candidates could get while they were in the training pipeline. Most of the cooperative trainings were arranged with small scale enterprises which were handy. Such small-scale enterprises seldom had accommodating space and skilled manpower.

### **Summary of Major Findings**

In the current state of youth employability problem, the role of technical and vocational education and training is indispensable in creating curricular and school-to-work grounds for youth employability. Issues of youth employability could be related to initial identification of entry capacity, and formative follow-up of targeted success in skill and pertinence of exit competency to job-entry assessment (Majumdar, 2009). This research looked into factors affecting TVET Responsiveness for youth employability in Arsi Zone of Oromia Regional State, Ethiopia. On the basis of the results and discussion held on the data, the following major findings were identified:

#### ***Regarding entry-identification and placement of TVET candidates***

As far as pre-identification and placement of TVET candidacy is concerned, the research showed that, practices were more to shortage and uncertainty than clarity in practices. The fact delineates, however that, in the state of competence-based learning and teaching, such as in TVET, in-depth orientation and pre-identification of the students' capacity stand as essential and impassable steps since they mark the positive leap an institution should take if it plans to be successful at the formative or process-based undertakings. It is also at this stage that institutions co-plan and act with employers and other supportive agents in the market in screening capacity for training, making arrangements for initially deficient capacity angles to be built, and direct the path for successful learning as students enter the major task-index.

### ***Regarding alignment of TVET curricula with workplace standards***

In line with this, taken discussion on students' questionnaire data, it was plain that, practical learning and assessment were not given much attention other than testing the taught curricular concept. So, where practical and hands-on experiences were thought essential, most of the lessons focused on in-class instructions and short-range inductions. The overall expectation behind TVET provision is, however, to prepare the youth for employment by themselves or others. It could be considerable also that, the mismatch between TVET provision and workplace need could be related to non-existence of outcome-based practices in the form of out-to-work induction. That induction deficit could, in turn, be related to scarcity of training facilities, shortage in fully utilizing available resources, shortage of industries and subsequent shortage in practice in the way it could help students meet the required standards.

### ***Alignment of formative and output measures with expected learning competencies***

With respect to concordance between formative learning assessment and expected competencies, conditions were that, there were some sorts of mismatch in aligning the two. It was evident so far that, most of the assessment modes were theoretical and that, practical attachments were very much limited owing to infrastructural shortages. The shortage in infrastructure, in turn, was backed up by shortage of budget, which was itself intricate in role-assumption. So, shortage in aligning and making the institutional assessment preparatory for competence-assessment had a sort of vicious circle of role assumption.

### **Conclusions**

On the bases of the above summary, it could be concluded that, TVET provisions in the model TVET colleges of Arsi Zone, in their current status of handling, fall short of meeting the school-to-work standards set by global and national scholarly grounds since they bear gaps in entry skill-identification, formative capacitation and concordance between instructional and competency ensuring techniques. Some of the ***institutional factors*** include lack of strong means to identify students' entry competence; shortage in providing informative orientations about market-need and employability; shortage in aligning institutional provision and assessment modes with the pre-assessed market need; lack of strong base for attachment with industries; failure to test students' learning output and remediate before they sit for exit assessment ; deep reliance on theoretical assessment, and lack of environmental scanning for the viability of more employable enterprises (Transport industry, Tourism, Agro-Industry, Hotel Services, etc). Individual factors include but not limited to students' inclination more to soft rather than hard skills; parents' low recognition for TVET skills employability; teachers' skill shortage; specifically, in pedagogic realms; assessor's lack of skills and commitment; students' skill /capacity shortage even after completing the broad training, and failure to show in practice.

## **Recommendations**

Based on the research findings and conclusions reached, the following essential recommendations are forwarded to be practically in place:

TVET institutions and managing offices need to work on the alignment of TVE curricula with workplace needs through collegiate discussion, collaboration, co-planning and co-action on issues and points requiring common goals. To gain workable access, they need to form scheme through which they form networks diverse stakeholders. In Arsi area, especially Asella Town and the surrounding closets, practices of hotel and tourism industry are very rare. The existing conditions of training provision do not allow graduates to have employment opportunities in the proximate environment, as witnessed by the researcher's very observation. So, besides making need assessment on existing industry in-take standards, TVET institutes need to frame likely opportunities for more industries to be established and taken to curricula scheme inclusively. For instance, the transport industry could be one area of focus for which transport management curricula could be developed in TVET.

TVET colleges need to hold entry assessment. In that, pre-testing candidates' entry knowledge and skills against the TVE standards must be common and well-built practice in TVET right from the enrolling session to the end of the training programs since individual trainees' expectations must be coordinated with realistic capacity-standards they have and build through training. Otherwise, the quality and workability of skills gained through TVET could be demurred by whimsical entry and exit. Hence, three things must be in place. First, the TVET institutes need to make survey across industries in the area, as to which sector needs the would-be task-force. This helps for two main purposes; to adjust conditions for placement and pave ways for employment. Second, TVET institutes must have means of selecting competent candidates for marketable skills ensured to be developed through education and training. For this purpose, they need to form ties with experts from industries nearby and far off as much viably as they can find. Third, TVET institutes must have means of capacitating those who fall short of entry requirements even if they have some limitations. This trend is much better than driving untested skills into the training scheme. TVET institutes also need to make concordance of formative measures with expected learning competencies a reality, since outcome measures of competency are essential for success on the job.

## **Implications**

This research focused on factors affecting TVET responsiveness to youth employability in Arsi Zone, Oromia Regional State with respect to identification of students' entry behavior, nexus between formative provision and identified competences and concordance between formative assessment and outcome-based assessment of competences. The findings and recommendations given here could be workable in the target TVET colleges of the Zone but need further replications for use in other colleges and zones. Even, in-depth research could be worked out on issues of TVET skills development across youth inclinations, development of employable skills curricula, and analysis of societal considerations about TVET provisions right from family altar. The question of aligning industries and TVET curricula is also an issue

of big concern since areas of attention are far out of sight with regard to using near resources and sources for youth employability.

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## **Entrepreneurial Self Efficacy, Motivation and Entrepreneurial Intent among Higher Education Students in Addis Ababa, Manaye Adela, St. Mary's University**

### **Abstract**

The major intent of this study was to measure the self-efficacy and intrinsic motivation of university students in quest of entrepreneurial intent. The study design was concurrent triangulation with mixed approach of quantitative and qualitative methods. Tabular illustration, descriptive statistics (mean and SD), one-way ANOVA, and regression analysis were employed for data analysis. The population of this study represented university students (public and private universities) from first year to prospective graduates (graduating class). By using stratified sampling technique, from different colleges/schools and year levels, 182 respondents were selected. Questionnaire, interview and FDG were instruments used for gathering data. The study revealed that few students were found to have high entrepreneurial self-efficacy, and the intrinsic motivation for being engaged in entrepreneurship was found to be poor. The self-efficacy is highly influenced by negative stories of previous graduates' record. There was significant difference between students with employed family background and business owning family background. Those students with business owning family had better self-efficacy and intrinsic motivation toward entrepreneurship. Based on the findings, it is recommended that trainings on psychological stamina for entrepreneurship should be given as early as possible even in lower grades. Model entrepreneurial practices should also be shown for students.

**Keywords:** entrepreneurship, employability, self-efficacy, psychological stamina

### **Introduction**

The rationale behind this research was emanated from increment of graduates from universities and too much in flow of job seekers into the market. The other reason was the gap in investigating psychological aspect of entrepreneurship. Themes such as motivation, family background, and higher education experiences were meticulously diagnosed in pursuit of their impact on the entrepreneurial self-efficacy and entrepreneurial intent.

Entrepreneurs are most imperative contributors to the economy of a country. One of the most significant current discussions in economic development is entrepreneurship. Given government's commitment to entrepreneurship and innovation, higher institutions of learning are faced with the responsibility of curbing inherent challenges in today's graduate education. This is becoming a very big deal. This study was propelled by the tendency of students to have deviant orientation from entrepreneurship as a career choice, particularly when they possess lower entrepreneurial self-efficacy.

Several researchers (Krueger and Dickson cited in Bakar, Ramli, Ibrahim, Muhammad, 2017) argued that, self-efficacy is associated with risk taking and opportunity recognition, The important qualities of entrepreneurs. Targeted education can play an important role in developing levels of self-efficacy.

Self-efficacy is not self-esteem. Efficacy beliefs in a given domain will contribute to my self-esteem only in direct proportion to the importance I place on that domain. Self-efficacy is not a motive, drive, or need for control (Alias & Hafir, 2009). Self-efficacy beliefs are not outcome expectancies (Bandura, 1997) or behavior-outcome expectancies (Maddux, 1999). Behavior-outcome expectancy is my belief that a specific behavior may lead to a specific outcome in a specific situation. A self-efficacy belief, simply put, is the belief that one can perform the behavior that produces the outcome.

Entrepreneurs act on what they believe is an opportunity. Because opportunities exist in (or create and/or generate) high uncertainty, entrepreneurs must use their judgment about whether to act or not. However, doubt can undermine entrepreneurial action. Therefore, a key to understanding entrepreneurial action is being able to assess the amount of uncertainty perceived to surround a potential opportunity and the individual's willingness to bear that uncertainty. The individual's prior knowledge can decrease the amount of uncertainty, and his/her motivation indicates a willingness to bear uncertainty organization (Hisrich, Peters, & Shepherd, 2017).

### **Statement of the Problem**

According to Webb-Williams, (2006), self-efficacy is positively correlated with entrepreneurial intent. Bandura and Schunk, Hackett and Betz cited in Mbathia (2005), came to the conclusion that self-efficacy influences the choice and commitment in a task, the energy spent in performing it, and the level of the performance. One important variable for the prediction of individual's behavior is self-efficacy. Bandura (1997) pointed out that attitude is influential to some extent for some people regardless of their mediating effects on self-efficacy beliefs.

Entrepreneurship can be described in five dimensions, which are: autonomy, innovativeness, risk taking, pro-activeness and competitive aggressiveness. These dimensions characterize the entrepreneurial key processes (Lumpkin and Dess, 1996). Entrepreneurial intention is defined as the state of mind that could lead towards entrepreneurial behaviour. The concept is operationalized as the average number found by answers of a self-assessment in which one is asked to what extent he or she wants to become a corporate, alternative or classical entrepreneur and which are assessed on a 5-point Likert-type scale. Entrepreneurial intention is perceived as a predictor for entrepreneurial behaviour.

The belief system towards one's capability, higher education orientation, and expectation play critical role for entrepreneurial intent, practices, and engagement. Apart from providing evidence of the relationship between these self- beliefs and entrepreneurial intention, it also demonstrates how they are related to actual business start- up.

The purpose of this study was to assess factors that influence entrepreneurial self-efficacy and intent of graduating students from selected higher education institutions.

### **Significance of the Study**

This study has paramount relevance for policy makers, different stakeholders, learners/students and institutions. This study can also support educators, parents and institutions to have view on entrepreneurship orientation. It is important for interventions that prop up new business.

### **Research Questions**

This research was preceded with the following research questions which are allegation of the hypothesized idea.

- What are the key contributors of family background, motivation, and higher education experiences for entrepreneurial self-efficacy?
- How is the motivation of students toward entrepreneurship self-efficacy and intent?
- How does self-efficacy contribute to entrepreneurial intent?
- How does family background influence entrepreneurial self-efficacy and entrepreneurial intent?

### **Objectives of the Study**

This research was designed with the under mentioned objectives:

#### **General Objective**

The general objective of the study was to assess family background, motivation, higher education experience, self-efficacy, and entrepreneurial intent of university students (from selected private and public higher education institutions) in Addis Ababa.

#### **Specific Objectives**

The specific objectives of this study were to:

- Identify the contributors of entrepreneurial inclination of students in selected universities.
- Show the level of self-efficacy toward entrepreneurship of university students.
- Pin point the relationship among motivation, family background, higher education experiences, self-efficacy, and entrepreneurial inclination.
- Distinguish the relationship between entrepreneurial self-efficacy and entrepreneurial intent.

#### **Delimitation**

In terms of theme, the research is restricted with self-efficacy, motivation, family background and entrepreneurial intent. In addition, it is delimited only to students from four higher education institutions in Addis Ababa.

### Limitations

The impact of entrepreneurship course was not singled out to study the influence on entrepreneurial intent. Departmental differences were not further analyzed and compared due to the number of students and center of excellence of institutions.

### Operational Definition

**Entrepreneurial Self-efficacy:** the belief in oneself to start new business; the conviction that one can successfully execute the entrepreneurial process.

**Entrepreneurial Intention:** refers to a desire and inclination towards starting new business; the motivational factors that influence individuals to pursue entrepreneurial outcomes.

**Perceived desirability:** The degree to which an individual has a favorable or unfavorable evaluation of the potential entrepreneurial outcomes.

**Motivation:** the desire or interest to start new business by setting goal.

**Self-efficacy:** is a belief about one's ability to learn and compute.

### Research Methods

#### Study area

The location of this study was in Addis Ababa. There were three reasons for selecting the site. The first is for proper budgeting. Secondly, the respondents were relatively easily available for data gathering. Finally, the learners were heterogeneous and diversity in terms of institutions was relatively better met in Addis Ababa than anywhere else. Above all, external validity is better for generalization.

#### Population, Sample and Sampling

Graduating students of higher education institutions in Addis Ababa city were members of population of the study. From this population of study, respondents were selected using stratified sampling technique as per department and year level from selected institutions. For selecting interviewees and focus group discussion participants, snow ball sampling technique was used. To do so, the samples were selected from St. Mary's University, Unity University, Addis Ababa University and Addis Ababa Science and Technology University.

Table 1: Respondents/Participants of the research

S. No.	University	n
1	St. Mary's University	56
2	Unity University	35
3	Addis Ababa University	54
4	Addis Ababa Science and Technology University	37
	<b>Total</b>	<b>182</b>

A total of 186 questionnaires were distributed but 182 were properly filled and were found to be feasible for analysis. In addition, 11 interviews and 4 FGDs were conducted for gathering additional information for the purpose of triangulation.

### **Instrument**

In order to gather primary data, standardized test of self-efficacy was adapted by the researcher. Moreover, Focus Group Discussion (FGD) leading questions and interview guide items were constructed by the researcher.

### **Construction, Validating and Piloting**

The independent variables of this study were family background, higher educational experience and motivation which were investigated as factors affecting the dependent variable, that is, self-efficacy. In addition, entrepreneurial intent was also studied as dependent variable with mediation of self-efficacy. In order to collect data, self-efficacy measurement instrument was adapted and checked for reliability through pilot study.

### **Administration**

For research ethics, informed consent was made a prior. With support of data gathering assistants/data collectors, there was direct administration of data gathering tools. Tape recorder was used at the interview and the FGD sessions supported with note taking by the researcher and the assistant data collectors.

### **Scoring and Data Analysis Mechanism**

After data gathering tools were administered and data were collected, the collected data were coded. Then, the coded data were encoded to excel. Finally, quantitative data were analyzed using SPSS 20 for the variables. Furthermore, data from FGD and interview were analyzed using thematic analysis following repeated reading of the note which was taken from field work during the data collection. Verbal explanation with logical flow was also executed for qualitative data. Descriptive statistics such as tabular and graphic demonstration, mean, standard deviation and correlation were computed. ANOVA and Stepwise Multiple Regression Analysis were used from inferential statistics. As per the analysis, post hoc test was made.

### **Data Analysis, Results and Discussion**

#### **Background of the Participants**

The intention of the descriptive statistics part is to provide the summary of the analysis of the theme in basic elements of the group(s) that were studied. Tabular presentation of frequencies and percentage were used.

Table 2: Demographic Variables of Respondents

S. No	Demographic Variable	Category	f	%
1	Gender	Male	93	51.1
		Female	89	48.9
		Total	182	100.0
2	Age of the Respondents	Below 19 Years Old	70	38.5
		19 to 22 Years Old	74	40.7
		22 and Above Years Old	38	20.9
		Total	182	100.0
3	University of Respondents	St. Mary's University	56	30.8
		Unity University	35	19.2
		Addis Ababa University	54	29.7
		Addis Ababa Science and Technology University	37	20.3
		Total	182	100.0
4	College of the Respondents	Business and Economics	84	46.2
		Social Sciences	57	31.3
		Natural Science	5	2.7
		Engineering and Technology	36	19.8
		Total	182	100.0
5	Year Level of the Respondents	First Year	35	19.2
		Second Year	61	33.5
		Third Year and above	86	47.3
		Total	182	100.0
6	Family Job	Business owner	97	53.3
		Employed	85	46.7
		Total	182	100.0

In terms of age, among the respondents, 38.5% (70) were below the age of 19 years old; 40.7% (74) between 19 and 22; 20.9% (38) were above 22 years old. So long as gender is concerned, 51.1% (93) were male and the rest 48.9 % (89) were female. Half of the respondents were from private and half from public universities. 46.2% (84) of the respondents were from "College of Business and Education", 31.3% (57) from Social Sciences, 2.7% (5) from Natural Sciences, and 19.8% (36) were from Engineering and Technology. With respect to their year level, 19.2% (35) of the respondents were first year, 33.5% (61) were second year, and 47.3% (86) were third year and above. Finally, with regard to the job of family, 53.3% (97) of the respondents were from business owning families whilst 46.7% (85) were from families who were employees.

### Entrepreneurial Self-efficacy and Family Background

Responses for the Likert-scale are presented by using frequency distribution, mean and standard deviation as follows.

Table 3: Entrepreneurial Self-efficacy

No	Item	Scale					Total	
			SD=1	D=2	N=3	A=4		SA=5
1	I will be able to achieve most of the goals I set for starting business	F	3	6	69	90	14	182
		%	1.6	3.3	37.9	49.5	7.7	100
			<i>Mean=3.58</i>		<i>SD=0.75</i>			
2	When facing difficult tasks, I am certain I will succeed	F	9	88	70	12	3	182
		%	4.9	48.4	38.5	6.6	1.6	100
			<i>Mean=2.37</i>		<i>SD=0.83</i>			
3	In general, I think I can achieve outcomes that are important to me in starting new business	F	4	11	74	64	29	182
		%	2.2	6.0	40.7	35.2	15.9	100
			<i>Mean=3.35</i>		<i>SD=0.91</i>			
4	I believe I can succeed at most tasks to which I set my mind	F	12	25	49	96	-	182
		%	6.6	13.7	26.9	52.7	-	100
			<i>Mean=3.52</i>		<i>SD=0.81</i>			
5	I believe that I can deal with unexpected challenges	F	5	43	74	46	14	182
		%	2.7	23.6	40.7	25.3	7.7	100
			<i>Mean=3.11</i>		<i>SD=0.95</i>			
6	I will be able to successfully overcome many challenges	F	17	21	60	71	13	182
		%	9.3	11.5	33.0	39.0	7.2	100
			<i>Mean=3.23</i>		<i>SD=1.06</i>			
7	I am confident I can manage well on my different tasks	F	19	6	72	78	7	182
		%	10.4	3.3	39.6	42.9	3.8	100
			<i>Mean=3.26</i>		<i>SD=0.98</i>			
8		F	14	29	63	51	25	182

	Compared to other people, I can do most tasks very well	%	7.7	15.9	34.6	28.0	13.7	100
			<i>Mean=3.24</i>		<i>SD=1.12</i>			
9	Even when things are tough, I can manage quite well	F	6	55	50	38	33	182
		%	3.3	30.2	27.5	20.9	<b>18.1</b>	100
			<i>Mean=3.06</i>		<i>SD=0.79</i>			
10	I know I can deliver quality service with quality process	F	10	24	66	64	<b>18</b>	182
		%	5.5	13.2	36.3	35.2	9.9	100
			<i>Mean=3.2</i>		<i>SD=1.16</i>			
11	I believe I am contributing for innovation	F	-	11	61	97	13	182
		%	-	6.0	33.5	53.3	7.1	100
			<i>Mean=3.6</i>		<i>SD=0.71</i>			
12	I am sure that things will be better if I work hard	F	3	89	80	<b>10</b>	-	182
		%	1.6	48.9	44.0	<b>5.5</b>	-	100
			<i>Mean=3.53</i>		<i>SD=0.63</i>			
13	Generally, I am brave of working in challenges for starting new business/entrepreneurship	F	19	58	66	35	4	182
		%	10.4	31.9	36.3	19.2	2.2	100
			<i>Mean=3.29</i>		<i>SD=0.97</i>			
	<b>N=182</b>							

For the item which says that ‘the respondent will be able to achieve most of his/her goals he/she set for starting business’, 4.9% (9) of the respondents disagreed, 37.9% (69) remain neutral, 49.5% (90) agreed, and 7.7% (14) strongly agreed. To item No. 2, on ‘their certainty to succeed when facing difficult tasks’, 4.9% (9) of the respondents replied that they strongly disagree, 48.4 (88) said they disagree, 38.5% (70) of the respondents were neutral, 6.6% (12) agreed, and the rest 1.6% (3) said they strongly agree.

For ‘achieving outcomes that are important to oneself in starting new business’, most respondents were neutral i.e. 40.7% (74), while 6% (11) disagree, 2.2% (4) strongly disagree, 35.2% (64) agree, and 15.9% (29) strongly agree. 6.6% (12) of the respondents strongly disagree, 13.7% (25) disagree, 26.9% (49) remain neutral, and 52.7% (96) agreed that they believe to succeed at most tasks to which they set their mind ( $M=3.52$ ,  $SD=0.81$ ).

To the opinion that they can deal with unexpected challenges, 2.7% (5) of the respondents replied that they strongly disagree, 23.6% (43) said they disagree, 40.7% (74) were neutral, 25.3% (46) did agree, and 7.7% (14) strongly agreed. Majority of the respondents were neutral on this particular item ( $M=3.11$ ,  $SD=0.95$ ).

To the item which says that the respondent will be able to successfully overcome many challenges, 9.3% (17) replied that they strongly disagree, 11.5% (21) said they disagree, 33% (60) chose to be neutral, 39% (71) agree, and 7.2% (13) strongly agree. 13.7% (25) of the respondents indicated that they are not confident that they can manage well on their different tasks; whilst 39.6% (72) were neutral; 42.9% (78) agreed, 3.8% (7) strongly agreed that they are confident as they can manage well on their different tasks ( $M=3.26$ ,  $SD=0.98$ ).

To the item which stated that as compared to other people, they can do most tasks very well, 7.7% (14) responded that they strongly disagree, 15.9% (29) disagree, 34.6% (63) indicated as neutral, 28% (51) agree, and 13.7% (25) strongly agree ( $M=3.24$ ,  $SD=1.12$ ). For an item indicated as even when things are tough, he/she can manage quite well, 3.3% (6) of the respondents replied that they strongly disagree, 30.2% (55) disagree, 27.5% (50) were neutral, 20.9% (38) agree, and 18.1% (33) said they strongly agree ( $M=3.06$ ,  $SD=0.79$ ).

To the item which says they know that they can deliver quality service with quality process, 5.5% (10) said they strongly disagree, 13.2% (24) disagree, 36.3% (66) remain neutral, 35.2% (64) agree, and 9.9% (18) strongly agree ( $M=3.2$ ,  $SD=1.16$ ). For the idea which says they believe they are contributing for innovation, 6% (11) replied that they agree, 33.5% (61) chose neutral, 53.3% (97) agree, and 7.1% (13) strongly agree ( $M=3.6$ ,  $SD=0.71$ ). 1.6% (3) of the respondents said they strongly disagree, 48.9% (89) said they disagree, 44% (80) appear to be neutral, 5.5% (10) said they agree ( $M=3.53$ ,  $SD=0.63$ ) that they are sure that things will be better if they work hard. Generally, 10.4% (19) replied that strongly disagreed, and 31.9% (58) disagreed that they are brave of working in challenges for starting new business/entrepreneurship whilst 36.3% (66) remained neutral, 21.4% (39) agree ( $M=3.29$ ,  $SD=0.97$ ).

Table 4: Contribution of Family Background for Starting New Business

No.	Item	Scale					Total	
		SD=1	D=2	N=3	A=4	SA=5		
1	My family background helps me to be engaged in entrepreneurial practices	F	5	15	97	56	9	182
		%	2.7	8.2	53.3	30.8	4.9	100
			<b>Mean=3.27</b>		<b>SD=0.79</b>			
2	I want to have my own business as my family does	F	4	35	75	61	7	182
		%	2.2	19.2	41.2	33.5	3.8	100
			<b>Mean=3.18</b>		<b>SD=0.86</b>			
3	My family is teaching me to be employed than starting new business	F	15	44	68	51	4	182
		%	8.2	24.2	37.4	28.0	2.2	100
			<b>Mean=3.29</b>		<b>SD=0.97</b>			
<b>N=182</b>								

As regards to the support of family background for engagement in entrepreneurial practices, 2.7% (5) of the respondents replied that they strongly disagree, 8.2% (15) said they disagree, the majority, 53.3% (97) remain neutral ( $M=3.27$ ,  $SD=0.79$ ), 30.8% (56) said they agree, and 4.9% (9) said they strongly agree. In responding to the item on their desire to have one's business as their family does, 2.2% (4) of the respondents responded that they strongly disagree, 19.2% (35) said they disagree, 41.2% (75) chose neutral, 33.5% (61) said they agree, and 3.8% (7) said they strongly agree ( $M=3.18$ ,  $SD=0.86$ ). 8.2% (15) of the respondents said they strongly agree, 24.2% (44) said they agree, 37.4% (68) remain neutral, 28% (51) said they agree, and 2.2% (4) said they strongly agree regarding the item which says that their family is teaching them to be employed than starting new business ( $M=3.29$ ,  $SD=0.97$ ).

### Motivation and Entrepreneurial Self-efficacy

Hereunder, responses towards motivation and entrepreneurial self-efficacy are analyzed and presented.

Table 5: Motivation of Respondents toward Entrepreneurship

No.	Item	Scale					Total	
		SD=1	D=2	N=3	A=4	SA=5		
1	I do have internal passion to start new business	F	19	57	77	24	5	182
		%	10.4	31.3	42.3	13.2	2.7	100
			<b>Mean=2.67</b>		<b>SD=0.99</b>			
2	I am inspired towards innovative business idea than being employed	F	1	68	89	18	6	182
		%	0.5	37.4	48.9	9.9	3.3	100
			<b>Mean=2.49</b>		<b>SD=0.72</b>			
3	I get afraid of risk to start new business	F	8	15	91	65	3	182
		%	4.4	8.2	50.0	35.7	1.6	100
			<b>Mean=3.2</b>		<b>SD=0.79</b>			
4	I will start new business for fear of unemployment	F	-	8	66	81	27	182
		%	-	4.4	36.3	44.5	14.8	100
			<b>Mean=3.7</b>		<b>SD=0.78</b>			
	<b>N=182</b>							

2.7% (5) of the respondents replied that they strongly agree, 13.2% (24) said they agree, 42.3% (77) of the respondents were neutral, 31.3% (57) said they disagree, and 10.4% (19) said they strongly disagree with regard to the item asking whether they have internal passion to start new business ( $M=2.67$ ,  $SD=0.99$ ). For the item that says whether they are inspired towards innovative business idea than being employed, 0.5% (1) replied that they strongly disagree, 37.4% (68) said they disagree, 48.9% (89) chose neutral, 9.9% (18) said they agree, and 3.3% (6) replied that they strongly agree ( $M=2.49$ ,  $SD=0.72$ ). 37.3% (68) of the respondents agreed that they get afraid of risk to start new business ( $M=3.2$ ,  $SD=0.79$ ), whilst 50% (91) remained neutral, and 12.8% (23) said they disagree. Most of the respondents (44.5% (81) agreed that they will start a new business for fear of unemployment ( $M=3.7$ ,  $SD=0.78$ ), whereas 4.4% (8) replied that they disagree, and 36.3% (66) appear to be neutral.

### Higher Educational Experiences and Entrepreneurial Self-efficacy

Table 6 below, summarizes the respondents' responses regarding higher education experiences and entrepreneurial self-efficacy]

Table 6: Higher Educational Experiences and Entrepreneurship

No.	Item		Scale					Total
			SD=1	D=2	N=3	A=4	SA=5	
1	My higher education experience had made me to start new business	F	3	32	68	60	19	182
		%	1.6	17.6	37.4	33.0	10.4	100
			<i>Mean=3.33SD=0.94</i>					
2	I believe that a higher education is an institution to getting ready for employment	F	-	8	59	65	50	182
		%	-	4.4	32.4	35.7	27.5	100
			<i>Mean=3.86</i>		<i>SD=0.87</i>			
3	The courses that I had taken in the university/college energized me to be entrepreneur	F	7	17	43	74	41	182
		%	3.8	9.3	23.6	40.7	22.5	100
			<i>Mean=3.69</i>		<i>SD=1.04</i>			
	<b>N=182</b>							

To the item asking whether higher education experience had made them to start new business, 1.6% (3) of the respondents replied that they strongly disagree, 17.6% (32) said they disagree, 37.4% (68) of the respondents were neutral, 33% (60) said they agree, and 10.4% (19) said they strongly agree ( $M=3.33$ ,  $SD=0.94$ ). With respect to the item which says that higher education is an institution to getting ready for employment, 4.4% (8) of the respondents replied that they disagree, 32.4% (59) were neutral, 35.7% (65) said they agree, and 27.5% (50) said they strongly agree ( $M=3.86$ ,  $SD=0.87$ ). 22.5% (41) of the respondents strongly agreed, and 40.7% (74) agreed that the courses that they had taken in the university/college energized them to be an entrepreneur, Whereas 23.6% (43) of the respondents were neutral, 9.3% (17) said they disagree, and 3.8% (7) said they strongly disagree ( $M=3.69$ ,  $SD=1.04$ ).

### Self-efficacy and Entrepreneurial Intent

This part discusses self-efficacy and its contribution to entrepreneurial intent of university students. For item which asks about their plan to start new business 50% (91) of the respondents were neutral; 15.3% (28) said they disagree; and 34.6% (63) of them said they agree. This implies that most of the respondents remain undecided ( $M=3.2$ ,  $SD=0.76$ ). As it is indicated above, the entrepreneurial intent of students was weak. From the interview it was also found out that most of the students learn for employment/ to get job.

### Discussion

With little entrepreneurial intention among technical and engineering students primarily due to low entrepreneurial self-efficacy (Yasin et al., 2011), it will be difficult to persuade engineering graduates to make entrepreneurship a career choice. Recent evidence suggests that entrepreneurial intention is largely dependent on entrepreneurial self-efficacy (Bernstein & Carayannis, 2012; Bullough et al., 2013; Yun, 2010).

The findings of this study appear to be similar with that of Kazeem and Asimiran (2016) that family factor plays a crucial role in entrepreneurial self-efficacy of university students, having relatives that are self-employed and perceived supports from members of their family enhance their entrepreneurial self-efficacy (Naktiyok et al., 2010; Sánchez, 2011; Obschonka et al., 2013, 2012; Okhomina, 2010). In addition, their intrinsic motivation also determines whether these students believe in their ability to succeed as an entrepreneur, for those who are innovative, creative and are not afraid of taking calculated risk are born to succeed as entrepreneurs. Finally, the competencies gained through entrepreneurship education/experience have impact on their entrepreneurial self-efficacy. Based on findings of this study, family factor, motivation and higher educational experiences are indispensable and the development of these is crucial in university students for a career choice in entrepreneurship.

Past researches have established the influence of family business on venture creation of potential entrepreneurs and the performance of their firms (Robinson & Stubberud, 2012). Bandura, Seligman and other positive psychologists give emphasis to the power of positive thinking and self-efficacy (how competent we feel on a task) on achievement. Believing in our own competence and effectiveness pays dividends (Bandura & others; Maddux and Gosselin cited in Myers, 2010). Most respondents show that self-efficacy predicts entrepreneurial intent (Stajkovic & Luthans, cited in Myers, 2010) and so does this research.

Entrepreneurship education has been linked to increase in entrepreneurial self-efficacy of potential entrepreneurs (Chell, 2008; Gürol & Atsan, 2006; Wilson, 2007). However, entrepreneurial self-efficacy among engineering and science students is still low compared with those of business students. This may be due to other factors outside entrepreneurship education.

Overall pattern and an analysis of individual student's self-efficacy scores in relation to entrepreneurship were used to identify students with grossly deviated self-beliefs. These findings are presented together with those regarding the optimal level of specificity of self-efficacy measures and those regarding department variability, type of institution, and gender differences. These results are discussed in relation to the educational implications of self-efficacy theory, such as teaching, assessment and training for starting new business. The study concluded that the construct of self-efficacy is influenced by family background, university experiences, and motivation.

Gender differences have been reported in previous self-efficacy researches. For example, Britner and Pajares cited in Webb-Williams (2006), reported that girls had both higher self-efficacy and intent than boys. This pattern was replicated in the current study. On all measures of self-efficacy, girls were found to have higher mean scores than the boys. The girls scored above the overall mean on all self-efficacy instruments whereas the boys' scores fell below the overall mean. An independent samples t-test was used to test the significance of these differences and on all measures the girls scored significantly higher than the boys. Girls have a higher sense of self-efficacy than boys across the measures. In addition, the correlational

analysis shows that both boys and girls self-efficacy scores are highly related to their entrepreneurial intent. This is similar with Webb-Williams (2006).

### **Summary**

A multiple regression analysis was run to predict entrepreneurial self-efficacy from variables such as higher education experience, family factor and motivation. The assumptions of linearity, independence of errors, homoscedasticity and normality of residuals were met. These variables significantly predicted entrepreneurial self-efficacy ( $F(3, 197) = 98.946, p < .0005, adj. R^2 = .62$ ). All of the three variables added significantly to the prediction ( $p < .05$ ). This establishes the predictors of entrepreneurial self-efficacy of university students based on Social Cognitive Career Theory.

Family background, higher education experiences, and motivation were used in a stepwise multiple regression analysis to predict self-efficacy. There was significant mean difference in entrepreneurial intent between private parents ( $M = 3.44, SD = 0.48$ ) and public ( $M = 3.31, SD = 0.47$ ) university students;  $t(180) = 1.89, p = 0.05$ . In self-efficacy, the independent test revealed that there is statistically significant mean difference between students of business owning parents ( $M = 3.6, SD = 0.42$ ) and employed parents ( $M = 3.1, SD = 0.46$ );  $t(180) = 5.937, p = 0.00$ .

### **Conclusions**

In this study, it was found that the mindset has influence on entrepreneurial target. Self-efficacy and entrepreneurial intent were highly interrelated. This study showed that perceived supports from family members positively affects entrepreneurial self-efficacy of students. Students with the belief that family member will support their effort to make entrepreneurship a career choice have the perceived abilities to succeed in the business world. Furthermore, friends and family remain potential sources of financial and social capital. The competencies and connection gained from running family business affect entrepreneurial self-efficacy of students that come from homes with family business. The second major finding was the observed positive relation between entrepreneurship education and entrepreneurial self-efficacy. Entrepreneurship education has also been found to have positive relationship with entrepreneurial intention and opportunity recognition. Additionally, these are positively correlated with entrepreneurial self-efficacy.

Family factors, intrinsic motivation, and entrepreneurial education affect entrepreneurial self-efficacy in the context of this study. The family plays a pivotal role in the formation of motivation through orientation in the family. It is worthwhile to note that the parent's career also affects entrepreneurial intent of university students.

Relationships between family background, as well as entrepreneurship education and entrepreneurial self-efficacy were also explored using Pearson correlation. Results obtained show that there is positive relationship between family business and entrepreneurial self-efficacy. There is positive correlations between family factors and entrepreneurial self-efficacy as well as between entrepreneurship education and entrepreneurial self-efficacy.

Furthermore, a multiple regression analysis showed that three variables - entrepreneurship education, family factor and motivation - reliably predicted entrepreneurial self-efficacy among students surveyed. The results of this investigation showed that perceived supports from family, competencies gained via entrepreneurship education and motivation affect entrepreneurial self-efficacy of students. Generally, as they are positively and strongly correlated, self-efficacy and entrepreneurial intent have influence on later performance toward entrepreneurship.

### **Recommendations**

The under-mentioned ways for action are forwarded for any concerned stakeholder to work on learners' motivation, entrepreneurial intent and self-efficacy enhancement.

- Students should look back into earlier induction and employment orientation to take opportunities of starting new business.
- Trainings, seminars, and other mechanisms of excelling entrepreneurial self-efficacy should be prepared in university more than a few efforts being practiced.
- Policy for reinforcing innovation and starting of new business shall be emanated from university community especially from students.
- Researchers on entrepreneurship can conduct a study on the role of self-determination of individual students as variable. Research can also be done in view of collective efficacy as variable.

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**Financing University Education in Kenya: Challenges and Opportunities, Ndenyele Wilson Omalenge, University of Mombasa, Kenya**

**Abstract**

This article discusses university education in Kenya with emphasis on patterns of financing and how this has affected overall operations of the universities. Reforms that have been implemented to reduce government grants to the public universities in an attempt to make them self-sustaining are assessed. Public universities are discussed in the context of how they differ from private universities in financing higher education. Problems facing the public universities are outlined. Measures being put in place by the universities to cope with reduced funding are evaluated.

**Keywords:** higher education, financing higher education, reforms in HE

**Introduction**

*“If you do not have well-established funding sources for the education business, it is possible that you would have to be shut down or downsized,”* a Thai-language business newspaper, October 2017

The above statement depicts global phenomenon of financing higher education in the world, and Kenya is no exception. In order to understand the higher education system in Kenya, it is imperative that we understand the definition as well as what constitute a higher education system and its dynamics. The term ‘higher education’ may be considered to be an all-encompassing one, and its definition varies depending on the systemic issues in different countries. In Kenya, the term is generally used with reference to universities; thus, first, public universities established through Acts of Parliament; second private universities established through charters by the Commission for Higher Education (now Commission for University Education); third post-secondary school institutions authorized by the Commission for Higher Education/Commission for University Education to offer degree programmes in collaboration with local universities (Commission for Higher Education, 2008; Government of Kenya, 2012).

**Importance of this Article**

This paper attempts to discuss the challenges and opportunities of financing higher education in Kenya. This article is significant to higher education sector in Kenya. It also would be of value and interest to various stakeholders in the provision of higher education.

**Research Framework and Methods**

Higher education is key pillar in the development of human resources. However, in Kenya and other countries it remains under-financed. Indeed, various articles and reports point to the fact that there are signs of further reduction of financing higher education in Kenya. The focus of this study is to look at the challenges and opportunities in financing higher education in Kenya in the recent past.

The data and the information for this study were gathered through review of existing literature on higher education in Kenya and elsewhere. Secondary data that were gathered for this study included journals, newspaper reports and online relevant materials on higher education.

### **Financing Higher Education in Kenya**

The cost of higher education is increasing rapidly and continuously throughout the world (Johnstone, 2009). Financing Higher Education in Kenya is and will remain significant in the government of Kenya's budgetary allocation in the foreseeable future. The total development expenditure for the education sector increased from KShs 11.0 billion (\$1.1million) in 2007/08 to KShs 193.3 billion (\$1.93billion) in 2010/11(ROK, 2009). The recurrent expenditure for the universities increased from 9.7 million (\$.97 million) in 2004/05 to 14.1 million (\$1.4 million) in 2006/07 and dropped to 11.8 million (\$1.1) in 2008/09. Despite the increase in budgetary figures, financing challenges remain and especially per student cost. The cost per student has been diminishing with the rising demand for higher education (GOK, 2005).

Indeed, in Kenya financing of education has been a shared (silent) partnership between the government and other development partners. Development partners have had on –and –off-budget with the highest funding coming from Global Education Fund (formally Fast Track Initiative (FTI)) (40.6 %), and Department for International Development (DFID) (23.7%). Parents have had their share of financing especially in the higher education. With the declining government financing, most parents have had to enroll their children in private universities. The demand for private universities has been very high in Kenya. Since 2005, the Kenyan government has tried to address the financing equity issues in the university education by introducing several measures; establishing new universities, expanding existing ones and upgrading certain middle – level colleges to universities; strengthening quality assurances mechanisms in all universities; and providing scholarships based on national economy needs, targeted bursaries and loans to the needy, taking into account gender parity (GOK, 2012).

The country's Cabinet Secretary for Education, Amina Mohamed said that the government can no longer afford to increase funding to state universities and institutions which should come up with long-term plans for bridge financing. This is a blow to a sector reeling from a financial crisis. University administrators have said the most practical response will be to increase fees. Hence, this study is an attempt to contribute to the debate on financing higher education in Kenya and other countries.

### **Approaches to Higher Education Financing**

*“Most universities will be severely crippled if the government stops remitting cash to them under the capitation mode. So, there is a need to ensure they are stable and stop relying on government funding,”* Former Cabinet Secretary of Education.

Higher education expenditure (financing) is defined as the total amount of money or funds allocated from public and private sector budgets for higher education (Duran, 1987). There are four different methods to finance higher education in developed and developing countries. In the first method, higher education is financed by using public resources. In the second

method, it is financed by tuition fees. The third method to finance higher education is using private resources, and finally university-industry collaboration to finance higher education (Soyler & Karatas, 2011). In all African countries, financing of higher education is mainly from the public funds (Psacharopoulos, 1982; World Bank, 1988).

According to Barr, the nature of financing higher education policies is characterized in terms of two models, namely, Anglo-American and Scandinavian (Barr, 2004). In the 'Anglo-American' model, policy sees higher education as heterogeneous, and encourages diversity, varied forms of provisions, and quality comparisons between them. For the 'Scandinavian model', policy is based on the assumption that institutions are homogeneous, and therefore treats them equally and regards all programs as equals. Barr argues that the Scandinavian model would be one characterized by very high taxes, a strong Research & Development commitment, substantial public spending in higher education, and large enrolment figures, while the Anglo-American model should instead be attached to much lower taxes, strong Research & Development commitment, substantial private spending in higher education and large enrolment figures. The funding of higher education in Kenya has been done through capitation model. Capitation model can be described as a 'hybrid' that borrows some elements in between the two models. It is worth noting that as per the low funds and resources of the university may be derived from tuition, fees and other charges; income from the university's auxiliary enterprises and investments; endowments, gifts, trusts, and bequests; and such other sources as the university may identify from time to time (University Act, 210B pg. 167, 2012). However there is no much emphasis on research and development which seems to be the driving force of Scandinavian and Anglo-American models of higher education.

Rogers argues that throughout the world, higher education is offered to many students at highly subsidized rates such as endowments, private contributions, low or no interest loan, government grants, scholarships, fellowship, and bursaries. Rogers further claims that subsidization of HE is probably more practiced in Less Developing Countries (LDCs) of the world than in the developed countries (Rogers, 1971).

In the Kenyan context, since the year 1995, the Kenyan government has shifted the burden of higher education costs from being borne predominantly by government, or taxpayers, to being shared with parents, students and the private sector (ROK, 2010). This cost sharing policy has implications on university enrollment. Hence, enrollment has shifted from a heavily subsidized public sector to a much less subsidized, tuition dependent – private sector (Johnston 2003).

Currently, the government of Kenya spends about 27% of its budget on education with US\$1.03 billion going to university education, compared to the US\$2 billion that is spent on basic education. For example, the government has allocated US\$982 million to Kenyan public universities for the current financial year. University administrators have, however, said the allocation is over US\$200 million lower than the amount they had requested for the period. Because of budgetary constraints, capitation to public universities as a percentage of total revenue has been on a declining trend, dropping from 62.4% in 2012-13 to 44.9% in 2015-16.

The contribution of capitation to expenditures of the public universities declined from 67.4% in 2012 to 45.4% in 2018. During the period, staff costs have increased and funds disbursed to universities were not adequate to fund salaries (University Word News, 2019).

### **Reforms in Financing Higher Education in Kenya**

The cost of higher education is increasing rapidly and continuously throughout the world (Johnstone, 2009). All over the world, countries go to great strength in committing public funds to the education sector (UNESCO, 2012). The achievement of universal educational goals increases the overall need for human capital investment. In recent past, push to scale up education expenditure to achieve Sustainable Development Goals (SDGs), an off-shot of Millennium Development Goals (MDGs) and Education for All (EFA) by 2015 (UNESCO, 2012; Al- Samarra, 2006).

In Kenya, demand for higher education has increased tremendously over the last two decades driven by inadequate funding for public universities to absorb most qualified candidates (ROK 2011). The Gross Enrollment Rate (GER) at university level is estimated to be 9.8 % (KNHDR, 2009). The Net Enrollment Rate (NER) is always appropriate to use but universities have continued to attract mature students as continuing students (ROK, 2009). Several sustained efforts have been made to improve university enrolment and retention in Kenya since the attainment of independence. The other two key interventions with the largest national coverage are financing through Higher Education Loans Board (HELB) and provision of targeted bursaries. According to various government documents, HELB was started to facilitate higher education of Kenyans (UNDP, 2012). As a credit funding institution, it has financed over 300,000 students since its inception in 1995. The funding targets are both government and privately sponsored students in recognized public and private universities within the East African Community. Currently, those who graduated between 1974/75 and 1994/95 academic years repay their loans at an interest rate of 2 percent. Those who took loans from 1995/96 academic year to date are repaying their loan with an interest rate of 4%. HELB can vary the interest rate anytime without referring to the loanee (ibid). The body also targets other students, categorized as continuing university students, but at competitive interest of 12 percent. The targeted bursaries are not automatic. The student must apply with proved evidence. The existing types of bursaries are HELB, Constituency development fund and local authority transfer fund. In all these cases competition is very high and sometimes politics takes center stage as the Member of Parliament is the patron of the identification and distribution committee. Students are never awarded more than the cost of financing and in most cases there is always a minimum amount to be awarded. Distribution is done across the board leaving deserving cases getting less than they would require as a safety for access and participation. Despite budgetary financial efforts by the government, higher education access and participation of rural population and socially/economically disadvantaged groups are still a critical concern. Recent education financing policy changes in Kenya often favor to divert resources from higher education to primary level of education (UNDP, 2010). The policy favors for full cost recovery from students in higher education. Cost recovery methods are likely to have diversifying inequality in maintaining higher educational accessibility and participation, especially for the poor, minority, rural, and other traditionally underserved

populations (Otieno, 2007). Most universities in Kenya have established income generating programs (since 1999) to secure more funds from ‘private students’, and this has helped universities to meet their operational costs. This policy is based on filling admission quotas reserved for qualified students who would not meet the admission cut-off points but are able and willing to pay the full cost of their training. This has inherent flaws especially because not all students can afford. Issues of affordability and equity have negative implications to fee system. The distribution of education subsidies is notably skewed towards the rich minority (ROK, 1999) thus making financing of education retrogressive and inequitable. As public financing dwindles, innovative methods of bridging financial gaps must be diversified and parents must expand their financial sources to increase and motivate their children to pursue higher education.

### **Impacts of Lack of Finances on Higher Education**

According to an article ‘*how government funding gap is killing university education*’, there is a huge gap between the money the government allocates to universities per student and the amount it actually costs to successfully take one through training. The article notes on average, the cost of education in Kenyan universities for one academic year per student ranges from Sh600,000 for the dentistry program, Sh576,000(\$5,700) for medicine, Sh432,000(\$4,300) for pharmacy, Sh180,000(\$1,800) for applied humanities, Sh144,000(\$1,500) for the arts. However, the State has funded university education at a fixed rate of Sh70, 000(\$700) per student per academic year, regardless of program of study, for the last 26 years. What this means is that for a dentistry student, State funding leaves a gap of Sh530,000(\$5,230) per academic year. For the entire five-year training program then, the funding gap per student stands at Sh2.65 million(\$26,156) (Amadi, 2019). Hence, the article concludes that by extension then, for a dentistry program class of 30 students, the funding gap passed on by the State to that university becomes Sh79.5 million (\$ 784, 645million) every graduation cycle of five years. To give an even clearer picture then, we have taken the average funding gap per academic program over a four-to-six-year duration of Sh54.55 million (\$538,394). This is multiplied by the number of university graduates every academic year (estimated at Sh49, 050(\$484.11) in 2015, to get the overall university funding gap per graduation cycle of more than Sh3 trillion (\$29,609,250,000). Looking at the same picture from a different angle, the State is accepting responsibility for less than 19 per cent of the university education burden, passing on the remaining 81 per cent to universities. Amadi claims that, if the issue of funding is not urgently addressed, then university education in Kenya is on its deathbed. The financial shortfall also explains why some universities take as much as three years to pay their part-time lecturers.

Despite the financing challenges outlined above, private universities have seized the opportunity and experienced tremendous growth within the last few years. There are 35 private universities out of the 72 universities in Kenya. It has been a great opportunity for private universities to expand, because they offer smaller classes, pay special attention and respond quickly to students’ needs. The slow-paced release of funds by the government to universities too has also contributed to dilapidation and deterioration of infrastructure, thus poor learning environments in public universities. This has, in turn, led to low morale of

faculty and staff in these universities. All these challenges have continued to impact negatively on students who go through public universities and who find transition to job markets difficult.

In a proposal presented by vice-chancellors to parliament, students could pay up to three times more for annual fees from 2019. All state-sponsored students will be expected to pay US\$600 annually as tuition fees, up from the current US\$265, in a plan that is expected to be rolled out in annual phases. This could earn public universities at least US\$450 million annually which is expected to fund their operations and development expenditures. The proposal is a major reprieve coming at a time when they are facing a financial crunch over budget constraints and increased enrolments.

As such the steady increase in university enrollment and without corresponding increase in budgetary allocation and investment in facilities has arguably pushed the universities to seek strategy of increasing revenues (Owour, 2012).

### **Measures of Funding Higher Education in Kenya**

Instead of funding research at universities where professors reside with expertise in different disciplines, the State instead establishes and funds special purpose pastorals to undertake research. A disproportionately high number of private sector companies are multi-nationals who undertake all their research in their home countries because there is no requirement of them to work with and to support local universities through research funding.

Today, government funding for Kenya's 33 public universities continues to decline. The average per capita expenditure per student has also fallen tremendously. This funding crunch obviously has a detrimental effect on quality, which manifests in poorly trained academic staff, inadequate libraries, overcrowded classrooms – there are sometimes as many as 400 students in a single class – and low-quality graduates.

Universities are expected to raise extra revenue through tuition fees, cost-recovery measures and by commercializing their activities. Some have taken an entrepreneurial route to raise more money: they've set up shopping malls, funeral homes, industrial parks, rented-out property or ventured into catering. These are obviously unrelated to academic programs; they generate very little money and put universities' finances and reputations at risk.

### **Recommendations**

The State should treat the role of university education in the country's socio-economic agenda with the seriousness it deserves. Instead of sentencing universities to death by strangulation through giving them a funding deficit of 81 per cent, per academic year, it should use that money to provide 100 per cent funding to a handful of qualified university students (Amadi, 2019).

Change is needed on the money front, too. The state must change its funding model. Its current "one-size-fits-all" approach is not working, and instead programs should be financed according to how expensive they are to prepare and teach. Cheaper programs must get less money (University Word News, 2019).

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**Closing Remarks by Tedla Haile, Executive Vice President, St. Mary's University**

**Distinguished guests,**

**Colleagues,**

**Ladies and Gentlemen**

We are now to end the day and half-day long event whose presentations and discussions left us with more questions than answers. To cite some of them, what should be done to mitigate the effects of demographic dynamics on graduate employability? What policies and strategies enable Africa to improve its University governance? How can Africa tackle the increased challenge of Academic corruption? What modalities should be put in place to scale up University-society engagements? These are our takeaways, some of which, I hope, will be touched at the 2<sup>nd</sup> Symposium of the Higher Education Forum for Africa, Asia and Latin America organized by the International Network for Higher Education for Africa, which is now going on in another conference room here at the Aviation Academy.

That said, allow me to thank those who have contributed to the success of this conference in one way or another. Thanks are due to Prof. Hirut W/Mariam, Minister of Science and Higher Education, Prof. Afework Kassu, State Minister of Science and Higher Education, and W/ro Tsion Teklu, State Minister for General Education, whose presence observably graced the event. Guest speakers, paper presenters, chairs and rapporteurs, coming from near and far from the USA, India and every corner of Africa deserve the highest appreciation. My gratitude also goes to our long time partners, the Association of African Universities, the Secretary General, Prof. Etienne Ehile, the African Union Commission, UNESCO-IICBA, the University of Kwazulu-Natal, and the International Network for Higher Education in Africa spearheaded by Prof. Dامتew Teferra whose partnership has immensely impacted the outcome of the conference. Equally, worth acknowledging is the continuous participation of Dr Teshome Yizengaw as key note speaker and paper presenter not prevented by the office responsibilities he has held back in the USA.

**Ladies and Gentlemen,**

This year's conference has happened away from the usual venues of the UN-ECA, the AU, and hotels. We express our deepest gratitude to the Ethiopian Airlines Aviation Academy, which has made this ambient hall available for the conference, and considering the distance from the main gate has made its shuttle buses serve some of our participants. The Aviation Academy Management team, the shuttle buses crew, the technical staff, the catering team, and the Aviation Academy trainees who lined up to welcome conference participants has indeed left an unforgettable memory of the EAL Aviation Academy. Please, join me in applauding their hospitality. Coming to St. Mary's in-house team, I should mention the Research and Knowledge Management Office, which has been responsible for the overall planning and

organization of the conference, the ICT Support Unit, the International Relations and Communications Office, the General Services, the Finance Office, the reception team, and the Master of Ceremony, Elise Nalbandian. They all deserve appreciation.

Wishing you all the best and hoping to see you all next year at the 18<sup>th</sup> Conference, I declare the conference closed.

I thank you

# Ethiopian

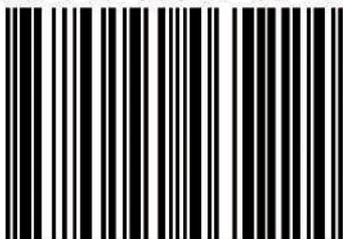
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